

1240 - A - DIRECT CARE SERVICES (ATTENDANT CARE, PERSONAL CARE, AND HOMEMAKER SERVICES)

EFFECTIVE DATES: 10/01/12, 03/01/13, 10/01/13, 10/01/14, 10/01/18, 09/05/24, XX/XX/XX¹

APPROVAL DATES: 03/01/13, 10/01/13, 10/01/14, 07/20/17, 05/21/24, XX/XX/XX²

I. PURPOSE

This Policy applies to ALTCS E/PD and DES DDD (DDD) Contractors; and Fee-For-Service (FFS) Program Tribal ALTCS. Where this Policy references ALTCS or Contractor requirements the provisions apply to ALTCS E/PD, DES DDD and Tribal ALTCS unless otherwise specified.³ This Policy establishes requirements regarding covered Direct Care Services, known as attendant care, personal care, and homemaker services, for Arizona Long Term Care System (ALTCS) members who require assistance to meet their needs and to allow members to reside in their own home. These services are provided by Direct Care Workers (DCWs), including Family Members as paid caregivers. The services provided by DCWs enable members who might otherwise be in a ~~Nursing Facility~~ (NF) or Alternative Home and Community Based Services (HCBS) setting to remain at, or return to, their own home when that environment is not medically contraindicated and when it is cost effective to do so. ~~Services are designed to assist individuals in acquiring, retaining, and improving the self-help skills necessary to reside successfully in HCBS settings.~~⁴

II. DEFINITIONS

Refer to the AHCCCS Contract and Policy Dictionary for common terms found in this Policy.

For purposes of this Policy, the following terms are defined as:

~~DIRECT CARE SERVICES~~

~~The services provided by Direct Care Workers (DCW)s are collectively known as Direct Care Services. There are three types of services within ALTCS that are provided by DCWs; these include attendant care, personal care, and homemaker services.~~

~~DIRECT CARE WORKER (DCW)~~

~~A person who assists an elderly person or an individual with a disability with activities necessary to allow them to reside in their home. These individuals, also known as direct support professionals, must be employed/contracted by DCW Agencies or, in the case of member directed options, employed by ALTCS members to provide services to ALTCS members.~~

¹ Date Policy is effective

² Date Policy is approved

³ Revising language to clarify that all references to ALTCS include DES DDD and Tribal ALTCS revising throughout policy.

⁴ Removing from policy is not applicable at this time.

**~~DIRECT CARE WORKER
(DCW) AGENCY~~**

~~An agency that registers with AHCCCS as a service provider of Direct Care Services that include Attendant Care, Personal Care or Homemaker. The agency, by registering with AHCCCS, warrants that it has a workforce (employees or contractors) with the abilities, skills, expertise, and capacity to perform Direct Care Services.~~

FAMILY MEMBERS

The following relatives of a member are defined as family members in the context of what family members may get paid to provide services to AHCCCS members:

1. Spouse,
2. Adult children/Stepchildren,
3. Son/Daughter-in-law,
4. Grandchildren,
5. Siblings/Step Siblings,
6. Parents/Stepparents/Adoptive Parents,
7. Grandparents,
8. Mother/Father-in-law, and
9. Brother/Sister-in-law.

**PARENT AS PAID
CAREGIVER (PPCG)
SERVICE MODEL OPTION**

Permits legally responsible parents, including legal guardians, with formal physical and/or legal custody to receive compensation for providing paid direct care and habilitation services to their minor child, an ALTCS member.⁵

**~~MEMBER-DIRECTED
OPTIONS~~**

~~Allow members to have more control over how certain services are provided, including services such as attendant care, personal care, homemaker, and habilitation. The options are not services, but rather define the way in which services are delivered. Member-directed options are available to ALTCS members who live in their own home. Member-directed options include Agency with Choice (AWC), Self-Directed Attendant Care (SDAC), and the Division of Developmental Disabilities (DDD)'s Independent Provider Network.⁶~~

**SPOUSE AS PAID
CAREGIVER SERVICE
MODEL OPTION**

Permits legally responsible spouses to receive compensation for providing direct care services to their spouse, an ALTCS member.⁷

⁵ Added definition of the Parents as Paid Caregiver Service Model Option.

⁶ Revised to align with Contract and Policy formatting standards. Common terms can be found in the AHCCCS Contract and Policy Dictionary.

⁷ Added definition of Spouse as Paid Caregiver Service Model Option.

III. POLICY

A. GENERAL REQUIREMENTS APPLICABLE TO ALL DIRECT CARE SERVICES

1. Direct Care Services are available only to ALTCS members who reside in their own home. The number and frequency of authorized Direct Care Services is determined through an assessment of the member's needs by the ~~ALTCS eCase m~~Manager with the member and/or ~~the member's~~⁸ Health Care Decision Maker (HCDM)⁹ in tandem with the completion of the cost-effectiveness study.

2. Direct Care Services are not reimbursable in any institutional or Alternative HCBS settings as specified in AMPM ~~Policy 1210 and AMPM Chapter 1200, Section 1230~~⁹.

AHCCCS will allow (under limited circumstances, as specified in this Policy) for the provision of attendant care and personal care services while the member is in a hospital inpatient or emergency room setting.

3. Attendant and personal care services are not limited to the boundaries of the member's home. As indicated in the Person-Centered Service Plan (PCSP), the Direct Care Worker (DCW), under attendant care and personal care¹⁰, may accompany the member as necessary to meet their needs in a variety of settings, including, but not limited to:
 - a. A physician's office,
 - b. ~~Se~~Post Secondary Educational Settings (i.e. college, vocational, adult learning)¹¹ ~~hoel setting,~~ and
 - c. Workplace.

Attendant care and personal care services shall not be provided by the Contractor or Tribal ALTCS that are otherwise the obligation of publicly funded K-12 educational institutions, programs or grants.¹²

4. The DCW Agencies hire/contract, supervise/monitor, and control/define the responsibilities and tasks of the DCW as well as establish the rate of reimbursement/wages for the DCW. The DCW Agencies are not required to be certified by a state regulatory board or agency; however, agencies shall register with AHCCCS, sign, and attest to meeting the terms of the AHCCCS Provider Participation Agreement (PPA). Agencies shall also ensure the basic testing, documentation, and training requirements for DCWs are satisfied as set forth in this Policy, including those involving Direct Care Services that are provided through the Agency with Choice (AWC) option. Agencies are also responsible for assuring that employees/contractors providing services to ALTCS members comply with any additional

⁸ Removed redundant.

⁹ Removed Manual is no longer laid out in Sections.

¹⁰ Technical clarification

¹¹ Provided clarification on settings where attendant care services can be provided

¹² Clarified exclusion for services funded by k-12.

standards established by the Contactor or AHCCCS for the FFS Programs.¹³. Additional information regarding service requirements for AWC can be found in AMPM Policy 1310-A.

~~5. Parents may provide direct care services if the member is 18 years or older, or under limited circumstances, for members under the age of 18, when approved by AHCCCS. For all members under the age of 18, the decision for payment of a parent shall be made in coordination with AHCCCS.~~

~~The following Family Members are excluded from providing Direct Care Services for payment to members under the age of 18:~~

- ~~a. Natural parent,~~
- ~~b. Adoptive parent, and~~
- ~~c. Stepparent¹⁴.~~

~~6.5.~~ Under AAC R9-22-202¹⁵, the Contractor has the discretion to temporarily approve attendant and personal care services in a location outside of the Contractor's Geographic Service Area (GSA), when circumstances would be of benefit for the member and when cost effective. An example of appropriate approval would be for a family caregiver to be paid for accompanying the member while outside of the Contractor's GSA in lieu of a ~~N~~ursing ~~F~~acility ~~(NF)~~ stay for the member. Services cannot be provided out of the country¹⁶.

~~7.6.~~ The DCW training and testing requirements included in this Policy are applicable to DCWs who provide services through a DCW Agency, including DCWs who provide services through the AWC option.

~~8.7.~~ The DCW training and testing requirements included in this Policy are not applicable to DCWs providing services to members through the Self-Directed Attendant Care (SDAC) or to the Division of Developmental Disabilities' (DDD) Independent Provider Network member-directed option. Service requirements for SDAC can be found in AMPM Policy 1320-A.

B. STANDARDS AND REQUIREMENTS APPLICABLE TO ALL DIRECT CARE WORKERS

1. All DCWs, including those who are family members, shall comply with the following standards:
 - a. Hold certification in Cardiopulmonary Resuscitation (CPR) and first aid:
 - i. Training in CPR and first aid shall be provided or sponsored by a nationally recognized organization, and
 - ii. Training sessions must include on-site, and in-person return skills demonstrations such as mouth-to-mouth resuscitation, chest compressions and first aid skills.

¹³ Standards are established by AHCCCS for the FFS Providers follow.

¹⁴ This section is no longer needed as a result of the Parents as Paid Care Givers service model option that is outlined later in the policy.

¹⁵ Fixing AAC reference

¹⁶ Clarifying services cannot be provided out of the country.

- b. Comply with recommendations and requirements resulting from routine monitoring and supervision by the [DCW Agency](#)¹⁷, Contractor or AHCCCS to ensure the competency of the DCW. The monitoring and supervision may also provide assistance with any adjustment issues between the member and the DCW.
- c. Comply with the objectives and methods specified in the member's PCSP. Notify the agency representative of any changes in member's condition who will, in turn, notify the [ALTCS eCase Manager](#),
- d. Comply with the applicable education requirements described in this Policy, and
- e. Comply with the applicable background check and Arizona Adult Protective Services (APS) [and Arizona Department of Child Safety \(DCS\)](#)¹⁸ Registry screening requirements checks as specified in this Policy.

C. PROGRAM MANAGEMENT COMPONENTS APPLICABLE TO ALL DIRECT CARE SERVICE AGENCIES

All DCW Agencies, including those agencies that provide services through the AWC option, are responsible to conduct the following:

- 1. Register as an AHCCCS provider.
- 2. Pre-screen all prospective DCW employees/~~e~~contractors including contacting three references, one of whom shall be a former employer/contractor, if the prospective DCW has previous work history. This pre-screen process shall also incorporate evaluation of the appropriateness of allowing a member's relative to provide Direct Care Services if the prospective DCW is a family member.
- 3. Develop policies and procedures for, and begin conducting background checks of, DCWs that comply with the following standards:
 - a. At the time of hire/initial contract, and every three years thereafter conduct a nationwide criminal background check that accounts for criminal convictions in Arizona,
 - b. At the time of hire/initial contract and every year thereafter, conduct a search of the Arizona Adult Protective Services ([APS](#)) [and Department of Child Services \(DCS\)](#) ~~Registr~~[Registries](#) screening requirements,
 - c. Prohibit a DCW from providing services to ALTCS members if the background check results contain:
 - i. Convictions for any of the offenses listed in ARS 41-1758.03(B) or (C), or
 - ii. [Any substantiated report of abuse, neglect or exploitation of vulnerable adults listed on the APS Registry pursuant to ARS 46-459, or](#)
 - iii. [Any substantiated report of child abuse or neglect pursuant to ARS 8-804.](#)
 - d. Upon hire/initial contract and annually thereafter, obtain a notarized attestation from the DCW that they are not:
 - i. Subject to registration as a sex offender in Arizona or any other jurisdiction, or

¹⁷Added DCW Agency to list of entities that provide routine monitoring and supervision

¹⁸ Updated to include both APS and DCS registry checks, changes made throughout Policy

- ii. Awaiting trial on or has been convicted of committing or attempting, soliciting, facilitating, or conspiring to commit any criminal offense listed in ARS 41-1758.03(B) or (C), or any similar offense in another state or jurisdiction.
 - e. Require DCWs to report immediately to the agency if a law enforcement entity has charged the DCW with any crime listed in ARS 1758.03(B) or (C),
 - f. Require DCWs to report immediately to the agency if APS has alleged that the DCW abused, neglected, or exploited a vulnerable adult,
 - ~~f.g.~~ Require DCWs to report immediately to the agency if ~~DCS-DCW~~ has ~~that~~ alleged that the DCW has abused or neglected ~~of~~ a child,¹⁹
 - ~~g.h.~~ Agencies may choose to allow exceptions to the background requirements for DCWs providing services to Family Members only, excluding DCWs providing services under PPCG or any other scenario whereby the member is legally unable to provide consent²⁰.
If the agency allows a DCW to provide services under this exception, the agency shall:
 - i. Notify the ALTCS member in writing that the DCW does not meet the background check standards and therefore otherwise would not normally be allowed to provide services, and
 - ii. Obtain consent from the ALTCS member to allow the DCW to provide services despite the findings of the background check.
 - ~~h.i.~~ Agencies are prohibited from allowing exceptions to the APS or DCS²¹ Registry screening requirements for DCWs.
4. ~~Direct Care Worker Agencies are required to comply~~ Comply²² with Fingerprint Clearance Card requirements as specified in ARS Title 41, Chapter 12, Article 3.1, are, for purposes of this policy, presumed to have complied with the criminal background check required by this Policy in Section 3²³ with one exception; the DCW Agency shall still comply with and develop policies and procedures satisfying the obligation to check the APS and DCS²⁴ ~~Services~~ Registries.

The DCWs are prohibited from providing services to ALTCS members if the DCW is precluded from receiving a Fingerprint Clearance Card, ~~or~~ has a substantiated report of abuse, neglect or exploitation of vulnerable adults listed on the APS Registry pursuant to ARS 46-459 or a substantiated report of abuse or neglect of a child listed on the DCS Registry.

All DCW Agencies sub-contracted with DDD shall also include in their policies and procedures the requirements specified in ARS Title 36, Chapter 5.1, Article 3 with respect to fingerprinting requirements of contract providers and HCBS providers.

- 5. Match the skills of qualified DCWs with each ALTCS member's needs for Direct Care Services, as well as the member's personal preferences. The member/HCDM should be offered the

¹⁹ Modified for consistency with previous paragraph

²⁰ Clarify exceptions cannot be made for parents serving as DCWs under the PPCG service model or other members whereby they are unable to legally provide consent.

²¹ Incorporated DCS registry checks

²² Revised to align with lead in statement

²³ Added clarification

²⁴ Incorporated DCS registry checks

opportunity to interview and select an appropriate DCW. The agency needs to be available to assist in this process as requested. The entire selection process should occur as expeditiously as possible, subsequent to the referral. The process also includes initiating a written agreement between the member/HCDM and the DCW which delineates the responsibilities of each.

6. ~~Providing~~Provide, as needed, education and support for the member/HCDM in working with the DCW and effectively managing complex situations (e.g., ~~i.e.~~, grievances, thefts, or terminations).
7. Provide any necessary specialized training or technical assistance for a selected DCW to provide necessary services to the member.
8. ~~Assure~~Verify that all DCWs hold current certification in CPR and first aid prior to providing care to an ALTCS member and maintain certification thereafter.²⁵
9. Provide supervisory/monitoring visits of DCW as specified in this Policy. All monitoring and supervision assessments shall be documented and kept in the ~~DCW's personnel/contract~~member's file²⁶.
10. Verify the delivery of DCW services in accordance Electronic Visit Verification (EVV), including methodologies to discourage falsification of records that demonstrate the type, amount, duration, and frequency of services provided, and providing payment for such services within agreed upon timeframes. Within 30 days of hire, DCW Agencies shall use the EVV system to identify DCWs who are live-in caregivers and the specific relationship to the member.²⁷ More information about EVV requirements can be found in AMPM Policy 540.
11. Maintain records of DCW work verification, educational requirements, and payment that are retained in accordance with 9 AAC 28, Article 5.
12. Ensure compliance with education requirements as specified in this Policy by either becoming an Approved DCW Training and Testing Program or delegating the responsibility of DCW training and testing to an Approved DCW Training and Testing Program (Refer to ACOM Policy 429 for approved DCW Training and Testing Program requirements and standards). Additionally, DCW Agencies shall ensure compliance with training and testing records maintenance standards as specified below. Non-compliance may result in contract termination and/or termination of AHCCCS provider registration.
 - a. Manage and maintain individual DCW training and testing records that include:
 - i. Services provided by the DCW,
 - ii. Exemptions from training and testing requirements (if applicable),
 - iii. Hire/initial contract date and date training period concluded,

²⁵Clarified intent and expectations of DCW agencies

²⁶Changing where the documentation should live to protect member health information

²⁷Revised in response to HB2945

- iv. Standard form utilized to obtain permission from DCW to access testing records in the online database,
- v. Verification of testing type(s), date(s), module(s), and score(s). Verification sources may include a completed Verification of DCW Testing form (available on the AHCCCS website) from a former DCW Agency or official transcript from an Approved DCW Training and Testing Program, and
- vi. Annual timeframe, hours, topics, and delivery methods for continuing education.
- b. Integrate the use of the AHCCCS DCW and DCW Trainer Testing Records Online Database (DCW Database) into business practices. The primary purpose of the DCW Database is to serve as a tool to support the portability or transferability of DCW testing records from one agency to another agency or DCW trainer testing records from one training program to another. The DCW Database is available online at <https://dcwrecords.azahcccs.gov/> and includes computer-based training modules found under the “training” tab, a Frequently Asked Question document and a User Guide which can be found under the “help” tab,
- c. The DCW agencies shall:
 - i. Maintain a list of organizational users and notify AHCCCS when a user account shall be terminated or suspended,
 - ii. Maintain and manage a list of DCWs who will be or have been sent for training/testing including status changes of DCWs (hired, contracted, terminated, resigned) within 30 days of the status change,
 - iii. Utilize a standard form to obtain permission from current/prospective DCW employees/contractors to access testing records in the online database, and
 - iv. In the event testing records are not available in the online database, a hard copy form shall be used for testing record verification:
 - a) A current/former/prospective DCW Agency(ies) of a DCW shall share upon request and/or may solicit testing records using the Verification of DCW Testing form,
 - b) The Verification of DCW Testing form is available on the AHCCCS website, www.azahcccs.gov/dcw. The DCW Agency shall maintain copies of the verification of testing forms provided to and/or requested from another DCW Agency, and
 - c) Verification may also include an official transcript from an Approved DCW Training and Testing Program of the test type(s), date(s), module(s), and score(s).
- d. Back-up documentation shall be retained for a minimum period of 10 years. Back-up documentation includes the testing search authorization standard form and back-up documentation for any and all entered data in the DCW Database or any data pertaining to training and testing of DCWs. The documentation can be retained in either an electronic or hard copy filing system.

Additional information about the service requirements for AWC can be found in AMPM Policy 1310-A.

D. SUPERVISORY/MONITORING VISITS APPLICABLE TO ALL DIRECT CARE SERVICES

The DCW agencies are required to perform periodic supervisory/monitoring visits to monitor and evaluate the quality of the provision of direct care services including the assessment of the DCW's competency in performing the assigned duties in accordance with the member's individualized service needs and preferences. The visits also intended to support ongoing communication with the agency to report instances when services are not provided as authorized and other concerns that develop between supervisory/monitoring and/or Case Manager visits. The scope of the supervisory/monitoring visit includes observing, gathering feedback from the member/HCDM, and identifying resources for the DCW when opportunities for improvement or support are identified.²⁸

Supervisory/monitoring visits shall be documented utilizing the Service Delivery Monitoring and Supervisory Visit Documentation Form (AMPM Policy 1240-A, Attachment A or is permissible for agencies to utilize their own forms if the minimum elements are captured.²⁹ The completed form shall be kept in the member's case file with the DCW agency and cross-referenced in the DCW's personnel/contract file.³⁰

There are distinct timeframe requirements for when these supervisory/monitoring visits shall occur as indicated in the matrix below, including instances when the DCW shall be present and circumstances when the DCW does not need to be present. Supervisory/monitoring visits also apply when services are provided under the AWC option.

~~1. Supervisory/monitoring visits requiring the DCW's presence.~~

~~Some supervisory/monitoring visits shall be performed while the DCW is providing services and physically in the member's home, to observe the care being provided.³¹ The purpose of these visits is to assess and document the DCW's competency in performing the assigned duties in a safe manner according to the training the DCW has received.³²~~

~~A supervisory/monitoring visit is required once within the first 90 days of the DCW's initiation of services for each member served.³³ The supervisory/monitoring visits are required to be completed annually thereafter, or more frequently if warranted~~

~~2.1. Initial Supervisory/monitoring visits not requiring the DCW's presence.~~

²⁸ Clarified the scope of the monitoring/supervisory visit.

²⁹ Incorporated standard form for visits and clarified agencies can create their own form so long as the minimum elements are captured.

³⁰ Changing where the documentation should live to protect member health information.

³¹ Removed for simplification and rather noting specific instances when the Direct Care Worker is required to be present during the initial or continuing visits.

³² The purpose statement was moved into the introductory paragraph for this section.

³³ Removed for simplification and rather noting specific instances when the Direct Care Worker is required to be present during the initial or continuing visits.

~~The following supervisory/monitoring visits do **not** require the presence of the DCW at the time of the visit, although these visits may be combined with supervisory/monitoring visits requiring the DCW's presence as determined applicable.~~³⁴

~~The purpose of these supervisory/monitoring visits is to have and document discussions with the member regarding the quality of care, delivery of services and ongoing communication with the agency to report instances when services are not provided as authorized and other concerns that develop between supervisory/monitoring and/or case manager visits.~~³⁵

The timing of these supervisory/monitoring visits for the first 90 days (as outlined below) is based on the date of the new DCW's³⁶ initial service provision for the member, and not the date of the initial service authorization. ~~After the first 90th day visit, all other visits occur at least every 90 days from the previous visit.~~³⁷

The timeframes for conducting the initial³⁸ 5th, 30th, 60th and 90th day supervisory visits are as follows:

- a. The initial supervisory/monitoring visit is required by the 5th day from the initial service provision by the new DCW³⁹ and shall not occur on the same day as the initial service provision. ~~For homemaker services only, the 5th day supervisory/monitoring visit (depending on the nature of the care being performed) The visit~~ may be conducted virtually (both audio and visual). If the member does not have access to the internet/devices or lives in a location with non-existent infrastructure for internet access and/or if a member must incur costs for additional access, telephonic would be permissible⁴⁰, and
- b. The remaining supervisory/monitoring visits are required on the 30th day, 60th day (required if issues are identified by the member, DCW agency or Contractor⁴¹) and 90th day from the initial service provision date. The DCW shall be present for the 90th day visit⁴². The DCW may be present for the other initial visits if requested by the member or DCW agency.⁴³ ~~The visits shall not occur more than five days after the due date. After the initial 90th day visit, all other visits occur at least every 90 days from the previous visit.~~

³⁴ Removed for simplification and rather noting specific instances when the DCW is required to be present during the initial or continuing visits.

³⁵ The purpose statement was moved into the introductory paragraph for this section.

³⁶ Clarification the clock starts when a new DCW starts to provide services to a member

³⁷ Deleting to avoid confusion

³⁸ For clarification

³⁹ Clarification the clock starts when a new DCW starts to provide services to a member

⁴⁰ Created flexibility for the 5th day visit to be telephonic

⁴¹ Clarified who might identify issues

⁴² Require the DCW to be present for the initial 90th day visit or when requested by the member

⁴³ Allowing for flexibility for more visits with the DCW present if warranted or requested by the member

SUPERVISORY/MONITORING VISIT TABLE: EXAMPLE	
PROVISION OF SERVICE DATE: 05/01	
FREQUENCY OF VISIT	OPTIMAL VISIT DATE
5 Day	05/06 <u>(virtual allowable)</u> ⁴⁴
30 Day	05/31
60 Day	06/30 (if needed)
90 Day	07/30 <u>(DCW present)</u>

When the DCW Agency determines through supervisory/monitoring visits or other oversight activities that services were not provided as authorized, the reasons for the non-provision of services shall be documented by the provider in the member's case file and reported to the Contractor and AHCCCS. The DCW Agency shall notify the Contractor and AHCCCS if any potential fraud, waste, or abuse is suspected (e.g., service verification fraud by DCW and/or member/HCDM). For information on reporting fraud, waste, and abuse, refer to <https://www.azahcccs.gov/Fraud/ReportFraud/>

2. Continuing Supervisory/monitoring visits.

After the initial 90th day visit, all other visits occur at least every 90 days from the previous visit. The DCW is required to be present during supervisory/monitoring visits twice a year thereafter, or more frequently if warranted or requested by the member.⁴⁵ The visits shall not occur more than five days after the due date.⁴⁶

E. EDUCATION STANDARDS APPLICABLE TO ALL DIRECT CARE WORKERS (ATTENDANT CARE, PERSONAL CARE, AND HOMEMAKER SERVICES)

AHCCCS has established and imposed minimum competency standards for DCWs to ensure consistency in the provision of and the quality of care for ALTCS members. All DCWs shall hold current certification in CPR and first aid and meet the required training and testing standards as specified in this Policy. All DCWs, including those who are Family Members, shall demonstrate skills, knowledge, and ability to provide care as a paid caregiver to ALTCS members.

The specific knowledge and skills that are required are dependent on the type of care that will be provided. The DCW competencies and the "Principles of Caregiving" curriculum, created through the Arizona Direct Care Workforce Initiative, provide the basis for the required training and testing. Links to the competencies, curriculum and other information are located at <https://www.azahcccs.gov/dcw>. A DCW, including those who are family members, may require additional training to meet the specific needs of an individual ALTCS member.

1. Oversight Requirements:
 - a. AHCCCS Oversight:

⁴⁴ Notated the option for the visit to be telephonic

⁴⁵ Require the Direct Care Worker to be present for no less than two 90-day visitations a year but allowing flexibility for more if warranted or requested by the member

⁴⁶ Clarified the visits requiring the DCW's present also have the five day window grace period

- i. AHCCCS is responsible for the review and approval of applications for an Approved DCW Training and Testing Program, and
 - ii. May audit Approved DCW Training and Testing Programs to ensure compliance with ACOM Policy 429.
 - b. Contractor Oversight:
 - i. The Contractors shall audit Approved DCW Training and Testing Programs to ensure compliance with ACOM Policy 429.
2. Training and Testing Period Standards:
 - a. A DCW with an initial hire/contract date prior to October 01, 2012, is deemed to meet the training and testing requirements with the DCW agency(ies) that the DCW is currently employed/contracted to provide services with. However, if the DCW becomes employed/contracted with another agency on or after October 01, 2012, the DCW shall meet the training and testing requirements contained within this policy. All DCWs with an initial hire/contract date on or after October 01, 2012, shall meet the DCW training and testing requirements contained within this Policy,
 - b. A DCW Agency has 90 calendar days from date of hire/initial contract to train and test DCWs. It is permissible for DCWs to provide care during the 90-day training period. In the event the DCW's 90-day training period expires prior to the DCW receiving training and passing the knowledge and skills tests, the DCW shall stop providing care until the training and testing requirements are met, and
 - c. A DCW who has not worked as a DCW or has no work experience like that performed by DCWs in the last two years will be required to demonstrate competency by passing both a knowledge and skills test prior to providing services to ALTCS members.
3. Training and Testing Exemptions:
 - a. A DCW who is a Registered Nurse, Licensed Practical Nurse, ~~or~~ Certified Nursing Assistant or Licensed Nursing Assistant⁴⁷ as specified in ARS 32, Chapter 15 and 16 and a Licensed Health Aide as specified in ARS 32-1601 are ~~exempt~~ from the DCW training and testing requirements. This exemption allows the DCW agency the discretion to require the testing and training of their employees/contractors as determined necessary, and
 - b. A DCW who is providing care to a family member only, is exempt from the Level II – Specialized modules training and testing requirements.
4. Levels of Training
Demonstration of skills, knowledge, and ability is required at the following levels for the specified DCWs. Skills, knowledge, and ability are demonstrated by completion of the course and passing a knowledge test and skills test that is based on the "Principles of Caregiving" or an equivalent and approved curriculum. Completion of a training course is recommended; demonstration of knowledge and skills by testing is mandatory. Unless exempt as specified above, the DCWs shall achieve a score of 80% for each knowledge test and successfully pass all (100%) of the skills demonstrations for any curriculum modules. A DCW agency may permit an employee/contractor to take a challenge test (taking a test without being trained),

⁴⁷ Allowing Licensed Nursing Assistants to exempt because they have more skills/training than the Certified Nursing Assistants and they are licensed, and not just certified.

for both the Level I and Level II modules, if the DCW has the education like what is required for DCWs or work experiences similar to that performed by the DCWs. The agency shall verify and document the DCWs relative educational and work experiences.

- a. Level I – Introduction to and Fundamentals of Caregiving:
 - i. Shall be completed by all DCWs, including family caregivers, to provide Direct Care Services to ALTCS members, and
 - ii. Is Applicable to all DCWs providing attendant care, personal care, and homemaker services.
 - b. Level II – Specialized Modules (Aging and Physical Disabilities or Developmental Disabilities) shall be successfully completed by all DCWs providing attendant care, personal care, or homemaker services (excluding DCWs who provide care to Family Members only). Successfully completing Level II means at least one of the specialty modules must be completed and the DCW shall pass the knowledge test and skills test. DCWs shall take the appropriate Level II modules training and tests that correlates to the population that they serve. If the DCW serves both the population of individuals who are eElderly and/or have pPhysical disabilities (E/PD), and the population of individuals with a developmental disability (DD), they are required to take both Level II modules.
5. Continuing Education including:
- a. Six hours of continuing education are required annually. For DCWs hired/contracted prior to October 1, 2012, the yearly timeframe for continuing education is from October-September. For DCWs hired/contracted on or after October 1, 2012, the yearly timeframe for continuing education is the anniversary date of the DCW's date-of-hire,
 - b. The training completed in the first year to become a qualified DCW can be counted towards the required six hours of continuing education,
 - c. The CPR and first aid training cannot count toward the six-hour requirement,
 - d. Continuing education shall include training on additional curriculum modules and relevant topics. It is not the intent of continuing education to repeat the same topics year after year, The "Principles of Caregiving, Alzheimer's Disease and Other Dementias" module developed by representatives of residential care, home and community-based care, experts in the fields of communication, behavior, and activities are recommended for continuing education. The module comes complete with test,
 - e. For family caregivers, the continuing education can be specific to the service recipient, and
 - f. Continuing education can be offered in many forms, including in-service, online, video/Digital Video Disk (DVD), written material, attendance at a class or conference, and so forth. Consideration should be given to allowing family caregivers to complete the materials at home if necessary.

F. SERVICE SPECIFICATION APPLICABLE TO DIRECT CARE SERVICES

The service specifications related to each Direct Care service (attendant care, personal care, and homemaker Services) are individually discussed in this section. For additional information and requirements related to these services when they are provided through the SDAC or the AWC options, refer to AMPM Policy 1320-A and AMPM Policy 1310-A.

G. ATTENDANT CARE

AHCCCS covers attendant care services provided to ALTCS members. The DCW provides assistance with a combination of services which may include homemaking, personal care, and general supervision. The intent of attendant care is to initiate strong support for keeping members in their own homes; integrated with their families, communities, and other support systems. This service requires involvement from the member/HCDM in decisions related to attendant care provider functions.

Other HCBS may be provided in conjunction with attendant care. However, within the same day, attendant care services may not be provided in conjunction with personal care, home delivered meals and homemaker services without special justification by the case manager and approval by the Contractor or AHCCCS for FFS members as these services are generally considered a duplication of each other. [Policy Policy-1](#)

Adult day health care as specified in AMPM Policy 1240-B and group respite services as specified in AMPM Policy 1250-D are also excluded on days when attendant care is provided unless rationale has been specifically justified by the member's case manager and approved by the Contractor or AHCCCS for FFS members.

1. Attendant care services are provided in accordance with the member's PCSP and include:
 - a. Homemaker tasks including:
 - i. Cleaning,
 - ii. Laundry,
 - iii. [Meal Food](#) preparation, and
 - iv. Essential errands such as grocery shopping, securing medical supplies, and household items.
 - b. Personal care including:
 - i. Bathing,
 - ii. Skin care,
 - iii. Oral hygiene,
 - iv. Toileting,
 - v. Ambulation,
 - vi. Grooming,
 - vii. Dressing,
 - viii. Nail care,
 - ix. Feeding as necessary,
 - x. Use of assistive devices, and
 - xi. Caring for other physical needs.

Care specifically excludes skilled tasks ~~such as wound care and bowel care~~ that can only be performed by a licensed Registered Nurse or delegated by a licensed Registered Nurse to a Licensed Practical Nurse ([LPN](#)) or [Licensed Health Aid](#) (except for services provided under Self Directed Attendant Care, refer to AMPM Policy 1320-A).

- c. General supervision which includes:
 - i. Monitoring of a member who cannot be safely left alone,

- ii. Assisting with self-administration of medications, (when the member is physically unable to administer their medications, the member may direct the caregiver in this task), and
- iii. Monitoring the member's medical condition and ability to perform the activities of daily living.
- d. Coordination with the member/HCDM to assure activities and necessary services are provided to meet the objectives of the member's PCSP,
- e. Assistance with skill development and training in activities of daily living for tasks not otherwise being supported through in-home habilitation services (refer to AMPM Policy 1240-E) on the same day,⁴⁸ and
- f. Attendant care services are not permitted to be billed at the same time or for the same tasks that are being provided under the scope of a skilled nursing service on the same day (reference AMPM Policy 310-I or AMPM Policy 1240-G),⁴⁹
- g. Parents of minor children are prohibited from receiving payment for services⁵⁰:
 - i. When the minor child is not present,
 - ii. When the minor child is receiving care by a licensed provider or at a licensed outpatient or inpatient facility, and
 - iii. That include cleaning, laundry or meal prep tasks.
- e-h. Observation and reporting to the DCW Agency and/or the case manager of members who exhibit the need for additional medical or psychosocial support, or a change (decline or improvement) in condition during service delivery.

2. ~~Attendant Care Provider (Caregiver)/Spouse~~ and ~~Parent~~ as ~~P~~paid Caregiver service model conditions standards and limitations requirements.⁵¹

For purposes of this section, "extraordinary care" means care that exceeds the range of activities that a spouse or a legally responsible parent of a minor child would ordinarily perform in the household on behalf of the ALTCS member if the member did not have a disability or chronic illness, and which are necessary to assure the health and welfare of the member and to avoid institutionalization.

- a. The following conditions and limitations apply to both Spouse and PPCG service model options.⁵²
 - i. The member shall reside in their own home,
 - ii. Attendant care services shall be assessed through and documented in the member's PCSP prepared by the member's Case Manager,
 - iii. By electing to have the member's spouse or parent provide attendant care services as a paid caregiver, the member is not precluded from receiving any other medically

⁴⁸ Clarify that it is a duplication of service for a member to have both attendant care and habilitation addressing the same activity of daily living or task.

⁴⁹ Adding clarification to prohibit duplication of services by two separate services

⁵⁰ Revised in response to HB2945

⁵¹ Modifying the Spouse as Paid Caregiver Service Model Option section to incorporate standards for the Parents as Paid Caregiver option while identifying standards consistent for either model and unique conditions for each model

⁵² Created a section with standards that apply to both service model options.

necessary, cost effective HCBS. Members are eligible for respite care services subject to applicable limitations as specified in AMPM Policy 1250-D.

iv. Attendant care services provided by the spouse/parent shall meet the definition of extraordinary care as described in this section and documented using the HCBS Needs Assessment Tool (AMPM Exhibit 1620-17);

v. The spouse/parent shall be employed/contracted under the following circumstances:

1) Employed/contracted by a DCW Agency that subcontracts with the member's Contractor,

2) If the member is served by DDD, the spouse can be employed/contracted by a member under the Independent Provider Network, or

3) If the member is an American Indian/Alaskan Native enrolled in FFS, the spouse/parent shall be employed/contracted by an AHCCCS registered DCW Agency.

vi. The spouse/parents shall meet the standard training requirements and other provider qualifications included in this Policy (and in AMPM 1240-E as applicable for habilitation services),

vii. The spouse/parent shall be paid at a rate that does not exceed what would otherwise be paid to a non-spouse/parent caregiver providing a similar level of attendant care services.

~~a.b. A member may choose to have attendant care services provided by their~~ The following conditions and limitations apply to the spouse as a paid caregiver service model option subject to the following conditions and limitations in accordance with AAC R9-28-506:⁵³

~~i. The member shall reside in their own home,~~⁵⁴

i. The Contractor ensures shall ensure that the member understands that they have the choice of a provider of attendant care other than the member's spouse,

~~ii. Attendant care services shall be described in the member's PCSP prepared by the member's case manager,~~⁵⁵

ii. For a member who elects to have their spouse provide personal care or similar services as a paid caregiver, personal care, or similar services in excess of 40 hours in a seven-day period will not be authorized. By electing to have the member's spouse provide attendant care services as a paid caregiver, the member is not precluded from receiving any other medically necessary, cost effective HCBS. Members are eligible for respite care services subject to applicable limitations as specified in AMPM Policy 1250-D.⁵⁶

iii. The case manager shall, at least annually, record in the member's PCSP, the member's choice to have attendant care provided by the member's spouse as a paid caregiver (refer to AMPM Policy 1620-D for information on Placement and Service Planning Standard and AMPM Exhibit 1620-12 regarding "Spouse Attendant Care Acknowledgement of Understanding"),

~~iv.i. Attendant care services provided by the spouse shall meet the definition of extraordinary care as described in this section,~~

⁵³ Created section of conditions and limitations unique to the spouse as paid caregiver service model option

⁵⁴ Moved above to the section that outlines standards that apply to both service model options.

⁵⁵ Moved above to the section that outlines standards that apply to both service model options.

⁵⁶ Moved above to the section that outlines standards that apply to both service model options.

- ~~v.i. The spouse shall be employed/contracted under the following circumstances:~~
 - ~~2)1) Employed/contracted by a DCW Agency that subcontracts with the member's Contractor,~~
 - ~~3)1) If the member is served by DDD, the spouse shall be either employed/contracted by a DCW Agency that subcontracts with DDD or employed/contracted by a member under the Independent Provider Network, or~~
 - ~~4)1) If the member is an American Indian/Alaskan Native enrolled in FFS, the spouse shall be employed/contracted by an AHCCCS registered DCW Agency.⁵⁷~~
- ~~b. The spouse shall meet the standard training requirements and other provider qualifications included in this Policy with one exception in respect to spouses employed/contracted by a member under DDD's Independent Provider Network. In this circumstance, members may elect whether or not to require the DCW to satisfy the minimum competency standards as specified in this Policy,~~
- ~~c. For managed care, the spouse shall be paid at a rate that does not exceed what would otherwise be paid to a non-spouse caregiver providing a similar level of attendant care services. For FFS, the spouse shall be paid at a rate that does not exceed the capped FFS payment for attendant care services,~~
- iv. The spouse providing attendant care services as a paid caregiver shall not be paid for more than 40 hours of services in a seven-day period,
- v. The total hours of care provided by the spouse and any other DCW shall not exceed 40 hours in a seven-day period, and
- vi. When a member has been authorized attendant care services with a spouse as the paid caregiver who can only provide a portion of those hours, it is allowable to authorize another agency or DCW under DDD's Independent Provider Network member-directed option to provide the balance of the authorized hours not to exceed 40 total hours of attendant care.
- c. The following conditions and limitations apply to the PPCG service model option:⁵⁸
 - i. The ALTCS Case Manager shall record in the member's PCSP, the election of the PPCG service model (refer to AMPM Policy 1620-D for information on Placement and Service Planning Standard, AMPM Exhibit 1620-21 "Minor Caregiver Options Discussion Guide and Decision Roadmap" and AMPM Exhibit 1620-22 regarding "Parents as Paid Caregiver Service Model Option Acknowledgement of Understanding").
 - ii. The ALTCS Case Manager shall ensure that an ALTCS member utilizing the PPCG service model has identified a personal goal pertaining to community integration and fostering relationship with peers in community settings and directed by the member to the maximum extent possible.
 - iii. The ALTCS member is limited to the parent(s) providing no more than 40 hours of paid services in a seven-day period to a single member and no more than 16 hours of paid care within a 24-hour period. The scope of the limitation includes any one service or a combination of attendant care, personal care, homemaker, and in-home habilitation services (refer to AMPM Policy 1240-E). This requirement is separate and apart from the service assessment to determine medical necessary and

⁵⁷ Moved above to the section that outlines standards that apply to both service model options.

⁵⁸ Created sections of conditions and limitation unique to the PPCG service model option.

authorized services and hours. Therefore, members can receive less than, equal to or greater than 40 hours a week of medically necessary care based on the member's unique needs and circumstances. At a minimum an alternate caregiver(s) must be utilized to provide for any hours in excess of 40 hours when authorized care exceeds 40 hour in a seven-day period. Alternatively, an alternate caregiver may be utilized to provide any portion of the authorized care in combination with the PPCG service model.

iv. The parent must be employed/contracted by one agency. When the member is being served by more than one parent, the parents must be employed/contracted by the same agency to support compliance monitoring of the 40-hour weekly service model limitation.⁵⁹

v. Parents are only permitted to provide paid services between the hours of 6:00 am and 10:00 pm, unless member needs are otherwise documented in the HCBS Needs Assessment Tool (AMPM Exhibit 1620-17) that warrant paid care by the parent in the overnight hours.⁶⁰

H. PERSONAL CARE

AHCCCS covers personal care services for ALTCS members who require assistance to meet essential personal physical needs and who reside in their own home.

Personal care services are available to ALTCS members who reside in their own home. Personal care services are not a reimbursable service in Alternative HCBS settings as specified in AMPM Chapter 1200, Section 1230.

~~Within the same day, personal care services cannot be provided in conjunction with attendant care, home health aide services, adult day health care, or group respite without special justification from the member's case manager that is approved by the Contractor or AHCCCS for FFS members. There are no restrictions on other services provided in conjunction with personal care services on any given day. e~~

1. Personal care services are provided in accordance with the member's PCSP and include:
 - a. Assisting members with bathing, feeding, skin care, oral hygiene, toileting, ambulation, transferring, grooming, dressing, nail care, use of assistive devices, use of special appliances and/or prosthetic devices, and caring for other physical needs (excluding bowel care that can only be performed or delegated by a licensed Registered Nurse (RN) to a Licensed Practical Nurse (LPN) as necessary),
 - b. Encouraging family support and training caregivers, as appropriate, to meet objectives of the member's PCSP, and
 - c. Observation and reporting to the DCW Agency and/or the case manager of members who exhibit the need for additional medical or psychosocial support, or a change (decline or improvement) in condition during service delivery.

⁵⁹ Revised in response to HB 2945

⁶⁰ Revised in response to HB 2945

2. Within the same day, personal care services cannot be provided in conjunction with attendant care, adult day health care (refer to AMPM 1240-B), or group respite (refer to 1250-D) without special justification from the member's case manager that is approved by the Contractor or AHCCCS for FFS members.⁶¹
- 2.3. Personal care services are also not permitted to be billed at the same time or for the same tasks that are being provided under the scope of a skilled nursing service on the same day (reference AMPM 310-I and AMPM 1240-G).⁶²
- 3.4. Parents of minor children are prohibited from receiving payment for services when the minor child is receiving care by a licensed provider or at a licensed outpatient or inpatient facility.⁶³

I. HOMEMAKER SERVICES

AHCCCS covers homemaker services provided through a Contractor or AHCCCS to ALTCS members who require assistance in the performance of activities related to household maintenance. The service is intended to preserve or improve the safety and sanitation of the member's living conditions and the nutritional value of food/meals for the member.

Homemaker services are available only to ALTCS members who reside in their own home. Members residing in Alternative HCBS settings as specified in AMPM Chapter 1200, Section 1230 - Home and Community Based Service Settings are not eligible to receive homemaker services. Within the same day, homemaker services cannot be provided in conjunction with attendant care, or home health aide services that encompass homemaker tasks, without special justification from the member's case manager that is approved by the Contractor or AHCCCS for FFS members. There are no restrictions on other services provided in conjunction with homemaker services on any given day.

1. Homemaker services are provided in accordance with the member's PCSP and include:
 - a. Cleaning tasks necessary to attain and maintain safe and sanitary living conditions for the member and pest control services (on a per diem basis),
 - b. Meal planning ~~and, food~~ preparation⁶⁴ and storage tasks necessary to provide food/meals that meet the nutritional needs of the member,
 - c. Laundry tasks, such as laundering the member's clothing, towels, and bed linens.
 - d. Shopping for items such as food, cleaning and laundry supplies and personal hygiene supplies for the member only,
 - e. Other household duties and tasks, as included in the member's, PCSP that are necessary to assist the member. This may include hauling water or bringing in wood or coal as indicated by the member's environment, and

⁶¹ Relocated from the introductory paragraph to support organization or exclusions and limitations.

⁶² Clarify that it is a duplication of service for a member to have both attendant care and habilitation addressing the same activity of daily living or task.

⁶³ Revised in response to HB 2945

⁶⁴ To maintain consistency, changed food prep to meal prep

f. Observation and reporting to the DCW Agency and/or the case manager of members who exhibit the need for additional medical or psychosocial support, or a change (decline or improvement) in condition during service delivery.

2. Parents of minor children are prohibited from receiving payment for services:

a. When the minor child is not present and

b. That include cleaning, laundry or meal preparation tasks.⁶⁵

J. ATTENDANT CARE AND PERSONAL CARE PROVISION EXEMPTION FOR HOSPITAL STAYS AND EMERGENCY ROOM VISITS

1. AHCCCS will allow for the provision of Attendant Care and Personal Care services while the member is in a hospital inpatient or emergency room setting to ensure smooth transitions between acute care setting and community-based settings and to preserve the individual's functional abilities.

2. Attendant Care and Personal Care services may be provided within hospital inpatient or emergency room settings when the services are:

a. Identified in the individual's PCSP,

b. Necessary to meet the needs of the individual that are not met through the provision of acute care hospital services, and

c. Not used as a substitute for the services the acute care hospital is obligated to provide.

3. The DCWs providing Attendant Care and Personal Care services within hospital inpatient or emergency room settings must meet all requirements set forth in this Policy.

~~3.~~4. Parents of minor children are prohibited from receiving payment for services when the minor child is in a hospital inpatient or emergency room setting.⁶⁶

⁶⁵ Revised in response to HB2945

⁶⁶ Revised in response to HB 2945.