

HCBS Certification Instructions

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

Initial Application Instructions

After you receive your Qualified Vendor award, you may submit your application for initial HCBS Certification. Most of the information pertinent to certification, such as your agency address, types of services, and locations of services sites, will be pre-populated into the OLCR Tracking Application from the contract application. Once your application is submitted, an HCBS certification specialist will contact you if additional information is needed.

When the application is approved, you may view the certificate in Focus. For applicants designated Provider Type 39(habilitation) or Provider Type 25(group home), OLCR will forward the certificate to Arizona Health Care Cost Containment System (AHCCCS) for provider registration. Vendors designated with other Provider Types are responsible for working with AHCCCS directly for provider registration.

Instructions for Initial Qualified Vendor HCBS Certification (Provider Type 39)

Log into the OLCR Tracking Application and submit the following documents electronically:

1. *Provider Registration* (LCR-1077A)
2. *Provider Participation Agreement* (LCR-PPA)
3. *Disclosure of Ownership* (LCR-DO)
 - ✓ Be sure to check the appropriate buttons on in Section I, (e) and (f).
 - ✓ List the owner(s) in Section II (a).
 - ✓ Be sure to complete Section II (c). The name(s) listed in II (c) may be the same name(s) listed in II (a).
 - ✓ For additional guidance on the *Disclosure of Ownership*, refer to the document, *Disclosure Instructions* located within the Tracking Application. Locate the disclosure instructions under the Documents and Instructions heading.
 - ✓ Be sure to list position titles where required.
 - ✓ Where percentages are required, ensure the percentages add up to 100%.
4. *Application for Initial HCBS Certification* (LCR-1025A)
 - ✓ Be sure to describe special skills, training, previous work history and experiences related to the services you intend to provide.
 - ✓ If you have additional information, such as a resume, that you would like to submit, you may send it to hbscertification@azdes.gov.
5. *Agency Roster*
 - ✓ The roster must list the individuals named in the contract application as the Executive/Owner and Authorized Signatory.
 - ✓ Prior to delivering services, each employee must be in compliance with all HCBS requirements. See roster specifications for information on requirements for all staff and agency owned vehicles. It is understood that, at the time of initial application, vendors may have only a few employees or no employees at all.

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

1. A copy of W-9 form
2. Three letters of reference for the agency or CEO/Owner

3. A valid copy of the *Criminal History Self-Disclosure Affidavit* (LCR-1034A) for the CEO/Owner and Authorized Signatory listed in the Contract Application.
4. If the Owner/Executive and the Authorized Signatory are direct care workers:
 - a. Cardio-Pulmonary Resuscitation (CPR) card
 - b. First Aid card
 - c. Article 9 training certificate
5. If the Owner/Executive and the Authorized Signatory are professionally licensed providers:
 - a. Cardio-Pulmonary Resuscitation (CPR) card
 - b. Article 9 training certificate
 - c. Copy of professional license

Instructions for Initial Group Home Certification (Provider Type 25)

Log into the OLCR Tracking Application and submit the following documents electronically:

1. *Provider Registration* (LCR-1077A)
2. *Provider Participation Agreement* (LCR-PPA).
3. *Disclosure of Ownership* (LCR-D0)
 - ✓ Refer to instructions for the *Disclosure of Ownership* in the Qualified Vendor Agency (PT 39) section above.

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

1. A copy of W-9 for the agency if the W-9 on file at OLCR is more than one year old
2. A copy of the Department of Health Services (DHS) license for the group home

When the group home certificate is issued, the expiration date will align with the expiration date on the overall Qualified Vendor (PT 39) certificate. This means that the group home certificate may be issued for a period less than one year.

Special Instructions for Agencies Providing Therapy Services

Agencies providing therapy services must contact AHCCCS directly for assistance with provider registration. Individual therapists must also register directly with AHCCCS. If you are already registered with AHCCCS under a different provider type, OLCR may be able to retain the same provider type and add the services listed on the certification. Your HCBS Certification specialist can assist you with this process.

Renewal Application Instructions

HCBS Certification must be renewed annually. Sixty days prior to the expiration of the certificate, the OLCR Tracking Application sends a renewal notice. Renewal notices are sent to the CEO/Owner and Notice to Contact e-mail address listed in the contract application. The renewal notice is inclusive of the overall agency certificate as well as any group home certificates. Any time after the 60-day renewal notice is sent, the vendor can log into the OLCR Tracking Application and submit renewal documents. The OLCR tracking application will send a renewal notice at 30 days and a final notice 7 days prior to expiration. Failure to submit a renewal application prior to the expiration date will result in a lapse in certification which may result in non-payment for services.

Instructions for Renewal Qualified Vendor HCBS Certification (Provider Type 39)

Submit the following electronically through the OLCR Tracking Application:

1. *Provider Registration* (LCR-1077A)
2. *Agency Roster*
 - ✓ Ensure that the roster contains the Executive/Owner and the Authorized Signatory as listed in the contract (QVC) application.
 - ✓ Review the roster and ensure all employees and agency owned vehicles are compliant.

Submit a copy of the valid Criminal History Self-Disclosure (LCR-1034A) form for the CEO/Owner via the HCBS inbox, hcbcertification@azdes.gov if the Criminal History Self-Disclosure was renewed in the prior certification year. Criminal History Self-Disclosure forms must be re-signed every three years.

Ensure that all services sites are correctly entered in the contract application and listed in the OLCR Tracking Application. For sites requiring a life-safety inspection, ensure that a life safety inspection has been completed or requested.

Instructions for Renewal Group Home HCBS Certification (Provider Type 25)

One document is submitted electronically through the OLCR Tracking Application: *Provider Registration* (LCR-1077A). It is important to note that each group home certification renewal application must be *individually* submitted.

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

Amendments

If the contract is amended, the HCBS certificate will also need to be amended. The following contract amendments will trigger an amendment in the OLCR Tracking application:

- Change of address for the vendor Admin site or Group Home
- Addition of Services
- Removal of Services
- Change of Ownership
- Change of FEIN
- Change of Contact
- Vendor Name Change

Once a contract amendment is approved, the OLCR Tracking Application will send an e-mail notice to the CEO/Owner and Notification Contact to log into the OLCR Application and complete an amendment.

Life-Safety Inspections

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

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