

Division of Developmental Disabilities

# **POLICY REVISION HISTORY**

## Operations Manual

October 21, 2016

September 30, 2016

August 12, 2016

July 22, 2016

July 15, 2016

June 10, 2016

May 20, 2016

May 13, 2016

March 25, 2016

February 26, 2016

January 29, 2016

October 8, 2015

Please send any questions to [DDDPolicy@azdes.gov](mailto:DDDPolicy@azdes.gov).

## Division of Developmental Disabilities

# Operations Policy Manual Notification

**Date:** October 21, 2016

**Revision Effective Date:** October 21, 2016

All revisions include structural and grammatical changes. The structure and grammar changes support clarity and ensure all newly developed and revised policy present a consistent voice.

---

### **Revised Policy:**

#### **Operations Policy Manual, Policy 2002 Planning Meetings**

- Changed "Meeting Location" section to incorporate AHCCCS wording:

"Review visits are to be conducted where the member receives services, including service settings both inside and outside of the member's home as described below. At a minimum, Support Coordinators will conduct review visits with a member in his or her home at least once annually in order to evaluate the living environment, identify potential barriers to quality care, and assess for unmet needs. If a member receives services outside of the home, at a minimum, a review visit must be conducted at one of the member's service setting locations. At the election of the member or member's representative, remaining visits may be conducted at an alternate location that is not a service setting. The location of each review visit, whether at a service setting location or an alternate site, must be determined by the member or member's representative and not for the convenience of the Support Coordinator or providers. The choice of location by the member/representative must be documented in the member file.

"If a Support Coordinator is unable to conduct a review visit as specified above due to the refusal by the member and/or the member's representative to comply with these provisions, services cannot be evaluated for medical necessity and therefore, will not be authorized. A Notice of Action must then be issued to the member setting forth the reasons for the denial/discontinuance of services."

Please send any questions to [DDDPolicy@azdes.gov](mailto:DDDPolicy@azdes.gov).  
Division of Developmental Disabilities

## Operations Manual Notification

**Date:** October 4, 2016

**Revision Effective Date:** September 30, 2016

*No language in the body of the policy was changed, the titles and revision dates were combined.*

The Division has combined the following policies:

---

**CHAPTER 1000:**

**1004-B CONSENT TO MEDICAL TREATMENT OF INCAPACITATED ADULTS,**

**1004-C CONSENT TO MEDICAL TREATMENT OF MINORS**

**1004-D CONSENT TO MEDICAL TREATMENT OF INCAPACITATED MINORS**

---

**CHAPTER 1000:**

**1005-A GUARDIANSHIP AND CONSERVATORSHIP**

**1005-B SURROGATE PARENT**

---

Please send any questions to [DDDPolicy@azdes.gov](mailto:DDDPolicy@azdes.gov).

Division of Developmental Disabilities  
**Operations Policy Manual Notification**

**Date:** August 12, 2016

**Revision Effective Date:** August 12, 2016

---

**Rescinded Policy:**

**Chapter 1001 Credo Vision and Values**

- This policy was rescinded due to the duplicative nature of its content.
-

Please send any questions to [DDDPolicy@azdes.gov](mailto:DDDPolicy@azdes.gov).

Division of Developmental Disabilities  
**Operations Policy Manual Notification**

**Date:** July 22, 2016

**Revision Effective Date:** July 22, 2016

---

**Revised Policy:**

All revisions include structural and grammatical changes. The structure and grammar changes support clarity and ensure all newly developed and revised policy present a consistent voice.

---

**CHAPTER 6000 ADMINISTRATIVE OPERATIONS:**

**6003-B-INFORMAL RESOLUTION/GRIEVANCE PROCESS NON-ARIZONA LONG TERM CARE SERVICES**

- Changed "Servies" to "Services" in Title.
  - Changed "Consumer and Family Support" to "Family and Community Resources."
  - Changed "Consumer Resolution Tracking System" to "Resolution System."
- 

**Revision History:**

The July 15, 2016 revision history was corrected from "Chapter 2500 referral and placement services: 540-other care coordination issues" to "Chapter 2000 Support Coordination, 2005 Referral and Placement in Services" to include the correct chapter and subchapter number and name.

---

Please send any questions to [DDDPolicy@azdes.gov](mailto:DDDPolicy@azdes.gov).

Division of Developmental Disabilities  
**Operations Policy Manual Notification**

**Date:** July 15, 2016

**Revision Effective Date:** July 15, 2016

---

**Revised Policy:**

All revisions include structural and grammatical changes. The structure and grammar changes support clarity and ensure all newly developed and revised policy present a consistent voice.

---

**CHAPTER 2000 SUPPORT COORDINATION**

**2005 REFERRAL AND PLACEMENT IN SERVICES**

- Removed the word "Foster" when referenced in relation to Developmental Homes. \*\*
- 

\*\*This policy was revised to comply with the 52nd Legislature, 2nd Regular Session House Bill 2099 (developmental disabilities; terminology; settings) – Chapter 286

---

---

Please send any questions to [DDDPolicy@azdes.gov](mailto:DDDPolicy@azdes.gov).

## Division of Developmental Disabilities

# Operations Policy Manual Notification

**Date:** June 13, 2016

**Revision Effective Date:** June 10, 2016

---

### **New Policies:**

Historically the Division has used AHCCCS policies and the Division's contract with AHCCCS to inform staff, providers, and stakeholders of the Division's requirements not available in the policy manual. Using this method, it became apparent that there was confusion as to what applied to the Division and what did not apply; the Division implemented a plan to resolve this confusion. In October 2015, the Division began aligning the Division policy manuals with AHCCCS policy manuals by creating the Operations and Medical Manuals to go along with the Eligibility, Behavior Supports, and Provider Manuals. This revision is the second phase of this plan, memorializing current practices into one of the five policy manuals.

---

### **CHAPTER 400 – OPERATIONS**

#### **439 MATERIAL CHANGES: PROVIDER NETWORK AND BUSINESS OPERATIONS**

This policy explains how the Division evaluates changes, to business operations or to the provider network, for the impact of such changes on members and providers. This policy defines the types of changes that may impact members and providers and required notifications.

---

### **CHAPTER 6000 – ADMINISTRATIVE OPERATIONS:**

#### **6004-F – COMPLIANCE PROGRAM**

Explained the Division's Compliance Program, including identification of responsibility for the program's structure and implementation, and the components of the Compliance Program.

---

### **Revised Policies:**

All revisions include structural and grammatical changes. The structure and grammar changes support clarity and ensure all newly developed and revised policy present a consistent voice.

---

## **CHAPTER 2000 – SUPPORT COORDINATION:**

### **2003 – PLANNING DOCUMENT**

- Added statement, "The Risk Assessment is the Division's Managed Risk Agreement as required in AHCCCS policy."
- Added statement, "The CA160 screen will be printed and placed in the member file."

### **2004 – SERVICE AUTHORIZATION**

The language "The specific authorization requirements for each service are indicated in the Service Provision Guidelines sections in Chapter 600" was removed as it was no longer a current reference.

---

## **CHAPTER 3000 – SUPPORT COORDINATION:**

### **3003 – SELECTION OF PROVIDERS**

- Stated that the Division does not discriminate against providers who serve high-risk populations or providers who specialize in conditions that result in costly treatment.
- Incorporated vendor call information from Policy 3004.
- Reorganized the policy for clarity.

---

## **CHAPTER 6000 – ADMINISTRATIVE OPERATIONS:**

### **6002 – N FRAUD AND FALSE CLAIMS**

- Removed the word "Consumer" in reference to the Resolution Unit.
- Removed reference to Office of Compliance and Review to reflect current practice.
- Identified the Division's Compliance Unit as the department that reports fraud/false claims to AHCCCS.

### **6003 – G ARIZONA LONG TERM CARE SERVICE GRIEVANCE PROCESS**

- Removed "Consumer" in all references to the "Consumer Resolution Tracking System."

### **6003 - I ARIZONA LONG TERM CARE SERVICES APPEALS PROCESS**

- Added "within 60 calendar days after the date of the Notice of action" in the second paragraph.
- Address and contact information for OCR was updated.

- “At the time the appeal is filed, the member/responsible person/authorized representative may request an expedited appeal” was added in the third paragraph.
- The word standard was added prior to the word appeal and the word appeal was made plural in the third paragraph.
- “In person or in writing” was added prior to “at any time during the appeal process” in the fourth paragraph.
- “The Division ensures the member/responsible person/authorized representative is included as a party to the appeal process” was added at the end of the fourth paragraph.
- “Standard” was added prior to “Appeal Resolution Timeframe” in the heading after the fourth paragraph.
- Added “...follow the standard appeal resolution timeframe and the appeal will be resolved” in the third paragraph on the second page.
- “The Notice of Appeal Resolution is issued to the member/responsible person/authorized representative” was added to the fifth paragraph on the second page.
- “If the Notice of Appeal Resolution is reversed, OCR will notify Support Coordination and the Health Plan, as appropriate. Upon notification services will be provided expeditiously as the member’s health condition requires. If services were requested to continue pending resolution of the appeal, the Division has the right to recover the cost of services from the member when the Notice of Appeal Resolution is upheld.” Was added as the last paragraph of this policy.

### **6003 – J ARIZONA LONG TERM CARE SERVICES FAIR HEARING PROCESS**

- Site code was omitted to conform with mailing
- Added “a cover letter, copy of the entire file” in the second paragraph after “This file will include...”
- Added “and the appellant” after the record supplied by OCR in the fourth paragraph.

### **6003 - K CLAIM DISPUTES**

- Deleted Site Code
- Added “The Division or the Division subcontracted health plans date all claim disputes upon receipt,” in the fourth paragraph.
- “All claim disputes are thoroughly investigated using applicable authorities and facts obtained from all parties. The Division will issue a letter to the provider if there is a mutual agreement to extend the decision due date to allow the Division to make a decision or allow the provider additional time to submit supporting documentation. All extensions must be agreed upon by both parties” was added in the sixth paragraph.

- Added "...complies with regulatory and contractual requirements" after "the notice of action decision" in the sixth paragraph.

---

**Rescinded Policy:****CHAPTER 3000 - SUPPORT COODINATION****3004 VENDOR CALL PROCESS**

- This policy was rescinded as it was incorporated into chapter 3003 Selection of Providers.

---

**Revision History:**

An incomplete posting was discovered and has been corrected. It was noticed that the Revision to 3002 Home and Community Based Service Delivery revision was posted online in the chapter only. The error has been remedied.

The Revision history from May 20, 2016 noted 2002-D Planning Meetings, the D has been removed from the revision history to reflect the title 2002 Planning Meetings.

---

Please send any questions to [DDDPolicy@azdes.gov](mailto:DDDPolicy@azdes.gov).

## Division of Developmental Disabilities Operations Policy Manual

**Date:** May 20, 2016

**Revision Effective Date:** May 20, 2016

All revisions include structural and grammatical changes. The structure and grammar changes support clarity and ensure all newly developed and revised policy present a consistent voice.

---

### **New Policies:**

Historically the Division has used AHCCCS policies and the Division's contract with AHCCCS to inform staff, providers, and stakeholders of the Division's requirements not available in the policy manual. Using this method, it became apparent that there was confusion as to what applied to the Division and what did not apply; the Division implemented a plan to resolve this confusion. In October 2015, the Division began aligning the Division policy manuals with AHCCCS policy manuals by creating the Operations and Medical Manuals to go along with the Eligibility, Behavior Supports, and Provider Manuals. This revision is the second phase of this plan, memorializing current practices into one of the five policy manuals.

---

### **CHAPTER 400 OPERATIONS:**

#### **412 CLAIMS REPROCESSING**

- This policy identifies potential causes for payment review, methods used in internal claim review, the process by which recoupments are made, and Corrective Action Plan requirements.

---

### **CHAPTER 600 ADMINISTRATIVE OPERATIONS:**

#### **6004-E OPERATIONAL REVIEWS**

- This policy identifies the objectives of performing operational reviews of Division Contractors, defines the types of operational reviews that may be performed, and specifies timelines related to operational reviews.

---

**Revised Policy:**

---

**CHAPTER 2000 SUPPORT COORDINATION:****2002 PLANNING MEETINGS**

- Removed the word "all" in reference to planning meetings in this policy.
- Re-arranged the section "Meeting Location" by moving the phrase "The Support Coordinator may also visit any setting where the member receives services," from the beginning of the section to the end of the section.

---

**CHAPTER 6000 ADMINISTRATIVE OPERATIONS:****6003-L ATTORNEYS AT PLANNING MEETINGS**

- Redefined the scope of this policy to include the Division's requirements, rights, and recommendations regarding the presence of attorneys at Planning Meetings.
- Removed references to tape recording and added reference to audio recording.

**6002-D MEMBERS AT RISK IF MISSING**

- Removed the phrase, "Unless approval has been obtained from the Division's Assistant Director/Designee."
-

Please send any questions to [DDDPolicy@azdes.gov](mailto:DDDPolicy@azdes.gov).

## Division of Developmental Disabilities

# Operations Policy Manual

**Date:** May 13, 2016

**Revision Effective Date:** May 13, 2016

All revisions include structural and grammatical changes. The structure and grammar changes support clarity and ensure all newly developed and revised policy present a consistent voice.

---

### **New Policies:**

Historically the Division has used AHCCCS policies and the Division's contract with AHCCCS to inform staff, providers, and stakeholders of the Division's requirements not available in the policy manual. Using this method, it became apparent that there was confusion as to what applied to the Division and what did not apply; the Division implemented a plan to resolve this confusion. In October 2015, the Division began aligning the Division policy manuals with AHCCCS policy manuals by creating the Operations and Medical Manuals to go along with the Eligibility, Behavior Supports, and Provider Manuals. This revision is the second phase of this plan, memorializing current practices into one of the five policy manuals.

---

### **CHAPTER 200 CLAIMS:**

#### **203 CLAIMS PROCESSING**

- This policy stipulates requirements for the adjudication and payment of claims.

---

### **CHAPTER 300 FINANCIAL:**

#### **317 CHANGE IN ORGANIZATIONAL STRUCTURE**

- This policy identifies the requirements for submitting changes in the Division's organizational structure and its responsibility of monitoring and evaluating changes in organizational structure.

---

### **CHAPTER 400 OPERATIONS:**

#### **404 MEMBER INFORMATION MATERIALS**

- This policy outlines the requirements for obtaining approval of member information materials from the Arizona Health Care Cost Containment System.

#### **416 PROVIDER NETWORK INFORMATION**

- This policy outlines provider information requirements and the content of the Division's website.

#### **436 NETWORK STANDARDS**

- This policy provides clarification on the Division's provider network sufficiency and oversight.

#### **438 ADMINISTRATIVE SERVICES SUBCONTRACTS**

- This policy provides guidelines and requirements for Administrative Services Subcontracts, monitoring subcontractor performance, reporting performance review results, and notifying the appropriate entity of subcontractor non-compliance and corrective action plans.

---

#### **Revised Policy:**

#### **CHAPTER 1000 MEMBERS AND FAMILIES:**

##### **1006 HEALTH CARE DIRECTIVES/ ADVANCE DIRECTIVES**

- In the first paragraph the following phrase was added: "The Division will prevent discrimination against a member, and will not place conditions on the provisions of care to the member, because of his/her decisions to execute or not execute an advance directive."
- Under E "call 9-1-1 and provide CPR" was added in between "staff is required to..." and "CPR". The word "initiate" was removed.
- The language under F was clarified, "1. Has a DNR and not in hospice" the word "start" was removed and replaced with the word "provide"
- The language under F was clarified, "2. Has a DNR and in hospice" the word "if" was replaced with the word "when"
- The language under F, 3, was added "3. No DNR: Direct care staff persons will call 9-1-1 and provide CPR until there is a licensed healthcare provider present."

Please send any questions to [DDDPolicy@azdes.gov](mailto:DDDPolicy@azdes.gov).

Division of Developmental Disabilities  
**Operations Manual Notification**

**Date:** Friday, March 25, 2016

**Revision Effective Date:** March 25, 2016

All revisions include structural and grammatical changes. The structure and grammar changes support clarity and ensure all newly developed and revised policy present a consistent voice.

The Division has posted revisions to the Operations Manual as follows:

---

**CHAPTER 2000:**

**SECTION 2007 CASE CLOSURE**

- Under "Notification of Case Closure," changed reference from "as described in Chapter 2200" (which was a reference to a location in the prior Policy Manual) to read "as described in this policy manual."

Please send any questions to [DDDPolicy@azdes.gov](mailto:DDDPolicy@azdes.gov).

## Division of Developmental Disabilities

# Operations Manual Notification

**Date:** Friday, February 26, 2016

**Revision Effective Date:** February 26, 2016

All revisions include structural and grammatical changes. The structure and grammar changes support clarity and ensure all newly developed and revised policy present a consistent voice.

The Division has posted revisions to the Operations Manual as follows:

---

### **CHAPTER 2000:**

#### **SECTION 2003 PLANNING DOCUMENT**

- In the first paragraph the words “behavioral heal services, and” were added after “community based services”
- “(e.g., Annual Plan, Reassessment of the Planning Document, Changes in the ISP, cover sheet)” was added in section “H” after the words “Planning Document”
- The words “for the future” were added after the word “vision” in the section “Vision and Priorities”
- The words “develop and teach” were added after the words, “The selected provider shall.”
- Back-Up plans were changed to “Contingency Plan” to match style and form name.
- “Providing care to the member in an institutional setting” was added after “compared to the cost of” and the language “an Intermediate Care Facility for Individuals with an Intellectual Disability (ICF/IID) was removed.
- All forms were edited to reflect official form name.
- Old references to Member Rights and Responsibilities were replaced with “Notice of Action (NOA) requirements in policy.”
- Under “B. Alternative placements,” the phrase “of the cost of serving the member in an institutional setting” were added and the words “CES threshold” were removed.

#### **SECTION 2002 PLANNING MEETINGS**

- All form names were edited to reflect the name of the official form.
- Assisted Living Centers and Assisted Living Homes were added in parentheses after each reference of Assisted Living Facilities.

- Working days was changed to business days throughout
  - The language, "The written notice given at the end of each planning meeting serves as the 10 days written notice" was added under Scheduling Subsequent Meetings. The language, "In addition, the Support Coordinator shall provide the team members written notice of upcoming annual planning meetings at least 10 days in advance" was removed.
  - Re-formatted outline to match Division style.
- 

## **CHAPTER 3000:**

### **SECTION 3001 FAMILY MEMBERS AS PAID PROVIDERS**

- The language in "E. A single family member who is...." was removed.
- The language in "J. Qualified family members may...." was removed.
- In the first paragraph "through a Qualified Vendor" was added after "family members may be paid through."
- Under B., after "A spouse of a," the words "member eligible for the Division" were added and the phrase "under specific circumstances" was added after the words "their spouse."

### **SECTION 3002 HOME AND COMMUNITY BASED SERVICE DELIVERY**

- The sections "Traditional," "Agency with Choice," and "Individual Independent" were added back in from the previous manual.
  - "Co-employment" was replaced by "partnership" throughout.
- 

An incomplete posting was discovered in the January 29, 2016 posting and was corrected. It was noticed that the revisions were not updated online in each chapter of the manual; they were posted online in the complete set of manuals only. The error has been remedied.

Please send any questions to [DDDPolicy@azdes.gov](mailto:DDDPolicy@azdes.gov).

Division of Developmental Disabilities  
**Operations Manual Notification**

**Date:** Friday, January 29, 2016

**Revision Effective Date:** Friday, January 29, 2016

All revisions include structural and grammatical changes. The structure and grammar changes support clarity and ensure all newly developed and revised policy present a consistent voice.

The Division has posted revisions to the Operations Manual as follows:

---

**CHAPTER 6000 ADMINISTRATIVE OPERATIONS GRIEVANCE AND APPEALS:**

**6003-C APPEAL PROCESS FOR MEMBERS WHO RECEIVE STATE FUNDED SERVICES**

Language clarification that the abbreviation OCR stands for Office of Compliance and Review.

**6003-J ARIZONA LONG TERM CARE SERVICES FAIR HEARING PROCESS**

Language clarification that the abbreviation OCR stands for Office of Compliance and Review.

**6003-K CLAIM DISPUTES**

Language clarification that the abbreviation OCR stands for Office of Compliance and Review.

**6003-M CONDUCTING ALL MEETINGS**

Language clarification that the abbreviation OCR stands for Office of Compliance and Review.

---

Please send any questions to [DDDPolicy@azdes.gov](mailto:DDDPolicy@azdes.gov).

Division of Developmental Disabilities  
**Operations Manual Notification**

**Revision Effective Date:** October 8<sup>th</sup> 2015

For revision histories prior to October 8, 2015 see the Archived 1993-2015 Policy Manual Revision History.