

## Staff Roster and Background Check Guide

The HCBS Certification staff roster is a list of direct care workers, therapists, supervisors of direct care workers and agency administrators employed or subcontracted by the Qualified Vendor. The roster also lists adult household members residing in private homes where HCBS services are delivered. Staff must be added to the roster within 30 days of hire and removed from the roster upon separation from employment. For vendors with programs serving non-DDD qualified individuals, only staff serving DDD members should be listed on the roster.

### Employee Types

All individuals listed on the roster are designated by Employee Type. The Employee Type determines what data is required and which compliance rules apply. The employee types are as follows:

- *Executive/Supervisor*: Owner, president, CEO, direct care staff supervisor and anyone listed as an authorized signatory in the DDD contract application. Individuals listed in this category do *not* provide direct care
- *Executive/Supervisor and Direct Care Worker*: An individual who meets the criteria for the Direct Care Worker category and who is also an owner, president, CEO, direct care staff supervisor or authorized signatory in the DDD contract application
- *Direct Care Worker*: An individual providing direct services to members such as habilitation, attendant care, respite, non-emergency transportation, or any other direct care services authorized by the Division
- *Licensed Professional*: An individual who provides a service that requires a professional license such as physical therapy, occupational therapy, speech therapy, or nursing services
- *Immediate Relative*: An individual who 1) is an immediate relative to the member (age 18+) receiving services, 2) provides attendant care only, and 3) resides in the same home as the member. All three criteria must apply. The immediate relative category is exempt from fingerprinting. An immediate relative is a natural parent, stepparent, adoptive parent, natural child, natural sibling, adoptive child, adoptive sibling, stepchild, stepbrother, stepsister, spouse, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law or sister-in-law
- *Adult Household Member*: An individual, age 18 or older, who resides in a private home where HCBS services are provided. The Adult Household Member category is the only classification that applies to individuals who are not employees or subcontractors of the Qualified Vendor
- *New Direct Care Worker*: The same as a *Direct Care Worker*, except the *New Direct Care Worker* is not working alone with members. When a *New Direct Care Worker* is added to the roster, the vendor has 90 days to add CPR, First Aid and Article 9 training dates. A newly hired direct care worker has 90 days from the date of hire to complete CPR, First Aid and Article 9 provided the new employee does not work alone with clients. All other requirements are the same as the Direct Care Worker category
- *Inactive Employee*: An individual who is not currently providing services. Employees with this designation will not be counted as non-compliant. Employees may only remain in this category for 90 days. After 90 days, the employee will show as non-compliant if indicated by the field data

### Roster Compliance Data

At the top of the roster, there are two radial graphics and some roster summary data. These figures provide a snapshot view of overall staff compliance:

- *Total Number of Employees* represents the total number of employees entered in the roster. Please note that this figure excludes individuals listed in the *Adult Household Member* category
- *Total Number of Active Employees* represents the total number of employees minus the individuals listed in the *Inactive Employees* category
- *Compliant* is the number of active employees indicated as compliant with all requirements. A number representing the percentage of the total active employees is in the center of the radial
- *Non-Compliant* is the number of active employees that are indicated as non-compliant with one or more HCBS requirements. A number representing the percentage of the total active employees is in the center of the radial

Each time the roster is updated, scroll to the bottom of the screen to electronically sign and save. This final step is an attestation that the data is complete and accurate.

## Roster Field Requirements

Staff information may be entered manually into the OLCR Tracking Application or uploaded on a preformatted template. The template is located within the OLCR Tracking Application under the Agency Roster tab. For detailed roster specifications, refer to the *Agency Roster (EXCEL) Specifications* located under the Agency Roster tab. Within the roster there are four types of fields:

- *Required (R)* fields must be completed for the staff to be saved to the OLCR Tracking Application
- *Optional (O)* fields may be completed, but do not require data to save the employee information. Optional fields simplify the process of switching an employee from one category to another
- *Non-applicable (N/A)* fields will not accept information for that employee type
- *Conditionally Required (R\*)* fields may require data depending on data entered in a prior field For staff data entered manually into the OLCR tracking application, required fields are highlighted in blue

## Fingerprint Clearance Cards

A valid level one fingerprint clearance card is required for all employee types except *Immediate Relative*. The OLCR Tracking Application interfaces with the Department of Public Safety (DPS) every 24 hours to revalidate fingerprint cards. If a fingerprint clearance card has a status change, such as a suspension or denial, the OLCR Tracking Application automatically sends an e-mail to the vendor with instructions. The e-mail is sent to the principal contact and the notice contact listed in the application.

The Background Check Tab lists all employees who failed the fingerprint clearance card check. By hovering the mouse pointer over the red "X," the vendor can review the reason for the fingerprint card failure. The OLCR tracking application validates fingerprint cards by *card number* or *application number*. If both numbers are entered on the roster, the card number takes precedence. It is critical that fingerprint information is entered correctly; otherwise, the validation will result in an error. Whenever a fingerprint card fails, compare fingerprint information entered in the OLCR Tracking Application with the fingerprint card information in the [DPS Public Services Portal](#).

Fingerprint clearance cards must be linked with the correct statute in the DPS system: ARS § 36-594.01. If the fingerprint clearance card is not linked to the correct DES statute, the card will fail in the Focus application.

Fingerprint Clearance Card Status	Fingerprint Clearance Card Status Explanation
Revoked, Suspended, Denied	The individual is not permitted to provide services, serve as a signatory or reside as an adult household member in a private home used for HCBS services. The individual should be moved to inactive status or removed from the roster.
Expired	The individual is not permitted to provide services, serve as a signatory or reside as an adult household member in a private home used for HCBS services. This may be corrected by having the individual reapply for a fingerprint clearance card.
Valid	The fingerprint clearance card is valid.
Pending	DPS is processing the application. No action needed.
No Info Found	<p>Focus was unable to locate the fingerprint card or application number in the DPS database. Refer to the following troubleshooting tips:</p> <ul style="list-style-type: none"> <li>• <i>Verify that the card number or application number is correct in the roster.</i></li> <li>• <i>Verify that the card or application number entered in Focus is the <u>current</u> card or application. Entering a number from a prior card or application will result in a failure.</i></li> <li>• <i>Ensure the card is linked with the HCBS statute in the DPS database.</i> <ol style="list-style-type: none"> <li>1. <i>Log into the <a href="#">DPS Public Services Portal</a>.</i></li> <li>2. <i>Search for the card or application.</i></li> <li>3. <i>At the bottom of the page, click, "Edit Clearance Card."</i></li> <li>4. <i>Select the box for "DES - DDD/HCBS ARS 36-594.01"</i></li> <li>5. <i>Enter the employer information or social security number.</i></li> <li>6. <i>Click "Submit" and allow 2-3 days for the error to resolve in Focus.</i></li> </ol> </li> </ul>

### Adult Protective Services (APS) Registry Check

The HCBS Certification application checks the APS Registry every 24 hours. If an employee fails the APS check, compare the name and date of birth listed in your agency personnel file with the name and date of birth listed on the [APS Registry](#).

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