CHAPTER 61 - HOME AND COMMUNITY BASED SERVICES (HCBS) CERTIFICATION
AND PROVIDER REGISTRATION

REVISION DATE: XXXXX, 06/20/2018
EFFECTIVE DATE: June 17, 2016
REFERENCES: A.R.S. § 36-594.01, 42 CFR 431.107

All providers of AHCCCS-covered Home and Community Based Services (either Fee-For-Service [FFS] or managed care) must be HCBS certified by the Division of Developmental Disabilities (Division) and registered with the AHCCCS Administration. The Division’s Office of Licensing, Certification, and Regulation (OLCR) assists Division providers with this process. Home and Community Bases Services provide opportunities for members of the Division to receive services in their own home or community rather than in institutions or isolated settings. Home and Community Bases Services Certification provides a standard for worker qualification and site safety.

Who May be Certified

The Division certifies Independent Providers, Qualified Vendors and, effective 10/1/2019, DD Health Plan Providers.

- Independent Providers (IP’s) are individuals have an Independent Provider Agreement with the Division.
- Qualified Vendors (QV’s) are providers who have been awarded a Qualified Vendor Agreement from the Division
- DD Health Plan Providers are contracted by a Managed Care Organization (MCO) to provide HCBS services to Division members.
- Specialty Contract/AZEIP Providers

HCBS Certification Requirements

The rules governing HCBS Certification are found in the Arizona Administrative Code (A.A.C.) R6-6-1501 et. seq. HCBS requirements vary depending on the employee type and type of service provided. HCBS requirements for service providers include, but are not limited to,

A. Possession of a Level One Fingerprint Clearance Card, except when exempted by A.R.S. § 36-594.01(D). If services are delivered in the private home of a direct care worker, all adult household members of the home must also have a Level One Fingerprint Clearance card.
B. Completion of a Criminal History Self-Disclosure affidavit (LCR-1034A)
C. Three references
D. Proof of age (providers must be at least 18 years old)
E. Application or resume attesting to the qualification or experience requirements specific to each service
F. Orientation to members needs
G. Cardio-Pulmonary Resuscitation (CPR) certification.

H. First Aid certification, professionally licensed providers exempt

I. Article 9 training

J. Department of Child Safety Central Registry check

K. Adult Protective Services Registry Check

L. Valid Driver License if transporting members

M. Valid auto registration and insurance if transporting members in a personal vehicle

N. Completion of Prevention and Support if required by the member’s planning document

O. Verification of professional licensure if providing professionally licensed services.

In addition to the above, direct service providers must be 18 years of age or older, provide three references prior to hire, and receive an orientation to the needs of the member receiving services. If services are delivered in a private home of a direct care worker, all adult household members of the home must also have a Level One Fingerprint Clearance card.

If services are delivered in a setting owned, leased or controlled by the provider, the setting must pass a Life Safety inspection prior to use for service delivery. The Division will reinspect every two years thereafter.

HCBS certified agencies are required to maintain documentation attesting to compliance with HCBS requirements. The Division conducts a file audit at least every two years.

The HCBS Certification Process

Prior to initial certification, all applicants must submit an application and provide verification of compliance with HCBS requirements.

Independent Providers

Independent Providers apply for certification with the assistance of a locally based Independent Provider Coordinator (IPC). The IPC will provide the forms including an initial application, provider registration form, and a Provider Participation Agreement (AHCCCS form). The IPC also collects documentation attesting to compliance with all HCBS requirements.

Qualified Vendors

Qualified Vendor Agencies or individuals with a Qualified Vendor Agreement must complete the HCBS Certification process online through the Division’s Focus application. An initial HCBS Certification application cannot be completed until a Qualified Vendor Agreement (QVA) has been approved. Once a QVA with the Division has been approved, the vendor should refer to OLCR Tracking Application Provider Reference Guide (DDD-OLCR-040-001_Provider) for instructions on how to submit an application for HCBS certification.
The Focus application contains agency roster. The agency roster is the vendor’s attestation that staff and agency owned vehicles are in compliance with HCBS rules. Once the HCBS Certificate is approved, the vendor must keep the staff roster up to date. New employees must be added to the roster prior to delivering services. Employees must be removed from the roster within 30 days of separation from employment. All other updates to the roster must be made within 30 calendar days of the change.

DD Health Plan Providers (effective 10/1/2019)

DD Health Plan Providers must contact OLCR directly for certification instructions. Certification will require an application form and documentation attesting to compliance with HCBS rules.

Specialty Contract/AZEIP Providers

Specialty Contract/AZEIP providers must contact OLCR directly for certification instructions. Certification will require an application form and documentation attesting to compliance with HCBS rules, including help with signing the Provider Agreement that includes federal requirements under 42 CFR 431.107.

HCBS Certification for Independent Providers

Individuals with an Independent Providers Agreement must submit an application packet for an initial HCBS Certification to OLCR as follows:

A. Include in the application packet: must include:

1. An Application for Initial HCBS Certification (LCR-1025A)
2. Provider Registration-OLCR-HCBS (LCR-1027A)
3. A Provider Participation Agreement (AHCCCS documentform)
4. A copy of the Fingerprint Clearance Card (FCC), issued by the Arizona Department of Public Safety (DPS), unless the applicant is exempted per A.R.S. § 36-594.01
5. A copy of the Criminal History Self Disclosure Affidavit (LCR-1034A)
6. Applicant Statement of Understanding (LCR-1064A)
7. Statement of Lawful Presence (LCR-1075A)
8. Three reference letters
9. Proof of successful completion of training for CPR, First Aid, and Article 9.
10. Declaration of Household Member 18 Year or Older (LCR-1024A) if services will be provided in the applicant’s home

Note: If services will be delivered in the provider’s home, a home inspection (Life Safety Inspection) will need to be completed by OLCR prior to services being delivered in this setting.
B. **Send the complete application packet may be sent** to OLCR by U.S. Postal Service, fax, or email to:

**Mail:** Division of Developmental Disabilities
OLCR-HCBS Certification
P.O. Box 6123 – 2HF1
Phoenix, AZ 85005-6213

**Fax:** (602) 257-7045
**E-mail:** HCBS certification@azdes.gov

Once certified, Independent Providers are assigned a locally based provider coordinator. The Independent Provider must contact the provider coordinator to initiate any amendments to the certificate. An amendment is needed for a change of address, contact information or name. An amendment is also needed for the addition or removal of services.

## HCBS Certification for Qualified Vendors

### A. Initial Application and Certification

Qualified Vendor Agencies or individuals with a Qualified Vendor Agreement must complete the HCBS Certification process online through the Division’s Focus application. An initial HCBS Certification application cannot be completed until a Qualified Vendor Agreement (QVA) with the Division has been approved. Once a QVA with the Division has been approved, the vendor should refer to OLCR Tracking Application Provider Reference Guide (DDD-OLCR-040-001_Provider) for instructions on how to submit an application for HCBS certification. An initial HCBS Certification application cannot be completed until a Qualified Vendor Agreement (QVA) with the Division has been approved. The online HCBS Certification application includes:

1. A Provider Registration Form (LCR 1077A)
2. A Provider Participation Agreement (AHCCCS [documentform](#))
3. Disclosure of Ownership/Control and Criminal Offenses Statement(s) (AHCCCS form)
5. A staff roster for all direct care employees or contractors, including the CEO/President/Owner. The roster must indicate compliance with all applicable HCBS training and background check requirements.
6. Criminal History Self Disclosure Affidavit (LCR-1034A) for the CEO/President/Owner(s) of the agency and all contract signatories.

In addition to completing the online HCBS Certification, the QVA must send a copy of the agency brochure, a link to its website, or other description of the agency/program, to OLCR by U.S. Postal Service, fax, or email to:

**Mail:** Division of Developmental Disabilities OLCR-HCBS Certification
Once the HCBS eCertificate is issued, the vendor must keep the staff roster up to date. New employees must be added to the roster at the time of hire or prior to delivering services. Employees must be removed from the roster within 30 days of separation from employment. Other updates to the roster must be made within 30 calendar days of the change.

Qualified Vendors providing group home services must apply for an HCBS eCertificate for each group home and provide a copy of a current license or proof of inspection provided by the Arizona Department of Health Services, Special Licensing Division. The expiration date on group home certificate is aligned with the expiration date on the overall agency certificate.

For Qualified Vendors providing other types of site-based HCBS services, the Division schedules a physical inspection prior to issuance of an HCBS certificate. After certification, a physical inspection is completed a minimum of every two years to retain certification. Life Safety inspection must be completed prior to using a site for services and every two years thereafter.

B. Amendments

Questions regarding HCBS certification may be directed to HCBScertification@azdes.gov. Amendments to the certificate are initiated by completing an amendment in the contract application on Focus. Once the contract amendment is approved, a certificate amendment will populate in the OLCR Tracking Application. Any of the following changes requires an amendment to the certificate:

1. Change of address for the vendor Admin Site or Group home
2. Addition/deletion of services
3. Change of ownership
4. Change of FEIN
5. Change of contact
6. Vendor name changes.

HCBS Certification for Providers Contracted with a Managed Care Organization (MCO) (Effective 10/1/2019)

Home and Community Based Services Providers contracted with a managed care organization must submit an application package for initial certification as follows:

A. Application for Initial HCBS Certification (LCR-1025A)
B. Provider Registration-OLCR-HCBS (LCR-1027A)
C. A copy of the Fingerprint Clearance Card (FCC), issued by the Arizona Department of Public Safety (DPS) for the CEO/Owner

D. A copy of the Criminal History Self Disclosure Affidavit (LCR-1034A) for the CEO/Owner

E. Three reference letters for the individual or agency

F. Proof of successful completion of training for CPR, First Aid, and Article 9 if the applicant is providing direct services

G. A completed agency roster listing all staff providing direct services to members (LCR-1028A)

If services are delivered in a setting owned, leased or controlled by the provider, a Life-Safety Inspection will need to be completed by OLCR prior to services being delivered in this setting.

Amendments to the certificate are initiated by contacting OLCR. Any of the following changes requires an amendment to the certificate: change of address, addition/deletion of services, change of ownership, change of FEI, change of contact, or vendor name changes.

**AHCCCS Registration**

A. AHCCCS registration is mandatory. It is required for submission of encounter data to the AHCCCS Administration by the Division.

B. Individual Independent Providers and agencies providing Providers of therapy services must contact AHCCCS directly for registration.

C. AllMost other HCBS providers (AHCCCS Provider Types 39 and 25) will be registered by OLCR upon completion of the certification process.

**AHCCCS Mandates**

AHCCCS mandates that all providers:

A. Comply with all federal, state, and local laws, rules, regulations, executive orders and Division policies governing performance of duties under the Qualified Vendor or other contractual agreements.

B. Sign and return attestations found on the Provider Registration section of the AHCCCS website that are applicable to their individual practices or facilities.

C. Meet AHCCCS requirements for professional licensure, certification, or registration.

D. Complete all applicable registration forms.

Questions regarding HCBS certification may be directed to hcbscertification@azdes.gov.