

# MEMBER HANDBOOK

A GUIDE FOR MEMBERS AND FAMILIES



Arizona Lionhearts  
— COURAGEOUS CARE —

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## Welcome to Arizona Lionhearts!

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Arizona Lionhearts, LLC, known as AZL, proudly serves the entire state of Arizona. Our comprehensive range of services includes Attendant Care (ATC), Habilitation (HAH), and Respite (RSP). We're delighted that you've chosen us as your partner in delivering these services.

At Arizona Lionhearts, we are committed to a person-centered approach to care, valuing individualized attention and service. Our approach is progressive and proactive, and we hold ourselves to the highest ethical standards in all our relationships, services, and business practices. We place great importance on fostering positive and productive interactions with our members and their families. If you have any questions, concerns, or simply want to talk, please don't hesitate to reach out to your dedicated team.

We recognize that our providers are central to our success, and we are fully dedicated to ensuring they are well-trained, committed, professional, and committed to delivering excellence. In addition, we prioritize member and guardian training and education, offering various free training opportunities to all members and guardians.

Arizona Lionhearts aspires to be the preferred agency for providers, members, and their families, aiming to be the most respected choice in our community. We're thrilled to welcome you to the AZL family.

Warm regards,

Arizona Lionhearts

For more information and resources, please visit our website at [azlionhearts.com](http://azlionhearts.com).

## Service Offered at Arizona Lionhearts

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### Attendant Care (ATC):

Attendant Care involves providers assisting members with their daily living activities and general supervision. These services are exclusively tailored to meet the member's needs within their designated areas and do not extend to the care of the family or pets. **ATC hours are assessed on a fixed weekly basis.** Any hours allocated for a given week that remain unused do not carry over to the following week. Attendant Care services are structured to aid members in upkeeping their living space and participating in community activities. These services are administered by trained providers based on the documented needs outlined in the Person-Centered Support Plan (PCSP).

Attendant Care encompasses a range of assistance, including meal preparation and cleanup, aid with eating, bathing, dressing, grooming, toileting, mobility, transferring, house cleaning, laundry, medication retrieval, tending to certified service animals, and general supervision for members who cannot safely be left alone. It's important to note that this service does not cover tasks such as post-event cleanup, addressing accumulated dishes over multiple days, preparing meals for family members, lawn maintenance, extensive carpet cleaning, taking care of household pets, cleaning areas of the home not exclusively used by the member (e.g., parents' bedroom or a sibling's shared bathroom), performing complex medical procedures, or shopping for a child residing in the family home. Further details regarding the ATC Monitoring Procedure can be found later in the provided information.

### Habilitation (HAH):

Habilitation is goal-specific service aimed at enhancing a member's independence and realizing their full potential through the application of teaching methods and ongoing support. Providers are bound to work exclusively on the goals outlined in the Person-Centered Support Plan (PCSP). **HAH hours are assessed on a fixed weekly basis.** Any unutilized hours within a given week do not carry over to the following week. Habilitation services are designed to empower individuals with disabilities to learn, retain and maintain skills for improved independent living. These services are delivered by trained Direct Support Professionals who work one-on-one with the member, following goals and outcomes established by the individual and their team.

Habilitation encompasses training in fundamental activities essential for personal and physical well-being, communication skills, and life skills. Objectives may also include enhancing or maintaining independence, improving socialization, promoting safety and community skills, and enhancing the member's overall health and safety. Furthermore, Habilitation seeks to create a support system for the member, reducing the reliance on paid services and enabling family members to acquire the skills required to teach the member new abilities.

It is crucial to note that Habilitation is not intended to replace other forms of care and is authorized based on the specific needs of the member. It is not a substitute for Respite, day

care, funded or private pay day programs, or regular educational programs. Concurrent authorization of Hourly Habilitation and Daily Habilitation is not permitted.

Habilitation services are not provided during school hours in public or private schools, during school transportation, in a provider's residence (unless it's also the member's home), or at a vendor-owned or leased site.

Habilitation providers undergo various training sessions to enhance their skills, covering topics such as goal implementation, behavior management, and strategies for success. Home visits may also be included in the training to address questions and provide member-specific support.

### Respite (RSP):

Respite serves as a short-term care initiative designed to offer temporary relief to unpaid primary caregivers. Eligibility for Respite care is based on DDD assessment and qualifications for support and services. **These Respite (RSP) hours are allocated annually without a weekly cap.** Any unused hours can be carried over from week to week but not from year to year. Respite care can take place in various settings, including the member's home, the community, or a provider's home that meets the requirements of the Office of Licensing Certification and Registration (OLCR).

Respite care encompasses social and recreational interaction with the member. Providers should consult with families to determine how this time should be utilized, with family approval required for community outings. It's essential to emphasize that Respite cannot substitute residential placement, transportation, daycare, or any other specific service. Additionally, Respite providers are restricted to simultaneously serving a maximum of three members.

AZL closely collaborates with both individuals and providers to foster positive relationships and ensure ongoing communication, addressing the needs of all parties involved. All providers undergo rigorous background checks and receive comprehensive training, which includes instruction in medication administration, CPR, and First Aid.

## Getting Started

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### Required Documents for Guardian/Member

You receive an email with documents that need to be filled out and electronically signed. Documents required to be filled out by guardians mandated by DDD and AHCCCS/ALTCS are:

- HCBS Member Contract/Consent to Treat
- Member EVV Contingency Plan
- Pre-Service Provider Orientation
- Agency of Choice Agreement
- AZL False Claims Act Policy

### Creating and Using the V-Track Guardian Portal

#### V-Track Account Set Up:

You will receive an email with a link to set up a Guardian account in the VTrack. VTrack is Arizona Lionhearts' Electronic Medical Record System (EMR) and the Electronic Visit Verification (EVV) software required by AHCCCS. You will receive a login and temporary password. On your first login, you will be asked to change your password.

#### Approving Provider Visits with an E-Signature:

As the guardian, you have the vital role of maintaining accurate records of the hours your member receives. It is your responsibility to ensure that the hours entered by your provider on their timecard are a faithful reflection of the time they have worked. It is required that you meticulously review and electronically sign or approve your provider's timecard at the conclusion of each daily shift. Any inaccuracies in timecards should be promptly reported to your supervisor, as they may be considered fraudulent.

In order for your provider to be paid for services rendered, all services provided by the provider must be electronically signed by you, no later than 1 day after the end of the pay period.

Paid Parent Providers CAN NOT sign off on their own provider hours. Another person at least 18 years of age living in the home must be the approving responsible party. If there is not another person 18 years of age or older in the home, please alert your AZL supervisor immediately.

#### VTrack Shortcut on Your Mobile Device

VTrack is a website, not an app. However, there is a way to have the website work like an app by creating a shortcut on your phone's home screen.



## **iPhones**

For Safari:

- Open Safari. Other browsers, such as Chrome, won't work for this.
- You can just navigate to [www.VTrack.com](http://www.VTrack.com)
- Tap the Share button at the bottom of the page. It looks like a square with an arrow pointing out of the top.
- In the list of options that appear, scroll down until you see "Add to Home Screen." Tap this. The Add to Home Screen dialog box will appear.
- Click Add when you're done. Safari will close automatically, and you will be taken to where the icon is located on your iPhone's home screen.

## **Chrome**

- Open Shortcuts on your iPhone by dragging 2 fingers down the screen and typing in Shortcuts.
- Open the Shortcuts app, and click on the + in the top right corner.
- At the bottom, in the search bar that says Search For Apps and Actions, type in Open URLs in Chrome.
- Click on the "Open URLs in Chrome" action.
- Type [www.spokechoice.com](http://www.spokechoice.com) into the URL space. Hit Done at the bottom of the screen.
- Name the new Shortcut you created at the top of the screen. Hit done at the bottom.
- Test it by hitting the arrow at the bottom.
- Back in Shortcuts, click on the 3 line bar at the top right, next to X.
- Click on Add to Home Screen, then hit Add again.

## **Android Phones**

- Open Chrome.
- Navigate to the website or web page you want to pin to your home screen.
- Tap the menu icon (3 dots in the upper right-hand corner) and tap Add to home screen.
- Choose a name for the website shortcut, then Chrome will add it to your home screen.

## DDD Authorizations and the PCSP

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To initiate services from Arizona Lionhearts for a member, the member's DDD Support Coordinator must grant authorization. They will issue service-specific authorizations (e.g., HAH, ATC, RSP) via FOCUS, DDD's online HCBS management portal. Arizona Lionhearts will then acknowledge and accept the authorization to provide services within FOCUS. Additionally, the member's Support Coordinator will send a copy of member's PCSP (Person-Centered Service Plan) to Arizona Lionhearts.

Please contact the member's DDD Support Coordinator to notify them of your intention to select Arizona Lionhearts as the agency for providing services. This communication should come from the guardian or the member themselves.

If your authorized service hours are currently allocated to another agency, you must request that agency to "release" the hours. This request should also be made by the guardian or the member.

Arizona Lionhearts recommends sending an email to both the agency and the DDD Support Coordinator to request the release of hours. Following this, send a separate email to the DDD Support Coordinator to express your desire to have the hours reassigned to Arizona Lionhearts.

## Finding a Provider

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For services such as Respite, Habilitation, or Attendant Care, members and families often take the lead in selecting their own provider(s). Once you have identified an individual you wish to work with, kindly refer them to your AZL supervisor to initiate the hiring process.

### Determining Your Needs and Priorities

Please reflect on the critical attributes that matter to you and your family. What particular care does the member need? This should include considering the member's daily routine and whether the provider needs to transport the member.

What sort of individual are you seeking? Do you have any preferences regarding the provider's gender or age?

What qualities are important to you, the member and your family? Do you need someone who is bubbly and animated? Do you need someone who is calm and reserved? Do you need someone who can lift a certain weight?

What kind of schedule are you aiming for? Are you looking for assistance on weekdays, weekends, or during the afternoons?

Which services are you looking to secure? Are you interested in Respite, Habilitation, Attendant Care, or multiple services?

### Starting with Familiar Faces

Many individuals can become outstanding providers with the right training and support. Professional, personal, or voluntary experience can be a strong starting point. An indicator of a good fit is their ability to interact effectively with the member receiving support. Don't hesitate to reach out to friends, neighbors, co-workers, and extended family members for potential providers.

### Thinking Locally

Providers residing within a 15-mile radius are often the most reliable choice, as AZL does not provide reimbursement for travel time or gas expenses.

### Advertising

Visit the Staff/Employment page on our website at [www.azlionhearts.com](http://www.azlionhearts.com), or explore avenues such as your local newspaper, the Next Door App, social media platforms, or get in touch with your supervisor for assistance.

## Key Questions for Potential Providers in an Interview

When conducting an interview with a potential provider, allocate approximately 15-30 minutes and come prepared with a set of questions. Consider holding the interview in your home, as this allows you to observe the provider in your living environment. It can also be beneficial to involve the member in the meeting to gauge their interaction with the provider.

Trust your instincts and tailor the following questions to address your specific needs:

- What experience do you have in working with individuals with intellectual, developmental and/or physical disabilities?
- What do you find most rewarding about this type of work?
- How would you handle conflicts, whether with a member or a team member?
- Can you describe yourself as reliable and dependable?
- Are you comfortable with providing personal hygiene care?
- How would you handle specific situations that often arise, such as medical issues, behavioral challenges, emotional regulation, toileting needs, and so on.
- Do you foresee needing regular time off on specific days or at particular times in the next few months?
- Are there situations that make you feel tense or nervous?
- Is there anything else you'd like to share about yourself?
- Are you comfortable providing transportation?
- What is your preferred method of contact: phone call, text, or email?

In addition, express the needs and expectations you, the member, and the family have for a potential provider:

- Describe the physical, emotional, behavioral or mental needs the member may have.
- Share what a typical day looks like for the member.
- Share your expectations with the provider regarding:
  - Working with the member.
  - Working within your home.
  - Communication with you, the member, and other treatment team members.

## Provider Requirements and Training

HCBS Providers are required to go through vigorous background checks, extensive paperwork, and hours of training. The following is a list of items providers must complete before working with your loved one.

- Level One Fingerprint Clearance Care
- Criminal History Declaration
- Adult Protective Services Attestation
- Child Protective Services Attestation
- Child Protective Services Registry Check
- DDD Provider Service Form
- Transportation Packet (either a Non-driver Form or a Driver Form, which includes Copy of MVD Report, Auto Registration, Auto Insurance)

- Copy of Driver's License and Social Security Card
- 3 Personal/Professional References
- Training per service rendered and per member's PCSP, such as Article 9 Certification, CPR/First Aid, Habilitation Certification, Direct Care Worker Certification 1 & 2, Seizure Management, Medication Administration Certificate, Prevention and Support Certification, Prevention and Support Certification

## Electronic Visit Verification (EVV) Explanation

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In accordance with the 21st Century Cures Act, all provider agencies under the Division of Developmental Disabilities/Elderly Physically Disabled (DDD/EPD) have been diligently preparing for the upcoming Electronic Visit Verification (EVV) requirement.

### Who Does This Apply To?

The provisions of the 21st Century Cures Act are applicable to all individuals receiving services funded through AHCCCS, which encompasses services offered by the DDD, as well as Medicaid-funded health plans.

### What Is Electronic Visit Verification (EVV)?

EVV, in alignment with Section 1903 of the Social Security Act (42 U.S.C. 1396b), mandates the electronic verification of various critical components, including:

- The type of service rendered
- The recipient of the service
- The date of service provision
- The precise location where services are administered
- The provider delivering the service
- The exact start and end times for each service (AHCCCS, 2020)

After extensive research, we have chosen VTrack as our EVV software vendor.

### What Will Be Expected of Families?

Per AHCCCS/DDD regulations, all members are required to utilize EVV. However, alternative solutions may be considered for members who lack access to smartphones, computers, or internet connectivity. Should you face any of these challenges, please reach out to your AZL supervisor to explore available options.

### What Is the Transition Timeline?

The implementation of EVV at AZL commenced on November 1, 2020.

### Where Can I Find Additional Information?

For further details, including implementation timelines, requirements, and frequently asked questions, you can refer to the AZL website at [www.azlionhearts.com](http://www.azlionhearts.com) and the AHCCCS website at <https://www.azahcccs.gov/AHCCCS/Initiatives/EVV/>.

## Expectations for Guardians and Providers

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### Time Entry Accuracy:

As the guardian or responsible party, you have the vital role of maintaining accurate records of the hours your member receives. It is your responsibility to ensure that the hours entered by your provider on their timecard are a faithful reflection of the time they have worked. It is required that you meticulously review and electronically sign or approve your provider's timecard at the conclusion of each daily shift. Any inaccuracies in timecards should be promptly reported to your supervisor, as they may be considered fraudulent.

### Work Hour Limitations:

Providers are not permitted to exceed 16 working hours within a 24-hour timeframe.

### Fraud:

AZL maintains a zero-tolerance policy for any form of fraudulent conduct, whether initiated by the provider or the Responsible Party. Any proven instances of fraud will be pursued to the full extent of the law. It is essential for both the Responsible Party and the provider to comprehend that the Responsible Party cannot grant permission to the provider to contravene any of AZL's established policies and procedures. You can find a copy of the AZL Anti-Fraud Policy on Page 16.

### Overtime:

Providers are not authorized to work beyond 40 hours in a single work week without prior approval from their supervisor. A work week is defined as running from Sunday through Saturday, irrespective of the billing cycle. Noncompliance with this policy may result in disciplinary actions, including potential termination.

### Prohibited Techniques:

According to Article 9, the use of prone or seated restraint techniques is strictly forbidden. Under no circumstances should your provider employ these methods. Completion of Prevention and Support training is mandatory before implementing any form of restraint or before providing care to a member in the Early Childhood-Autism (ECA) program, or any member with such a requirement in their planning documents. Notify your AZL supervisor if your provider requires Prevention and Support training.

### Licensed Settings:

Providers may not take a member to their own home unless it has been officially licensed by the state of Arizona. The only service authorized to be delivered in a licensed provider's home is

respite care. Any outings or visits to other individuals' homes must be pre-approved in writing by the parent or responsible person.

### Serving Non-Clients:

If you have other family members in your home requiring support while your provider is on duty, please reach out to your supervisor to discuss our Private Home Care Services.

### Hospitalization:

During a member's hospital admission, providers are not permitted to bill for hours.

### Therapy:

Providers must ensure constant supervision of the member and may not leave them unsupervised at any time. Respite hours can be billed for transportation to and from therapy, as well as for the duration of the therapy session, provided that the Planning Document specifies therapy as part of the member's goals and the provider's participation in therapy. In such cases, Home and Health (HAH) services may be billed for the therapy time.

### School:

Billing for respite is allowable for transportation to and from school, but no billing is authorized during regular school hours while the member is in school.

### Travel Out of State/Out of Country:

If you require services while traveling outside Arizona, please contact your funding source (support coordinator or case manager) to initiate the request. AZL necessitates approval from the funding source before authorizing out-of-state provider support billing. Billing is not permitted while you are traveling outside the county.

### Absenteeism/Tardiness:

Providers are obligated to be punctual for every shift. Even a single instance of tardiness can lead to separation if it endangers the member. In case of emergencies or illness that might cause a provider to be absent or late, they must promptly inform both you and their AZL supervisor.

### Borrowing, Lending, and Gifts:

Providers are not allowed to borrow, lend, or accept money or any other property, nor can they accept gifts from you or your family.



## Confidentiality:

Providers are prohibited from disclosing or sharing any information about your family or the member, including names, photos, or any data, in any form, whether spoken, written, or electronic. Sharing information on social media networks, such as Facebook, Instagram, Tik Tok, etc., is also strictly forbidden.

## Professionalism:

AZL providers are mandated to maintain professionalism and a positive attitude in all interactions, including family members, the member, supervisors, and peers. This requires focusing on their work with the individual they have been hired to support. Providers should refrain from using electronic devices, including cell phones and tablets, for non-work-related purposes during billable hours. The only allowable use of a phone is for clocking in/out and recording data in VTrack, or to notify their supervisor of any schedule changes.

## Harassment & Bullying:

Any form of harassment and bullying is strictly prohibited. This includes, but is not limited to, behavior that degrades or belittles individuals based on their race, religion, national origin, sexual orientation, age, disability, or gender, creating a hostile environment. Neither your provider can harass you, the member, or your family, nor can you harass them. Any instance of harassment or bullying should be promptly reported to your supervisor or the human resources department.

## Pets:

While providers are on duty, members and their families must ensure that pets are kept in a safe place.

## Transportation:

AZL providers must obtain prior approval before transporting any member. All transportation requirements must be met before providers can use this service, and providers will not be reimbursed for mileage or gas.

## Hand-off Protocol:

When one provider is passing on care of a member to another provider, parent, guardian, or responsible person, it is essential to share critical information to ensure the continuity of high-quality care. In these situations, the provider handing over care must:

1. Verbally convey all relevant information about the member to the receiving provider or parent/guardian/responsible person.

2. Ensure that the recipient understands the information and address any questions or uncertainties.
3. Notify the supervisor of any incidents or injuries.
4. Ensure that all members requiring supervision are not left unattended.
5. Confirm that the hand-off is comprehended and accepted.

### Skin Integrity Concerns:

If a member has a recognized skin integrity issue or concern, immediate notification of the supervisor is required. In cases of a new skin integrity concern, an Incident Report must be completed within 24 hours. For all identified skin integrity issues, the provider should adhere to the treatment protocol prescribed by the primary care physician (PCP) that falls within their scope of practice. Examples of skin integrity issues include open wounds or bed sores.

### Abuse and Neglect Policy:

AZL prioritizes safeguarding the physical, emotional, and financial well-being of its members. It unequivocally condemns verbal, emotional, physical, or programmatic abuse or neglect of a member by AZL staff. All AZL employees are designated Mandatory Reporters of Abuse and Neglect, mandated by law to report any suspected or known instances of abuse or neglect to Adult Protective Services (APS), the Department of Child Safety (DCS), and/or the local police department, as necessary. Sleeping on the job is also not permitted, except during approved overnight services with supervisor authorization.

### Electronic Visit Verification (EVV):

Guardians are obligated to log in to VTrack daily to review and electronically approve each provider's timecard. Electronic visit verification (EVV) is mandated by state and federal regulations, effective since January 1, 2021, as per AHCCCS guidelines.

### Contingency Plan:

Many members are required to maintain a contingency plan with AZL. This plan must outline all services the member is receiving and the requested frequency level for each service. The contingency plan should be reviewed and updated at least annually. Adjustments to the member service preference level can be made as needed.

### Equal Opportunity:

As an Equal Opportunity Employer, AZL strictly prohibits hiring or non-hiring decisions based on race, color, religion, sex, national origin, age, sexual orientation, or physical or mental disability.

## Frequently Asked Questions

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What is the address, phone number, email for the main office?

*Address: 5590 W Chandler Blvd Ste #3, Chandler, AZ 85226*

*Phone: (480) 253-9360*

*Email: [info@azlionhearts.com](mailto:info@azlionhearts.com)*

What should I do in case of an emergency after 5 pm?

If you encounter an emergency between 5 pm and 9am, Monday through Friday, or at any time during the weekend, please call the after-hours emergency number at 1-480-253-9360.

However, kindly ensure it is a genuine emergency, such as your provider not showing up. If the matter can wait until regular office hours, we request that you hold off.

How can I make changes to my member's schedule?

To make changes to your member's schedule, please get in touch with your AZL supervisor or coordinate with your provider.

What are the requirements to become a provider?

To become a provider, you must meet several criteria:

- Be at least 18 years of age
- Obtain a Dept. of Public Safety (DPS) level one fingerprint clearance card
- Possess a current valid CPR/FA card
- Hold current Article 9 certification
- Successfully pass background checks with APS, Central Registry Background, the Office of Inspector General (OIG), SAM, LEIE
- Provide three reference letters from non-family members

What is the typical pay for providers?

We are pleased to offer competitive pay rates for all the services we provide. For current pay rates, please reach out to your supervisor.

How can I refer someone to become a provider or become one myself?

If you are interested in referring someone to become a provider or becoming one yourself, please contact your supervisor and express your interest.

### How long does the hiring process with AZL take?

The time required for the hiring process can vary for each prospective provider due to specific requirements. AZL aims to complete the hiring process within two weeks. This process typically includes an orientation, background checks, and mandatory course completion.

### What is considered a work week?

A work week encompasses all hours worked from Sunday through Saturday. Any hours worked over 40 within this period are considered overtime and are subject to overtime approval policies. It's essential to note the distinction between a work week and a pay period, as there are two pay periods each month: the 1st through the 15th and the 16th through the last day of each month. If a pay period ends within a work week, the hours do not reset, and providers need to keep track of billed hours when this occurs.

### Can I provide services to my own child?

For more information on providing services to your own child, please contact your supervisor.

### Are providers allowed to care for siblings if I privately compensate them?

If you have other family members in your home who require support while your provider is working, please contact your supervisor to inquire about our Private Home Care Services.

### Do providers receive compensation for gas or mileage when transporting members to activities like therapy or social outings as part of habilitation goals?

No, providers are not reimbursed for gas or mileage when transporting members to activities.

### How can I check the remaining hours on an authorization?

You can check the remaining hour balances through the VTrack website. If you don't have login access, please contact your supervisor for assistance.

## Do's and Do Not's

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### Do

#### Timecards and Scheduling:

- Review your provider's timecard thoroughly before electronically signing or approving it.
- Sign/Electronically approve your provider's timecard on a daily basis. In case of timecard corrections or issues, contact your supervisor immediately.
- Keep track of your member's service authorizations to ensure you do not exceed the allocated hours.
- Schedule your provider within the weekly assessed hours for Habilitation and Attendant Care.
- Be aware that your provider is not reimbursed for gas expenses related to activities with your family member.
- Schedule an "as needed" provider at least once every 90 days to maintain their active status with AZL.
- Take advantage of AZL's training classes, which are provided at no cost.
- If a schedule needs adjustment, contact your supervisor at least one hour prior to the scheduled shift.

#### Progress Goals and Support:

- Review Habilitation progress with your provider and/or supervisor at the end of the quarter to assess progress and identify potential barriers to success.
- Notify your support coordinator if changes in goals are necessary before the Planning Document meeting.
- Inform your AZL supervisor if you experience changes in your staffing needs.
- As part of our habilitation support program, you will have access to a variety of team members and supports, including a HAH Support Specialist who is available for:
  - Reviewing current goals to ensure they align with your member's current needs.
  - Providing provider support and training for goal implementation.
  - Offering caregiver support and training for goal implementation.

#### Finding Providers:

- Follow up with potential provider applicants referred by your supervisor and schedule an interview with the potential provider (a sample interview is provided later in this packet).
- Refer other potential qualified caregivers to AZL.

#### Policies:

- Adhere to all AZL policies.
- Anticipate updating Member Orientation forms annually.
- Keep your AZL supervisor informed of any changes to your contact information.

### Do Not

- Request the provider to care for a member's siblings, relatives, spouse, or other individuals without a Private Home Care Arrangement through AZL.
- Request your provider to perform tasks outside the service description (e.g., hanging Christmas lights, yard work, preparing family meals, etc.).
- Ask your provider to take a member to their (the provider's) home if it has not been inspected by OCLR, and the inspection is not on file with AZL.
- Request your provider to transport your family member if they are not a certified driver with AZL.
- Add hours to your provider's timecard that have not been worked.
- Note: Arizona Lionhearts LLC False Claims Act Policy is in place to detect and prevent fraud, waste, and abuse in service delivery.

## Arizona Lionhearts LLC False Claims Act Policy

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**Purpose:** Arizona Lionhearts (AZL) is committed to detecting and preventing fraud, waste, and abuse in the delivery of services.

Numerous federal and state laws aim to thwart healthcare fraud, particularly the illegal provision of kickbacks or payments for patient referrals, particularly in federally or state-funded programs.

A violation of the False Claims Act ("FCA") encompasses any instance where an employee knowingly presents or causes the presentation of false or fraudulent claims for payment. The False Claims Act pertains to fraud involving any federally-funded contract or program, excluding tax fraud.

This policy is implemented to facilitate the establishment of controls that contribute to the discovery and prevention of fraud, waste, and abuse. AZL intends to encourage consistent organizational conduct by offering guidelines and allocating responsibility for controls' development and investigative activities.

This policy encompasses any irregularity or suspected irregularity involving employees, service recipients, guardians, consultants, vendors, contractors, external agencies in association with agency employees, and any other parties in a business *relationship with* AZL.

### **Definitions:**

**Fraud:** An intentional act of deception or misrepresentation made with the knowledge that it could result in an unauthorized benefit to oneself or others, including actions that qualify as fraud under applicable State or Federal law (as defined in 42 CFR 455.2).

**Waste:** The excessive or inappropriate utilization of services, the misuse of resources, or practices that lead to unnecessary costs to the Medicaid Program.

**Abuse of the Program:** Provider practices inconsistent with sound fiscal, business, or medical practices resulting in unnecessary costs or reimbursement for medically unnecessary services that fail to meet professionally recognized health care standards. It also includes beneficiary practices incurring unnecessary costs to the Division or any AHCCCS-funded program (42 CFR 455.2).

**Any identified or suspected irregularity must be reported immediately to the Human Resources Department.**

Penalties for violating anti-fraud laws may include fines, criminal or civil actions, exclusion from Medicare and AHCCCS programs, or other federal programs, and termination of employment. Liability for violating the FCA can amount to three times the government's defrauded amount and civil penalties ranging from \$11,665 to \$23,331 (adjusted for inflation) for each false claim. Arizona Lionhearts employees acknowledge their commitment to complying with AZL policy.

### **Actions Constituting Fraud:**

An employee who knowingly utilizes or induces the use of a false record or statement to conceal, avoid, or diminish an obligation to pay money or transfer property to the Federal Government may violate the FCA. Collaborating with others to secure payment for a false or fraudulent claim may also constitute an FCA violation. Employees must comply with all Arizona statutes concerning civil or criminal penalties for false claims and statements.

**Examples of fraud include, but are not limited to:**

- Any dishonest or fraudulent act.
- Submitting claims for services not provided, including inflating the actual hours worked (known incorrect timecards).
- Falsifying documentation and coding claims to misrepresent services rendered.
- Mishandling or misreporting financial transactions.
- Offering or receiving payments or other benefits for referrals or ordering of services.
- Accepting payments or other benefits from vendors or suppliers in exchange for increased business.
- Engaging in the destruction, removal, or improper use of records, furniture, fixtures, and equipment.
- Disclosing confidential and proprietary information to external parties.

In cases where there is uncertainty about whether an action constitutes fraud, waste, or abuse, contact Human Resources immediately.

**If fraudulent activity is identified, AZL is responsible for the following:**

- Rectifying inaccurate billing.
- Notifying payors of overpayments and issuing refunds when applicable.
- Cooperating with authorized investigators seeking information on potential billing or fraud concerns.
- AZL is prohibited from retaliating against individuals who, in good faith, file a complaint or participate in the investigation of a false or fraudulent statement or claims for payment.

AZL team members who report allegations of fraudulent activity will not face sanctions unless they make such allegations with malicious intent. The Whistleblower Act safeguards AZL employees and prevents employers from taking any punitive measures (e.g., discharge, demotion, harassment, or other discrimination) against an employee for filing a complaint under the False Claims Act.

If an investigation establishes that fraudulent activity was conducted by an employee, that employee will be terminated. If the investigation identifies fraudulent activity involving a contractor, agent, or business associate, the relationship will be terminated.

**Prevention of Fraud, Waste, and Abuse:**

- AZL conducts a review of timesheets for accuracy before submitting them for billing.
- AZL utilizes an Electronic Visit Verification system (EVV) to verify the date, time, and location of service provision.
- Member hours are used in accordance with authorizations received from funding sources and tracked in the EVV system.

**How to Report a Compliance Concern:**

If you have compliance concerns or questions regarding AZL, you may:

Contact the Human Resource Department at 480-253-9360, located at 5590 W Chandler Blvd Ste #3, Chandler, AZ 85226

- Alternatively, you may submit a compliance concern in writing to the Human Resource Department. The Human Resource Department will respond promptly to all compliance calls and reports, treating them confidentially, as allowed by law, unless you indicate otherwise.

- Anonymous calls or reports are accepted, although investigations may be more challenging without the ability to contact you for follow-up information.

Whistleblower REFERENCES: Public Law 101-12 (Whistleblower Protection Act), Public Law 109-171 (Deficit Reduction Act of 2005); 31 U.S.C. 3729-3733 (False Claims Act).



## Member's Rights

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Every member shall be accorded the following rights:

- 1. Dignity, Respect, and Consideration:** Every member shall be treated with dignity, respect, and consideration at all times.
- 2. Protection from Harm and Exploitation:** Members shall be protected from harm, including but not limited to abuse, neglect, exploitation, coercion, manipulation, sexual abuse, sexual assault, except as permitted in R9-10-1012(B), restraint or seclusion, retaliation for submitting complaints, or misappropriation of personal and/or private property by another member, employee, or team member.
- 3. Informed Consent:** Members or their representatives, except in emergencies, have the right to either consent to or refuse treatment. Members may also refuse or withdraw consent for treatment before it commences. In non-emergency situations, members shall be informed of alternatives to proposed psychotropic medications or surgical procedures, as well as the associated risks and possible complications. Members shall also be informed of the outpatient center's policies on health care directives and the member complaint process.
- 4. Photograph Consent:** Members must provide consent before being photographed, with exceptions allowed for initial identification and administrative purposes when joining an outpatient center.
- 5. Release of Information:** Members shall provide written consent for the release of information in their medical or financial records, except where otherwise permitted by law.
- 6. Freedom from Discrimination:** Members have the right not to be discriminated against based on race, national origin, religion, gender, sexual orientation, age, disability, marital status, or diagnosis.
- 7. Individualized Treatment:** Members have the right to receive treatment that supports and respects their individuality, choices, strengths, and abilities.
- 8. Privacy:** Members are entitled to privacy in their treatment and care for personal needs.
- 9. Access to Medical Records:** Members, upon written request, have the right to review their own medical record in accordance with applicable laws.
- 10. Referral for Necessary Services:** Members have the right to receive a referral to another health care institution if the outpatient center is not authorized or unable to provide required physical health services or behavioral health services.
- 11. Participation in Treatment Decisions:** Members or their representatives have the right to participate in the development of, or decisions concerning, their treatment.
- 12. Research and Experimental Treatment:** Members have the right to participate in or refuse to participate in research or experimental treatment.
- 13. Assistance in Exercising Rights:** Members have the right to receive assistance from a family member, the member's representative, or other individual in understanding, protecting, or exercising their patient rights.

## Attendant Care Monitoring Procedures:

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Attendant Care (ATC) Monitoring visits are a requirement set forth by AHCCCS and AZ Long Term Care Services (ALTCS). If you or a family member receives attendant care services from AZL, we would like to outline our responsibilities in this regard.

Our obligation involves conducting in-person monitoring visits for all members who are beneficiaries of attendant care services. The ATC monitor will reach out to you at specific intervals to arrange these visits. AHCCCS mandates a visit within 5 days of the commencement of new services, with an additional visit at 30 days. If issues are identified during the 30-day visit, an extra visit is necessitated at the 60-day mark. Subsequently, visits are mandated every 90 days.

It is important to note that all staff providing attendant care services are also subject to monitoring within 90 days of initiating their services, followed by annual monitoring thereafter.

We appreciate your cooperation in scheduling these visits and adhering to AHCCCS' required timelines.

A designated monitor will contact you to coordinate the necessary visit at least one week prior to the due date. In the event we encounter any scheduling challenges, the area supervisor responsible for the service will engage with you to address any issues that may be impeding our ability to complete the visit. If required, the support coordinator may also be contacted for assistance.

In situations where we are unable to conduct a monitoring visit for the staff assigned to provide services, said staff may be temporarily suspended from service provision until the visit can be successfully completed.

### Attendant Care Monitor Responsibilities:

- The monitor must observe the provider executing an attendant care task before the evaluation form is completed and signed by all involved parties.
- When multiple providers are involved in the delivery of attendant care duties, each provider must undergo monitoring within 90 days of commencing their employment and annually thereafter.

Please note that the Attendant Care Monitor is not equipped to address questions related to AZL policy or services. For any additional inquiries pertaining to this form, member planning documents, or services offered by AZL, please get in touch with your supervisor.

### The Service Visit Requirements:

- An initial visit within five (5) days of the initiation of new Attendant Care Services.
- A follow-up 30-day visit after the first visit (if issues are present at the 30-day visit, a 60-day visit may be scheduled to address concerns).
- Subsequent visits will take place every 90 days.
- Both 90-day and annual provider visits will be conducted for every provider assigned to the member, and these can be scheduled concurrently with the 90-day member visit.

## Statement of Acknowledgment

I, the undersigned, have thoroughly reviewed and comprehended the contents of the Member Handbook, in addition to the Policies and Procedures listed below, and commit to adhere to them. I confirm that I have reached out to my supervisor for any inquiries or clarifications regarding the provided information.

- Member Rights
- Guardian and Provider Expectations
- Service Descriptions
- Anti-Fraud Policy
- ATC Monitoring Policy
- Electronic Visit Verification (EVV)
- Service provision schedules are developed in collaboration between the member, guardian/responsible party, and AZL Staff.
- Contingency Plan

\_\_\_\_\_  
Printed Name of Guardian or Responsible Person

\_\_\_\_\_  
Signature of Guardian or Responsible Person

\_\_\_\_\_  
Date