

1230-A ASSISTED LIVING FACILITIES

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EFFECTIVE DATE: June 30, 1994

REFERENCES: A.R.S § 36-401; A.A.C. R9-10-801; AMPM 1230-A; ACOM 436; AHCCCS Contract

PURPOSE

This policy establishes requirements for Assisted Living Facilities designed for ALTCS Members who are physically or functionally unable to live in their own home, but do not need the care intensity of a Nursing Facility.

DEFINITIONS

1. "Alternative Home and Community Based Services (HCBS) Setting" means a living arrangement where a Member may receive HCBS. The setting shall be approved by the director, and either be:
 - a. Licensed or certified by a regulatory agency of the state;
or
 - b. Operated by the Indian tribe or tribal organization, or an urban Indian organization, and has met all the applicable standards for state licensure, regardless of whether it has

actually obtained the license. The possible types of settings for an individual with an intellectual/developmental disability include:

- i. Community residential settings;
- ii. Assisted Living Facilities;
- iii. Assisted Living Centers;
- iv. Assisted Living Homes;
- v. Group homes;
- vi. State-operated group homes;
- vii. Developmental homes;
- viii. Group foster homes;
- ix. Adult behavioral health therapeutic homes (ABHTH);
and
- x. Behavioral health respite homes.

2. "Assisted Living Center" or "ALC" means an Assisted Living Facility that provides resident rooms or residential units to 11 or more residents, as specified in A.R.S. § 36-401. ALCs provide Room and Board, supervision, and coordination of necessary services to residents.

3. "Assisted Living Facility" or "ALF" means a residential care institution that provides Supervisory Care Services, Personal Care Services, or Directed Care Services, on a continuing basis. All approved residential settings in this category are required to:
 - a. Meet Arizona Department of Health Services (ADHS) licensing criteria as defined in A.A.C. R9-10 Article 8;
 - b. Provide residents with adequate recreation and socialization opportunities; and
 - c. Comply with the Home and Community Based Settings Rule under section 1915 of the Social Security Act [42 C.F.R. § 438.3(o); 42 C.F.R. § 441.301(c)(4)].
4. "Assisted Living Home" or "ALH" means an Assisted Living Facility that provides Room and Board, supervision, and coordination of necessary services to 10 or fewer residents.
5. "Directed Care Services" means programs and services, including Supervisory Care Services and Personal Care Services, that are provided to persons who are incapable of recognizing danger, summoning assistance, expressing need, or making basic care decisions.

6. “Member” means the same as “Client”, a person receiving developmental disabilities services from the Division, as specified in A.R.S. § 36-551.
7. “Nursing Facility” or “NF” means, as defined in 42 U.S.C. § 1396r(a), an institution or a distinct part of an institution which:
 - a. Is primarily engaged in providing to residents:
 - i. Skilled nursing care and related services for residents who require medical or nursing care;
 - ii. Rehabilitation services for the rehabilitation of injured, disabled, or sick individuals; or
 - iii. On a regular basis, health-related care, and services to individuals who because of their mental or physical condition require care and services above the level of Room and Board, which can be made available to them only through institutional facilities; and
 - iv. Is not primarily for the care and treatment of mental diseases.

- b. Has in effect a transfer agreement meeting the requirements of 42 U.S.C. § 1861(l) with one or more hospitals having agreements in effect under section 1866; and
 - c. Meets the requirements for a NF described in subsections (a.)(ii. - iv.) of this definition.
8. “Personal Care Services” means assistance with activities of daily living that can be performed by persons without professional skills or professional training and includes the coordination or provision of intermittent nursing services and the administration of medications and treatments by a nurse who is licensed pursuant to A.R.S. Title 32, Chapter 15 or as otherwise provided by law.
9. “Planning Document” means a written plan developed through an assessment of functional need that reflects the services and supports, paid and unpaid, that are important for and important to the Member in meeting the identified needs and preferences for the delivery of such services and supports.

10. "Planning Team" means a defined group of individuals comprised of the Member, the Responsible Person if other than the Member, and, with the Responsible Person's consent, any individuals important in the Member's life, including extended family members, friends, service providers, community resource providers, representatives from religious/spiritual organizations, and agents from other service systems.
11. "Responsible Person" means an adult with a developmental disability who is a Member or an applicant for whom no guardian has been appointed, the parent or guardian of a minor with a developmental disability, or the guardian of an adult with a developmental disability.
12. "Room and Board" means the amount paid for food and shelter. Medicaid funds can be expended for Room and Board when an individual lives in an institutional setting (e.g., Nursing Facility (NF), Intermediate Care Facility [ICF]). Medicaid funds cannot be expended for Room and Board when a Member resides in an Alternative Home and Community Based Service (HCBS) Setting (e.g., Assisted Living Facility (ALF), Behavioral Health Residential

Facility [BHRF]) or an apartment like setting that may provide meals.

13. "Service Plan" means a written description of covered health services, and other supports which may include:
 - a. Individual goals;
 - b. Family support services;
 - c. Care coordination; and
 - d. Plans to help the Member better their quality of life.
14. "Service Provider" means an agency or individual operating under a contract or service agreement with the Department to provide services to Division Members.
15. "Supervisory Care Services" means general supervision, including daily awareness of resident functioning and continuing needs, the ability to intervene in a crisis, and assistance in self-administering prescribed medications.
16. "Support Coordinator" means the same as "Case Manager" under A.R.S. § 36-551.

POLICY

A. GENERAL REQUIREMENTS

1. The Division may provide Members services in Alternative Home and Community Based Services (HCBS) Settings as defined in A.A.C. R9-28-101 when assessed as appropriate.
2. The Division shall ensure Members:
 - a. Live in the most integrated and least restrictive setting;
 - b. Have full access to the benefits of community living; and
 - c. Are afforded the choice of living in their own home or choosing an Alternative HCBS Setting rather than residing in an institution.
3. The Division shall, when appropriate, consider Assisted Living Facilities (ALFs) for Members who are physically or functionally unable to live in their own home, but are assessed to not require the care or intensity of a Nursing Facility (NF).
4. The Division shall ensure ALFs provide Supervisory Care Services, Personal Care Services, or Directed Care Services on a continuing basis.
5. The Division shall require the ALF to provide recreation and socialization opportunities to Members residing in the ALF.

6. The Division shall ensure that ALFs are located among other residential buildings, private businesses, and retail businesses to facilitate integration with the greater community.
7. The Division shall ensure that ALFs co-located on the grounds of skilled Nursing Facilities (SNFs) are licensed and operate separately and apart from one another.
8. The Division may assess services in an ALF for Members that are not included in the ALF's scope of service when authorized by the Member's Support Coordinator and determined medically necessary and cost-effective.
9. The Division shall require a Service Provider to bill separately for services that are not incorporated in the ALF per diem. These services include:
 - a. Physical health services;
 - b. Medical equipment and supplies;
 - c. Therapies;
 - d. Transportation;
 - e. Behavioral health services;
 - f. Home health services; and

- g. Adult day health services.
10. The Division shall ensure the ALF fosters interaction between Members residing in the ALF and the general community, internal and external to the setting, to include the following activities:
- a. Peers, including those without disabilities, visiting the setting to provide information, instruction, training, support, and to participate in activities; and
 - b. Facilitating activities outside of the setting whereby Members are directly engaged in activities with peers, including those without disabilities, and of varying age levels.
11. The Division shall ensure the ALF facilitates access to community resources and activities for Members residing in the ALF, to include:
- a. Assisting Members in utilizing community transportation resources including mobility and transportation training;
 - b. Assisting Members to arrange for Personal Care to support engagement in community activities with support facilitated by the provider or informal support;

- c. Exercising strategies for providing and facilitating social and recreational activities that do not regiment individual initiative, autonomy, and independence in making life choices including:
 - i. Daily activities;
 - ii. Physical environment; and
 - iii. With whom to interact.
 - d. Exercising strategies for facilitating alternate schedules for Members.
- 12. The Division shall require the ALF to allow the Member residing in the ALF full access to common areas within the ALF at any time, to include the following areas:
 - a. Kitchen;
 - b. Laundry room;
 - c. Dining room; and
 - d. Living room.
- 13. The Division shall require the Member's ALF Service Plan to be:
 - a. Updated upon request of the Member residing in the ALF;
 - and

- b. Combined with the Member’s Planning Document facilitated by the Support Coordinator.
- 14. The Division shall require the ALF to refer the Member residing in the ALF to their Support Coordinator when the Member:
 - a. Expresses a desire to work or volunteer; or
 - b. Demonstrates work related skills that may be an indication of their desire to work or volunteer.
- 15. The Division shall ensure ALF managers institute practices to engage customer satisfaction with Members who are residents, including satisfaction with the caregiver providing services.
- 16. The Division shall require the Support Coordinator to document justification for considering adult day services for a Member residing in an ALF and receive approval from the Division.
- 17. The Division shall comply with the requirements in AMPM Chapter 300 and Chapter 1200 for:
 - a. A description of the services specified in this policy; and
 - b. Limitations to ALTCS coverage.
- 18. The Division shall require the Support Coordinator to use the DDD-1747A Assisted Living Facility (ALF) Residency Agreement

form to specify and document the ALTCS standards for assisted living services for Members residing in an ALF.

19. The Division shall not cover costs for Room and Board when a Member resides in an ALF.
20. The Division shall determine the cost for the ALF Room and Board that is the financial responsibility of the Member or representative payee.
21. The Division shall not allow ALF services to be used in place of respite services.

B. DOCUMENTATION REQUIREMENTS

The Division shall require the following considerations to be documented by the Support Coordinator when assessing the appropriateness of ALF services for a Member:

- a. The Member is age of 60 or over;
- b. The Responsible Person and the Support Coordinator have visited the proposed ALF;
- c. The supports identified in the Member's Planning Document can be provided by the ALF;
- d. The Member's choice to live alone or with a roommate:

- i. The Support Coordinator shall document the Member's choice on the DDD-1542A Assisted Living Facility Occupancy form; and
- ii. This form shall be filed with the Member's Planning Document, reviewed annually or at any time at the request of the Member, and updated when the Member updates their choice to live without a roommate.

Vicki Copeland, MD

Signature of Chief Medical Officer

Vicki Copeland

Name

Aug 6, 2025

Date