

HCBS Certification Instructions for Qualified Vendors

All Qualified Vendors contracted with the Division of Developmental Disabilities (DDD) are required to obtain and maintain a Home and Community Based Services (HCBS) Certificate. An HCBS Certificate is issued when the Qualified Vendor agency and staff have met the qualification and training requirements contained in Arizona Administrative Code (A.A.C.) R6-6-1501 et. seq. All initial, renewal, amendment and reactivation applications must be completed through the HCBS Certification Application in Focus. The [OLCR Vendor Reference Guide](#) provides detailed instructions on how to navigate through the HCBS Certification Application.

If an HCBS Certification application is approved, you may view the HCBS certificate in the HCBS Certification Application. For Qualified Vendors enrolling with AHCCCS as designated Provider Type 39 (habilitation) or Provider Type 25 (group home), the Qualified Vendor must provide a copy of the HCBS Certificate and group home certificate to AHCCCS in order to complete the enrollment.

HCBS Certification Initial Application Instructions

After you receive your approved Qualified Vendor application, you may submit an application for initial HCBS Certification in the HCBS Certification Application in Focus. Most of the information pertinent to certification, such as your agency address, types of services, and locations of service sites, will be pre-populated into the HCBS Certification Application from the Contract Administration System (CAS). Once your HCBS certification application is submitted, a certification specialist will contact you if additional information is needed.

1. Log into the HCBS Certification Application and submit the following documents electronically:

- a. *Application for Initial HCBS Certification* (LCR-1083A)
 - i. The initial application must be completed by the individual named as the Executive/Owner listed in the Contract application.
 - ii. Be sure to describe special skills, training, previous work history and experiences related to the services you intend to provide.
 - iii. If you have additional information, such as a resume, that you would like to submit, you may send it to hbscertification@azdes.gov.
- b. *Agency Roster of Employees* (LCR-1028A)
 - i. The roster must list the individuals named in the contract application as the Executive/Owner and Authorized Signatories and all staff providing direct services to members, whether employed or subcontracted by the agency.
 - ii. Prior to delivering services, each employee or subcontractor must be in compliance with all HCBS requirements. See roster specifications for information on requirements for all staff and agency owned vehicles. At the time of initial application, vendors may have only a few employees or no employees at all. Once the HCBS Certificate is issued, the vendor must keep the staff roster up to date. New employees must be added to the roster within 30 calendar days of hire. Employees must be removed from the roster within 30 calendar days of separation from employment. All other updates to the roster must be made within 30 calendar days of a change. Each time the roster is updated, the roster must be electronically signed and saved.
- c. *Life Safety Inspection Request* (LCR-1033A) Submit an inspection request for any service sites, if applicable

2. Submit the following items to OLCR via the HCBS inbox, hbscertification@azdes.gov:

- a. Three letters of reference for the agency or Executive/Owner
- b. A valid level one fingerprint clearance card for the Executive/Owner and Alternate Signatories listed in the Contract Administration System
- c. A notarized Criminal History Self-Disclosure Affidavit (LCR-1034A) for the Executive/Owner and Alternate Signatories listed in the Contract Administration System

- d. If the Executive/Owner or Authorized Signatories are also direct care providers, submit the following for each:
 - i. Cardio-Pulmonary Resuscitation (CPR) card
 - ii. First Aid certification card (staff providing occupational, speech, or physical therapy are exempt)
 - iii. Article 9 training certificate
 - iv. Copy of professional license, if applicable
 - v. If providing transportation to members: a copy of driver license and proof of auto insurance and auto registration

Group Home Initial Certification Instructions

Log into the HCBS Certification Application and select the appropriate group home.

1. **Submit the *Application for Group Home Certificate (LCR-1082)* electronically**
2. **Email a copy of the Department of Health Services (DHS) license for the group home to hcbcertification@azdes.gov**

When the group home certificate is issued, the expiration date will align with the expiration date on the master Qualified Vendor certificate. This means that the group home certificate may be issued for a period less than one year.

HCBS Certification Renewal Application Instructions

HCBS Certification must be renewed annually. Sixty days prior to the expiration of the certificate, the HCBS Certification Application sends a renewal notice. Renewal notices are sent to the Executive/Owner and Notice Contact listed in CAS. The renewal notice is inclusive of the master HCBS certificate as well as any group home certificates. Any time after the 60-day renewal notice is sent, the vendor can log into the HCBS Certification Application and submit renewal documents. The HCBS application will send another renewal notice at 30 days and a final notice 7 days prior to expiration. Failure to submit a renewal application prior to the expiration date will result in a lapse in HCBS certification which can impact payment of claims.

1. **Submit or update the following electronically through the HCBS Certification Application:**
 - a. *Application for Renewal or Amended HCBS Certificate (LCR-1077A)*
 - b. *Agency Roster of Employees (LCR-1028A)*
 - i. Ensure that the roster contains the Executive/Owner and Authorized Signatories listed in the contract application.
 - ii. Review the roster and ensure all employees and agency owned vehicles are compliant. Having an updated and compliant agency roster is a critical part of the renewal process. The roster is considered compliant when the HCBS Certification Application indicates a 95% or higher compliance rating.
 - iii. Review the background check tab to verify all active staff have valid level one fingerprint clearance cards
 - c. *Life Safety Inspection Request (LCR-1033A)* Request inspections for any service sites that are due for inspection, if applicable. Inspections are required every two years. Any service sites that are no longer in use must be closed in the Contract Administration System.
2. **If any of the following documents for the Executive/Owner or Alternate Signatories listed in the Contract Administration System were renewed during the course of the certification year, they must be submitted to hcbcertification@azdes.gov as part of the renewal:**
 - a. A valid level one fingerprint clearance card
 - b. A notarized Criminal History Self-Disclosure Affidavit (LCR-1034A)

- c. If the Executive/Owner or Alternate Signatories are direct care providers, submit the following for each if updated during the certification year:
 - i. Cardio-Pulmonary Resuscitation (CPR) card
 - ii. First Aid certification card (staff providing occupational, speech, or physical therapy are exempt)
 - iii. Article 9 training certificate
 - iv. Copy of professional license, if applicable
 - v. If providing transportation to members: driver license, proof of auto insurance and proof of auto registration

Group Home Certificate Renewal Instructions

Submit the *Application for Group Home Certificate* (LCR-1082A) electronically through the HCBS Certification Application. Each group home certificate renewal application must be *individually* submitted.

If the Department of Health Services (DHS) license was renewed during the prior certification year, forward a copy of the DHS license to HCBScertification@azdes.gov.

HCBS Certification Amendments

If the Qualified Vendor Agreement is amended, the vendor's HCBS certificate must also be amended. The following amendments in the Contract Administration System will trigger an amendment in the HCBS Certification application:

1. Change of address for the vendor Administrative site or Group Home
2. Addition of Services
3. Removal/ Termination of Services
4. Change of Ownership
5. Change of FEIN
6. Change of Contact
7. Vendor Name Change

Once a contract amendment is approved, the HCBS Certification Application will send an email to the Executive/Owner and Notice Contact to log into the HCBS Application to complete the HCBS Certification amendment.

Life-Safety Inspections Conducted by OLCR

A OLCR life-safety inspection is required for each setting that is used to provide HCBS services unless the setting is the private home of the DDD member, a DHS licensed group home, or an independent living service site. Once a service site is entered in the Contract Administration system, the site populates into the HCBS Certification application. An inspection is requested through the HCBS Certification Application (LCR-1033A). Refer to the booklet, [Life-Safety Inspections](#) for information on setting requirements. After an inspection is requested, an inspector will contact you to schedule the inspection.

For questions regarding HCBS Certification, please call 602.771.4861 or email HCBScertification@azdes.gov. For technical assistance with Focus, please call the Focus help desk at 602.771.1444.