

 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 04/2024)</i>	
Provider Name:	Maple Mountain Recovery	Facility ID:	F23-99506	Phone Number:	(801) 427-9684		Notes
Site Name or Address:	727 East 1100 South Mapleton, UT, 84664			Email Address:	avaleti@maplemountainrecovery.com		
Approved Capacity:	16	# of Present Residents\Clients:	13				
Please review the following items prior to the inspection: (Mark with a check mark if completed and make any necessary notes)				Please review the following items during the inspection: (Mark with a check mark if completed and make any necessary notes)			
X	Current backgrounds in DACS			X	Any active rule variances		
X	Current staff roster collected			X	Introduce yourself and any DHHS staff		
X	Any license restrictions or conditions			X	Staff Interviews		
X	Any 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. 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.</b>							
- 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:	Annual	Date:	4/22/2024	Time Started On-site:	8:30 AM	Time Ended On-site:	12:00 PM
Number of Non Compliant Items:		2	Name of Individual Informed of this Inspection:		Alison Valetti		
Licensor(s) Conducting this Inspection:			Nathan Ponis		OL Staff Observing Inspection:		
	The Licensor explained noncompliance items (if any).	Please sign/type individual informed name and date of review: Signing this checklist does not constitute agreement with the statements, only that the inspection was conducted and noncompliances, if any, were explained.			Alison Valetti		

Adult Residential General Provisions - Inspection Checklist						
(Revised 04/2024)						
C = Compliant						
NC = Not Compliant						
NA = Not Assessed during this inspection						
<b>New and Renewal Licensing Procedures</b>	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 client records; and (c) each staff and client.	X					
<b>R380-600-3(5)</b> An applicant seeking an initial or renewal license or certificate to operate a program or facility shall submit: (c) except as described in Subsection 26B-2-120(12), a background clearance for each covered individual	X					
<del>R501-1-4-3(a)</del> <b>R501-1-4-3(a)</b> The screening agent shall keep their program's roster and employee information current in the online system. (b) The screening agent shall check the roster at least monthly to verify employee information and the employment of employees due for a renewal review.	X					
<del>(c) When an employee no longer works for the program, the screening agent shall separate that employee from the</del> <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					
<b>R380-600-3(24)</b> The provider shall post their current license or certificate, except in a foster home, on the premises in a place readily visible and accessible to the public.	X					
<b>Variances</b>	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					
<b>Inspection and Investigation Process</b>	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					
<b>Program Policies, Procedures, and Safe Practices</b>	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					

Residential Programs Additional Safe Practices	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<b>R501-1-5(1)</b> A licensee that manages, stores, or administers client medications shall develop and ensure compliance with the following medication management safe practices: (a) inform staff and clients of program and client responsibility for medication including storage and administration of medications on-site and, as applicable, when staff and clients are offsite in program related activities; (b) if applicable, inform staff and clients of the medication self-administration process; (c) if storing and administering medications, train staff to administer medication and the process to be followed; (d) how staff record medication dosages according to prescriptions; (e) how staff monitor for and record effects and side effects of medications; and (f) how staff log doses and record and report medication errors.	X					
<b>R501-1-5(2)</b> The licensee shall ensure the care, vaccination, licensure, and maintenance of any animals on-site to include: (a) assessment of pet allergies for any clients interacting with animals in the program; (b) maintenance of required examinations, registrations, and vaccinations; and (c) supervision of clients in the presence of animals.	X					
<b>R501-1-5(3)</b> The licensee shall have separate space for clients showing symptoms of an infectious disease.	X					
<b>R501-1-5(4)</b> The licensee shall ensure that a ratio of one staff to one client during transports is only utilized when the program has conducted a safety assessment that indicates that client and staff safety is reasonably assured.	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; (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					
<b>R501-1-6(6)</b> The licensee shall ensure: (b) current staff and client lists are available at each licensed site; (c) the organizational and governance structure of the program is available to the department upon request and includes: (i) line of authority and responsibility; (ii) a job description, including each duty and qualification for each job title; and (iii) notification to the office of any program changes as described in Section R380-600-3; (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.		X		4/30/2024		The provider was out of compliance with this rule by having incomplete staff files. During the inspection, staff files were missing a job description.
<b>R501-1-6(8)</b> A licensee offering school on-site shall: (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.	X					
<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 & Professions	X					

<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.	X					
<b>Residential Program Additional Administrat Donn and Direct Services Requirements</b>	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<b>R501-1-7(1)</b> A residential program licensee shall additionally: (a) ensure each staff shift list remains current and available to the office upon request; (b) ensure that each shift documents any illness, injury or critical incident and passes it on to the next shift and administration; (c) ensure at least two on-duty staff are present at all times; (d) ensure access to a medical clinic or a medical professional familiar with the program and population served; and (e) provide a separate space for clients who are showing symptoms of an infectious disease.	X					
<b>R501-1-7(6)(a)</b> A residential program licensee, excluding a residential treatment program, may allow for client independence and responsibility for their own supplies, food, laundry, or transportation by outlining in writing resources and responsibility for the provision of these items. (b) Each residential program licensee shall assist clients on a limited basis if they are temporarily unable to provide the items or services listed in Subsection R501-1-7(6)(a) for themselves.	X					
<b>Program Physical Facilities and Safety</b>	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<b>R501-1-8(1)</b> The licensee shall ensure: (a) the appearance & cleanliness of the building/grounds are maintained & free from health/fire hazards; (b) any appliances, plumbing, electrical, HVAC, and furnishings are maintained in operating order and in a clean and safe condition; (c) fire drills in non-outpatient programs are conducted at least quarterly and documented, including feedback regarding response time and process; (d) a phone that can be used to call 911 is always available on-site when clients are present; (e) bathroom facilities for staff and clients allow for individual privacy and afford reasonable accommodation based on gender identity; (f) each bathroom is properly equipped with toilet paper, paper towels or a dryer, and soap; (g) each bathroom is ventilated by mechanical means or equipped with a window that opens; (h) non-prescription medication, if stored on-site, is stored in original manufacturer's packaging together with the manufacturer's directions and warnings; and (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.	X					
<b>R501-1-8(2)</b> The licensee shall accommodate a client with physical disabilities as needed or appropriately refer to comparable services.	X					
<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.	X					
<b>R501-1-8(4)</b> The licensee shall maintain a first aid kit that contains at least: (a) bandages of different sizes; (b) tweezers; (c) antiseptic; and (d) disposable sterile gloves.	X					
<b>Residential Program Additional Facilities and Safety Requirements</b>	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<b>R501-1-9(1)</b> A residential licensee shall ensure: (a) designated space is available for records, administrative work, & confidential phone calls for clients; (c) live-in staff have dedicated bedrooms & bathrooms separate from client use; (d) each bedroom designated for a client is comparable to other similarly utilized bedrooms with similar access, location, space, finishings, and furnishings; (e) clients are not locked in bedrooms; (f) a mirror or safety mirror is secured to each bathroom wall at a convenient height; (g) each bathroom is placed to allow access to each client without disturbing any other client during sleeping hours; (h) each bath or shower allows for individual privacy; (i) each client is supplied with hygiene supplies; (j) each sleeping area has a source of natural light and is ventilated by mechanical means or is equipped with a window that opens; (k) each client has a similar solid type of bed or sleeping equipment to any other client in the program; (l) each client is allowed to decorate & personalize their bedroom, while maintaining respect for other residents and property; (m) there are separate containers for soiled & clean laundry, if the program provides common laundry for towels, bedding or clothing; (n) bedding & towels are laundered weekly & after each client is discharged; (o) equipment and supplies for washing & drying laundry are provided, if the program permits clients to do their own laundry; (p) there is at least 60 sq ft per person in a multiple occupancy bedroom and 80 sq ft in a single occupant bedroom.	X					

<b>R501-1-9(2)</b> A residential program licensee serving individuals with disabilities shall house no more than two clients in each bedroom.	X					
<b>R501-1-9(3)</b> The licensee utilizing seclusion rooms shall ensure the following: (a) seclusion rooms measure a minimum of 75 sq ft and have a minimum ceiling height of 7 ft with no equipment, hardware or furnishings that obstruct staff's view of the client or present a hazard; (b) a seclusion room shall have either natural or mechanical ventilation with break resistant windows and either a break resistant two-way mirror or camera that allows for observation of the entire room; (c) a seclusion room may not have locking capability and may not be located in closets, bathrooms, unfurnished areas or other areas not designated as part of residential living space; and (d) a bedroom may not be utilized as a seclusion room and a seclusion room may not be utilized as a bedroom.	X					
<b>R501-1-9(4)</b> The licensee shall ensure that dormitory space is only permitted in an emergency homeless shelter or a program serving only adults.	X					
<b>R501-1-9(5)</b> The licensee shall train staff and ensure that the use of any alternate sleeping arrangements other than the client's assigned bedroom is only done on an individualized, short-term basis with ongoing clinical or medical justification that: (a) preserves client dignity and confidentiality; (b) is not done as a standard, practice, or policy; (c) is not utilized due to staffing shortages or for staff convenience; and (d) is not used as behavior management or consequence.	X					
<b>Food Service Requirements</b>	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<b>R501-1-10(2)</b> A licensee that provides meals shall: (a) ensure that meals are not used as incentive or punishment; (b) provide nutritional counseling to staff and clients; (c) designate staff responsible for food service who: (i) maintain a current list of each client with special nutritional needs; and (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; (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: (i) served from dietitian or nutritionist approved menus; or (ii) for programs serving individuals experiencing homelessness, serve meals as required by USDA standard homeless settings; (e) establish and post kitchen rules and privileges in a kitchen according to client needs and safe food handling practices; and (f) provide adequate dining space for clients that is maintained in a clean and safe condition.	X					
<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.	X					
<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.	X					
<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: (a) how to identify and accommodate clients with special dietary needs; and (b) allowances for nutritious snacks to be available during restricted hours if the program restricts access to food and kitchen equipment.	X					
<b>R501-1-10(6)</b> If meals are prepared by clients, the licensee shall inform staff and clients in writing of the following: (a) rules and privileges of kitchen use; (b) menu planning and procedures; (c) sharing self-prepared food; (d) nutrition and sanitation requirements; (e) schedule of responsibilities; and (f) shopping and storage responsibilities.	X					
<b>Program Client Record Requirements</b>	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes

<b>R501-1-11(1)</b> The licensee shall maintain client information to include the following: (a) client name, address, email address, phone number, date of birth and identified gender; (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; (c) a program serving substance use disorder clients shall maintain compliance with an initial and annual client tuberculosis screening results in each client record; (d) any information that could affect health safety or well-being of the client including each medication, allergy, chronic condition or communicable disease; (e) intake screening and assessment; (f) discharge documentation; (g) treatment or service plan; (h) progress notes and services provided with date and signature of staff completing each entry; (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; (j) any referral arrangements made by the program; (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; (l) summary of attendance and absences in treatment services; (m) any grievance or complaint made by or against the client and actions taken by the program; (n) each crisis intervention or critical incident report involving the client; and (o) any signed agreement and consent form.	X					
<b>Program Intake and Discharge Requirements</b>	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<b>R501-1-12(1)</b> The licensee shall complete an intake screening before accepting a client into the program that includes at least: (a) verification that the client meets the eligibility requirements of the program; (b) verification that the client does not meet any of the exclusionary criteria that the program identified in policy as unable to serve; (c) description of presenting needs; and (d) suicide risk screening.	X					
<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.	X					
<b>R501-1-12(3)</b> A licensee serving incarcerated or court-mandated justice involved clients shall: (a) conduct a criminogenic risk assessment; (c) separate high and low criminogenic risk populations.	X					
<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: (a) determination of eligibility; (b) fee agreement outlining costs of services including program, client, parent, or guardian responsibility for payment; and (c) signed consent for treatment that outlines: (i) rules of the program; (ii) expectations of clients, parents, and guardians; (iii) services to be provided; (iv) Medicaid number, insurance information, and identification of any other entities that are billed for the client's services; (v) client rights; and (vi) licensing contact information.	X					
<b>R501-1-12(5)</b> The licensee shall ensure that a discharge plan identifies resources available to a client and includes: (a) reason for discharge or transfer; (b) aftercare plan; (c) summary of services provided; and (d) progress evaluation.	X					
<b>Residential Additional Program Intake and Discharge Requirements</b>	C	NC	NA	Date to be	Corrected During	Notes
<b>R501-1-13(1)</b> A residential program licensee shall ensure an intake assessment is completed following an approved intake screening, no later than seven days from the admission date, and that the assessment considers and contains: (a) gender identity and individualized assessment for bedroom and bathroom assignments; (b) cultural background; (c) dominant language and mode of communication; (d) family history and dynamics; (e) current and past health and medical history; (f) social, psychological, developmental, vocational, and, as appropriate, educational factors; (g) suicide risk screening; and (h) authorization to serve and obtain emergency care.	X					
<b>Program Clinical Services</b>	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes

<b>R501-1-14(1)</b> A licensee that offers clinical treatment shall: (a) assign a clinical director to ensure that assessment, treatment, and service planning practices are: (i) regularly reviewed and updated; (ii) individualized; and (iii) designed to involve the participation of each client or each client's parent or guardian; (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; (c) ensure client treatment plans are developed and signed by a licensed clinical professional within 30 days of admission; (d) ensure discharge goals are identified in the initial treatment plan and treatment goals are structured around the identified discharge goals and objectives; (e) ensure that each client identified for treatment receives individual treatment at least weekly; and (f) ensure any missing individual weekly treatment is justified, approved, and documented by the clinical director.	X					
<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. (b) A non-residential program licensee who offers clinical treatment may alter the weekly therapy requirement as designated in the individual's treatment plan.	X					
<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.	X					
<b>R501-1-14(5)</b> The licensee shall make any records available to the department for review upon request.	X					
<b>Program Staffing</b>	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<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.	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					
<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					
<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					
<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					
<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		4/30/2024		The provider was out of compliance with this rule by having incomplete staff files. During the inspection, staff files were missing a current code of conduct.
<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>	C	NC	NA	Date to be corrected by	Corrected During Inspection	

<p><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:</p> <ul style="list-style-type: none"> <li>(a) program policies, procedures and safe practices as outlined in Section R501-1-5;</li> <li>(b) program emergency preparedness, response, and recovery plan, including at least: <ul style="list-style-type: none"> <li>(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</li> <li>(ii) instructions to staff regarding how to report and respond to significant criminal activity and significant medical emergencies;</li> </ul> </li> <li>(c) CPR and First Aid;</li> <li>(d) client eligibility, emphasizing the behaviors and circumstances the program can safely manage;</li> <li>(e) staff involvement and responsibility in the intake, discharge, and unplanned discharge processes;</li> <li>(f) client rights;</li> <li>(g) supervision and ratios;</li> <li>(h) as applicable, medications management, storing, and administration;</li> <li>(i) as applicable, food handling as outlined in Subsection R501-1-10(3);</li> <li>(j) background checks;</li> <li>(k) prevention, signs and symptoms of abuse and neglect, including sexual abuse, and legal reporting requirements;</li> <li>(l) provider code of conduct as outlined in Rule 380-80;</li> <li>(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;</li> <li>(n) staff and client grievance procedures;</li> <li>(o) crisis intervention;</li> <li>(p) appropriate use of restraint and seclusion;</li> <li>(q) de-escalation techniques;</li> <li>(r) appropriate searches;</li> <li>(s) appropriate and inappropriate behaviors of clients;</li> <li>(t) appropriate and inappropriate staff responses to client behaviors; and</li> <li>(u) if applicable, staff response to a client leaving a program without permission.</li> </ul>	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> <ul style="list-style-type: none"> <li>(a) program policies, procedures and safe practices as outlined in Section R501-1-4;</li> <li>(b) general provisions and applicable categorical licensing rule;</li> <li>(c) client eligibility, as outlined in Subsection R501-1-6(1)(e), emphasizing the behaviors and circumstances the program can safely manage;</li> <li>(d) staff involvement and responsibility in the intake, discharge, and unplanned discharge processes;</li> <li>(e) provider code of conduct as outlined in Rule R380-80;</li> <li>(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;</li> <li>(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;</li> <li>(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;</li> <li>(i) smoking rules in accordance with Title 26B, Chapter 7, Part 5, Regulation of Smoking, Tobacco Products, and Nicotine Products;</li> <li>(j) how to manage clients who screen with elevated suicide risk levels;</li> <li>(k) general incident reporting;</li> <li>(l) prevention, signs, and symptoms of abuse and neglect, including sexual abuse, and legal reporting requirements;</li> <li>(m) CPR and first aid;</li> <li>(n) if storing and administering medications, training required to administer medication and the process to be followed;</li> <li>(o) training to identify and address in a residential or congregate care program:</li> <li>(i) clients who pose a risk of violence;</li> <li>(ii) what constitutes contraband, possession of contraband, and how the program ensures restriction of client access to contraband and dangerous weapons or materials;</li> <li>(iii) clients who are at risk for suicide;</li> <li>(iv) managing clients with mental health concerns; and</li> <li>(v) identifying the signs and symptoms of clients presenting under the influence of substances or alcohol;</li> <li>(p) if the licensee manages funds for client allowances, training to document each expense; and</li> <li>(q) appropriate use of any alternate sleeping arrangements in a residential or congregate care program.</li> </ul>	X					



**Day Treatment Programs - Inspection Checklist**

*(Revised 01/2024)*

**C = Compliant**

**NC = Not Compliant**

**NA = Not Assessed during this inspection**

<b>Administration and Direct Service</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>R501-20-4(1)</b> In addition to the following rules, each day treatment licensee shall comply with Rules R501-1 and R501-14.	X					
<b>R501-20-4(2)</b> Non-residential licensees may meet less frequently than weekly only with individualized justification in the client record.	X					
<b>R501-20-4(3)</b> 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					
<b>R501-20-4(4)</b> 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					
<b>R501-20-4(5)</b> 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					
<b>R501-20-4(6)</b> 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					
<b>Physical Facility</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>R501-20-5(1)</b> 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					
<b>R501-20-5(2)</b> A licensee shall ensure that outdoor recreational space and compatible recreational equipment are available when necessary to meet treatment plans.	X					
<b>Additional Considerations for Professional Licensees Providing ABA Day Treatment Services</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>R501-20-6(1)</b> An ABA licensee shall additionally adhere to Rule R539-4, if contracted for providing services to DSPD clients.	X					
<b>R501-20-6(2)</b> A licensee shall ensure that behavior support plans outline individual behaviors and staff responses to them.	X					
<b>R501-20-6(3)</b> 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					
<b>Additional Considerations for Licensees Providing Clubhouse Day Treatment Services</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>R501-20-7(1)</b> This section of rule supersedes any conflicting requirements of Rules R501-1 and R501-20.	X					

<b>R501-20-7(2)</b> (a) 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) A clubhouse licensee may apply the higher ratio only for specialized activities involving transports or for clients and their guests when: (i) staff and client safety has been assessed; and (ii) 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>	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<b>R501-20-8(1)</b> This section of rule supersedes any conflicting requirements of Rules R501-1& R501-20	X					
<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: (a) identify themselves as a Waiver provider on their licensing application and follow all attestation and survey requirements therein; (b) comply with the HCBS Settings rule and Rule R414-519 to include: (i) providing non-segregated bathrooms; (ii) providing individually stalled bathrooms with locking capability with only trained and authorized staff having access to keys for safety; (iii) ensuring the setting is fully accessible and affords access to the community; (iv) ensuring client information is not posted or stored in public spaces; (v) not restricting client access to food unless documented in the person-centered service plan or behavior support plan; (vi) 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 (vii) supervising clients and maintaining supporting documentation according to the person-centered service plan or behavior support plan; and (c) 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					

**Residential Treatment Programs - Inspection Checklist**

*(Revised 01/2024)*

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Administration	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<b>R501-19-3(2)</b> Each residential treatment provider shall ensure its policies include client privacy accommodation in each bedroom space while assuring client health and safety	X					
<b>R501-19-3(7)</b> Each residential treatment provider serving adults may admit a 17-year-old if the provider: (a) obtains written permission from the individual's parent or legal guardian; (b) provides clinical justification; (c) ensures that the individual sleeps in a separate room from adults or a room that the individual shares with adults no more than two years older than the individual; (d) ensures that any adult with direct access to the 17-year-old is directly supervised by a direct care staff; and (e) ensures enhanced safety and supervision measures for treating a minor in an adult setting.	X					
<b>R501-19-3(8)</b> Each residential treatment provider providing services to a substance use disorder client shall: (a) only admit a substance use disorder client with a level of care that falls within American Society of Addiction Medicine levels 3.1 through 3.5; and (b) obtain any required licenses before providing any service to a substance use disorder client outside of the residential milieu with a level of care described in Subsection (8)(a), unless otherwise outlined in categorical rule.	X					
<b>R501-19-3(9)</b> Each residential treatment provider that allows a client to participate in food preparation shall ensure the client is trained in safe food handling practices and the provider justifies the client's participation in writing.	X					
<b>R501-19-3(10)</b> Each residential treatment provider shall provide individual, group, and family counseling or other treatment, including skills development, at least weekly or as outlined in the individual's treatment plan.	X					
<b>R501-19-3(11)</b> A clinical professional shall oversee any therapeutic services conducted in the therapeutic environment including: (i) life skill development; (ii) psychoeducation; and (iii) social coaching.	X					
<b>R501-19-3(12)</b> Each residential treatment provider shall document the time and date of each service provided to each client and include the signature of the individual providing the service.	X					
<b>R501-19-3(13)</b> Each residential treatment provider shall provide indoor space for free and informal client activities.	X					
Specialized Services Required to Serve Clients Under the Division of Services for People with Disabilities	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes

<p><b>R501-19-5(1)</b> Each residential treatment provider serving a DSPD client shall:</p> <p>(a) develop and adhere to policies and procedures governing the daily operation and activity available and applicable to each client and visitor</p> <p>(b) specify, in policy, the amount of time non-client individuals may stay as overnight guests;</p> <p>(c) present each client with an individual plan that addresses appropriate day treatment;</p> <p>(d) share a monthly activity schedule with each client;</p> <p>(e) maintain a record of income and client service fees;</p> <p>(f) ensure the facility is located within a reasonable distance from school, church, recreation, and other community facilities;</p> <p>(g) maintain an accurate record of each fund deposited with the residential facility for client use;</p> <p>(h) maintain a list of each deposit and withdrawal;</p> <p>(i) maintain a receipt signed by the client and professional staff for any purchase over \$20;</p> <p>(j) maintain a record of each client petty cash fund; and</p> <p>(k) apply for any unearned income benefits the client is entitled to, in conjunction with the support coordinator for DSPD and each client's parent or guardian.</p>	X					
<p><b>R501-19-5(2)</b> If there is a conflict between a licensing rule and the settings rule as defined in Rule R501-1, the settings rule shall prevail.</p>	X					