

**SECTION: 1    CHAPTER: 400**  
**POLICY: 406, Community Service Agencies-Title XIX Certification**

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**1. PURPOSE:**

Community Service Agencies (CSAs) were developed by the Arizona Department of Health Services/Division of Behavioral Health Services (ADHS/DBHS), in collaboration with the Arizona Health Care Cost Containment System (AHCCCS), to provide rehabilitation, support and transportation services to behavioral health recipients. CSAs are a unique provider type that allow behavioral health recipients to participate in programs and activities in community settings (such agencies could include churches, after school programs or other agencies that serve the general public). CSAs provide services that enhance or supplement behavioral health services that persons receive through other, licensed agencies. Agencies operating licensed programs that provide services or intend to provide services defined in this policy as Tier I or Tier II services must capture these services under their license. Licensed agencies must not apply for Title XIX Certification. This policy provides a standardized process for Title XIX Certification of CSAs, describes the certification application process and Tribal and Regional Behavioral Health Authority (T/RBHA) and ADHS/DBHS review process for approval of CSAs, specifies requirements for the continued operation of CSAs, and establishes T/RBHA responsibilities in auditing and ongoing monitoring of CSAs.

**2. TERMS:**

Definitions for terms are located online at <http://www.azdhs.gov/bhs/definitions/index.php>  
The following terms are referenced in this section:

Applicant  
Behavioral Health Professional  
Behavioral Health Technician  
Behavioral Health Paraprofessional  
Behavioral Health Work Experience  
Clinical Team  
Community Service Agencies (CSAs)  
CSA Contractor  
Direct service staff member  
Program Director  
Tier I Rehabilitation and Support Services  
Tier II Rehabilitation and Support Services  
Volunteer

**3. PROCEDURES:**

- a. Application for an **Initial** Title XIX Certificate
  - i. The applicant must complete a **Community Service Agency Title XIX Certification Application** ([Policy 406, Attachment 1](#)) in accordance with the application instructions and submit it to the T/RBHA with which the agency is contracted or intends to contract.
  - ii. Applications may be obtained from the:

SECTION: 1 CHAPTER: 400  
POLICY: 406, Community Service Agencies-Title XIX Certification

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- (1) Arizona Department of Health Services/Division of Behavioral Health Services Policy Office  
150 N. 18th Avenue, Suite 260  
Phoenix, Arizona 85007  
[Policy 406, Attachment 1](#)
  - (2) Applications may also be obtained by calling the Policy Office at (602) 364-4672. If the CSA intends to contract with more than one T/RBHA, the CSA must also submit the Intent to Contract form for each additional T/RBHA that will be marked on the CSA Title XIX Certificate (see [Policy 406, Attachment 10](#)). Please note: In accordance with RBHA contracts and TRBHA intergovernmental agreements (IGAs), T/RBHAs must ensure that applicants are not excluded from participation in Federal health care programs, pursuant to Section 1128 or Section 1128 A of the Social Security Act.
  - iii The direct service staff and/or contractor(s) must provide the **Community Service Agency Title XIX Certification Reference Form** ([Policy 406, Attachment 4](#)) that includes contact information for three (3) individuals who will be used as references (and are not family members of the direct service staff member or contractor) and who have knowledge of all of the following: employment history, education and character of the direct service staff member or contractor. It is the responsibility of the CSA applicant to contact the references and notate the required information for the T/RBHA's review. T/RBHAs may verify information by contacting references directly.
  - iv The T/RBHA must review the Community Service Agency Title XIX Certification Application for accuracy and completeness of all required documents before submitting the application to the ADHS/DBHS Policy Office.
  - v ADHS/DBHS must be in receipt of a complete Community Service Agency Title XIX Certification Application before considering Title XIX certification of the applicant. Incomplete application packets and packets with illegible documentation will be returned to the T/RBHA CSA representative for follow up with the applicant.
  - vi After reviewing the application packet, ADHS/DBHS will render a Title XIX Certification approval or denial decision in writing. In determining whether to award a Title XIX Certification to the applicant, ADHS/DBHS will consider information provided in the application that reflects the applicant's ability, knowledge, and fitness to provide the service(s) and all other available information.
    - (3) If approved, ADHS/DBHS must send a **Community Service Agency Title XIX Certificate** ([Policy 406, Attachment 8](#)) to the applicant within thirty (30) calendar days of the ADHS/DBHS receipt of a complete **Community Service Agency Title XIX Certification Application** packet.
    - (4) The T/RBHA(s) with which the applicant intends to contract will be notified in writing of the approval decision. All T/RBHAs will be notified in writing of a denial decision.
    - (5) The applicant must receive approval from ADHS/DBHS of the qualifications of each direct service staff member or contractor. Direct service staff members hired in the time period between submission of applications must meet all requirements and receive all trainings before providing services.
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SECTION: 1 CHAPTER: 400  
POLICY: 406, Community Service Agencies-Title XIX Certification

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- (6) The applicant must register with AHCCCS as a Community Service Agency provider type and contract with a T/RBHA before billing for Title XIX/XXI reimbursable services. A registration packet may be obtained from the following link:  
<http://www.azahcccs.gov/commercial/ProviderRegistration/registration.aspx>
  - (7) Documentation submitted to AHCCCS for registration must be consistent with information provided on the application submitted to the ADHS/DBHS Policy Office to avoid unnecessary delay in obtaining a provider identification number.<sup>1</sup>
- vii Applicants that are establishing more than one CSA location must submit an application for each location.
- b. Application for **Renewal** of a Title XIX Certificate
- i ADHS/DBHS must send a notice of renewal to the T/RBHA ninety (90) calendar days prior to the expiration date of the Community Service Agency Title XIX Certificate.
  - ii When more than one T/RBHA contracts with a CSA, the T/RBHAs must coordinate submission of the CSA renewal application. The RBHA that has the CSA located within its GSA is responsible for submitting the application to ADHS/DBHS and ensuring that the other T/RBHA(s) receive any necessary documentation. If a CSA contracts with a TRBHA, the TRBHA may process the application, as agreed upon with other T/RBHAs.
  - iii The applicant must submit the completed Community Service Agency Title XIX Certification Application form to the T/RBHA sixty (60) calendar days prior to the expiration date of a current Community Service Agency Title XIX Certificate. All information with an expiration date is considered current if the expiration date falls after the submittal date of the application by the CSA to the T/RBHA. Items/requirements that are subject to renewal are expected to be renewed/updated as required and will be verified during the T/RBHA Certification Audit.
  - iv The T/RBHA will review the completed Community Service Agency Title XIX Certification Application form for requirements and completeness. All documentation, such as copies of driver's licenses, must be easy to read.
  - v Not less than thirty (30) calendar days prior to the expiration date of a current
  - vi Community Service Agency Title XIX Certificate, the T/RBHA must submit the completed Community Service Agency Title XIX Certification Application form to the ADHS/DBHS Policy Office.
  - vii ADHS/DBHS and the T/RBHA must follow steps 3.a.vi.(1)-(3) of this policy, as applicable.
  - viii CSAs that do not submit renewal applications in a timely manner are subject to termination of the CSA's AHCCCS Provider Identification number. Certification status and AHCCCS Provider Identification will not be impacted by delays that result from the T/RBHA or ADHS/DBHS review of the application.

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<sup>1</sup> Per Federal mandate, health care providers must obtain a National Provider Identification Number (NPI).

SECTION: 1 CHAPTER: 400  
POLICY: 406, Community Service Agencies-Title XIX Certification

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- c. Application for an **Amended** Certificate
- i An applicant must request an amendment to the Community Service Agency Title XIX Certificate, using the Community Service Agency Title XIX Certification Amendment ([Policy 406, Attachment 3](#)), when any of the following information or circumstances occur:
    - (8) Change in agency name, address or telephone number;
    - (9) Addition or removal of a rehabilitation or support service ([Policy 406, Attachment 1](#));
    - (10) Addition of service provision to persons under the age of 18 (fingerprint clearance cards are required with this change);
    - (11) Change in the provider's tax identification number;
    - (12) Change in ownership or program director; and/or
    - (13) Change in ownership or program director; and/or
    - (14) Adding or removing a T/RBHA to a current Community Service Agency Title XIX Certificate. The Intent to Contract form ([Policy 406, Attachment 10](#)) must be included in the application for an Amended Certificate.
  - ii The applicant must file a request for amendment using the Community Service Agency Title XIX Certification Amendment ([Policy 406, Attachment 3](#)) at least thirty (30) calendar days before the change, unless the request for an amendment is due to a change in address. A request for amendment, due to a change in address, must be submitted upon obtaining the Occupancy Permit and a current passing fire inspection.
  - iii When adding a rehabilitation and/or support service listed on the initial
  - iv Community Services Agency Title XIX Certification Application ([Policy 406, Attachment 1](#)), the applicant must submit required documentation for each direct service staff member or contractor according to the application instructions.
  - v Changes must also be communicated to the [AHCCCS Provider Registration Office](#): 602-417-7670.
  - vi ADHS/DBHS and the T/RBHA must follow steps 3.a.vi (1)-(3) of this policy, as applicable.
- d. Maintenance of a Community Service Agency Title XIX Certificate
- i During the term of the Title XIX Certification, the T/RBHA must ensure that the subcontracted provider keeps the following requirements current for existing staff or contractors, as well as any individuals added in the interval between application and renewal or between subsequent renewal periods:
    - (15) For direct service staff members or contractors providing services to persons under the age of 18 years, a current Department of Public Safety Fingerprint Clearance Card or an Applicant Fingerprint Clearance Card Application with a notarized Criminal History Affidavit ([Policy 406, Attachment 5](#));
    - (16) For direct service staff members or contractors providing services to persons aged 18 and older, a completed and notarized ADHS/DBHS Self Declaration of Criminal History form ([Policy 406, Attachment 6](#)) every three (3) years from the date of the initial Self declaration; and

**SECTION: 1 CHAPTER: 400**  
**POLICY: 406, Community Service Agencies-Title XIX Certification**

- (17) Records as outlined in [Policy 406, Exhibit 2](#) of this policy.
- ii If a CSA no longer intends to deliver services or deliver services as a CSA, the CSA must notify the ADHS/DBHS Policy Office in writing at least thirty (30) calendar days in advance of the last date the service will be offered. If a T/RBHA determines that a rehabilitation and/or support service will no longer be contracted, the T/RBHA must notify the ADHS/DBHS Policy Office in writing at least thirty (30) calendar days in advance of the contract termination date. ADHS/DBHS will notify AHCCCS of the change(s). T/RBHAs and CSAs must coordinate the transition of behavioral health recipients. T/RBHAs must adhere to reporting and notification requirements established in RBHA contracts and TRBHA IGAs to ensure that network changes are communicated and transition plans are implemented for the continuation of services to behavioral health recipients.

e. Required Documents and Information for Title XIX Certification Application.

**i Policy 406, Exhibit 1**

The following documents and information are required for Title XIX Certification Applications:

Provider Information			
Requirement	Initial	Renewal	Amendment
1. Type of application	x	x	x
2. Date of application	x	x	x
3. Name of provider	x	x	x
4. Provider phone number	x	x	x
5. Provider e-mail address	x	x	x
6. Provider facility address	x	x	x
7. Provider mailing address	x	x	x
8. Program Director's name, credentials and phone number	x	x	x
9. T/RBHAs with which applicant intends to contract (initial) or with which it contracts (renewal and amendment) <sup>2</sup>	x	x	x
10. Provider social security number or tax identification number	x	x	x
11. Copy of provider incorporation documents	x		
12. Copy of provider charter, if any	x		
13. For each building at which rehabilitation and/or support services are to be provided: a. Copy of an official current passing fire inspection <sup>3</sup> b. Copy of Occupancy Permit *If submitting an amendment for a change of address, a copy of the fire and occupancy permit for the new location must also be submitted	x	a. Every 2 years b. If changed after initial application or between renewal applications	x*
14. A list of specific services for which the application is made	x	x	x

<sup>2</sup> CSAs/Applicants will utilize the Intent to Contract form to verify the intent of the T/RBHA to contract with the CSA/Applicant

SECTION: 1 CHAPTER: 400  
 POLICY: 406, Community Service Agencies-Title XIX Certification

15. List of direct service staff members or contractors who will provide each rehabilitation or support service	x	x	
16. AHCCCS provider identification number/National Provider Identification (NPI), when registered with AHCCCS as a Community Service Agency		x	x

<sup>3</sup> CSAs/Applicants will need to contact the local fire inspection authority to ensure that an official fire inspection is obtained.

ii Policy 406, Exhibit 2

In addition to the provider information listed above, for each direct service staff member or contractor, the following information must be submitted as part of the Community Service Agency's Title XIX Certification application:

For Each Direct Service Staff Member or Contractor			
Requirement	Initial	Renewal	Amendment
1. Credible evidence <sup>4</sup> of age 18 or older to provide Unskilled Respite, Personal Care, Self-help/Peer Service, Comprehensive Community Support Services, Ongoing Support to Maintain Employment, or Psychoeducational Services.	x		x
2. Credible evidence <sup>4</sup> of age 21 or older to provide Behavioral Health Prevention/Promotion Education, Skills Training, Home Care Training Family or Supervised Behavioral Health Day Treatment or Supervised Day Program services.	x		x
3. Reference form with contact information for three individuals using the <b>Community Service Agency Title XIX Certification Reference Form</b> ( <a href="#">Policy 406, Attachment 4</a> ).	x	x	x
4. Copy of current driver's license if the direct service staff member, or contractor will be providing transportation services.	x	x	x
5. Copy of current vehicle registration if the direct service staff member, or contractor will be providing transportation services.	x	x	x
6. Copy of insurance card indicating current liability insurance coverage for the direct service staff member, or contractor pursuant to A.R.S. 28-4009 if the direct service staff member or contractor will be providing transportation services.	x	x	x
7. Credible evidence <sup>5</sup> of one or more of the following current credentials if providing Tier I Services: Behavioral Health Professional; Behavioral Health Technician; or	x	x	x

<sup>4</sup> Credible evidence can consist of a birth certificate, baptismal certificate, or other picture ID containing a birth date, signed and dated by the staff member or contractor such as military identification, state ID card, or valid driver's license.

<sup>5</sup> Credible evidence can consist of a copy of the license for the behavioral health professional, copies of the license or certificate and/or education/training/experience verification for the behavioral health technician, or copies of the high school equivalency diploma (completion of GED) or high school diploma or associates degree for the behavioral health paraprofessional. Unofficial transcripts will not be considered as credible evidence.

SECTION: 1 CHAPTER: 400  
 POLICY: 406, Community Service Agencies-Title XIX Certification

For Each Direct Service Staff Member or Contractor			
Requirement	Initial	Renewal	Amendment
Behavioral Health Paraprofessional.			
8. Credible evidence <sup>5</sup> of one or more of the following current credentials if providing Behavioral Health Prevention/Promotion Education services: Behavioral Health Professional or Behavioral Health Technician.	x	x	x
9. Credible evidence <sup>5</sup> of one or more of the following current credentials with one year experience in providing rehabilitation services to persons with disabilities if providing Psychoeducational Service or Ongoing Support to Maintain Employment Services: Behavioral Health Technician or Behavioral Health Paraprofessional.	x	x	x
10. Credible evidence <sup>5</sup> of completion of required, T/RBHA approved training prior to delivering services to clients in the content areas listed below (see also <a href="#">Policy 403, Training Requirements</a> ):	x	x <sup>6</sup>	x
a. Client rights;			
b. Providing services in a manner that promotes client dignity, independence, individuality, strengths, privacy and choice;	x	X <sup>6</sup>	x
c. Recognizing common symptoms of and differences between a mental disorder, personality disorder, and/or substance abuse;	x	X <sup>6</sup>	x
d. Protecting and maintaining confidentiality of client records and information;	x	X <sup>6</sup>	x
e. Recognizing, preventing or responding to a client who may be a danger to self or a danger to others; behave in an aggressive or destructive manner; need crisis services or be experiencing a medical emergency;	x	X <sup>6</sup>	x
f. Record keeping and documentation; and	x	X <sup>6</sup>	x
g. Ethical behavior such as staff and client boundaries and the inappropriateness of receiving gratuities from a client.	x	X <sup>6</sup>	x
11. Copy of current Cardiopulmonary Resuscitation (CPR) certification <sup>7</sup> (must be current as of the Title XIX CSA application submission date)	x	x	x
12. Copy of current First Aid training verification <sup>7</sup> (must be current as of the Title XIX CSA application submission date)	x	x	x
13. Credible documentation of current freedom from infectious pulmonary tuberculosis <sup>8</sup> (must be current as of the Title XIX CSA application submission date)	x	X	x

<sup>6</sup> Training documentation submitted at renewal application is for direct service staff or contractors hired after the previously submitted application. Credible evidence of training must clearly indicate to reviewers of the application that direct service staff or contractors have received training in the specified content areas (i.e., training with different titles must be matched up to the trainings listed in this policy). All training documentation must be signed and dated by the trainer or individual designated to confirm training documentation.

<sup>7</sup> CPR and First Aid verification must include documentation signed by the instructor.

SECTION: 1 CHAPTER: 400  
 POLICY: 406, Community Service Agencies-Title XIX Certification

For Each Direct Service Staff Member or Contractor			
Requirement	Initial	Renewal	Amendment
14. If providing direct services to persons under 18 years of age: a. Copy of dated and signed <b>Department of Public Safety Fingerprint Clearance Card</b> ,  <p style="text-align: center;"><b>OR</b></p> b. Credible evidence of application for a fingerprint clearance card within 7 calendar days of the date of staff employment or contractor start date, e.g., copy of the completed <b>Applicant Fingerprint Clearance Card Application</b> and when received, a copy of the <b>Fingerprint Clearance Card</b> .  <p style="text-align: center;"><b>AND</b></p> c. Copy of the direct service staff member or contractor's completed and notarized <b>Criminal History Affidavit Form</b> ( <a href="#">Policy 406, Attachment 5</a> ).	x	X <sup>8</sup>	x
15. If providing direct services to persons aged 18 years or older, a copy of the direct service staff member's, or contractor's completed and notarized <b>Self Declaration of Criminal History</b> ( <a href="#">Policy 406, Attachment 6</a> ).	x	x	x

<sup>8</sup> Signed and dated letter or report from a qualified medical practitioner administering the test and reading the results. Results must clearly indicate that the qualified medical practitioner determines that the direct service staff member or contractor is medically safe to provide services. Credible documentation must be dated at the start of employment or prior to providing behavioral health services and every 12 months thereafter.

<sup>9</sup> If a direct service staff member is continuously employed or contracted with a CSA that provides services to persons under 18 years of age, the fingerprint clearance card must be obtained every six years (Department of Public Safety: <http://www.azdps.gov>)

- f. Denials, Suspension, or Revocation of a Community Service Agency Title XIX Certificate
  - i ADHS/DBHS may deny, suspend, or revoke a Community Service Agency Title XIX Certificate or an amendment to a certificate for any one or combination of the following:
    - (1) An applicant or CSA does not provide information as required in this policy;
    - (2) An applicant or CSA hires direct service staff members who do not meet the requirements in this policy and allows these staff members to provide services;
    - (3) An applicant or CSA submits falsified documents or provides other information that appears fraudulent (see [Policy 1502, Corporate Compliance](#));
    - (4) An applicant or CSA is suspected of abuse of Title XIX funds (see [Policy 1502, Corporate Compliance](#));
    - (5) The CSA changes to another provider type or the AHCCCS provider registration is terminated;
    - (6) The applicant or CSA provides services that are not allowable CSA services (i.e., services that require licensure);

**SECTION: 1    CHAPTER: 400**  
**POLICY: 406, Community Service Agencies-Title XIX Certification**

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- (7) The T/RBHA terminates the contract for the provision of CSA services with the CSA;
  - (8) An applicant or CSA is out of compliance with the provisions of this policy; and/or
  - (9) There is an identified threat to the health, safety or welfare of behavioral health recipients.
- ii ADHS/DBHS may deny or revoke a Community Service Agency Title XIX Certification if a direct service staff member or contractor is subject to registration as a sex offender in this state or any other jurisdiction or who has been convicted of, pled no contest to, or is awaiting trial on any of the following criminal acts:
- (1) First or second degree murder;
  - (2) Sexual abuse;
  - (3) Incest;
  - (4) A dangerous crime against children as defined in A.R.S. § 13-604.01;
  - (5) Child prostitution as prescribed in A.R.S. § 13-3212;
  - (6) Child abuse;
  - (7) Neglect or abuse of a vulnerable adult;
  - (8) Abuse of a vulnerable adult;
  - (9) Sexual abuse of a vulnerable adult;
  - (10) Sexual assault;
  - (11) Sexual exploitation of a minor;
  - (12) Sexual exploitation of a vulnerable adult;
  - (13) Commercial sexual exploitation of a minor;
  - (14) Commercial sexual exploitation of a vulnerable adult;
  - (15) Sexual conduct with a minor;
  - (16) Molestation of a child;
  - (17) Molestation of a vulnerable adult;
  - (18) Exploitation of minors involving drug offenses;
  - (19) Taking a child for the purposes of prostitution as prescribed in section 13-3206;
  - (20) Sex trafficking;
  - (21) Production, publication, sale, possession and presentation of obscene items as prescribed in section 13-3502;
  - (22) Furnishing harmful items to minors as prescribed in section 13-3506;
  - (23) Furnishing harmful items to minors by internet activity as prescribed in section 13-3506.01;
  - (24) Obscene or indecent telephone communications to minors for commercial purposes as prescribed in section 13-3512;
  - (25) Luring a minor for sexual exploitation;
  - (26) Enticement of persons for purposes of prostitution;
  - (27) Procurement by false pretenses of persons for purposes of prostitution;
  - (28) Procuring or placing persons in a house of prostitution;
  - (29) Receiving earnings of a prostitute;
  - (30) Causing one's spouse to become a prostitute;

**SECTION: 1 CHAPTER: 400**  
**POLICY: 406, Community Service Agencies-Title XIX Certification**

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- (31) Detention of persons in a house of prostitution for debt;
  - (32) Keeping or residing in a house of prostitution or employment in prostitution;
  - (33) Pandering
  - (34) Transporting persons for the purpose of prostitution, polygamy or concubinage;
  - (35) Portraying adult as a minor as prescribed in section 13-3555;
  - (36) Admitting minors to public displays of sexual conduct as prescribed in section 13-3558.
- iii Upon notification that a direct service staff member or contractor is found to have been convicted of, pled no contest to, or is awaiting trial on any of the criminal acts listed in 3.f.ii(1)-(36) above, a Community Service Agency must immediately take the following actions:
    - (1) Remove the staff or contractor from direct contact with clients;
    - (2) Prohibit the individual from rendering services to clients;
    - (3) Prevent further authorization for services provided by the individual; and
    - (4) Notify the ADHS/DBHS Policy Office.
  - iv If the reason for denial, suspension, or revocation of a Title XIX Certificate involves a threat to the health, welfare or safety of clients, the Community Service Agency must not render services to any clients.
  - v Denial, revocation, and suspension notice will be provided by means of a letter from the ADHS/DBHS Deputy Director to the applicant or CSA with a copy to all T/RBHAs that hold contracts with the applicant or CSA. The T/RBHA(s) will take necessary steps to ensure continuity of care.
- g. Corrective Action Plan
- i In lieu of a revocation or suspension, ADHS/DBHS may require a Community Service Agency to implement a corrective action plan to correct Title XIX Certification deficiencies when:
    - (1) Allowing the agency to continue services is in the best interests of the clients; and
    - (2) The health, safety or welfare of clients will not be jeopardized.
  - ii The following conditions are examples or situations which may result in a request for corrective action:
    - (1) A certificate in CPR or training in first aid for a direct service staff or contractor is not current;
    - (2) Written documentation of an orientation to the specific needs of each client is not available (i.e., CSAs must have a copy of the individual's service plan in the person's record);
    - (3) Required training is not documented or not completed;
    - (4) A passing fire inspection is not obtained every two years from the initial fire inspection; or
    - (5) Failure to maintain the records in Policy 406, Exhibit 2 of this policy.
  - iii ADHS/DBHS must notify in writing the Community Service Agency and T/RBHA(s) with which the agency holds a contract of each Title XIX Certification deficiency, the

SECTION: 1 CHAPTER: 400  
POLICY: 406, Community Service Agencies-Title XIX Certification

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- corrective action to be taken, and the deadlines for all corrective actions using the **Community Service Agency Title XIX Certification Notice of Deficiency** form ([Policy 406, Attachment 7](#)). T/RBHAs may also utilize this form while conducting the T/RBHA review for completeness and accuracy of the CSA application.
- iv The Community Service Agency must develop and submit corrective action plans to the ADHS/DBHS Policy Office or the T/RBHA, if applicable. A copy of the corrective action plan requested by ADHS/DBHS must be sent to the T/RBHA.
  - v If the Community Service Agency does not provide ADHS/DBHS with written documentation showing the completion of corrective action by the deadlines in the notice of deficiency, ADHS/DBHS may revoke or suspend the agency's Title XIX certification.
  - vi ADHS/DBHS decision to require a corrective action plan is not subject to the appeal rights contained in section 3.h. of this policy.
  - vii T/RBHAs may also require CSAs to implement corrective action plans based on deficiencies identified during the renewal application process, based on results from the T/RBHA Certification Audit or from deficiencies identified during the T/RBHAs' ongoing monitoring activities.
- h. Right to Appeal a Community Service Agency Title XIX Certification Decision
- i A CSA or new applicant may appeal a denial, revocation or suspension of Title XIX Certification.
  - ii ADHS/DBHS must provide written notice at the time of the action to the applicant or Community Service Agency of the right to appeal the decision.
  - iii An appeal of the denial, suspension or revocation decision must be sent within sixty (60) days of the decision to the ADHS/DBHS Office of Grievance and Appeals:  
150 N. 18<sup>th</sup> Avenue, Suite 210  
Phoenix, AZ 85007
  - iv When a Community Service Agency or applicant appeals the decision to suspend or revoke a Title XIX Certification in a timely manner, revocation or suspension must not become effective until the final administrative or judicial decision is rendered. If, however, a credible threat to a person's health, welfare or safety is evidenced, revocation or suspension will be immediate.
- i. Complaints
- i Complaints regarding dissatisfaction with any aspect of care will be processed in accordance with [Policy 1802, Complaint Resolution](#).
  - ii Any person who has a complaint alleging a violation of this policy about a Community Service Agency (such as, complaints alleging that direct service staff members do not meet qualifications or allegations that a CSA is providing services that the CSA is not authorized to provide under the CSA certification) may register an oral or written complaint with the ADHS/DBHS Policy Office.
  - iii If the complainant provides his or her name and address at the time the complaint is registered, if requested, the ADHS/DBHS Policy Office must, within thirty (30) calendar days, send the complaining party notice that the complaint was received and of the action to be taken regarding the complaint.

**SECTION: 1 CHAPTER: 400**  
**POLICY: 406, Community Service Agencies-Title XIX Certification**

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- iv The ADHS/DBHS Policy Office may resolve a complaint without conducting an investigation when:
  - (1) There is no dispute of the facts alleged in the complaint;
  - (2) The allegation is frivolous meaning that it:
    - (a) Involves an issue that is not within the scope of the provision of behavioral health services;
    - (b) Could not possibly have occurred as alleged; or
    - (c) The matter may be resolved fairly and efficiently within five (5) days without a formal investigation.
    - (d) The ADHS/DBHS Policy Office must investigate complaints about the Community Service Agency within fifteen (15) calendar days of the receipt of the complaint.
    - (e) The ADHS/DBHS Policy Office must notify all T/RBHAs and the Community Service Agency that an investigation is in progress and provide an opportunity for the Community Service Agency and T/RBHA to relate any information known regarding the complaint.
    - (f) If the ADHS/DBHS Policy Office has reasonable cause to believe that imminent danger exists, the ADHS/DBHS Policy Office must conduct the investigation immediately, report to the appropriate authorities, if applicable, and provide notice to the T/RBHA and Community Service Agency that an investigation is in progress.
    - (g) The ADHS/DBHS Policy Office must notify the T/RBHA and the Community Service Agency of the results of an investigation through a summary of the investigative findings and any corrective action.
    - (h) Complaints are not considered a formal grievance or appeal. A grievance or appeal may be filed with the RBHA or the ADHS/DBHS Office of Grievance and Appeals, as applicable, pursuant to ADHS/DBHS policies.
  
- j. Records
  - i The contracting T/RBHA(s) must require that each Community Service Agency maintain records of all requirements indicated on the CSA Title XIX Certification application for all direct service staff members and contractors.
  - ii The T/RBHA must require that Community Service Agency personnel and/or clinical records conform to the following standards indicated in this policy (see also [Policy 802, Behavioral Health Medical Record Standards](#)):
    - (1) Each record entry must be;
      - (a) Dated and signed with credentials noted,
      - (b) Legible,
      - (c) Typed or written in ink, and
      - (d) Factual and correct.
    - (2) If required records are kept in more than one location, the Community Service Agency must maintain a list indicating the location of the records; and

**SECTION: 1 CHAPTER: 400**  
**POLICY: 406, Community Service Agencies-Title XIX Certification**

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- (3) Community Service Agencies must maintain a record of the services provided to each behavioral health recipient. The minimum written requirement for each behavioral health recipient's record must include:
    - (a) The service provided (including the code used for billing the service) and the time increment;
    - (b) The date the service was provided;
    - (c) The name and title of the person providing the service;
    - (d) The client's T/RBHA or CIS identification number and AHCCCS identification number. T/RBHAs must ensure that services provided by CSAs are reflected in behavioral health recipients' service plans. CSAs must keep a copy of each behavioral health recipient's service plan in the person's record.
    - (e) Daily documentation of the service(s) provided and monthly summary of progress toward treatment goals.
    - (f) [Policy 406, Attachment 9](#) is the format that must be utilized to meet the requirements identified in 3.j.ii.(3)(a)-(f).
  - (4) Each thirty (30) days, a summary of the information required in 3.j.ii.(a)-(f) must be transmitted from the Community Service Agency to the person's case manager or other clinical team representative.
- k. Certification Audit of Title XIX Certified Community Service Agency
- i The T/RBHA must conduct a certification audit of the Community Service Agency at least every contract year (i.e., July 1 through June 30), or more often, if determined necessary by the T/RBHA. When more than one T/RBHA contracts with a CSA, the RBHA that has the CSA located within its GSA is responsible for conducting the audit and sharing the results with the other T/RBHA(s). If a CSA contracts with a TRBHA, the TRBHA may conduct the certification audit, as agreed upon with other T/RBHAs.
  - ii Each T/RBHA must have the ADHS/DBHS Policy Office review and approve the T/RBHA's Certification Audit Tool prior to implementing the tool. The tool must contain, at a minimum, standards covering all requirements for staff qualifications and all requirements for client records, as contained in this policy. If the tool does not contain a description or explanation of the audit evaluation process, a description of the evaluation process must also be submitted to the ADHS/DBHS Policy Office. Any changes made to the tool after receiving initial approval from the ADHS/DBHS Policy Office will need to be resubmitted to the ADHS/DBHS Policy Office for review and approval before its use.
  - iii The T/RBHA must schedule the certification audit at least thirty (30) calendar days in advance of the audit start date.
  - iv The Community Service Agency must cooperate with the certification audit by:
    - (1) Making available to the T/RBHA personnel records that include all updated information required for the CSA Title XIX Certification application;
    - (2) Making available to the T/RBHA all requested clinical records;
    - (3) Allowing the T/RBHA to interview direct service staff members and contractors; and

**SECTION: 1 CHAPTER: 400**  
**POLICY: 406, Community Service Agencies-Title XIX Certification**

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- (4) After receiving initial approval from the ADHS/DBHS Policy Office will need to be resubmitted to the ADHS/DBHS Policy Office for review and approval before its use.
- v The T/RBHA must schedule the certification audit at least thirty (30) calendar days in advance of the audit start date.
- vi The Community Service Agency must cooperate with the certification audit by:
  - (1) Making available to the T/RBHA personnel records that include all updated
  - (2) information required for the CSA Title XIX Certification application;
  - (3) Making available to the T/RBHA all requested clinical records;
  - (4) Allowing the T/RBHA to interview direct service staff members and contractors; and
  - (5) Participating in the certification audit entrance and exit conference with T/RBHA employees.
- I. T/RBHAs must provide the ADHS/DBHS Policy Office with results (reports and any other relevant information) of the Certification Audit no later than 30 days after the completion of the audit

**4. REFERENCES:**

[42 CFR § 438.214](#)  
[45 CFR Part 162](#)  
[A.R.S. § 12-981\(5\)](#)  
[A.R.S. Title 28, Chapter 9](#)  
[A.R.S. Title 32, Chapters 15 and 33](#)  
[A.R.S. § 36-425.03](#)  
[A.R.S. § 41-1758.03](#)  
[9 A.A.C. 20](#)  
[9 A.A.C. 21](#)  
[AHCCCS/ADHS Contract](#)  
[ADHS/RBHA Contracts](#)  
[ADHS/TRBHA Intergovernmental Agreements](#)  
[Policy 802, Behavioral Health Medical Record Standards](#)  
[Policy 1502, Corporate Compliance](#)  
[Policy 1802, Complaint Resolution](#)  
[AHCCCS Medical Policy Manual \(AMPM\)](#)  
[AHCCCS Behavioral Health Services Guide](#)  
[ADHS/DBHS Covered Behavioral Health Services Guide](#)