

 Utah Department of <b>Health &amp; Human Services</b> Licensing & Background Checks		<b>Inspection Checklist</b>				This inspection checklist is the tool OL licensors use to ensure consistency for every inspection. <i>(Revised 12/2023)</i>	
Provider Name:	Soulegria, LLC	Facility ID:	F23-96990	Phone Number:	(435) 764-8964	<b>Notes</b>	
Site Name or Address:	11 S Main Hurricane, UT 84737			Email Address:	tyler@soulegria.com; tyler@teamve		
Approved Capacity:	20	# of Present Residents\Clients:	19				
<b>Please review the following items prior to the inspection:          (Mark with a check mark if completed and make and necessary notes)</b>				<b>Please review the following items during the inspection:          (Mark with a check mark if completed and make and necessary notes)</b>			
X	Current backgrounds in DACS			X	Any active rule variances	There are no active rule variances	
X	Current staff roster collected			X	Introduce yourself and any DHHS staff		
X	Any license restrictions or conditions	There are no license restrictions or conditions.		X	Staff Interviews		
X	Any needed rule variances	There are not needed rule variances.		X	Clients Interviews		
<b>Inspection Information:</b>							
- The licensor will email you this inspection checklist after the inspection is completed. <b>This checklist is not an official compliance statement.</b> The licensor will send you an <b>official Inspection Report once this inspection has been approved by management.</b> Only items checked here as noncompliant can be part of your Inspection Report, and the Inspection Report is to be considered the results of this inspection.							
- If the only non compliance items are documentation and/or records, please submit them by the <i>correction required date</i> listed. A licensor may conduct a follow-up inspection to verify compliance and maintenance of any noncompliance.							
<b>Signature Information</b>							
Inspection Type:	Announced Annual	Date:	1/9/2023	Time Started On-site:	9:45am	Time Ended On-site: 11:00am	
Number of Non Compliant Items:		0	Name of Individual Informed of this Inspection:		Tyler Olsen		
Licensor(s) Conducting this Inspection:		Greg Hirst			OL Staff Observing Inspection:		
X	The Licensor explained noncompliance items (if any).	<b>Please sign/type individual informed name and date of review:</b> Signing this checklist does not constitute agreement with the statements, only that the inspection was conducted and noncompliances, if any, were explained.			Tyler Olsen		

**Non-Residential General Provisions - Inspection Checklist**

*(Revised 12/2023)*

**C = Compliant**

**NC = Not Compliant**

**NA = Not Assessed during this inspection**

New and Renewal Licensing Procedures	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<b>R380-600-3(1)</b> An applicant or provider may not accept any fee, enter into any agreement to provide a client service, or provide any client service until a license or certificate is approved by the office.	x					
<b>R380-600-3(2)</b> Each applicant and provider shall comply with any applicable administrative rule, statute, zoning, fire, safety, sanitation, building and licensing laws, regulations, ordinances, and codes of the city and county in that the facility or agency will be or is located.	x					
<b>R380-600-3(3)</b> An applicant or a provider shall permit the office to have immediate, unrestricted access to: (a) each site subject to licensing or certification; (b) any unaltered on and off-site program or facility and client records; and (c) each staff and client.	x					
<b>R380-600-3(12)</b> A provider approved by the office to certify their own program or facility sites shall register each certified site using the licensing provider portal.	x					
<b>R380-600-3(14)</b> The license or certificate holder shall adhere to any individualized parameter on a program or facility license or certificate to promote the health, safety, and welfare of any client. Parameters may include: (a) an age restriction; (b) an admission or placement restriction; or (c) adequate square footage to determine capacity.	x					
<b>R380-600-3(23)</b> Each license or certificate is not transferable.	x					
Variances	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<b>R380-600-6(2)</b> The provider may not deviate from any administrative rule before receiving written approval signed by the office director or the director's designee.	x					
<b>R380-600-6(5)</b> The provider shall sign the approved variance and comply with the terms of the written variance, including any conditions or modifications contained within the approved written variance.	x					
Inspection and Investigation Process	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<b>R380-600-7(6)</b> The provider shall ensure that the integrity of the office's information gathering process is not compromised by withholding or manipulating information or influencing any specific response of staff or clients.	x					
<b>R380-600-7(7)</b> The provider shall allow the office to access any program or facility record or staff at an administrative or certified location that is not located at the licensed site.	x					
<b>R380-600-7(16)</b> When a critical incident occurs under the direct responsibility and supervision of the program or facility, the licensee or certificate holder shall: (a) submit a report of the critical incident to the office in format required by the office within one business day of the critical incident occurrence; (b) notify the legal guardian of each involved client within a 24-hour period from the time of the incident; (c) if the critical incident involves any client in the custody of the department or under contract with the department, notify the involved department division immediately; and (d) collect, maintain, and submit original witness statements and supporting documentation, including video footage if available, regarding each critical incident to the office upon request.	x					

Program Policies, Procedures, and Safe Practices	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<b>R501-1-4(2)</b> The licensee shall develop, implement, and comply with safe practices that: (a) ensure client health and safety; (b) ensure the needs of the client population served are met; (c) ensure that none of the program practices conflict with any administrative rule or statute before implementation; and (d) inform staff of how to manage any unique circumstances regarding the specific site's physical facility, supervision, community safety, and mixing populations.	x					
<b>R501-1-4(3)</b> The licensee shall submit any change to an office approved policy or curriculum to the office for approval before implementing the proposed change.	x					
Program Administrative and Direct Service Requirements	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<b>R501-1-6(1)</b> The licensee shall clearly identify services to the office, public, potential client, parent, or guardian regarding: (a) current and accurate contact information; (b) the complaint reporting and resolution process; (c) a description of each service provided; (d) each program requirement and expectation; (e) eligibility criteria outlining behavior, diagnosis, situation, population, and age that can be safely served, including: (i) an outline of the behaviors and presenting issues that would be reason for discharge or exclusion from the program; and (ii) a statement that the program may not take placement of a child whose needs exceed the scope or ability of the program to reasonably manage; (f) each cost, fee, and expense for a service and refund policy; and (g) identification of each non-clinical, extracurricular, or supplemental service offered or referred.	x					
<b>R501-1-6(2)</b> The licensee shall post the following in conspicuous places where each visitor, staff, and client may view: (a) abuse reporting laws as described in Sections 80-2-609 and 26B-6-205; (b) civil rights notice; (c) Americans with Disabilities Act notice; (d) the program license; (e) any office notice of agency action; (f) a client rights poster in a residential setting except in a foster home or where prohibited by Settings Final Rule; and (g) department code of conduct poster.	x					
<b>R501-1-6(3)</b> The licensee shall maintain compliance with or documentation of an exemption from any of the following requirements: (b) capacity determinations that include each staff and client on premises and may not exceed the capacity limits placed by local authorities; (d) licensure and registration of any vehicles used to transport clients.	x					
<b>R501-1-6(5)</b> The licensee shall maintain and make the following available to the department upon request: (d) vehicle insurance	x					

<p><b>R501-1-6(6)</b> The licensee shall ensure:</p> <p>(b) current staff and client lists are available at each licensed site;</p> <p>(c) the organizational and governance structure of the program is available to the department upon request and includes:</p> <p>(i) line of authority and responsibility;</p> <p>(ii) a job description, including each duty and qualification for each job title; and</p> <p>(iii) notification to the office of any program changes as described in Section R380-600-3;</p> <p>(f) the licensee maintains an opioid overdose reversal kit on-site with on duty staff trained in its use if the licensee is serving, or is likely to serve, a client with a substance use disorder.</p>	x					
<p><b>R501-1-6(8)</b> A licensee offering school on-site shall:</p> <p>(a) maintain the established staff to client ratio with behavioral intervention trained staff in the school setting; (c) ensure each client is taught at their appropriate grade level.</p>			x			The program does not provide on-site school.
<p><b>R501-1-6(9)</b> The licensee shall ensure clinical and medical staff are licensed or certified in good standing and any unlicensed staff are appropriately supervised as described in Title 58 Occupations &amp; Professions</p>						
<p><b>R501-1-6(12)</b> A licensee that provides behavior interventions to people with disabilities shall comply with Rule R539-4, which supersedes any conflicting rule under Title R501, for the disabled populations served.</p>	x					
<p><b>Program Physical Facilities and Safety</b></p>	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<p><b>R501-1-8(1)</b> The licensee shall ensure:</p> <p>(a) the appearance &amp; cleanliness of the building/grounds are maintained &amp; free from health/fire hazards;</p> <p>(b) any appliances, plumbing, electrical, HVAC, and furnishings are maintained in operating order and in a clean and safe condition;</p> <p>(c) fire drills in non-outpatient programs are conducted at least quarterly and documented, including feedback regarding response time and process;</p> <p>(d) a phone that can be used to call 911 is always available on-site when clients are present;</p> <p>(e) bathroom facilities for staff and clients allow for individual privacy and afford reasonable accommodation based on gender identity;</p> <p>(f) each bathroom is properly equipped with toilet paper, paper towels or a dryer, and soap;</p> <p>(g) each bathroom is ventilated by mechanical means or equipped with a window that opens;</p> <p>(h) non-prescription medication, if stored on-site, is stored in original manufacturer's packaging together with the manufacturer's directions and warnings; and</p> <p>(i) prescription medication, if stored on-site, is stored in original pharmacy packaging or individual pharmacy bubble pack together with the pharmacy label, directions, and warnings.</p>	x					
<p><b>R501-1-8(2)</b> The licensee shall accommodate a client with physical disabilities as needed or appropriately refer to comparable services.</p>	x					
<p><b>R501-1-8(3)</b> The licensee shall maintain medication and potentially hazardous items on-site lawfully, responsibly, and with consideration of the safety and risk level of the population served to include locked storage for each medication and hazardous chemical that is not in active use.</p>	x					
<p><b>R501-1-8(4)</b> The licensee shall maintain a first aid kit that contains at least:</p> <p>(a) bandages of different sizes;</p> <p>(b) tweezers;</p> <p>(c) antiseptic; and</p> <p>(d) disposable sterile gloves.</p>	x					
<p><b>Food Service Requirements</b></p>	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes

<p><b>R501-1-10(2)</b> A licensee that provides meals shall:</p> <p>(a) ensure that meals are not used as incentive or punishment;</p> <p>(b) provide nutritional counseling to staff and clients;</p> <p>(c) designate staff responsible for food service who:</p> <p>(i) maintain a current list of each client with special nutritional needs; and</p> <p>(ii) ensure that each client with special nutritional needs has food storage and a preparation area that is not exposed to any identified allergen or contaminant;</p> <p>(d) except in a day treatment program serving clients for less than ten hours a day, or outpatient programs serving clients for less than six consecutive hours a day, provide a variety of three nutritious meals a day that are:</p> <p>(i) served from dietitian or nutritionist approved menus; or</p> <p>(ii) for programs serving individuals experiencing homelessness, serve meals as required by USDA standard homeless settings;</p> <p>(e) establish and post kitchen rules and privileges in a kitchen according to client needs and safe food handling practices; and</p> <p>(f) provide adequate dining space for clients that is maintained in a clean and safe condition.</p>			x			The program does not prepare or serve food.
<p><b>R501-1-10(3)</b> A licensee that allows self-serve meals shall ensure that self-serve kitchen users are supervised, directed, and trained by a staff that has a food handler's permit or is trained by Serv-Safe, USDA, or a comparable program.</p>			x			No meals are prepared on-site.
<p><b>R501-1-10(4)</b> A licensee that serves parents and their children may allow a consenting adult client to maintain full responsibility for their, and their child's, special dietary needs, if consent is maintained in writing in the client record.</p>			x			This is an adults only program.
<p><b>R501-1-10(5)</b> A licensee that offers meals for clients shall ensure there is documented training confirming staff are trained to and adhere to the following safe practices:</p> <p>(a) how to identify and accommodate clients with special dietary needs; and</p> <p>(b) allowances for nutritious snacks to be available during restricted hours if the program restricts access to food and kitchen equipment.</p>			x			The program does not offer meals.
<p><b>R501-1-10(6)</b> If meals are prepared by clients, the licensee shall inform staff and clients in writing of the following:</p> <p>(a) rules and privileges of kitchen use;</p> <p>(b) menu planning and procedures;</p> <p>(c) sharing self-prepared food;</p> <p>(d) nutrition and sanitation requirements;</p> <p>(e) schedule of responsibilities; and</p> <p>(f) shopping and storage responsibilities.</p>			x			Clients don't prepare meals on-site.
<p><b>Program Client Record Requirements</b></p>	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes

<p><b>R501-1-11(1)</b> The licensee shall maintain client information to include the following:</p> <ul style="list-style-type: none"> <li>(a) client name, address, email address, phone number, date of birth and identified gender;</li> <li>(b) emergency contact names, including legal guardian where applicable, and at minimum, the emergency contact's physical address, current email address or current phone numbers;</li> <li>(c) a program serving substance use disorder clients shall maintain compliance with an initial and annual client tuberculosis screening results in each client record;</li> <li>(d) any information that could affect health safety or well-being of the client including each medication, allergy, chronic condition or communicable disease;</li> <li>(e) intake screening and assessment;</li> <li>(f) discharge documentation;</li> <li>(g) treatment or service plan;</li> <li>(h) progress notes and services provided with date and signature of staff completing each entry;</li> <li>(i) individualized assessment for restriction of access to on-site items that could be used as weapons, for self-directed violence, or as an intoxicant;</li> <li>(j) any referral arrangements made by the program;</li> <li>(k) client or guardian signed consent or court order of commitment to services in lieu of signed consent for each treatment and non-clinical service;</li> <li>(l) summary of attendance and absences in treatment services;</li> <li>(m) any grievance or complaint made by or against the client and actions taken by the program;</li> <li>(n) each crisis intervention or critical incident report involving the client; and</li> <li>(o) any signed agreement and consent form.</li> </ul>	x					
<p><b>Program Intake and Discharge Requirements</b></p>	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<p><b>R501-1-12(1)</b> The licensee shall complete an intake screening before accepting a client into the program that includes at least:</p> <ul style="list-style-type: none"> <li>(a) verification that the client meets the eligibility requirements of the program;</li> <li>(b) verification that the client does not meet any of the exclusionary criteria that the program identified in policy as unable to serve;</li> <li>(c) description of presenting needs; and</li> <li>(d) suicide risk screening.</li> </ul>	x					
<p><b>R501-1-12(2)</b> A licensee serving substance use disorder clients may not admit anyone who is unresponsive or unable to consent to care because the individual is experiencing convulsions, in shock, delirium tremens, in a coma, or unconscious.</p>			x			This is not a substance use disorder treatment program.
<p><b>R501-1-12(3)</b> A licensee serving incarcerated or court-mandated justice involved clients shall:</p> <ul style="list-style-type: none"> <li>(a) conduct a criminogenic risk assessment;</li> <li>(c) separate high and low criminogenic risk populations.</li> </ul>			x			The program does not serve incarcerated or court mandated clients.

<p><b>R501-1-12(4)</b> The licensee shall ensure that , the client, parent, or guardian signs and receives copies of the following agreements to be maintained as client records:</p> <ul style="list-style-type: none"> <li>(a) determination of eligibility;</li> <li>(b) fee agreement outlining costs of services including program, client, parent, or guardian responsibility for payment; and</li> <li>(c) signed consent for treatment that outlines: <ul style="list-style-type: none"> <li>(i) rules of the program;</li> <li>(ii) expectations of clients, parents, and guardians;</li> <li>(iii) services to be provided;</li> <li>(iv) Medicaid number, insurance information, and identification of any other entities that are billed for the client's services;</li> <li>(v) client rights; and</li> <li>(vi) licensing contact information.</li> </ul> </li> </ul>	x					
<p><b>R501-1-12(5)</b> The licensee shall ensure that a discharge plan identifies resources available to a client and includes:</p> <ul style="list-style-type: none"> <li>(a) reason for discharge or transfer;</li> <li>(b) aftercare plan;</li> <li>(c) summary of services provided; and</li> <li>(d) progress evaluation.</li> </ul>	x					
<p><b>Program Clinical Services</b></p>	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<p><b>R501-1-14(1)</b> A licensee that offers clinical treatment shall:</p> <ul style="list-style-type: none"> <li>(a) assign a clinical director to ensure that assessment, treatment, and service planning practices are: <ul style="list-style-type: none"> <li>(i) regularly reviewed and updated;</li> <li>(ii) individualized; and</li> <li>(iii) designed to involve the participation of each client or each client's parent or guardian;</li> </ul> </li> <li>(b) ensure each person working directly with a client is informed of the client's individual treatment needs and advised of the best approach to working with that client;</li> <li>(c) ensure client treatment plans are developed and signed by a licensed clinical professional within 30 days of admission;</li> <li>(d) ensure discharge goals are identified in the initial treatment plan and treatment goals are structured around the identified discharge goals and objectives;</li> <li>(e) ensure that each client identified for treatment receives individual treatment at least weekly; and</li> <li>(f) ensure any missing individual weekly treatment is justified, approved, and documented by the clinical director.</li> </ul>	x					
<p><b>R501-1-14(2)(a)</b> A residential program licensee shall ensure that in addition to the required weekly individual therapy, frequency and need for family and group therapy and other clinical services are addressed in the individual's treatment plan.</p> <p>(b) A non-residential program licensee who offers clinical treatment may alter the weekly therapy requirement as designated in the individual's treatment plan.</p>	x					
<p><b>R501-1-14(4)</b> A licensee who offers group counseling, family counseling, skills development, or other treatment shall offer and document these treatment services as prescribed in the treatment plan.</p>	x					
<p><b>R501-1-14(5)</b> The licensee shall make any records available to the department for review upon request.</p>	x					
<p><b>Program Staffing</b></p>	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<p><b>R501-1-15(1)</b> The licensee shall ensure adequate staffing to safely supervise the current population, including adding more staff than required by the usual staffing ratio as needed to manage behaviors, dynamics, and individual client treatment and supervision needs.</p>	x					

<b>R501-1-15(2)</b> The licensee shall identify a manager or qualified designee who is immediately available when the program is in operation or there is a qualified and trained substitute when the manager is absent or unavailable.	x					
<b>R501-1-15(3)</b> A licensee that offers clinical services shall employ or consult with licensed professional staff that include an individual who is familiar with the program and the needs of each client.	x					
<b>R501-1-15(4)</b> The licensee shall ensure that before allowing a direct care staff to work unsupervised they have an approved background clearance except as excluded in Section R501-14-17;	x					
<b>R501-1-15(5)</b> A licensee who serves clients with substance use disorder shall ensure each staff is screened for tuberculosis.			x			This is not a substance use treatment program.
<b>R501-1-15(6)</b> A licensee who serves a client with substance use disorder may not offer, entice, refer, or recommend medical cannabis as treatment for substance use disorder.			x			This is not a substance use treatment program.
<b>R501-1-15(7)</b> A licensee who manages, stores, or administers client medication shall identify a medical professional to oversee the medication management, medication oversight, and staff training regarding medication management and administration.			x			The program does not manage, store or administer client medication.
<b>R501-1-15(8)</b> The licensee shall ensure that each person involved with the prescription, administration, or dispensing of controlled substances maintains appropriate medical or pharmacy licenses and DEA registration numbers as described in the 21 CFR Part 1301.			x			The program does not prescribe, manage, store or administer client medication.
<b>R501-1-15(9)</b> The licensee shall create and maintain personnel information for each staff member, contracted employee, and volunteer.	x					
<b>R501-1-15(10)</b> The licensee shall ensure that personnel information includes: (a) any applicable qualification, experience, certification, or license; (b) any approved and current office background clearance, except as excluded in Rule R501-14; (c) a provider code of conduct that is signed by the staff member, contracted employee, or volunteer; (d) any pre-service and annual training records with the date completed, topic, and the individual's signed acknowledgment of training completion; (e) any grievances or complaints made by or against the individual and actions taken by the program; & (f) each crisis intervention or critical incident report involving the individual.	x					
<b>R501-1-15(11)</b> The licensee shall ensure that at least one CPR and First Aid-certified staff member is available when staff and clients are present unless a currently licensed healthcare professional is present.	x					
<b>Personnel Training Requirements</b>	<b>C</b>	<b>NC</b>	<b>NA</b>	<b>Date to be corrected by</b>	<b>Corrected During Inspection</b>	<b>Notes</b>
<b>R501-1-16(1)</b> The licensee shall ensure that each staff receives pre-serving training on the following topics before being left unsupervised and within 30-days of hire: (a) program policies, procedures and safe practices as outlined in Section R501-1-5; (b) program emergency preparedness, response, and recovery plan, including at least: (i) emergency procedures to instruct staff how to address incident reporting, continuity of care, transport, relocation, and client health and safety during natural disasters, extreme weather events, fire, utility or structural failures, or other unexpected disruptions to the program service; and (ii) instructions to staff regarding how to report and respond to significant criminal activity and significant medical emergencies; (c) CPR and First Aid;						



<p>(d) client eligibility, emphasizing the behaviors and circumstances the program can safely manage;</p> <p>(e) staff involvement and responsibility in the intake, discharge, and unplanned discharge processes;</p> <p>(f) client rights;</p> <p>(g) supervision and ratios;</p> <p>(h) as applicable, medications management, storing, and administration;</p> <p>(i) as applicable, food handling as outlined in Subsection R501-1-10(3);</p> <p>(j) background checks;</p> <p>(k) prevention, signs and symptoms of abuse and neglect, including sexual abuse, and legal reporting requirements;</p> <p>(l) provider code of conduct as outlined in Rule 380-80;</p> <p>(m) non-discrimination policy in accordance with Section 26B-2-109 that includes a prohibition of abuse, discrimination, and harassment based on sex, gender identity, or sexual orientation;</p> <p>(n) staff and client grievance procedures;</p> <p>(o) crisis intervention;</p> <p>(p) appropriate use of restraint and seclusion;</p> <p>(q) de-escalation techniques;</p> <p>(r) appropriate searches;</p> <p>(s) appropriate and inappropriate behaviors of clients;</p> <p>(t) appropriate and inappropriate staff responses to client behaviors; and</p> <p>(u) if applicable, staff response to a client leaving a program without permission.</p>	x					
<p><b>R501-1-16(2)</b> The licensee shall ensure each staff completes the following training topics each year, based on the program's license date:</p> <p>(a) program policies, procedures and safe practices as outlined in Section R501-1-4;</p> <p>(b) general provisions and applicable categorical licensing rule;</p> <p>(c) client eligibility, as outlined in Subsection R501-1-6(1)(e), emphasizing the behaviors and circumstances the program can safely manage;</p> <p>(d) staff involvement and responsibility in the intake, discharge, and unplanned discharge processes;</p> <p>(e) provider code of conduct as outlined in Rule R380-80;</p> <p>(f) program plan for the prevention or control of infectious and communicable disease to include coordination with and following any guidance of the state or local health authorities, Center for Disease Control, and the department;</p> <p>(g) emergency procedures to instruct staff how to address incident reporting, continuity of care, transport, relocation, and client health and safety during natural disasters, extreme weather events, fire, utility or structural failures, or other unexpected disruptions to the program service;</p> <p>(h) program rules regarding firearms that does not conflict with constitutional or statutory rights regarding concealed weapons permits as described in Title 53, Chapter 5, Part 7, Concealed Firearms Act;</p> <p>(i) smoking rules in accordance with Title 26B, Chapter 7, Part 5, Regulation of Smoking, Tobacco Products, and Nicotine Products;</p> <p>(j) how to manage clients who screen with elevated suicide risk levels;</p> <p>(k) general incident reporting;</p> <p>(l) prevention, signs, and symptoms of abuse and neglect, including sexual abuse, and legal reporting requirements;</p> <p>(m) CPR and first aid;</p> <p>(n) if storing and administering medications, training required to administer medication and the process to be followed.</p>	x					

**Day Treatment Programs - Inspection Checklist**

*(Revised 12/2023)*

C = Compliant

NC = Not Compliant

NA = Not Assessed during this inspection

Administration and Direct Service	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
R501-20-4(1) In addition to the following rules, each day treatment licensee shall comply with Rules R501-1 and R501-14.	x					
R501-20-4(2) Non-residential licensees may meet less frequently than weekly only with individualized justification in the client record.	x					
R501-20-4(3) A licensee shall: (a) ensure that activity plans are prepared to meet individual client needs or link to applicable resources in the community; (b) design and implement a daily activity or service schedule based on client needs and not staff convenience; (c) ensure clients are supervised onsite and encouraged to participate in activities; and (d) ensure all clients are given the same quality of care.	x					
R501-20-4(4) Except as outlined in Subsections R501-20-6(2) and R501-20-7(3), a licensee shall ensure that the minimum staffing ratio is one direct care staff to ten clients at all times.	x					
R501-20-4(5) Day treatment or day support services may not be offered within a residential setting unless: (a) each resident is a recipient of the day support services; or (b) the residential setting has a current residential treatment license.	x					
R501-20-4(6) A licensee who utilizes restraints shall report each incident of restraint resulting in injury beyond basic first aid to the office as a critical incident.			x			The program does not utilize restraints.
Physical Facility	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
R501-20-5(1) Except as outlined in Subsection R501-20-6(3), a licensee shall ensure that the facility has a minimum of 50 square feet of floor space per client designated specifically for day treatment services. Hallways, office, storage, kitchens, and bathrooms may not be included in computation.	x					
R501-20-5(2) A licensee shall ensure that outdoor recreational space and compatible recreational equipment are available when necessary to meet treatment plans.	x					
Additional Considerations for Professional Licensees Providing ABA Day Treatment Services	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
R501-20-6(1) An ABA licensee shall additionally adhere to Rule R539-4, if contracted for providing services to DSPD clients.			x			The program does not provide ABA services.
R501-20-6(2) A licensee shall ensure that behavior support plans outline individual behaviors and staff responses to them.			x			
R501-20-6(3) The licensee shall submit a critical incident to the office for: (a) any self-directed violence not identified in the behavior support plan; and (b) any staff responses outside of the behavior support plan.			x			
Additional Considerations for Licensees Providing Clubhouse Day Treatment Services	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes

<b>R501-20-7(1)</b> This section of rule supersedes any conflicting requirements of Rules R501-1 and R501-20.			x			The program does not provide clubhouse day treatment services.
<b>R501-20-7(2)(a)</b> A clubhouse licensee accredited by Clubhouse International may apply a staff to client ratio of 1 staff to 15 clients in accordance with national standards. <b>(b)</b> A clubhouse licensee may apply the higher ratio only for specialized activities involving transports or for clients and their guests when: <b>(i)</b> staff and client safety has been assessed; and <b>(ii)</b> there is identified back-up for the staff in case of emergency.			x			
<b>R501-20-7(3)</b> Square footage calculations in a clubhouse may include hallways, office, storage, kitchens, and bathrooms.			x			
<b>R501-20-7(4)</b> A clubhouse licensee may offer clients the option to bring their own food or purchase meals or snacks at a reduced rate.			x			
<b>R501-20-7(5)</b> A clubhouse licensee may allow clients cleaning chemicals as part of their work-ordered day. Clubhouse staff shall follow suicide prevention policy and safety protocols when assessing and allowing client access to chemicals.			x			
<b>R501-20-7(6)</b> Visitors to the clubhouse may only be exempt from background clearance in accordance with Subsection 26B-2-120(10).			x			
<b>Additional Considerations for DSPD Home and Community Based Medicaid Waiver Licensees</b>	<b>C</b>	<b>NC</b>	<b>NA</b>	<b>Date to be corrected by</b>	<b>Corrected During Inspection</b>	<b>Notes</b>
<b>R501-20-8(1)</b> This section of rule supersedes any conflicting requirements of Rules R501-1& R501-20			x			This is not a DSPD program.
<b>R501-20-8(2)</b> A licensee serving clients of DSPD shall ensure staff to client ratios are determined by the DSPD worksheet and are individualized based on the person's need.			x			
<b>R501-20-8(3)</b> A licensee shall ensure a ratio of one staff to six persons is maintained at all times.			x			
<b>R501-20-8(4)</b> A licensee serving Home and Community Based Services (HCBS) Medicaid Waiver clients shall: <b>(a)</b> identify themselves as a Waiver provider on their licensing application and follow all attestation and survey requirements therein; <b>(b)</b> comply with the HCBS Settings rule and Rule R414-519 to include: <b>(i)</b> providing non-segregated bathrooms; <b>(ii)</b> providing individually stalled bathrooms with locking capability with only trained and authorized staff having access to keys for safety; <b>(iii)</b> ensuring the setting is fully accessible and affords access to the community; <b>(iv)</b> ensuring client information is not posted or stored in public spaces; <b>(v)</b> not restricting client access to food unless documented in the person-centered service plan or behavior support plan; <b>(vi)</b> allowing clients individual initiative, autonomy, independence and choices in regard to their daily activities, physical environment and with whom they interact as much as safely possible; and <b>(vii)</b> supervising clients and maintaining supporting documentation according to the person-centered service plan or behavior support plan; and <b>(c)</b> when there is a conflict between a rule under Title R501 and Settings rule, Settings rule shall supersede.			x			
<b>R501-20-8(5)</b> A licensee shall identify any community-based supports provided under the day treatment license and ensure that community-based services are provided safely and in consideration of weather, transportation, emergencies and overall client needs for food, medicine and any other assistance necessary for safe participation in the program.			x			

**Outpatient Treatment Programs - Inspection Checklist**

*(Revised 12/2023)*

C = Compliant

NC = Not Compliant

NA = Not Assessed during this inspection

Administration and Direct Services	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<b>R501-21-4(2).</b> Programs shall have current program information readily available to the Office and the public, including a description of: (a) program services; (b) the client population served; (c) program requirements and expectations; (d) information regarding any non-clinical services offered; (e) costs, fees, and expenses that may be assessed, including any non-refundable costs, fees or expenses; and (f) complaint reporting and resolution processes.	x					
<b>R501-21-4(3).</b> The Program shall: (e) disclose any potential conflicts of interest to the Office	x					
<b>R501-21-4(8).</b> Programs shall maintain documentation of all critical incidents; critical incident reports shall contain: (a) time of incident; (b) summary of incident; (c) individuals involved; and (d) program response to the incident.	x					
Physical Facility	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<b>R501-21-5(1).</b> Space shall be adequate to meet service needs and ensure client confidentiality and comfort.	x					
<b>R501-21-5(2).</b> The program shall maintain potentially hazardous items on-site lawfully, responsibly and with consideration of the safety and risk level of the population(s) served.	x					
<b>R501-21-5(4).</b> Programs offering supplemental services or activities in addition to outpatient treatment shall: (a) remain publically transparent in the use of the equipment, practices and purposes; (b) ensure the health and safety of the consumer; (c) gain informed consent for participation in supplemental services or activities; and (d) provide verification of all trainings or certifications as required for the operation and use of any supplemental equipment.	x					
<b>R501-21-5(6).</b> The program site shall provide access to a toilet and lavatory sink in a manner that ensures basic privacy, and shall be: (a) stocked with toilet paper, soap, and paper towels/dryer; and (b) maintained in good operating order and kept in a clean and safe condition.	x					
<b>R501-21-5(7).</b> The program shall ensure that the physical environment is safe for consumers and staff and that the appearance and cleanliness of the building and grounds are maintained.	x					
Substance Use Disorder Treatment Programs	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<b>R501-21-6(1).</b> All substance use disorder treatment programs shall develop and implement a plan on how to support opioid overdose reversal.			x			This is not a substance use disorder treatment program.
<b>R501-21-6(2).</b> Maintain proof of completion of the National Survey of Substance Abuse Treatment Services (NSSATS) annually.			x			

<p><b>R501-21-6(3).</b> Medication-assisted treatment (MAT) in substance use disorder programs shall:</p> <p>(a) maintain a program-wide counselor to MAT consumer ratio of: 1:50;</p> <p>(b) assure all consumers see a licensed practitioner that is authorized to prescribe controlled substances at least once yearly;</p> <p>(c) show proof of completion of federally required physician training for physicians prescribing buprenorphine;</p> <p>(d) admit consumers to the program and prescribe, administer or dispense medications only after the completion of a face-to-face visit with a licensed practitioner having authority to prescribe controlled substances who confirms opioid dependence. A licensed practitioner having authority to prescribe controlled substances must approve every subsequent dose increase prior to the change;</p> <p>(e) require all consumers admitted to the program to participate in random drug testing. Drug testing will be performed by the program a minimum of 2x per month for the first 3 months of treatment, and monthly thereafter; except for a consumer whose documented lack of progress shall require more frequent drug testing for a longer period of time;</p> <p>(f) require that consumers participate in at least 1 counseling session per week for the first 90 days. Upon documented successful completion of this phase of treatment, consumers shall be required to participate in counseling sessions at least 2x monthly for the next 6 months. Upon documented successful completion of 9 months of treatment, consumers shall be seen by a licensed counselor at least monthly thereafter until discharge; and</p> <p>(g) require 1 hour of prescribing practitioner time at the program site each month for every 10 MAT consumers enrolled.</p>			x			This is not a MAT program.
<p><b>R501-21-6(4).</b> MAT Programs prescribing, administering or dispensing Methadone (Opioid Treatment Programs) shall:</p> <p>(a) maintain Substance Abuse and Mental Health Services Administration (SAMHSA) certification and accreditation as an opioid treatment program.</p> <p>(b) comply with DSAMH Rule R523-10 Governing Methadone and other opioid treatment service providers;</p> <p>(c) employ a:</p> <p>(i) licensed physician who is an American Society of Addiction Medicine certified physician; or</p> <p>(ii) prescribing licensed practitioner who can document specific training in current industry standards regarding methadone treatment for opioid addictions; or</p> <p>(iii) prescribing licensed practitioner who can document specific training or experience in methadone treatment for opioid addictions; and</p> <p>(d) provide one nurse to dispense or administer medications for every 150 Methadone consumers dosing on an average daily basis.</p>			x			
<p><b>R501-21-6(5).</b> Certified DUI Education Programs</p> <p>(a) Only programs certified with the Division of Substance Abuse and Mental Health (DSAMH) to provide Prime for Life education in accordance with and R523-11 shall provide court ordered DUI education.</p> <p>(b) Certified DUI education programs shall:</p> <p>(i) complete and maintain a substance use screening for each participant prior to providing the education course;</p> <p>(A) screenings may be shared between providers with client written consent.;</p> <p>(ii) provide a workbook to each participant to keep upon completion of the course;</p> <p>(iii) ensure at least 16 hours of course education; and</p> <p>(iv) provide separate classes for adults and youth.</p> <p>(c) Any violations of this rule section will be reported to DSAMH for evaluation of certification.</p>			x			This is not a DUI education program.
<p><b>Domestic Violence</b></p>	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes

<p><b>R501-21-7(1).</b> Domestic Violence (DV) treatment programs shall comply with generally accepted and current practices in domestic violence treatment, and shall meet the following requirements:</p> <p>(a) maintain and document cooperative working relationships with domestic violence shelters, treatment programs, referring agencies, custodial parents when the consumer is a minor, and local domestic violence coalitions;</p> <p>(i) treatment sessions for children and victims shall offer a minimum of ten sessions for each consumer, not including intake or orientation;</p> <p>(b) if the consumer is a perpetrator, program contact with the victims, current partner, and the criminal justice referring agencies is also required, as appropriate;</p> <p>(i) In accordance with UCA50-60-102(5), a Licensed Mental Health Therapist shall complete a domestic violence treatment evaluation for each offender to include individualized recommendations for the offender's treatment</p>			x			This is not a domestic violence program.
<p><b>R501-21-7(2).</b> Staff to Consumer Ratio</p> <p>(a) The staff to consumer ratio in adult treatment groups shall be one staff to eight consumers, for a one hour long group; or one staff to ten consumers for an hour and a half long group. The maximum group size shall not exceed 16.</p> <p>(b) Child victim, or child witness groups shall have a ratio of one staff to eight children, when the consumers are under 12 years of age; and a ratio of one staff to ten children when the consumers are 12 years of age and older.</p>			x			
<p><b>R501-21-7(3).</b> Client Intake and Safety</p> <p>(a) When any consumer enters a treatment program, the staff shall conduct an in-depth, face-to-face interview and assessment to determine the consumer's clinical profile and treatment needs. The evaluation in R501-23-7 shall count for this assessment when the consumer is an offender.</p> <p>(b) For perpetrator consumers, additnl info shall be obtained from the police incident report, perpetrator's criminal history, prior treatment providers, the victim, or victim advocate.</p> <p>(c) When appropriate, additnl info for child consumers shall be obtained from parents, prior treatment providers, schools, and Child Protective Services.</p> <p>(d) When any of the above cannot be obtained, the reason shall be documented.</p> <p>(e) The assessment shall include the following:</p> <p>(i) a profile of the frequency, severity, and duration of the domestic violence behavior, which includes a summary of psychological violence;</p> <p>(ii) documentation of homicidal, suicidal ideation/intentions, &amp; abusive behavior towards children;</p> <p>(iii) a clinical diagnosis and a referral for evaluation to determine need for medication, if indicated;</p> <p>(iv) documentation of safety planning when the consumer is an adult victim, child victim, or child witness; and that they have contact with the perpetrator;</p> <p>(A) for victims who choose not to become treatment consumers, safety planning shall be addressed when they are contacted; and</p> <p>(iv) documentation that appropriate measures have been taken to protect children from harm</p>			x			

<p><b>R501-21-7(4).</b> Treatment Procedures</p> <p>(a) Consumers deemed appropriate for a DV treatment program shall have an individualized treatment plan, which addresses all relevant treatment issues.</p> <p>(b) Consumers who are not deemed appropriate for DV programs shall be referred to the appropriate resource, w/referral reasons documented, &amp; notification given to the referring agency.</p> <p>(c) DV counseling shall be provided concurrently with, or after other needed tx, when appropriate.</p> <p>(d) Conjoint or group therapy sessions w/victims &amp; perpetrators together, or with both co-perpetrators, shall not be provided until a comprehensive assessment has been completed to determine that the violence has stopped, &amp; that conjoint treatment is appropriate.</p> <p>(e) The perpetrator must complete a minimum of 4 DV treatment sessions, unless otherwise noted in the offender evaluation recommendations prior to the provider implementing conjoint therapy.</p> <p>(f) A written procedure shall be implemented to facilitate the following, in an efficient &amp; timely manner: (i) entry of the court ordered defendant into treatment;</p> <p>(ii) notification of consumer compliance, participation, or completion;</p> <p>(iii) disposition of non-compliant consumers; (iv) notification of the recurrence of violence; and</p> <p>(v) notification of factors which may exacerbate an individual's potential for violence.</p> <p>(g) The program shall comply with the "Duty to Warn," Section 78B-3-502.</p> <p>(h) The program shall document specialized training in DV assessment &amp; treatment practices, including 24 hrs of Utah Association for Domestic Violence Treatment (UADVT) pre-service training, within the last 2 years; &amp; 16 hrs annual training thereafter for all individuals providing treatment service. (i) Clinical supervision for treatment staff that are not clinically licensed shall consist of a minimum of 1 hour per week to discuss clinical dynamics of cases.</p>			x			
<p><b>R501-21-7(5).</b> Training</p> <p>(a) Training that is documented and approved by the designated Utah DHS DV Specialist Regarding assessment and treatment practices for treating:</p> <p>(i) DV victims; and</p> <p>(ii) DV perpetrators.</p>			x			
<p><b>R501-21-7(6).</b> Programs must disclose all current DHHS contracts and actions against the contract to the Office.</p>	x					
<p><b>R501-21-7(7).</b> Programs must disclose all current Accreditations and actions against accredited status to the Office.</p>	x					