

# REVIEW OF REQUIREMENTS FOR SERVICE PLANS

ARIZONA DEPARTMENT OF HEALTH  
SERVICES  
OFFICE OF ASSISTED LIVING  
LICENSING

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**Welcome to this online educational offering. The following presentation is designed to help the viewer understand the Rules for preparing and maintaining Service Plans by Assisted Living providers in Arizona.**

**Color coding has been added to the Rules slides to emphasize certain concepts.**

**Each slide with a Rule number at the top is the actual Rules statement.**

**Slides with additional instructions and clarification statements are interspersed to enhance understanding. These are in italics.**

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# MOST CITED SERVICE PLAN DEFICIENCIES

- 1. Not signed by resident or representative**
- 2. Amount, type, and frequency of services omitted**
- 3. Not updated every three months for directed level residents**
- 4. Not signed by the manager or manager's designee**
- 5. No service plan**
- 6. Not updated every 6 months for personal level residents**
- 7. Not completed within 14 days of the date of acceptance**
- 8. Not updated within 14 days of significant change**
- 9. Not initiated on date of acceptance into the facility**
- 10. Does not include everyone responsible for providing services**
- 11. Resident is at an inappropriate level of care**
- 12. Not signed/completed by a nurse as required**

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# DEFINITION

"SERVICE PLAN" MEANS  
A WRITTEN DESCRIPTION OF A RESIDENT'S

NEED

FOR SUPERVISORY CARE SERVICES,  
PERSONAL CARE SERVICES, OR  
DIRECTED CARE SERVICES

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# DEFINITION

"SERVICE PLAN" MEANS A WRITTEN DESCRIPTION

INCLUDING

THE SPECIFIC SERVICES

TO BE PROVIDED TO THE RESIDENT.

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***Definitions for additional terms  
in this presentation may be  
reviewed in R9-10-701 of the  
Assisted Living Rules***

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**A WRITTEN DESCRIPTION**  
**OF A RESIDENT'S**

***A SERVICE PLAN***

***MUST BE***  
***WRITTEN***

**NEED**

**AND**

**SPECIFIC SERVICES**

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***REQUIREMENTS FOR SERVICE PLANS ARE  
FOUND IN SEVERAL PLACES IN ASSISTED  
LIVING RULES –***

***Chapters referring to Medications, Rights,  
Confidentiality and record keeping for  
instance.***

***Rules in this presentation are found at the top  
of the slide. Refer to the chapter noted in the  
specific rule displayed.***

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# R9-10-711. Requirements for Service Plans and Health-Related Services

- A. A licensee shall ensure that a resident has a written service plan that:
  - 1. Is **initiated** the day a resident is accepted into the assisted living facility;
  - *This means that on the day of acceptance into the facility a service plan with name, date of acceptance, immediately assessed needs for assistance, and restrictions is available.*

*Immediate assessment will include at least whatever help is needed for eating, moving, activities of daily living, medication assistance and any impairments of vision, hearing, or understanding.*

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# R9-10-711. Requirements for Service Plans and Health-Related Services

- 2. Is **completed** no later than 14 days after the resident's date of acceptance;
  - *This means that within 14 days after acceptance a complete **assessment of needs** and a*
  - ***Specific plan** for meeting those needs is available and **signed** by required parties.*

# R9-10-711. Requirements for Service Plans and Health-Related Services

- 3. Is developed with **assistance and review** from:
  - a. The **resident** or representative; [and]
  - b. The **manager or manager's designee**; [and]
  - c. A **nurse**, if the resident is receiving
    - **nursing services, medication administration, or is unable to direct self-care**; [and]
  - d. The resident's **case manager**, if applicable;
  - [and]

# R9-10-711. Requirements for Service Plans and Health-Related Services

- 3. Is developed with **assistance and review** from:  
(continued)
  - e. **Any individual requested** by the resident or the representative; [and]
  - f. If applicable and necessary, any of the following: **caregivers, assistant caregivers, the resident's primary care provider, or other medical practitioner** (*for example, dentist, podiatrist, behavioral health practitioner*):

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## R9-10-711. Requirements for Service Plans and Health-Related Services

- 4. Is based on
- An **assessment** conducted with resident interaction and
- **By** the individuals in subsection (A)(3);  
*(representative, manager, nurse, case manager, etc)*
- *This means the person(s) assessing the resident **talk to, and observe** the resident.*

# R9-10-711. Requirements for Service Plans and Health-Related Services

- *To be more specific -*  
*The resident must be assessed directly*  
*The resident's representative must be included (as applicable)*  
*The case manager must be included (as applicable)*
- *On update, caregivers, the PCP, Home Health or Hospice providers should also be consulted to give a complete picture of needs,*
- *As well as the manager and nurse.*

# R9-10-711. Requirements for Service Plans and Health-Related Services

- 5. Includes the following:
  - a. The **level of service** the resident is receiving;
    - (Supervisory, Personal or Directed)
  - b. The **amount, type, and frequency** of health-related services needed by the resident; and
  - c. Each **individual responsible** for the provisions of the service plan;
    - *This means the Service Plan includes services by **hospice** and **home health** caregivers, **family** or **other** persons designated: **who** they are and **what** they do and **how often**.*

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## R9-10-711. Requirements for Service Plans and Health-Related Services

- 6. Is **signed and dated by**:
  - a. The resident or the representative;
  - b. The manager or the manager's designee;
  - c. The nurse, if a nurse assisted in the preparation or review of the plan; and
  - d. The case manager, if a case manager assisted in the preparation or review of the plan; and

*Signatures should be obtained as soon as the Service Plan is done or a good faith effort to do so is documented.*

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## R9-10-711. Requirements for Service Plans and Health-Related Services

- 7. Is **updated** according to the requirements in subsection (A)(3) through (6): *[assistance and review by representative and others as appropriate]*
- a. No later than **14 days** after a **significant change** in the resident's physical, cognitive, or functional condition; **and**
  - *This means that when a resident has an injury, changes in cognitive function (mental ability) or has a health issue (for example, returns from the hospital), an update must be made to the Service Plan showing new needs and the new plan to meet them.*

## R9-10-711. Requirements for Service Plans and Health-Related Services

- 7. Is **updated** according to the requirements in subsection (A)(3) through (6): *[assistance and review by resident, representative and others as appropriate]*
  - b. As follows:
    - i. At least once every **twelve (12) months** for a resident receiving **SUPERVISORY care services**;
    - ii. At least once every **six (6) months** for a resident receiving **PERSONAL care services**; and
    - iii. At least once every **three (3) months** for a resident receiving **DIRECTED care services**.

# Other Rules related to Service Plans and Health-Related Services: R9-10-710

- 710.D. A licensee shall ensure that a resident has the following rights: ...
- 7. To **receive the services specified** in the service plan, and **to review and re-negotiate** the service plan at any time;

*This means that when a resident or representative requests a change in services provided, it must be discussed, and the resident has a right to receive the services written in the service plan.*

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## R9-10-711. Requirements for Service Plans and Health-Related Services

B. A licensee shall ensure that a resident is provided the following, consistent with the level of service the assisted living facility is licensed to provide:

1. **Supervisory care services**, **personal care services**, or **directed care services** specified in the resident's service plan;
2. **Supervisory care services**, **personal care services**, or **directed care services** to meet a resident's scheduled and unscheduled needs;

# R9-10-711. Requirements for Service Plans and Health-Related Services

AND

3. General supervision to ensure crisis intervention during an emergency, accident, incident, illness, or significant change in the resident's physical, functional or cognitive condition;

*Note: When an incident occurs with a resident, one or more of these last three rules have often been violated.*

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## R9-10-711.B.4-7: Requirements for Service Plans and Health-Related Services

- 4. **Supervisory care services**, **personal care services**, or **directed care services** that promote a resident's independence, dignity, choice, self determination, and the resident's highest physical, cognitive, and functional capability;
- 5. Assistance in utilizing community resources, as applicable;
- 6. Encouragement and assistance to preserve outside support systems; and
- 7. Social interaction to maintain identity and self-worth.

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## R9-10-711.B. Requirements for Service Plans and Health-Related Services

- What does this mean?

*The Service Plan should reflect the resident's ability and desire to be included in activities, to eat the **food** they prefer, to be able to contact **outside resources and support systems** and*

*The Service Plan should indicate what the provider must do to ensure these needs are met.*

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# R9-10-713.A. Medication Rules related to Service Plans

- A. A licensee shall ensure that a resident's service plan states whether the resident:
  - 1. Requires **no assistance** in the self-administration of medication or medication administration; *(The resident is responsible themselves for keeping and taking medications)*
  - 2. Needs **assistance in the self-administration** of medication which includes one or more of the following:
    - a. Storing a resident's medication;
    - b. Reminding a resident that it is time to take a medication;  
*(continued)*
-

## R9-10-713. Medications *con't*

- **c. Reading the medication label to a resident to:**
  - **i. Confirm the medication is being taken by the individual it is prescribed for;**
  - **ii. Check the dosage against the label on the container and reassure the resident that the dosage is correct; and**
  - **iii. Confirm the resident is taking the medication as directed;**
- **d. Opening the medication container for a resident;**
- **e. Pouring or placing a specified dosage into a container or into the resident's hand; or**
- **f. Observing the resident while the medication is taken;**  
or

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## R9-10-713. Medications

- Or
- 3. Needs medication administration.
- Some Service Plans may designate certain medications to be **administered by the caregiver** (injected, topical ointments, eye drops) and others which are to be **given to the resident to put in their own mouth** (assistance with self administration).

## R9-10-714. Resident Records Requirements for Service Plans and Health-Related Services

- A. A licensee shall maintain a resident's record that contains...
  7. The **service plan, its amendments and updates**; ...
  10. Any **orders** from a primary care provider or medical practitioner as required in R9-10-722 or R9-10-723;...
  14. **Documentation of any change** in a resident's behavior, physical, cognitive, or functional condition and **action taken** by employees to address the resident's changing needs;
    - *Such changes may be in other places (for example an incident report) but must also be reflected in the Service Plan.*
    - *All resident records must be maintained for at least three years after discharge.*

## R9-10-714.B: Resident Records Requirements for Service Plans and Health-Related Services

- B. A licensee shall ensure that a resident's record is:
  - 1. **Confidential** and only released with written permission from the resident or the representative, or as otherwise provided by law;
  - 2. **Maintained** at the facility;
  - 3. **Legibly recorded** in ink or electronically recorded;
  - 4. **Retained for three years** from the date of termination of residency; and
  - 5. **Available for review** by the resident or the representative during normal business hours or at a time agreed upon by the resident and the manager.

## R9-10-714. Resident Records Requirements for Service Plans and Health-Related Services

- *What does this mean?*
- *The Service Plan is a part of the Resident Record.*
- *It is **confidential** and not shared except to those who need it to meet the resident's needs: the resident, representative, care givers and health providers, and emergency personnel, for example.*
- *The Service Plan is **kept** with the rest of the resident's records for **three years** after the resident is discharged.*

## R9-10-721. Supplemental Requirements for an Assisted Living Facility Licensed to Provide Supervisory Care Services

- A resident in an assisted living facility that is licensed to provide **supervisory care services** may receive nursing services or health-related services from a licensed home health agency, licensed hospice service agency, or private duty nurse.
- **Such services must be on the Service Plan.**
- *This means residents who are responsible for their own care may engage others to assist them.*

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## R9-10-722.A and 723.B.1,3: Supplemental Requirements for an Assisted Living Facility Licensed to Provide Personal, and Directed, Care Services

- A. A licensee of an assisted living facility licensed to provide **personal care services** or **directed care** shall not:
  - 3. Accept or retain a resident who is bedbound unless: ...
  - b. The following requirements are met at the onset of the condition or when the resident is accepted into the assisted living facility: ...
    - iv. The resident's service plan is revised to include the resident's increased need for services;

**R9-10-722.A: Supplemental Requirements for an Assisted Living Facility Licensed to Provide Personal Care Services AND 723.B.1,3: for **directed care services** residents**

- A. A licensee of an assisted living facility licensed to provide **personal care services**, or **directed care services** residents shall not...
- 4. Accept or retain a resident who has a **stage 3 or stage 4 pressure sore**, as determined by a nurse or medical practitioner, unless the assisted living facility meets the requirements in subsection (A)(3)(b).

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**R9-10-722.A: Supplemental Requirements for an Assisted Living Facility Licensed to Provide Personal Care Services AND 723.B.1,3: for **directed care services** residents**

- AND
- vii. The assisted living facility **documents the services provided** to the resident to meet the resident's needs;

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## R9-10-722.C.5 Additional Requirements for Service Plans and Health-Related Services

*For residents receiving Personal care services there must be*

- **5. Documentation of a resident's weight for each resident receiving medication administration or nursing services.**
  - A resident's weight shall be recorded **in the resident's service plan** when a resident's service plan is developed or updated.

*This means if residents at personal care level are receiving nursing services or medication administration they must be weighed when the service plan is updated.*

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## R9-10-723.D.6: Additional Requirements for Service Plans and Health-Related Services

- AND

*For residents receiving Directed care services*

- **6. Documentation of a resident's weight.** A resident shall be weighed and the resident's weight recorded in the resident's service plan when a resident's service plan is developed or reviewed.

- *This means residents at directed care level are weighed when the service plan is updated whether they receive nursing services or medication administration or not. That is, at least every 3 months.*

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## R9-10-723.G.1.a,b,c: Additional Requirements for Service Plans and Health-Related Services

- **G.** In addition to the requirements for a resident's record in R9-10-714, a licensee shall ensure that:
- **1.** The resident record for a resident who is **unable to direct self-care** contains a record of services provided by a licensed home health agency or licensed hospice service agency including:
  - *This means a copy of the hospice and Home Health services given are retained in the resident record.*

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## R9-10-723.G.1.a,b,c: Additional Requirements for Service Plans and Health-Related Services

- a. A description of the **home health service** or **hospice service** provided to the resident and date and time provided;

*This means a copy of the hospice and Home Health services given are retained in the resident record.*

- b. The **name, address, and phone number** of the home health agency or hospice agency; and
- c. Documentation of any **instructions** for the resident's care in the resident's service plan; and

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## R9-10-723.G.2: Additional Requirements for Service Plans and Health-Related Services

- **G.** In addition to the requirements for a resident's record in R9-10-714, a licensee shall ensure that:
- **2.** Instructions for the resident's care are communicated to employees.
- *This means that*
  - \* *all caregivers must be instructed in what the outside agency intends that the caregivers must do for the resident, and*
  - \* *that the instruction is documented and*
  - \* *that the actions are documented.*

# Review of Service Plans and Health-Related Services

- The following slides contain questions which you should be able to answer after reviewing this presentation.
  - If you are not sure of the answer as you read through them, please review the appropriate rule.
  - When you have finished you should never have another citation for an imperfect Service Plan!
  - The last two slides will help you get answers to any remaining questions.
- **THANK YOU FOR PARTICIPATING IN THIS PROGRAM**

To receive a two hour continuing education certificate participants must attend a class at the Phoenix or Tucson office. Call the office for dates and to make reservations. (602-364-2639 or 520- 628-6965.

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# QUESTIONS

- **1. When is a Service Plan required to be initiated?**
- **2. When is a service plan required to be signed?**
- **3. When is a service plan required to be updated?**
- **4. Who is allowed to assess the resident for a service plan?**

# QUESTIONS

- **5. When must a nurse complete a service plan?**
- **6. If a resident or representative does not sign a service plan what may a manager do?**
- **7. If a resident cannot be weighed what can be done to document weight on a service plan?**
- **8. How long must a service plan be retained?**

# QUESTIONS

- **9. Must medications be listed on a service plan?**
- **10. If a resident is receiving nursing services and is supervisory level, when must the service plan be updated?**

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# QUESTIONS

- **WHAT ARE YOUR QUESTIONS?**
- **PLEASE FEEL FREE TO CONTACT THE**
- **Surveyor of the Day, a surveyor who has visited you or any appropriate person in the following offices:**

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**THANK YOU!**

**Have a nice day!**

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