

Arizona Department of Economic Security
Division of Developmental Disabilities

POLICY DEVELOPMENT TOOL



DEPARTMENT OF
ECONOMIC SECURITY
Division of Developmental Disabilities

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PURPOSE

This guide will assist an agency with its responsibility for developing and standardizing policies as well as maintaining and adapting them based on Division requirements and member needs. The minimum policy requirements identified in this document, serve as a guide or outline to ensure the agency's policies are in accordance with Division Rules and Policies that support the well-being of the members served.

POLICY DEVELOPMENT GUIDE INSTRUCTIONS

The forms/documents included in this manual are provided for your assistance only. It does not in any way relieve Qualified Vendors of full responsibility and accountability for compliance with the terms and conditions of the Qualified Vendor Agreement and all applicable laws.

1. Review the "POLICIES BY SERVICE" key to identify the policies you will need based on the service(s) your agency plans to provide to members. **(Note: This document only includes the minimum DDD policy requirements. The vendor agency may require additional policies outside of this document.)**
2. When developing the policies, it is important that each policy addresses all of the questions in each policy section, as it applies to the service that will be provided.
3. The Division does not require that each policy section have a policy associated with it, only that the question is addressed in one of the policies created. There is a reference section associated with each policy. Place the policy reference in this location. It will allow the reviewer to access this information quickly. Please add "N/A" to the "Policy Page Reference" column if the question is not applicable.
4. This document serves as a uniform guide, review, and monitoring tool for vendor agencies and Division units. Keep a copy of this tool on file as a reference for future policy changes and additions.
5. There is a references section associated with each policy, (*Statute, Rule, and Division Policy*). If you have questions as the policies are being developed, review these references for more information.
6. The comment section is the only section in the policy where text content can be written or typed. This will serve as a notes section reference and/or communication with the Division about your policy.
7. The "Questions/Key Components" section of each policy ensures the policy addresses issues surrounding training frequency and methodology, and policy violations.
8. The "Resources" section of each policy will contain either a link or locations of resources needed to complete policy or help with the development of it.
9. Review each policy section, as specified by the "Policies by Services" key, to ensure the following:
 - a. Basic formatting
 - b. Spelling/grammar check
 - c. Ensure the agency's name is accurate in policy
11. It is not critical that the policies are in any specific order as long as they are clearly identified and addressed. (*please see 3.*)
12. The vendor agency should include any forms associated with the policies (*in appendix*)
13. After completing steps 1 and 2, ensure the policies that are being developed have the following components:
 - a. Document Number
 - b. Document Name
 - c. Effective Date
 - d. Purpose
 - e. Description of Policy
 - f. Training Requirements
 - g. Oversight of Policy
 - h. Policy Owner (*and/or Author*)
 - i. Compliance Guidelines (*process for corrective action*)
14. Ensure that you are using the same language (word(s) throughout the Manual.
15. How to use the decision section for each Policy: (*Yes means "Meets requirements"*) (*No means "It does not meet requirements"*) (*N/A means "this section does not apply to the service"*)

POLICY MANUAL URL LIST BY CHAPTER

The Division Policy Manuals are located on the DDD website at:

<https://des.az.gov/services/disabilities/developmental-disabilities/policies-and-rules/policies>

The first clickable option is at the bottom of the Welcome paragraph.

DDD COMPLETE SET OF ALL POLICY MANUALS

https://des.az.gov/sites/default/files/media/DDD_Complete_Set_of_all_Policy_Manuals_02052020.pdf

This allows you to download all seven DDD policy manuals to your desktop, as a reference manual. The policies are updated as often as once a week. You may want to download a new copy and replace your old version, if you want to see the best possible version for your research. The revision date will always be listed as part of the file name (example):

https://des.az.gov/sites/default/files/media/DDD_Complete_Set_of_all_Policy_Manuals_02052020.pdf

Next you will see the titles of the Policy Manuals in the light grey navigation bars stacked vertically in the middle of the page - and the little navy-blue arrows to the right of the titles will “drop-down” to see more detailed information about each manual. Click once to drop-down, click again to roll it back up.

When you drop-down to see the details, there will be a link to download the entire policy manual at the end of the introductory paragraph.

Next on the page is a table, which lists out every individual chapter contained in the manual, by chapter name and number. You can click on each chapter to read it online (the PDF will open into the browser window). From the browser menu options, you will have the option to download the PDF for that chapter and save it to your desktop for further reading.

The last link in the table is to the Revision History for that policy manual. It will show you the changes made to each chapter, sorted by month and year.

Scroll back up to the light grey navigation header and click on the blue arrow. The details and the table for that policy manual will roll up, and you can continue to research in the next manual, by going to the next navigation bar.

GUIDELINES FOR WRITTEN POLICY CONTENT

The forms/documents included in this manual are being provided for assistance only. It does not in any way relieve Qualified Vendors of full responsibility and accountability for compliance with the terms and conditions of the Qualified Vendor Agreement and all applicable laws.

1. **DEVELOP WRITTEN GUIDELINES (ADDRESS THESE AREAS IN EACH POLICY OR REFERENCE THE AREA WHERE IT IS ADDRESSED)**
 - a. Policies developed will address all questions in each policy tab (*Review Policies by Service to determine what policies must be written*).
 - b. Each policy will identify responsible persons.
 - c. Identify what forms will be used for documentation.
 - d. Determine requirements for recordkeeping to ensure consistency throughout all settings.
 - e. Identify what training will be needed to support the staff and agency policy.
 - f. Describe how staff will be trained (i.e. in-person, WebEx, etc.)
 - g. Identify who or what agency will develop and implement the training.
 - h. Explain what internal tracking and monitoring processes will be implemented to ensure agency compliance with the Division contract.
 - i. Identify person(s) responsible for the oversight and monitoring of the tracking system and documentation.
 - j. Explain how the tracking and monitoring will be used to ensure continuous improvement and system changes.
 - k. Each policy will identify specific timeframes, based on Federal and States requirements in addition to internal agency requirements.
 - l. Ensure policy addresses how the agency will address/meet reporting requirements (as specified by Federal, State, and Division requirements and policies).
 - m. Explain how the agency intends to ensure oversight for the implementation, review, and monitoring of the policy.
 - n. Explain what corrective measures will be used to address infractions, concerns or incidents that violate the policy.

SERVICES KEY	
POLICIES	
<p><u>HOME AND COMMUNITY BASED SERVICES (HCBS)</u> ATC: Attendant Care HAH: Habilitation Support Hourly HSK: Homemaker HAI / HID: Habilitation Individual Designed Living Arrangement RSP / RSD: Respite Care</p>	<p><u>DAY PROGRAMS</u> DTA: Day Treatment and Training Adult DTT: Day Treatment and Training After School DTS: Day Treatment and Training Summer TRA: Transportation</p>
<p><u>EMPLOYMENT SERVICES</u> GSE: Group Supported Employment ISE: Individual Supported Employment ESA: Employment Support Aide TTE: Transition to Employment CPR: Career Preparation & Readiness TRE: Transportation to Employment</p>	<p><u>RESIDENTIAL SERVICES</u> HAB: Habilitation Group Home HAN: Habilitation Nursing Supported Group Home HPD: Habilitation - Community Protection HBA: Habilitation Vendor Supported Developmental Home - Adult HBC: Habilitation Vendor Supported Developmental Home - Child</p>
<p><u>PROFESSIONAL SERVICES</u> OEA/OTA: Occupational Therapy HHA: Home Health Aide SEA/STA: Speech Therapy PEA/PTA: Physical Therapy Nursing (HN1, HN9, HNV, HNR): Nursing</p>	<p><u>SPECIALIZED HABILITATION SERVICES</u> ECM: Habilitation Early Childhood Autism Specialized Habilitation Consultation: Habilitation – Consultation HAM: Habilitation Music</p>

POLICY BY SERVICES/KEY

x- Requires policy

*- May have additional requirements bases on local, State, and Federal laws and regulations (beyond DDD requirements, i.e. fire code, fire inspection, etc.)

POLICIES	SERVICES					
	HCBS	DTA/DTT/DTS	Employment	Residential	Professional	Therapies
ATC / HSK Supervision & Monitoring	X (ATC, HSK)					
Back Up Planning	X				X	
Behavior Management	X	X	X	X*	X	X
Client Property & Funds Management	X	X		X		
Communication with Responsible Parties	X	X	X	X	X	X
Contingency / Emergency Plan	X	X	X	X	X	X
Cultural Competency Plan	X	X	X	X	X	X
Daily Staffing Schedules Policy				X		
Developmental Home				X (Dev Home)		
Developmental Home Training and Qualifications Licensee				X (Dev Home)		
Dev. Home Training and Qualifications Lic. WK/Sup.				X (Dev Home)		
Drug, Alcohol and Smoking	X	X	X	X	X	X
Family Feedback / Satisfaction Survey	X	X	X	X	X	X
Fraud, Waste & Abuse	X	X	X	X	X	X
Health and Medical Care	X	X	X	X	X	
HIPAA/Confidentiality	X	X	X	X	X	X
Incident Reporting	X	X	X	X	X	X
Medication Administration	X	X	X	X		
Neglect and Abuse	X	X	X	X	X	X
Non-Provision of Services / Gap Reporting	X (not HAH)				X	
Personnel, Hiring and Training	X (*ATC, HSK)	X	X	X*	X	X*
Planning Document (ISP)	X	X	X	X	X	X
Pre-Service Orientation	X	X	X	X	X	X
Pool Safety & Swimming	X	X		X		X
Quality Management Plan	X	X	X	X	X	X
Record Retention / Data Security / Timesheet Verification	X	X	X*	X	X*	X*
Shift Change Communication				X*		
Sibling / Non-Division Eligible Others (Ratio)	X			X (Dev Home)		
Staff-to-Client Ratios	X	X	X	X		
Transportation	X	X	X	X		
Visitors	X	X		X		
Workforce Development	X	X	X	X	X	X

ATTENDANT CARE AND HOMEMAKER MONITORING & SUPERVISION (FOR ATC AND HSK)

Vendor Agency _____

Address _____

Reviewer _____ Date Reviewed _____

Contract # _____

ATTENDANT CARE AND HOMEMAKER MONITORING & SUPERVISION (FOR ATC AND HSK)				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the policy include the following for MONITORING visits:				
a. Policy for submitting monitoring tools within 15 days of the visit to Support Coordinator.				
b. Utilizes DDD Form (<i>Attendant Care/Homemaker Service/Monitoring/Supervision</i>) or their agency form that must include at least the same information.				
2. Does the policy reflect the following for SUPERVISORY visits:				
a. Will occur within 90 days of provider hire date.				
b. Will occur annually thereafter.				
c. Process for maintaining the completed forms.				
3. Is there a procedure to maintain documentation of any familial relationship that the Direct Care Worker has with the member?				
4. Does the policy outline the training requirements specific to the service to include the Direct Care Worker (DCW) Training? (<i>See Staff Training and Qualifications section for required training for delivery of this service</i>)				

QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (*Documents, Information, Tools, Monitoring, etc.*):

- DDD-1431A FORFF (6-18)

State Reviewer _____

Date Reviewed _____ Unit _____

Vendor Agency _____

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**ATTENDANT CARE AND HOMEMAKER MONITORING & SUPERVISION
REFERENCES**

- Qualified Vendor Agreement, Section 7 - Service Specifications, Attendant Care
- Qualified Vendor Agreement, Section 7 - Service Specifications, Homemaker
- Qualified Vendor Agreement, Service Requirements, 5.2.6
- AHCCCS Requirement: 1240-A - Direct Care Services (*Attendant Care, Personal Care, and Homemaker Services*)

COMMENTS

State Reviewer _____

Date Reviewed _____ Unit _____

BACK UP PLANNING

Vendor Agency _____

Address _____

Reviewer _____ Date Reviewed _____

Contract # _____

BACK UP PLANNING				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the policy describe a process for replacement staff to be available?				
2. Does the policy include safeguards to ensure member health and safety?				
3. Does the policy include member or responsible person's choice?				
4. Does the policy minimize risks?				
5. Does the policy include the member preference?				
6. Does the policy address the reporting of service gaps to the Division?				
7. Does the policy include the agencies "after hours" phone number?				
8. For ATC, RSP, and HSK, policy needs to include the following:				
a. The backup plan is completed by the planning team to ensure the health and safety of the member.				
b. Must be documented in the member's backup plan.				
c. The backup plan must be in the member's files.				
9. Therapy Only: Make-up sessions must follow the member's script.				

QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (*Documents, Information, Tools, Monitoring, etc.*):

State Reviewer _____

Date Reviewed _____ Unit _____

Vendor Agency _____

Address _____

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BACK UP PLANNING REFERENCES

- [Qualified Vendor Agreement, Service Requirements/Scope of Work 5.2.5](#)
- [DDD Operations Policy Manual](#)
- [DDD Provider Policy Manual](#)
 - [Chapter 23 – Appointment Standards](#)
 - [Chapter 62 - Qualified Vendor Management of Gaps in Critical Services](#)

When accessing the Arizona Revised statute (A.A.C reference), identify the Statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-809 J](#)

COMMENTS

State Reviewer _____

Date Reviewed _____ Unit _____

BEHAVIOR MANAGEMENT

Vendor Agency _____

Address _____

Reviewer _____ Date Reviewed _____

Contract # _____

BEHAVIOR MANAGEMENT				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the policy indicate staff are trained in prevention and support as applicable?				
2. Are the policy and procedures consistent with Article 9 training and requirements?				
3. Is there a system for timely submission of behavior treatment plans to PRC (<i>within 90 days of placement and/or of the need being identified if applicable</i>)?				
4. Is there a system for Incident Reporting (<i>Emergency Measures</i>)?				
5. Is there a system for Medication Review attendance and documentation?				
6. Is there a procedure for the development, submission to PRC, and implementation of behavior treatment plans?				
7. Is there a procedure for monitoring the effectiveness of behavior treatment plans?				
8. Does the policy include procedures for members using Behavior Modifying Medications including:				
a. Quarterly medication reviews				
b. Screening for Tardive Dyskinesia				
c. Prohibition regarding the use of psychotropic medications				
9. Does the policy include requirements for positive approaches, physical management techniques (<i>Prevention & Support</i>) and their use.				
10. Is there a procedure for the documentation of maladaptive behavior.				
11. Is there a procedure to document Direct Care Workers have been trained on the policy requirements?				
12. Does the vendor have a system for ensuring that the policy is reviewed by all Direct Care Workers upon hire and at least annually and when revisions are made?				

State Reviewer _____

Date Reviewed _____ Unit _____

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BEHAVIOR MANAGEMENT (CONTINUED)				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
13. Does the vendor have a system for monitoring and ensuring employee compliance with the policies and procedures?				
14. Does the vendor have a system for addressing a violation of the policy including disciplinary action as well as a system based action to correct non-compliance?				
15. Does the policy identify the responsibilities for monitoring and oversight within the organizational structure.				

QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (*Documents, Information, Tools, Monitoring, etc.*):

BEHAVIOR MANAGEMENT REFERENCES (ADD LINKS)

- [Qualified Vendor Agreement, Service Requirements/Scope of Work 5.3.1.2](#)
- [DDD Behavioral Supports Manual](#)
 - [Chapter 100 - Definition and Applicability](#)
 - [Chapter 200 - Prohibitions](#)
 - [Chapter 300 - Violations](#)
 - [Chapter 400 - Program Review Committee](#)
 - [Chapter 500 - Individual Support Plan Team Responsibilities](#)
 - [Chapter 600 - Restitution](#)
 - [Chapter 700 - Behavior Modifying Medication, Monitoring Behavior Modifying Medications and Treatment Plans](#)
 - [Chapter 900 - Emergency Measures and Physical Management Techniques](#)
- [DDD Provider Policy Manual](#)
 - [Chapter 4 - Covered and Non-Covered Service](#)
 - [Chapter 5 - Emergency Room Utilization](#)
 - [Chapter 10 - Referrals to Specialists](#)
 - [Chapter 23 - Appointment Standards](#)
 - [Chapter 51 - Oversight and Monitoring of Developmental Home Services](#)

State Reviewer _____

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BEHAVIOR MANAGEMENT REFERENCES (CONTINUED)

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-6-900](#)
- [A.A.C. R6-6-1007](#)
- [A.A.C. R6-6-1107](#)
- [A.A.C. R6-6-809.B](#)
- [A.A.C. R6-6-808.I](#)
- [A.A.C. R6-6-808.G](#)

COMMENTS

State Reviewer _____

Date Reviewed _____ Unit _____

CLIENT PROPERTY & FUNDS MANAGEMENT

Vendor Agency _____

Address _____

Reviewer _____ Date Reviewed _____

Contract # _____

CLIENT PROPERTY & FUNDS MANAGEMENT				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Is there a policy for Client Property & Funds that addresses the safeguarding, accounting for, and replacement of member property/funds?				
2. Does the policy include the vendor's responsibility for acceptance, retention, disposition, and accounting for and administration of member funds?				
3. Does the policy address the process for making Member Fund Transactions when the Division is the payee by accounting for the following requirements:				
a. Monitoring no more than 5 days after the start, 30 days, 60 if there are concerns, and at 90 days thereafter.				
b. Excess funds are not to be used for non-approved purchases. If disbursed funds exceed the cost of the approved purchase, these excess funds shall be returned to the member's account with a reconciliation statement accounting for purchases. Anything under \$5.00 may be returned to the member for personal use unless the Support Coordinator requests otherwise.				
c. All non-personal spending money disbursed from the member's account for any good(s) or service(s) in excess of \$50.00, shall be verified within 30 days, by an itemized receipt.				
4. Does the policy include parameters for vendor access to and oversight of member's discretionary funds with the prohibition of member/vendor joint account?				
5. Does the policy address the security of member funds including locked storage procedures.				
6. Is there a procedure to maintain a separate ledger for each member's funds which includes a balance sheet featuring: <ul style="list-style-type: none"> • running totals, • source of funds, • date received, • all expenditures with descriptions of purchase, and • receipts? 				
7. Does the policy specify retention of records for a minimum of seven years?				
8. Is there a process for sending the ledger to the member's Support Coordinator quarterly and making it available as requested by guardian and Support Coordination?				

State Reviewer _____

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CLIENT PROPERTY & FUNDS MANGEMENT (CONTINUED)				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
9. Is there a process for ensuring member funds do not exceed \$200 and, if applicable, are returned to the Client Fund System?				
10. Does the policy require the agency to maintain an inventory of the member's items they accrue and discard as well as a provision to send the updated inventory list to the member's representative and Support Coordinator as changes are made? <i>(for Residential Primarily)</i>				
11. Does the procedure include prohibitions against member funds being loaned, given or provided in any way or manner to other members, provider staff, relatives, or friends?				
12. Does the policy specify how the service provider will report any lost or stolen funds to the division within 10 working days and will be replaced by the provider within 10 working days?				
13. Does the policy address the vendor's responsibility for resolution and/or repayment requirements?				
14. Is there a system for addressing violations of the policy including disciplinary action as well as a system based action to correct non-compliance?				
15. Is there a system for monitoring and ensuring employee compliance with the policy and procedures?				
16. Does the policy reference how the vendor will work with the representative payee if DDD is not the member's representative payee.				

QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training <i>(in-person, self-study, online, etc.)</i> ?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

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Resources (*Documents, Information, Tools, Monitoring, etc.*):

CLIENT PROPERTY & FUNDS MANAGEMENT REFERENCES

- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6.3.1.4](#)
- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6.7.6.1.1](#)
- [Qualified Vendor Agreement, Service Specifications, Habilitation-Group Home](#)
- [Qualified Vendor Agreement, Service Specifications, Room and Board](#)
- [Operations Policy Manual Chapter 4004](#)

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-809.I](#)
- [A.A.C. R6-6-807.A](#)

COMMENTS

State Reviewer _____

Date Reviewed _____ Unit _____

COMMUNICATION WITH RESPONSIBLE PARTIES

Vendor Agency _____

Address _____

Reviewer _____ Date Reviewed _____

Contract # _____

COMMUNICATION WITH RESPONSIBLE PARTIES				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the policy specify standards for staff to be professional and courteous when communicating with members and/or responsible parties?				
2. Is there a procedure for ensuring employees only release information to persons/entities, other than a member's guardian, with a signed release of information?				
3. Does the policy follow HIPAA requirements for release of information signed by member/guardian for communication of information about a member to others?				
4. Is there a procedure to determine and use preferred communication method for each member's guardian/family member (<i>i.e., phone, email, text, progress reports, etc.</i>)?				
5. Does the policy include timeframes for notifying the responsible party in an emergency?				
6. Is there a system for monitoring and ensuring employee compliance with the policy and procedures?				
7. Does the policy identify the responsibilities for monitoring and oversight within the organizational structure?				
8. Therapy Only: Is there a procedure so therapy services can only be provided with a parent/family member/caregiver present and participating in the Therapy Session?				

QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

State Reviewer _____

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Resources (*Documents, Information, Tools, Monitoring, etc.*):

COMMUNICATION WITH RESPONSIBLE PARTIES REFERENCES

- [Qualified Vendor Agreement, Background 4.1](#)
- [Qualified Vendor Agreement, Service Requirements/Scope of Work 5.1.10.10](#)
- [Qualified Vendor Agreement, Service Specifications, Section 7](#)
- [DDD Provider Policy Manual](#)
 - [Chapter 31 - Change of Contractor](#)
- [DDD Eligibility Policy Manual](#)
 - [Chapter 1000 - Responsibilities of the Member/Responsible Person](#)
- [DDD Operations Policy Manual](#)
 - [Chapter 1001-B - Responsibilities of Individuals Applying for and/or Receiving Supports and Services](#)
 - [Chapter 1005-A - Guardianship and Conservatorship or Surrogate Parent](#)
 - [Chapter 4004 – Management of Member Funds](#)

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-108.C & H](#)
- [A.A.C. R6-6-804.8](#)
- [A.A.C. R6-6-805.B](#)
- [A.A.C. R6-6-806.K](#)
- [A.A.C. R6-6-808.G](#)
- [A.A.C. R6-6-809.G & H](#)
- [A.A.C. R6-6-808.I -](#)
- [A.R.S. Title 36, Chapter 5.1 36-551.01. P](#)
- [A.R.S. Title 36, Chapter 5.1 36-551.01. Q](#)

COMMENTS

State Reviewer _____

Date Reviewed _____ Unit _____

CONTINGENCY/EMERGENCY PLAN

Vendor Agency _____

Address _____

Reviewer _____ Date Reviewed _____

Contract # _____

CONTINGENCY/EMERGENCY PLAN				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the policy specify a plan to ensure the health and safety of the member in the event of an emergency?				
2. Does the Contingency/Emergency Plan include:				
a. Key succession and performance planning if there is a sudden significant decrease in the vendor's workforce.				
b. Alternative methods to ensure there are services.				
c. An up-to-date list of agency contacts and organizational chart.				
d. A staff call chart in the event of an emergency.				
3. Does the Contingency/Emergency Plan include arrangements for:				
a. The loss of facilities/sites, as applicable.				
b. Electronic/telephone failure at primary place of business.				
c. Loss of computer systems/records.				
d. A facility evacuation plan, as applicable.				
e. A self-sheltering (<i>i.e. shelter in place</i>) plan which maintains adequate staffing levels, food, water, prescribed medications and equipment that meet the needs of the members for not less than 3 days and for the duration of the emergency/disaster.				

QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (*Documents, Information, Tools, Monitoring, etc.*):

State Reviewer _____

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CONTINGENCY/EMERGENCY PLAN REFERENCES

- Qualified Vendor Agreement, Contingency Plan, I
- Qualified Vendor Agreement, Standard Terms and Conditions Section 6.12
- DDD Operations Policy Manual
 - Chapter 2003 - Planning Documents

COMMENTS

State Reviewer _____

Date Reviewed _____ Unit _____

CULTURAL COMPETENCY PLAN

Vendor Agency _____

Address _____

Reviewer _____ Date Reviewed _____

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CULTURAL COMPETENCY PLAN				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
1. What is the method the agency will use for language/document translation.				
2. What is the method for recruitment of staff that can meet the needs of the members served? (example: Spanish speaking)				
3. How will the agency train staff to meet member's cultural needs?				
4. How will the agency encourage member participation in cultural events in the community?				

QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (in-person, self-study, online, etc.)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (Documents, Information, Tools, Monitoring, etc.):

CULTURAL COMPETENCY PLAN REFERENCES

- [Qualified Vendor Agreement, Service Requirements 5.4.3 & 5.4.4](#)
- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6.5.2.1](#)
- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6/8.5](#)
- [Provider Policy Manual, Chapter 26](#)
- [Provider Policy Manual, Chapter 51](#)

COMMENTS

State Reviewer _____

Date Reviewed _____ Unit _____

DAILY STAFFING SCHEDULE

Vendor Agency _____

Address _____

Reviewer _____ Date Reviewed _____

Contract # _____

DAILY STAFFING SCHEDULE				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the policy state that the Qualified Vendor will maintain staffing ratios that are determined based on the collective needs of all members at the site?				
2. Does the policy state the Qualified Vendor will submit all Staffing Schedules to the Division for review and approval 5 days before members move into an Expansion Home or IDLA (HID) setting or all known/planned events and within 2 days after unplanned events?				
3. Does the policy state the Qualified Vendor will submit a new schedule for changes in occupancy, capacity (<i>with approval from Network</i>), address, behavior or medication status that results in a modification to the staffing range or home closure?				
4. Does the policy state the Qualified Vendor will submit a new schedule for school/holiday breaks or an inability of members to attend a day or work program that will result in changes in staffing range?				
5. Does the policy state the following to address emergency situations: a. The Qualified Vendor will staff the home as appropriate for the immediate circumstance. b. If the staffing range changes, notify the Network Manager the next business day and the Support Coordinator as soon as possible but no later than the next business day?				
6. Does the policy state the staffing schedules will include member's first and last name? • Members who have BTPs, • Work/day program schedule, • Additional staffing supports needs, • Specific details regarding members' staffing needs • and if a change is needed, explain the reason for the schedule change?				
7. Does the policy state the Qualified Vendor will submit a staffing schedule annually for approval for IDLAs? For temporary staffing schedules, does the policy state a new staffing schedule will be submitted when the temporary schedule ends?				
8. Does the policy state the Qualified Vendor will meet with Network to review the daily habilitation staffing schedules for Group Homes on an annual basis?				
9. Does the policy state that the Qualified Vendor will submit all agreed-upon updates to the Staffing Schedules to DDD within 14 calendar days following the annual review?				

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QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (*Documents, Information, Tools, Monitoring, etc.*):

DAILY STAFFING SCHEDULE REFERENCES

- DDD Provider Policy Manual
 - Chapter 52 - Daily Habilitation Staffing Schedule
- AHCCCS Medical Manual Chapter 1620-C

COMMENTS

State Reviewer _____
 Date Reviewed _____ Unit _____

DEVELOPMENTAL HOMES

Vendor Agency _____

Address _____

Reviewer _____ Date Reviewed _____

Contract # _____

DEVELOPMENTAL HOMES				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the policy outline the requirements and timeline for a Life Safety Inspection?				
2. Does the policy include the Qualified Vendor's responsibilities including:				
a. Addresses the review of Vendor Calls and facilitation of appropriate placements?				
b. Address the nonplacement into homes with open licensing investigations, open protective service investigations, or if a home has received a notice of an adverse licensing action?				
c. Identifies the education and experience requirements for a licensing worker per Chapter 51 in the DES/DDD Provider manual?				
d. Identifies the education and experience requirements for a licensing worker supervisor per Chapter 51 in the DES/DDD Provider manual?				
e. Identifies the required training, technical assistance, and oversight required by the Qualified Vendor?				
f. Identifies the limit of twenty (20) homes per full-time licensing worker to provide oversight?				
g. Identifies storage of records in a secure electronic or locked file?				
h. Identifies the availability of records to DES/DDD upon request?				
i. Identifies the process for transferring members and their records to another Qualified Vendor?				
j. Identifies the process for transfers of members within the same qualified vendor?				
k. Identifies the process of receiving a member from another qualified vendor and updating any missing items in the licensing file within thirty (30) days of the transfer?				
l. Identifies what forms must be maintained in the licensing file Chapter 51 in the DES/DDD Provider manual?				

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DEVELOPMENTAL HOMES (CONTINUED)				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
m. Outlines the process for informing a potential application of the requirements for licensure?				
n. Outlines the process to assist applicants with whom they decline to work with locating an alternative vendor or refer to another vendor?				
o. Outlines the pre-licensure and annual training requirements for a licensee and ensures a pre-placement orientation is completed?				
p. Outlines the requirements and timelines for the use of Quick Connect per DES/DDD chapter 51?				
q. Outlines the requirements, timelines and documentation required for Home Studies, Home Visits, and Technical Assistance?				
r. Describes the requirements, timelines and documentation required for the Quick Connect System?				
s. Outlines the timelines for Quarterly monitoring visits? <i>(based on a calendar year - March 31st, June 30th, September 30th, December 31st)</i>				
t. Outlines the requirements of an annual renewal process including submittal in Quick Connect 30 days prior to the expiration of license?				
u. Outlines the requirements and timelines required to respond to the Division regarding any investigation or licensing concern?				
v. Clearly identifies the process to submit a census for each home no later than the last day of the reporting month to DES/DDD as outlined in Chapter 51 in the DES/DDD Provider manual?				
w. Clearly outlines the process to submit a change in member's placement within 2 business days?				
x. Clearly outlines the process to submit changes that impact the capacity of a home due to bed holds?				

State Reviewer _____

Date Reviewed _____ Unit _____

Vendor Agency _____
 Address _____
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QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (*Documents, Information, Tools, Monitoring, etc.*):

DEVELOPMENTAL HOMES REFERENCES

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-1001](#)
- [A.A.C. R6-6-1101](#)

COMMENTS

State Reviewer _____
 Date Reviewed _____ Unit _____

PERSONNEL HIRING AND TRAINING PLAN: TRAINING AND QUALIFICATIONS (ONLY FOR DEVELOPMENTAL HOME)

Vendor Agency _____

Address _____

Reviewer _____ Date Reviewed _____

Contract # _____

PERSONNEL HIRING AND TRAINING PLAN: TRAINING AND QUALIFICATIONS (ONLY FOR DEVELOPMENTAL HOME)				
REQUIREMENTS (STAFF ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
The training policy will address the following training, requirements, and methodology:				
Prior to initial licensure, all Child and Adult Developmental home applicants must have:				
1. CPR and First Aid training, taught by an instructor certified by a nationally recognized entity (<i>such as the American Red Cross, the American Heart Association, etc.</i>) that requires the applicant to demonstrate mastery of skills in person to the instructor.				
In addition, receive training (<i>with supporting documentation verifying completion</i>) in all of the following core topics and subtopics; totaling a minimum of 18 hours of course or instruction time (<i>Courses marked with an asterisk [*] are available on the Division's website</i>):				
2. Article 9, including member rights, taught by a certified instructor				
3. DDD Philosophy and Mission Statement* a. DDD Mission Statement b. Individual and family involvement in making choices and expressing preferences. c. Equal access to quality services and supports for all individuals. e. Individuals as welcomed, participating and contributing members in all aspects of family and community life. f. The rights of all individuals and the preservation of their worth, value and dignity.				
4. Introduction to the Four Developmental Disabilities* a. What are the Four Developmental Disabilities? i. Cognitive/ Intellectual Disability ii. Epilepsy iii. Cerebral Palsy iv. Autism; b. Diagnostic Criteria c. Functional Criteria d. Substantial Functional Limitation(s) e. Treatment				

State Reviewer _____

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PERSONNEL HIRING AND TRAINING PLAN: TRAINING AND QUALIFICATIONS (ONLY FOR DEVELOPMENTAL HOME) (CONTINUED)				
REQUIREMENTS (STAFF ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
5. The Planning Process and skill-building* a. The planning process b. Components of a plan c. Long and short-term goals d. Measurable objectives e. Data collection procedures and systems f. Progress reports g. Assessing strengths and needs h. Methods of teaching i. Types of reinforcement j. The use of teaching strategies/plans				
6. Medication Administration* a. Medication storage b. Medication container and label c. The medication logs d. Correct dosage e. Forms of medication f. Routes of medication administration g. Medication error procedures				
7. Incident Reporting and Reporting Abuse, Neglect, or Exploitation* a. Understanding the incident reporting process b. Identifying emergency situations and signs of abuse c. Understanding mandatory reporting requirements d. Demonstrating how to complete an incident report				
8. Confidentiality/HIPAA* a. Limits access to member records and personally identifiable information b. Agency procedures designed to protect/safeguard member confidentiality c. Procedures for obtaining consent prior to the release of information. d. Review of ARS 36-568.01				
9. Choking and Aspiration* a. Preventing aspiration and choking b. Common issues c. Assessment d. Intervention and prevention strategies				

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PERSONNEL HIRING AND TRAINING PLAN: TRAINING AND QUALIFICATIONS (ONLY FOR DEVELOPMENTAL HOME) (CONTINUED)				
REQUIREMENTS (STAFF ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
10. Principles of Positive Behavior Support a. Prevention vs. intervention b. Recognizing cues c. Reinforcing appropriate behavior d. Redirection e. Consistency f. Clear communication g. Evaluating the environment h. Defensive positioning i. Providing opportunities for choices and decision making				
11. Cultural Competency <i>(covered for CDH applicants in the ADCS/Foster Parent College Based Pre-Service Training Program)</i>				
12. Client Funds Training*				
13. Documentation and Progress Reporting Requirements and vendor policies with signed and dated verification of the review.				
14. Review of Article 10 or 11 with signed and dated verification of the review.				
15. Review of the Child or Adult Developmental Home Third Party Agreement with signed and dated verification of the review.				
16. Supporting positive relationships with family members, schools, or day programs and professional communication <i>(covered for CDH applicants in the ADCS/Foster Parent College Based Pre-Service Training Program)</i> .				
In addition to the DDD specific training noted above:				
17. Applicants for a Child Developmental Home license are required to complete the ADCS/Foster Parent College Based Pre-Service Training Program.				
18. If required in a member's planning documents, training in Prevention and Support				
19. Licensees are additionally required to complete ten (10) hours of training annually.				

Resources (Documents, Information, Tools, Monitoring, etc.):

State Reviewer _____

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PERSONNEL HIRING AND TRAINING PLAN (ONLY FOR DEVELOPMENTAL HOME) REFERENCES

- Qualified Vendor Agreement, Service Requirements/Scope of Work 5.2
- Qualified Vendor Agreement, Service Requirements/Scope of Work 5.3
- Qualified Vendor Agreement, Standard Terms and Conditions Section 6.8.2.14
- Qualified Vendor Agreement, Standard Terms and Conditions Section 6.10.7.3.7
- Qualified Vendor Agreement, Standard Terms and Conditions Section 6.12.1.4
- Qualified Vendor Agreement, Standard Terms and Conditions Section 6.12.2.2
- DDD Provider Policy Manual
 - Chapter 20 – Fraud, Waste and Abuse
 - Chapter 26 – Cultural Competency
 - Chapter 41 - Termination of a Qualified Vendor Agreement Upon Request of the Qualified Vendor
 - Chapter 49 – Responsible Driving
 - Chapter 51 - Oversight and Monitoring of Developmental Home Services
 - Chapter 61 - HCBS Certification and Registration

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-905](#)
- [A.A.C. R6-6-906](#)
- [A.A.C. R6-6-1005](#)
- [A.A.C. R6-6-110](#)
- [A.A.C 5R6-6-1520 - through R6-6-1633 \(specific to services\)](#)
- [A.R.S. Title 36, Chapter 5.1 36-558.01](#)
- [A.R.S. Title 36, Chapter 5.1 36-558.01](#)

COMMENTS

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PERSONNEL HIRING AND TRAINING PLAN: TRAINING AND QUALIFICATIONS (ONLY FOR DEVELOPMENTAL HOME)

Vendor Agency _____

Address _____

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PERSONNEL HIRING AND TRAINING PLAN: TRAINING AND QUALIFICATIONS (ONLY FOR DEVELOPMENTAL HOME)

REQUIREMENTS (FOR LICENSING WORKER/SUPERVISOR)	YES	NO	N/A	POLICY PAGE REFERENCE
The training policy will address the following trainings, requirements, and methodology:				
A licensing worker must have one or more of the following:				
1. A bachelor's degree in a related human services field				
2. Two (2) years of post-secondary education in a related human service field and two (2) years of directly related work experience.				
3. A minimum of five (5) years of directly related work experience. Directly related work experience includes work in the field of developmental disabilities, family home licensing, or child welfare.				
A licensing supervisor must:				
4. Meet the requirements of licensing worker				
5. And have two (2) years of supervisory experience or demonstrated leadership experience.				
6. If a licensing supervisor is completing the duties of both the supervisor and the licensing worker, it is necessary to meet the supervisor requirements.				
7. All existing licensing staff must be in compliance with the required education and experience within 24 months of the effective date of this policy.				
A licensing worker or supervisor must				
8. Agency has completed a current Level 1 Fingerprint Clearance for worker(s).				
9. Worker(s) have completed all the following (<i>below</i>) training areas within the first ninety (90) days of employment.				
The training policy will address the following trainings, requirements, and methodology:				
10. The policy meets the Article 9 requirements for training.				
11. Articles 10 & 11.				
12. Mandated reporting.				

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PERSONNEL HIRING AND TRAINING PLAN: TRAINING AND QUALIFICATIONS (ONLY FOR DEVELOPMENTAL HOME) (CONTINUED)				
REQUIREMENTS (FOR LICENSING WORKER/SUPERVISOR)	YES	NO	N/A	POLICY PAGE REFERENCE
13. Incident reporting				
14. Cultural Competency				
15. HIPAA				
16. DES/DDD Provider Manual Chapter 51: Oversight and Monitoring of Developmental Home Services.				
17. Prevention & Support <i>(Requires a certified instructor)</i>				
18. The Placement Process				
19. The Planning Process				
20. Introduction to the Four Developmental Disabilities				
21. Licensing forms & Quick Connect				
22. Record keeping				
23. Behavior treatment planning				
24. Positive Behavior Support				
25. Medication management				
26. Life safety rules				
27. Member fund management				
28. Investigations				
29. Guardianship and Legal issues				
30. The Child and Family Team Process				
31. Licensing workers and supervisors are required to attend the Division's licensing and home assessment seminar within six (6) months of being assigned to a licensee.				
32. In addition, a licensing worker or supervisor is required to complete a minimum of ten (10) hours of training per year.				

Resources *(Documents, Information, Tools, Monitoring, etc.):*

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PERSONNEL HIRING AND TRAINING PLAN (ONLY FOR DEVELOPMENTAL HOME) REFERENCES

- [Qualified Vendor Agreement, Service Requirements/Scope of Work 5.2](#)
- [Qualified Vendor Agreement, Service Requirements/Scope of Work 5.3](#)
- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6.8.2.14](#)
- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6.10.7.3.7](#)
- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6.12.1.4](#)
- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6.12.2.2](#)
- [Provider Policy Manual, Chapter 20](#)
- [Provider Policy Manual, Chapter 26](#)
- [Provider Policy Manual, Chapter 51](#)
- [Provider Policy Manual, Chapter 61](#)
- [Provider Policy Manual, Chapter 41](#)
- [Provider Policy Manual, Chapter 49](#)

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-905](#)
- [A.A.C. R6-6-906](#)
- [A.A.C. R6-6-1005](#)
- [A.A.C. R6-6-110](#)
- [A.A.C 5R6-6-1520 - through R6-6-1633 \(specific to services\)](#)
- [A.R.S. Title 36, Chapter 5.1 36-558.01](#)
- [A.R.S. Title 36, Chapter 5.1 36-593.01](#)

COMMENTS

State Reviewer _____

Date Reviewed _____ Unit _____

DRUGS, ALCOHOL AND SMOKING

Vendor Agency _____

Address _____

Reviewer _____ Date Reviewed _____

Contract # _____

DRUGS, ALCOHOL AND SMOKING				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the policy incorporate Arizona Administrative Code R6-6-809.F regarding the consumption of alcohol/tobacco use?				
2. Does the policy identify the procedures for documenting permissions and parameters for a member’s use of alcohol/tobacco in the community/ residential setting DTA/working programs?				
3. Does the policy address the storage and consumption of alcoholic beverages by members and staff?				
4. Does the policy address the rights of members regarding alcohol?				
5. Is there a procedure for identifying and documenting parameters for member use in the setting and while under vendor supervision as per their ISP?				
6. Does the policy cover the prohibition of alcohol use by staff on duty?				
7. Is there a system for addressing violations of the policy including disciplinary action as well as a system-based action to correct noncompliance?				
8. Does the policy address smoking tobacco and the prohibition of marijuana and marijuana extract use and storage?				
9. Does the policy reference a system to ensure each member has the right to live in a smoke-free environment?				
10. Does the policy reference how and where members and staff will use tobacco while ensuring all members’ right to a smoke-free environment?				
11. Does the policy state under no circumstance shall any vendor/owner, staff, or volunteer administer to or store medical marijuana or marijuana extracts for Division members?				
12. Does the policy identify the responsibilities for monitoring and oversight within the organizational structure?				
13. Is there a system for addressing violations of the policy including disciplinary action as well as a system-based action to correct non-compliance?				
14. Is there a process to document and verify direct care staff have been trained on the policy requirements upon hire and at least annually thereafter?				

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DRUGS, ALCOHOL AND SMOKING (CONTINUED)				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
15. Is there a system for ensuring that the policy is reviewed by all direct care staff at least annually and when revisions are made?				
16. Is there a system for ensuring all direct care staff comprehend the requirements included in the policy?				
17. Is there a system for monitoring and ensuring employee compliance with the policy and procedures?				
18. Does the policy identify the responsibilities for monitoring and oversight within the organizational structure?				
FOR INTERNAL REVIEW: Does the policy violate Article 9				

QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (*Documents, Information, Tools, Monitoring, etc.*):

DRUGS, ALCOHOL AND SMOKING REFERENCES

- [DDD Operations Policy Manual](#)
 - Chapter 1001A - Basic Human and Disability Related Rights
 - Chapter 1001B - Responsibilities of Individuals Applying for and/or Receiving Supports and Services
 - Chapter 1001C - Rights of Persons with Developmental Disabilities Living in Residential Settings
 - Chapter 1001D - Program Values and Guiding Principles
- [DDD Medical Policy Manual](#)
 - Chapter 310-V - Prescription Medication/Pharmacy Services
- [DDD Behavior Supports Manual](#)
 - Chapter 200 - Prohibitions
- [DDD Provider Policy Manual](#)
 - Chapter 22 – Formulary Information

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DRUGS, ALCOHOL AND SMOKING REFERENCES (CONTINUED)

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-809 E & F](#)
- [A.A.C. R6-6 1004.03](#)
- [A.A.C. R6-6-808.G to I](#)
- [A.A.C. R6-6-809.E & F](#)
- [A.R.S. Title 36 Chapter 5.1 - 36-568.02](#)
- [Federal Controlled Substances Act \(21 U.S.C. § 811\)](#)
- [\[Federal Controlled Substances Act \(21 U.S.C. § 811\) A.R.S. 41-1001\(17\): R9-17-202, R9-17-204 & R9-17-310 - Marijuana and all derivatives Class 1 Substance including CBD\],](#)

COMMENTS

State Reviewer _____

Date Reviewed _____ Unit _____

FAMILY FEEDBACK/SATISFACTION SURVEY

Vendor Agency _____

Address _____

Reviewer _____ Date Reviewed _____

Contract # _____

FAMILY FEEDBACK/SATISFACTION SURVEY				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the policy specify the family satisfaction surveys will be done at least annually?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2. Is there a process to track and trend results?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3. Does the policy indicate who reviews the survey?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4. Does the policy indicate who provides the formal and informal feedback to stakeholders?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5. Does the policy describe how improvement efforts are measured or demonstrated (<i>i.e. fewer complaints, etc.</i>)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
b. Is this topic covered in your training policy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
c. Does your training policy cover the frequency of this topic?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Resources (*Documents, Information, Tools, Monitoring, etc.*):

FAMILY FEEDBACK/SATISFACTION SURVEY REFERENCES
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- [Qualified Vendor Agreement, Service Requirements, 5.8.2.3](#)

COMMENTS

State Reviewer _____

Date Reviewed _____ Unit _____

FRAUD, WASTE, AND ABUSE

Vendor Agency _____

Address _____

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FRAUD, WASTE, AND ABUSE				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does Policy address prevention and/or detection of fraud, waste, and abuse?				
2. Does the policy explain reporting requirements?				
3. Does the policy specify training requirements?				
4. Does the policy delineate monitoring and internal controls to prevent and/or reduce fraud, waste, and abuse?				
5. Does the policy specify requirements for Misconduct including:				
a. Reporting of suspicious actions observed and/or reported by member/representative or staff				
b. Explain referral and reporting				
c. Explain whistleblowing protections				
d. Well-publicized Code of Conduct				
e. Describe the investigative process				
f. Specify training				
6. Does the policy specify requirements for False Claims Act including:				
a. Describe the False Claims Act				
b. Explain the Deficit Reduction Act of 2005				
c. Prevent and/or detect fraud, waste, and abuse				
d. Specify training requirements				
e. Describe Stark Law				
f. Describe Anti-Kickback Statute				
g. Delineate oversight and internal controls to prevent and/or reduce the risk for potential fraud, waste, and abuse				
h. Explain whistleblower protections				

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QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (*Documents, Information, Tools, Monitoring, etc.*): Attachments

FRAUD, WASTE, AND ABUSE REFERENCES

N/A

COMMENTS

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HEALTH AND MEDICAL CARE

Vendor Agency _____

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HEALTH AND MEDICAL CARE				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Is there a policy (or policies) regarding routine and emergency health and medical care?				
2. Does the policy include a system for obtaining consent for routine medical care?				
3. Is there a procedure to maintain documentation of all medical appointments, emergency room visits, lab work, professional consultations, and treatments?				
4. Does the procedure specify that non-licensed personnel should call 911 and perform CPR until a licensed healthcare professional arrives, even with an Advance Directive in place?				
5. The policy includes Training for employees in the following areas:				
a. Detection of signs of injury and/or illness				
b. Change in health status				
c. Infectious disease and notifications process				
d. Response to non-emergency conditions that require medical attention				
e. The procedure for medical emergencies and rendering emergency medical care				
6. Residential Only: Does the policy reference that members are taken to their primary care provider for well checks at least annually and that any additional medical follow-up is completed?				
7. Residential Only: Does the policy reference how the vendor will provide results of all healthcare appointments and results to the guardian, at least monthly?				
8. Does the vendor have a system for monitoring and ensuring employee compliance with the policy and procedures?				
9. Does the vendor have a system for addressing a violation of the policy including disciplinary action as well as a system-based action to correct non-compliance?				
10. Does the policy identify the responsibilities for monitoring and oversight within the organizational structure?				

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QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee’s comprehension and competency with the policy and training provided?				

Resources (*Documents, Information, Tools, Monitoring, etc.*):

HEALTH AND MEDICAL CARE REFERENCES

- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6.4.5.4](#)
- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6.8.3](#)
- [DDD Provider Policy Manual](#)
 - [Chapter 5 – Emergency Room Utilization](#)
 - [Chapter 7 – Dental](#)
 - [Chapter 8 – Family Planning](#)

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-806](#)
- [A.A.C. R6-6-1011](#)
- [A.A.C. R6-6-806.C&E](#)
- [A.A.C. R6-6-808.G & I](#)
- [A.R.S. Title 36, Chapter 5.1 36-557 Q.](#)

COMMENTS

State Reviewer _____
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HIPAA/CONFIDENTIALITY

Vendor Agency _____

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HIPAA/CONFIDENTIALITY				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Are there safeguards for member's health files and identifiable information?				
2. Is there storage of member's health files and information and documentation?				
3. Is there a process of whom to share member's information (i.e., documentation kept of who is asking, for what purpose, etc.)?				
4. If information is compromised, is there a process for notifying the guardian and sending an incident report to the Division?				
5. Does the policy include guidelines for photography and social media?				
6. Does the policy include a process for obtaining consent?				
7. Does the policy include a process for record storage?				
8. Does the policy include the process for disclosure of PHI?				
9. Does the policy include a process for the destruction of documents?				
10. Does the policy include procedures for both verbal reporting and documenting of incidents involving confidentially breaches? Is the policy aligned with the Divisions incident reporting procedure per DES/DDD policy and procedures?				
11. Does the policy include the process to employ the use of Photography Consents?				
12. Does the policy address the use of social networking websites? (i.e. Facebook, Twitter, etc.)				
13. Does the policy identify what portable equipment is acceptable for use by staff (i.e. flash drives, laptops) and how the information will be kept safe when not in the home/office?				
14. Does the agency have a Confidentiality Policy?				
15. Has the agency reviewed the agency's confidentiality policies with staff and members?				
16. Does the policy address responsibilities for monitoring and oversight within the organizational structure, and daily safeguards for confidential information?				

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HIPAA/CONFIDENTIALITY (CONTINUED)				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
17. Does the policy address what to do when a confidentiality breach occurs?				
18. Does the vendor have a policy (or policies) regarding Confidentiality and HIPAA compliance for all personally identifiable member information including the storage, disclosure, retention and destruction of records?				
19. Does the policy have a process to report a confidentiality breach?				
20. Does the policy state when it is the appropriate time to report a confidentiality breach?				
21. Does the policy incorporate the need for informed consent for release of confidential information?				
22. Does the policy address confidentiality with regard to social media, camera phones, social media applications, and marketing by employees and members?				
23. Does the vendor use a document to verify direct care staff have been trained on the policy and requirements?				
24. Does the vendor have a system for ensuring the policy is reviewed by all direct care staff annually and with revisions?				
25. Does the vendor have a system for monitoring and ensuring employee compliance with the policy and procedures?				

QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (in-person, self-study, online, etc.)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (Documents, Information, Tools, Monitoring, etc.):

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HIPAA/CONFIDENTIALITY REFERENCES

- Qualified Vendor Agreement, Standard Terms and Conditions Section 6.3.7
- DDD Medical Policy Manual
 - Chapter 550 - Member Records and Confidentiality
- Care Coordination Requirements - 550 - Member Records and Confidentiality
- 36-568.01 Confidentiality of Records

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- A.R.S. 36-568.02
- A.A.C. R6-6-808.G
- A.A.C. R6-6-810.A & B
- A.A.C. R6-6-809 N
- A.A.C. R6-6-906 B

COMMENTS

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INCIDENT REPORTING

Vendor Agency _____

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INCIDENT REPORTING				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the policy identify events and circumstances, which constitute incidents per DES/DDD policy and procedures?				
2. Does the policy identify the provider's responsibility to ensure the member's health and safety?				
3. Does the policy identify staff roles and responsibilities in an emergency, like a resident choking on food including, what steps they will implement?				
4. Does the policy identify the location of emergency and after-hours contacts for management staff and emergency responders?				
5. Does the policy have procedures to identify verbal reporting and documenting incidents consistent with DES/DDD policy and procedures?				
6. Does the policy differentiate between serious (<i>reported immediately with written follow-up within 24 hours</i>) and non-serious (<i>report sent to DDD within the next business day</i>) incident reports?				
7. Does the policy outline the notification process to other agencies if required (<i>APS, DCS, Law enforcement, parole officer, Tribal Social Services, etc.</i>) including mandatory reporting legal requirements?				
8. Does the policy outline the notification process to guardians and/or responsible parties?				
9. Does the policy incorporate a review procedure to track and trend incidents and a process to develop corrective action plans in response to incidents?				
10. Does the policy identify the minimum required information to be included in an incident report form? (<i>Ensure Link to recommend use of DDD Form</i>)				
11. Does the policy include an Administrative review/revision of incidents for accuracy? The policy includes verification of the final report by a person who completed the original report and attaching the original report with the final incident report that is sent to the Division?				
12. Does the policy include a process to be followed when an alleged incident involves paid staff and the removal of staff from working with/ having contact with members?				
13. Does the policy incorporate DES/DDD policies regarding neglect and abuse?				

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INCIDENT REPORTING (CONTINUED)				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
14. Does the policy incorporate DES/DDD policies regarding Confidentiality/ HIPAA?				
15. Does the policy include roles and responsibilities of staff assigned to conduct fact-finding of incidents?				
16. Does the policy identify how the vendor will ensure that all staff understand and comply with mandatory reporting requirements as outlined in the Provider Quick Guide for Incident Reporting (<i>attachment</i>), and Division policy?				
17. Does the policy identify how the vendor will ensure that the policy is reviewed by all direct care staff at least annually and when revisions are made?				

QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (*Documents, Information, Tools, Monitoring, etc.*):

- Provider Quick Guide for Incident Reporting
- DD-191-FF (9-18)

INCIDENT REPORTING REFERENCES

- Qualified Vendor Agreement, Standard Terms and Conditions Section 6.8.2.3
- Qualified Vendor Agreement, Standard Terms and Conditions Section - 6.8.2.8.4
- Qualified Vendor Agreement, Service Requirements/Scope of Work 5.8.2.1
- Qualified Vendor Agreement, Service Requirements/Scope of Work 5.10.2.7
- DDD Operations Policy Manual
 - Chapter 2000
 - Chapter 6000
 - Chapter 6002

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INCIDENT REPORTING REFERENCES (CONTINUED)

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-803](#)
- [A.A.C. R6-6-807](#)
- [A.A.C. R6-6-809](#)

COMMENTS

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MEDICATION ADMINISTRATION

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MEDICATION ADMINISTRATION				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the policy identify if staff can or cannot administer medication?				
2. If employees are authorized to administer medications, does the policy include the following:				
a. Employee training to administer medication and date of expiration.				
b. Process for storage of medications.				
c. Process for recording and reporting medication errors to the family/guardian and DDD.				
d. A medication tracking log is used.				
e. Process for documenting and disposal of expired or discontinued medication.				
f. Process for documentation of "as needed" and behavior modifying medication.				
3. Does the policy specify that all medication must have written physician orders, even over the counter medication?				
4. Does policy include process for administration of "as needed" medication?				
5. Does the procedure specify step-by-step procedures staff are to use in the administration of medications, including:				
a. Prevention of contamination.				
b. Handling various types of medication, including oral, topical or rectal.				
c. Verifying that the right medication is given to the right person, at the right time, in the proper dosage, and via the proper route.				
d. Procedures to review, track and trend errors.				
e. Procedures for filling prescriptions and maintaining an adequate supply of medications.				
f. Provisions for member's self-administration of medications with written approval of the ISP team, as applicable, including the criteria for self-administration and requirements for documentation of administration.				

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MEDICATION ADMINISTRATION (CONTINUED)				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
g. Procedures for obtaining a written order within 72 hours, of a medical practitioner's verbal order.				
6. Is there a system for monitoring and ensuring employee compliance with the policy and procedures?				
7. Does the policy identify the responsibilities for monitoring and oversight within the organizational structure?				

QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (*Documents, Information, Tools, Monitoring, etc.*):

MEDICATION ADMINISTRATION REFERENCES

- [Qualified Vendor Agreement, Service Requirements/Recordkeeping 5.10.2.2](#)
- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6.12.1.2](#)
- [DDD Operations Policy Manual](#)
 - [Chapter 6002](#)
- [DDD Medical Policy Manual](#)
 - [Chapter 310-V - Prescription Medication/Pharmacy Services](#)
 - [Chapter 1240-H – Home Health Aide](#)
- [R6-6-803 General Responsibilities of the Licensee. A.6.](#)

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-806 C](#)
- [A.A.C. R6-6-807 A](#)
- [A.A.C. R6-6-808.G & I](#)
- [A.A.C. R6-6-809 C](#)
- [A.A.C. R6-6-902 B](#)
- [A.A.C. R6-6-903 A](#)
- [A.A.C R6-6-908 B](#)
- [A.A.C. R6-6-609](#)

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MEDICATION ADMINISTRATION REFERENCES (CONTINUED)

- A.A.C R6-6-1011 F
- A.A.C. R6-6-1109 B
- A.R.S. Title 36, Chapter 5.1 36-551.01. O
- A.R.S. Title 36, Chapter 5.1 36-557. O.

COMMENTS

State Reviewer _____

Date Reviewed _____ Unit _____

NEGLECT AND ABUSE

Vendor Agency _____

Address _____

Reviewer _____ Date Reviewed _____

Contract # _____

NEGLECT AND ABUSE				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the vendor have a policy for defining and addressing Neglect, Abuse and Exploitation?				
2. Does the policy indicate that all staff are mandatory reporters?				
3. Is there a procedure for verbally reporting & documenting incidents of neglect and abuse?				
4. Does the policy Identify how to recognize different types of abuse and/or neglect?				
5. Does the policy include procedures for detection of neglect and abuse, including cases occurring outside the agency?				
6. Does the policy address intervention techniques, treatment, and services, particularly addressing the risks and side effects that may adversely affect members?				
7. Does the policy address the following prohibited behavioral intervention techniques: use of locked time-out rooms, use of overcorrection, application of noxious stimuli, and physical, mechanical or pharmacologic restraints used as a negative consequence to a behavior?				
8. Is there a procedure for immediate interventions to prevent further neglect and abuse?				
9. Is there a procedure to review, investigation and develop corrective action to occur in response?				
10. Does the policy address the misuse or abuse of medications.? (i.e. routine medications, PRN, one time medications, etc.)				
11. Is there a system for monitoring and ensuring employee compliance with the policy and procedures?				
12. Does the policy identify a systematic process for correcting noncompliance and addressing violation (i.e. disciplinary or Corrective Action Plans (CAP))?				
13. Does the policy identify the responsibilities for monitoring and oversight within the organizational structure?				

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Vendor Agency _____
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QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (*Documents, Information, Tools, Monitoring, etc.*):

NEGLECT AND ABUSE REFERENCES

- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6.5.6.4.2](#)
- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6.5.6.5](#)
- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6.8.2.4](#)
- [DDD Operations Policy Manual](#)
 - Chapter 2000
 - Chapter 6000
 - Chapter 6002-G – Abuse and Neglect
- [DDD Provider Policy Manual](#)
 - Chapter 20 – Fraud, Waste and Abuse

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-1600](#)
- [A.A.C. R6-6-808.I](#)
- [A.A.C. R6-6-809 D](#)
- [A.A.C. R6-6-906 B](#)
- [A.A.C. R6-6-809. C.2](#)
- [A.R.S. Title 36, Chapter 5.1 36-551.01](#)
- [A.R.S. 36-569 Title 36, Chapter 5.1](#)
- [A.R.S Title 36, Chapter 5.1 13-3620](#)
- [A.R.S. Title 36, Chapter 5.1 46-454](#)

COMMENTS

State Reviewer _____
 Date Reviewed _____ Unit _____

NON-PROVISION OF SERVICE GAPS

Vendor Agency _____

Address _____

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**NON-PROVISION OF SERVICE/GAP REPORTING
(ALL SERVICES EXCEPT THERAPY, DAY TREATMENT AND RESIDENTIAL)**

REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Is there a policy for Non-Provision of Service/GAP Reporting (<i>ATC, HSK, RSP, IDLA, Nursing</i>) including agency after-hours phone numbers?				
2. Is there a process for notification of potential service gaps before they occur and implementation of backup plans?				
3. Does the procedure specify the member/guardian is notified if a gap in service occurs?				
4. Does the procedure include who in the agency is responsible for notifying member/guardian/DDD of service gaps?				
5. Does the procedure specify the NPS/gap report is submitted to DDD by the 5th calendar day of the following month?				

QUESTIONS/KEY COMPONENTS

REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (Documents, Information, Tools, Monitoring, etc.):

NON-PROVISION OF SERVICE/GAP REPORTING REFERENCES

- [Qualified Vendor Agreement, Service Requirements/Scope of Work 5.2.5](#)
- [DDD Operations Policy Manual](#)
 - [Chapter 2000](#)
- [DDD Provider Policy Manual](#)
 - [Chapter 23 – Appointment Standards](#)
 - [Chapter 62 - Qualified Vendor Management of Gaps in Critical Services](#)

COMMENTS

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Date Reviewed _____ Unit _____

PERSONNEL HIRING AND TRAINING PLAN: TRAINING AND QUALIFICATIONS

Vendor Agency _____

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PERSONNEL HIRING AND TRAINING PLAN: TRAINING AND QUALIFICATIONS				
REQUIREMENTS (<i>MEMBER ONLY</i>)	YES	NO	N/A	POLICY PAGE REFERENCE
Personnel and Hiring				
1. Does the personnel policy address/include the following:				
a. Class 1 Fingerprint Clearance Card.				
b. Notarized Criminal History Self Disclosure Declaration Statement.				
c. Three references - verified.				
d. CPR certification.				
e. Monthly SAM & LEIE Checks.				
f. Central Registry Background Check (<i>CPS- APS</i>).				
g. First Aid (<i>not required for Therapy</i>).				
h. Article 9.				
i. Direct Care Worker (<i>DCW</i>) Training (for ATC and HSK only, see reference section*).				
k. Does the training cover pre-service orientation? (<i>HCBS</i>)				
l. Operations of the vendor's program.				
m. Any additional training needed per the member's ISP.				
n. Prevention and Support (<i>if applicable</i>).				
o. Verification of date of hire, AZ Driver's license, I-9 or E-Verify, Previous Experience.				
p. Therapy Only: Current Licensed Therapist or Therapy Assistant.				
Training Plan				
2. Group Home Only: Does your training address the following Emergency Plan, Medication Administration, Seizures, Mission and Values, Respect Dignity and Positive Interactions, Skill-building Techniques, Prevention of Behavioral Incidents, ISP Process, Communication with Families, Client Rights and Confidentiality?				

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PERSONNEL HIRING AND TRAINING PLAN: TRAINING AND QUALIFICATIONS (CONTINUED)				
REQUIREMENTS (MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
3. Developmental Home Only: (see Developmental Home Policy requirements for outline of necessary training for this service).				
a. Does the policy reference a system to document and track staff training and qualifications?				
b. Does the policy reference a system to document and track staff training and qualifications?				
c. Does the policy specify whether training is provided on-site or at a contracted facility?				
d. Does the policy specify who will provide the training				
e. Does the policy outline the required timelines in which staff may work and/or work alone?				
f. Does the policy include a system to verify direct care staff have been trained on the policy requirements? Training policy reference to include curriculum/course outline, Timelines for Completion, Criteria for Successful Completion, and Competency?				

Resources (Documents, Information, Tools, Monitoring, etc.):

- DES-1076A FORFF (8-12)
- Quick Reference Guide - Personnel Hiring & Training Requirements
- AHCCCS DCW Training & Testing FAQs

PERSONNEL HIRING AND TRAINING PLAN REFERENCES
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- [Qualified Vendor Agreement, Service Requirements/Scope of Work 5.2](#)
- [Qualified Vendor Agreement, Service Requirements/Scope of Work 5.3](#)
- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6.8.2.14](#)
- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6.10.7.3.7](#)
- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6.12.1.4](#)
- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6.12.2.2](#)
- [DDD Provider Policy Manual](#)
 - [Chapter 20 – Fraud, Waste and Abuse](#)
 - [Chapter 26 – Cultural Competency](#)
 - [Chapter 41 - Termination of a Qualified Vendor Agreement Upon Request of the Qualified Vendor](#)
 - [Chapter 49 – Responsible Driving](#)
 - [Chapter 61 - HCBS Certification and Registration](#)

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-808](#)
- [A.A.C. R6-6-809 C](#)

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PERSONNEL HIRING AND TRAINING PLAN REFERENCES (CONTINUED)

- A.A.C. R6-6-905
- A.A.C. R6-6-906
- A.R.S. Title 36, Chapter 5.1 36-558.01
- A.R.S. Title 36, Chapter 5.1 36-593.01
- * **AHCCCS Requirements:** 1240-A - Direct Care Services (*Attendant Care, Personal Care, and Homemaker Services*)

COMMENTS

State Reviewer _____

Date Reviewed _____ Unit _____

PLANNING DOCUMENT (ISP)

Vendor Agency _____

Address _____

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PLANNING DOCUMENT (ISP)				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the policy incorporate the role of the vendor in the Planning Document process including persons responsible for:				
a. Reviewing and requesting changes to Planning Document as needed				
b. Completing Planning Document assignments and team agreements				
c. Completing and sending Monthly Progress Reports				
2. Policy incorporates the process for ensuring the vendor will carry out the objectives and assignments specified in the Planning document including:				
a. Documentation.				
b. Barriers to implementation.				
3. Does the policy include requirements for providers to review the following information in the Planning Document:				
a. Risk assessment.				
b. Backup plan.				
4. Does the policy specify the process used to verify direct care staff have been trained on the policy requirements?				
5. Is there a system for ensuring that the policy is reviewed by all direct care staff at least annually and when revisions are made?				
6. Is there a system for ensuring all direct care staff comprehend the requirements included in the policy and have demonstrated competency?				
7. Is there a system for monitoring and ensuring employee compliance with the policy and procedures?				
8. Is there a system for addressing violation of the policy including disciplinary action as well as a system based action to correct non-compliance?				
9. Does the policy identifies the responsibilities for monitoring and oversight within the organizational structure?				

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 Reviewer _____ Date Reviewed _____
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QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee’s comprehension and competency with the policy and training provided?				

Resources (*Documents, Information, Tools, Monitoring, etc.*):

PLANNING DOCUMENT (ISP) REFERENCES

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-809.M](#)
- [A.A.C. R6-6-805 C, E, F, G, I, & J](#)
- [A.A.C. R6-6-808.G & I](#)

COMMENTS

State Reviewer _____
 Date Reviewed _____ Unit _____

PRE-SERVICE ORIENTATION

Vendor Agency _____

Address _____

Reviewer _____ Date Reviewed _____

Contract # _____

PRE-SERVICE ORIENTATION (NEED FORM)				
REQUIREMENTS (MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Will the vendor use the DDD pre-service orientation form or create their own pre-service orientation form includes the same information?				
2. What is the process to ensure this is completed prior to working with DDD members?				
3. Does the policy identify a location where employees can review the information?				
4. Does the policy identify the process for sending completed/updated documentation to the DDD Support Coordinator?				
5. Is there a process for matching Direct Care Workers to member's needs and mutual agreement to serve?				
6. If used as verification of orientation to the specific needs of DDD Members: Does the provider review outline and include their Planning Document/ISP and individualized health and safety needs; Including behavior plans, medications, allergies, seizures, adaptive equipment etc. ?				
7. If used as a verification of orientation to the specific needs of a DDD Member: Does the documentation identify that this document will be signed and dated by the staff being oriented and the supervisor or designee who verifies the orientation is complete?				

QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (*Documents, Information, Tools, Monitoring, etc.*):

- DD-097-1-FF (9-12)

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PRE-SERVICE ORIENTATION REFERENCES

- [Qualified Vendor Agreement, Service Requirements/Scope of Work 5.6.4.2](#)
- [Qualified Vendor Agreement, Service Requirements/Scope of Work 5.10.2.4](#)
- [DDD Provider Policy Manual](#)
 - [Chapter 51 - Oversight and Monitoring of Developmental Home Services](#)

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-808 E](#)
- [A.A.C. R6-6-808 F](#)
- [A.A.C. R6-6-1512.C](#)
- [A.A.C. R6-6-1527](#)

COMMENTS

State Reviewer _____

Date Reviewed _____ Unit _____

POOL & SWIMMING SAFETY

Vendor Agency _____

Address _____

Reviewer _____ Date Reviewed _____

Contract # _____

POOL & SWIMMING SAFETY				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the policy reflect the following:				
a. For Respite in the provider's home: Pools are enclosed per OLCR rules.				
b. For Respite in the provider's home: Pools are enclosed per DHS rules.				
c. Prior consent is obtained indicating limitations of use or to proximity to bodies of water by a member.				
d. Staff responsible for supervision are trained in water safety, first aid, and CPR,				
i. Does policy or procedure address situations involving pools (<i>bodies of waters, splash pads, rivers, etc.</i>)?				

QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (*Documents, Information, Tools, Monitoring, etc.*):

- LCR-1036A HBPNA (12-12)

POOL & SWIMMING REFERENCES

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-806. S](#)
- [A.A.C. R6-6-1009 A-1](#)
- [A.A.C. R6-6-1011 L.](#)
- [A.A.C. R6-6-1109 A-1](#)
- [A.A.C. R6-6-1111 L](#)
- [A.A.C. R6-6-1505 A](#)
- [OLCR Life Safety Inspections - Article 7](#)

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COMMENTS

State Reviewer _____

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QUALITY MANAGEMENT PLAN

Vendor Agency _____

Address _____

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Contract # _____

QUALITY MANAGEMENT PLAN				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the policy specify information about incident management, corrective action and preventions including:				
a. Description of how incident reports are reported both internally and externally.				
b. Description of the notification process for family/guardian/division/ police/APS/DCS/etc. including timelines.				
c. How reporting protocols are shared with members/families/guardians/ etc.?				
d. Description of the internal review process and how corrective action is implemented and monitored to completion.				
e. How incidents are documented for tracking and trending.				
2. Complaints and grievances				
a. Who can file a complaint/grievance?				
b. Who resolves complaints/grievances?				
c. What is the handling timeframe? How is this monitored?				
d. How are complaints/grievances documented for tracking and trending?				
3. Does the policy specify how the agency will solicit input from members, families and/or member representative, including				
a. How input from members/families/guardians is encouraged?				
b. How satisfaction with service is measured.				
c. How members/families/guardians are involved in the hiring and/or evaluation of direct service staff.				
d. How members/families/guardians are involved in the evaluation process for the improvement of services.				

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QUALITY MANAGEMENT PLAN (CONTINUED)				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
e. Is the vendor involved with any active community advisory groups?				
4. Opportunities provided to members/families/member representatives to be actively involved in Qualified Vendor operations.				
a. What opportunities does the vendor provide to allow members/families/representatives to be involved in the vendor's operations?				
b. Are there any active advisory groups that include members/families/representatives?				
c. Does the vendor solicit feedback regarding policies and procedures, program enhancements?				
d. Does the vendor hold open houses, periodic meetings to provide vendor updates, solicit input/feedback for members/families/representatives?				
e. Does the vendor share improvement activity results with members/families/representatives?				
f. Does the vendor solicit input and feedback on Quality Management, Cultural Competency, and Network Plans?				
g. How are members encouraged to direct and manage their own services to the extent they wish?				
5. Does the policy specify how the agency will monitor and evaluate services provided and the improvement of the quality and appropriateness of services, including:				
a. Description of the vendor's service gap analysis process.				
b. Completed trend analysis of Incident Reports completed, how often this is completed and how this information is shared and used.				
c. How often the trend analysis of complaints/grievances is completed, and the information is shared and used.				
d. Description of the process used to monitor and evaluate services provided as they relate to the member's ISP objectives.				
e. Description of any additional regular, systematic, and objective methods used to monitor the member's well-being, health status, and effectiveness of services.				

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QUALITY MANAGEMENT PLAN (CONTINUED)				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
f. How staff satisfaction is measured and how this information is shared and used.				
g. How direct service staff is involved in providing feedback and input for systems improvement.				
h. How the quality of the training program is evaluated? (ex: parent reviews, surveys in class, drop-in assessment...)				
i. How financial integrity is ensured including accurate and timely submission of billing information.				
j. How the agency's Quality Management Plan is developed, how it is shared and how often it is reviewed and updated.				
k. If the agency outlines specific Quality Improvement projects each year, how they are shared and how they are analyzed for success?				
l. How vendor-owned physical environments are (residential, day, etc.) evaluated for cleanliness, safety, and potential risk factors.				
m. Safeguards in place to protect and support members in the event of a natural disaster or other public emergency.				

Resources (Documents, Information, Tools, Monitoring, etc.):

- DD-097-1-FF (9-12)

QUALITY MANAGEMENT PLAN REFERENCES

- Qualified Vendor Agreement, Section 5, Service Requirements, 5.8.2
- Qualified Vendor Agreement, Service Requirements/Scope of Work 5.10.2.4

COMMENTS

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RECORD RETENTION/DATA SECURITY/TIMESHEET VERIFICATION

Vendor Agency _____

Address _____

Reviewer _____ Date Reviewed _____

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RECORD RETENTION/DATA SECURITY/TIMESHEET VERIFICATION				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the policy specify the following documentation requirements:				
a. Tracking and verifying employee hours.				
b. Member/guardian sign off and verification of hours worked by the employee in writing.				
c. Maintain employee proof of hours worked.				
d. Maintaining a log of each member's attendance/hours of arrival & departure, as applicable.				
e. Teaching strategies are submitted within 20 business days or initiation or change, as applicable.				
2. Does the policy specify progress reports will be submitted?				
a. For DTS, HAB, HAN, HHA: Monthly progress report submitted to DDD within 10 business days following each month.				
b. For DTA, DTT, Habilitation Services (<i>other than group homes</i>), TTE, ISE, GSE, CBE, ESA and Nursing: Quarterly progress report submitted to DDD, the member/member representative and PCP by July 15, October 15, January 15, and April 15.				
c. For CBE, ESA, GSE, ISE, TTE, CPR: Semi-annual reports submitted to DPM or designee by January 31, and July 31.				
3. Therapy Services, does the policy also include:				
a. If utilizing assistants, supervision is addressed.				
b. Ongoing service will not be started without a prescription from the member's PCP and an authorization from DDD.				
c. Member's Third Party Liability (<i>TPL</i>) is kept up to date and shared with the Support Coordinator.				
d. Evaluation report is submitted to the Support Coordinator, the member/member's representative and the PCP within 3 weeks of completing the evaluation.				
4. Nursing Services, does the policy also include:				

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RECORD RETENTION/DATA SECURITY/TIMESHEET VERIFICATION (CONTINUED)				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
a. A maintained current and signed plan of treatment and the most current nursing care plan for each member.				
b. A maintained list of all physician orders for the member in the member's file.				
5. Does the policy specify the agency will provide all reports or publications which are intended for DDD members or applicants for services funded by the DDD, to DDD for review.				

QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (Documents, Information, Tools, Monitoring, etc.):

RECORD RETENTION/DATA SECURITY/TIMESHEET VERIFICATION REFERENCES

- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6.3.1.6.3](#)
- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6.3.1.1](#)
- [Qualified Vendor Agreement, Section 5, Service Requirements, 5.10](#)
- [Qualified Vendor Agreement, Section 5, Service Requirements, 5.10.1.11](#)
- [Qualified Vendor Agreement, Section 7 - Service Specifications - All Service Specifications have a Recordkeeping section](#)
- [DDD Provider Policy Manual](#)
 - [Chapter 35 – Progress Reporting Requirement](#)
 - [Chapter 41 - Termination of a Qualified Vendor Agreement Upon Request of the Qualified Vendor](#)

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-809 N](#)

COMMENTS

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SHIFT CHANGE COMMUNICATION (HAB, HPD, HAN)

Vendor Agency _____

Address _____

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SHIFT CHANGE COMMUNICATION (HAB, HPD, HAN)				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the agency have a policy/procedure for staff to communicate any needs and/or changes to a member during a shift to the relieving staff?				
2. Does the agency have a system to efficiently and effectively communicate events/changes occurring that affect member's lives? <i>(Should include Quality Management Plan, Policies and Procedures, Training Curriculum, Forms)</i>				
3. Does the agency have a system to address all monitoring standards per Article 8?				
4. Are staff empowered/encouraged to ask questions regarding changes in the member's status?				
5. Is there a procedure(s) for ensuring that significant events are reported internally and externally in a timely manner including reporting of incidents, medication errors, and medication changes?				
6. Is there an internal system for communicating with other service providers to ensure services address member's needs?				
7. Is there a system for monitoring and ensuring employee compliance with the policy and procedures?				
8. Does the policy identify the responsibilities for monitoring and oversight within the organizational structure?				
9. Is there a method for documenting internal communication regarding members?				
10. Is there a system for addressing violations of the policy including disciplinary action as well as a system-based action to correct non-compliance?				

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QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (*Documents, Information, Tools, Monitoring, etc.*):

SHIFT CHANGE COMMUNICATION REFERENCES

- [Qualified Vendor Agreement, Service Specifications](#)

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-809.G](#)
- [A.A.C. R6-6-803.A](#)
- [A.A.C. R6-6-806 L](#)
- [A.A.C. R6-6-806 M](#)
- [A.A.C. R6-6-808.I](#)
- [A.A.C. R6-6-808.G](#)
- [A.A.C. R6-6-906 B](#)

COMMENTS

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SIBLING/NON-DIVISION ELIGIBLE OTHERS (RATIO)

Vendor Agency _____

Address _____

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SIBLING/NON-DIVISION ELIGIBLE OTHERS (RATIO)				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the policy specify if providers can or cannot provide care for other non-DDD individuals at the same time they are providing services for the DDD member?				
2. If policy allows care for other non-DDD individuals at the same time they are providing services for the DDD member, does the policy specify what minimum ratios will be implemented?				
3. If the policy allows for care of the other non-DDD individuals at the same time they are providing services for the DDD member, does the policy specify billing must reflect the specific ratio implemented (<i>i.e. if the employee is providing respite for a DDD member and two siblings the agency must bill up 1:3 ratio for the DDD member</i>)?				

QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (*Documents, Information, Tools, Monitoring, etc.*):

SIBLING/NON-DIVISION ELIGIBLE OTHERS (RATIO) REFERENCES

- [Qualified Vendor Agreement, Standard Terms and Conditions Section 6.5.10.2](#)
- [DDD Medical Policy Manual](#)
- [Chapter 1240-A - Attendant Care and Homemaker \(*Direct Care Services*\)](#)
 - [Exclusions \(*Attendant Care*\)](#)
 - [Exclusions \(*Homemaker*\)](#)
- [Provider Policy Manual, Chapter 51 - Oversight and Monitoring of Developmental Home Services](#)
- [Operations Policy Manual, Chapter 3001 Family Members as Paid Providers](#)

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-809](#)
- [A.A.C. R6-6-803](#)

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STAFF TO CLIENT RATIOS

Vendor Agency _____

Address _____

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STAFF TO CLIENT RATIOS (AS APPLICABLE BY SERVICE)				
REQUIREMENTS (STAFF)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the agency's policy ensure adequate staffing is consistent with member's needs?				
2. Does the agency's policy address staffing for planned absenteeism?				
3. Does the agency's policy address staffing for unexpected absenteeism?				
4. Does the agency's policy address staffing for emergencies?				
5. Does the agency's policy address staffing for community activities?				
6. Does the agency's policy include procedures that ensure minimum staffing will always be maintained?				
7. Does the agency's policy include a procedure to maintain appropriate staff to member ratio?				
8. Does the agency's policy include a procedure to address enhanced ratios?				
9. Does the agency's policy include a procedure to have enhanced ratios approved by the Division prior to being implemented?				
10. Does the policy account for a member's use of unsupervised time as per the member's Planning Document?				
11. Does the policy account for all staff being trained and oriented to the specialized needs of the member(s) before working with members?				
12. Does the policy account for member's right to personal care provided by staff of their choosing including gender?				
13. Is there a system for monitoring and ensuring employee compliance with the policy and procedures?				
14. Is there a system for addressing violation of the policy including disciplinary action as well as a system based action to correct non-compliance?				
15. Does the policy identify the responsibilities for monitoring and oversight within the organizational structure?				

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QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (*Documents, Information, Tools, Monitoring, etc.*):

Note: Unsupervised time is not to be used to meet staffing needs or for staff/vendor convenience.

STAFF TO CLIENT RATIOS REFERENCES

- [Qualified Vendor Agreement, Service Requirements/Scope of Work](#)
- [Qualified Vendor Agreement, Service Specifications](#)

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TRANSPORTATION

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TRANSPORTATION (NOT APPLICABLE FOR THERAPY, ESA, CBE, HSK, HHA, NURSING)				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the policy address the following (<i>Szection A</i>):				
a. Each vehicle is equipped with a two-way radio or a cellular phone.				
b. Maintenance records and safety inspection files are maintained and tracked.				
c. Indicates whether employees are required to drive their own vehicle or if they must use an agency vehicle.				
d. Employee's driver's license and registration/car insurance are kept on file if applicable.				
e. Agency ensures staff is provided with health and safety information of all members being transported.				
f. Process for transporting members in wheelchairs (<i>shall be equipped with floor-mounted seat belts and wheelchair lock-downs or comparable safety equipment</i>).				
2. Does the policy specify that all vehicles must have:				
a. Functional seat belts.				
b. Functional wheelchair mounts/lifts (<i>if applicable</i>).				
c. Age, size and weight appropriate car seats are available if appropriate or needed to transport children.				
d. A system for communication in case of emergency.				
e. A system to ensure ALL personal belongings have been removed.				
f. A system to ensure ALL members have exited from the vehicle.				
g. Current valid registration and license plates.				
h. Equipped with working heating and air conditioning system.				
i. A First Aid kit is available.				
j. Current Arizona required level of liability insurance.				
3. Does the policy specify that for Contracted Vehicles and Personal Vehicles, the agency must maintain:				
a. Normal and Regular Service/Maintenance of Vehicle(s) records on file.				

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TRANSPORTATION (NOT APPLICABLE FOR THERAPY, ESA, CBE, HSK, HHA, NURSING) (CONTINUED)				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
4. For TRE/TRA/TRO Only, does the policy also include the following:				
a. Back-up plan if the scheduled driver or vehicle is late by 20 minutes or more.				
b. Logs of each member's pick up and drop off information. Including the time picked up from home, the time dropped off at program and time left the program and, the time dropped off at home.				
c. Maintain on file daily transportation log of services delivered to each member. <i>(record of service must be signed and submitted to DDD for TRO only)</i>				
d. Availability of age appropriate car seats <i>(if applicable)</i> .				

QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training <i>(in-person, self-study, online, etc.)</i> ?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources *(Documents, Information, Tools, Monitoring, etc.):*

TRANSPORTATION REFERENCES

- [Qualified Vendor Agreement, Service Specifications/Transportation](#)
- [DDD Medical Policy Manual](#)
 - [Chapter 900](#)
 - [Chapter 1250-H - Transportation](#)
- [DDD Provider Policy Manual](#)
 - [Chapter 38 – Emergency Communication When Transporting a Member](#)
 - [Chapter 49 – Responsible Driving](#)
 - [Chapter 51 - Oversight and Monitoring of Developmental Home Services](#)

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-1012](#)
- [A.A.C. R6-6-1112.](#)

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TRANSPORTATION REFERENCES (CONTINUED)

- A.A.C. R6-6-1512. H
- A.A.C. R6-6-1006 H

COMMENTS

State Reviewer _____

Date Reviewed _____ Unit _____

VISITOR/VISITATION

Vendor Agency _____

Address _____

Reviewer _____ Date Reviewed _____

Contract # _____

VISITOR/VISITATION				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the policy include visitor policy for staff?				
2. Does the policy include visitor policy for members?				
3. Is there a procedure to maintain sign in and sign out logs at each site, if applicable?				
4. Does the policy specify that ratios will be maintained while visitors are on site, if applicable?				

QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (*Documents, Information, Tools, Monitoring, etc.*):

VISITOR/VISITATION REFERENCES

- [Eligibility Policy Manual Chapter 100 - Responsibilities](#)
- [DDD Operations Policy Manual](#)
 - [Chapter 1001-C - Rights of Persons with Developmental Disabilities Living in Residential Settings](#)

When accessing the Arizona Revised Statute (A.A.C reference), identify the statute needed and find the statute on pages 1 through 5. Click the desired statute heading and the hyperlink will take you to that section of that statute.

- [A.A.C. R6-6-108 H](#)
- [A.A.C. R6-6-804](#)
- [A.A.C. R6-6-1006 J](#)
- [A.A.C. R6-6-1009 A](#)
- [A.A.C. R6-6-1014](#)
- [A.A.C. R6-6-1114](#)
- [A.R.S. Title 36, Chapter 5.1 36-551.01](#)

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COMMENTS

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WORKFORCE DEVELOPMENT

Vendor Agency _____

Address _____

Reviewer _____ Date Reviewed _____

Contract # _____

WORKFORCE DEVELOPMENT				
REQUIREMENTS (STAFF/MEMBER)	YES	NO	N/A	POLICY PAGE REFERENCE
1. Does the Qualified Vendor have a Workforce Development Plan that states short and long term strategic Workforce Development capacity and capacity requirements?				
2. Does the Workforce Development Plan include a forecast of anticipated workforce capacity and capability needs?				
3. Does the Workforce Development Plan include an explanation of how members, families, and any identified stakeholders will be involved in the development and implementation of the Workforce Development Plan?				
4. Does the agency have a process to be used to maintain a general assessment of the progress of the Workforce Development Plan?				
5. Does the plan state the agency will submit a progress report to DDD which includes progress toward achievement and a metric summary on Workforce Development initiatives focused on recruitment, retention, turnover, and time to hire?				

QUESTIONS/KEY COMPONENTS				
REQUIREMENTS (STAFF/MEMBER ONLY)	YES	NO	N/A	POLICY PAGE REFERENCE
a. Are violations covered in policy?				
b. Is this topic covered in your training policy?				
c. Does your training policy cover the frequency of this topic?				
d. Does your training policy identify the method of training (<i>in-person, self-study, online, etc.</i>)?				
e. Does the vendor have documentation to verify employee's comprehension and competency with the policy and training provided?				

Resources (*Documents, Information, Tools, Monitoring, etc.*):

WORKFORCE DEVELOPMENT REFERENCES

- [DDD Provider Policy Manual](#)
 - [Chapter 63 – Workforce Development](#)
- [DDD Operations Policy Manual, Chapter 407 – Workforce Development](#)
- [AHCCCS ACOM 407](#)

COMMENTS

State Reviewer _____

Date Reviewed _____ Unit _____

CHAPTER 2000 – SUPPORT COORDINATION

- 2001 - Planning Team Members
- 2002 - Planning Meetings
- 2003 - Planning Documents
- 2004 - Service Authorizations
- 2005 - Referral And Placement In Services
- 2006 - Arizona Long Term Care Non-Users
- 2007 - Case Closure

CHAPTER 4004 – MANAGEMENT OF MEMBER FUNDS

- 4004 – Overview
- 4004A – Definitions
- 4004B - Member Funds System
- 4004C – Policy
- 4004D – Responsibilities
- 4004E - Safeguarding Member Funds
- 4004F - Member Funds Security
- 4004G - Disbursing Member Funds
- 4004H - Member Funds, Provider Responsibilities
- 4004I - Ledgers Maintained by Providers
- 4004J - Bank Reconciliation
- 4004K - Use of Member Funds
- 4004L - Reviewing Member's Accounts
- 4004M - Changes in a Member's Status
- 4004N - Investing Member Funds
- 4004O - Termination of a Member's Account or Change in Representative Payee

CHAPTER 6000 – ADMINISTRATIVE OPERATIONS

- 6001A - Confidentiality
- 6001B - Release of Information
- 6001C - Access to Personally Identifiable Information
- 6001D - Lawful Disclosure of Confidential Information
- 6001E - Violations and Penalties
- 6001F - Case Records
- 6001G - Documentation Requirements
- 6001H - Records Storage and Security
- 6001I - Management and Maintenance of Records Related to the Medicaid Line of Business
- 6002A - Definitions of Incidents and Serious Incidents
- 6002B - Incident Management System Definitions
- 6002C - Reporting Requirements
- 6002D - Members At-Risk if Missing
- 6002E - Incident Reports
- 6002F - Fact Finding
- 6002G - Abuse and Neglect
- 6002H - Referral to Other Investigative Agencies
- 6002I - Incident Closure and Corrective Actions

CHAPTER 6000 – ADMINISTRATIVE OPERATIONS (CONTINUED)

6002J - Trending for Quality Improvement

6002K - Information Sharing

6002L - Mortality Review Audits

6002M - Mortality Review Process

6002N - Fraud and False Claims

6002O - Health Care Acquired Conditions