

Outpatient Treatment Inspection Checklist				This inspection checklist is the tool OL licensors use to ensure consistency for every inspection. (Revised 03/2023)									
Utah Department of Health & Human Services Licensing & Background Checks													
Provider Name:	The Hope Group dba Havenwood Academy, Inc.	Facility ID:	F22-93687	Phone Number:	(435) 586-2500								
Site Name or Address:	465 W 1600 N Cedar City, UT, 84721			Email Address:	Janiesabin@havenwoodacademy.com								
Approved Capacity:	# of Present Residents/Clients												
<p>Please review the following items prior to the inspection: (Mark with a check mark if completed and make and necessary notes)</p> <table border="0"> <tr> <td><input checked="" type="checkbox"/> DACS to ensure background checks are current.</td> <td><input checked="" type="checkbox"/> Any active rule variances.</td> <td><input checked="" type="checkbox"/> Any license restrictions or conditions.</td> <td><input type="checkbox"/> Any needed rule variances.</td> <td><input checked="" type="checkbox"/> Introduce yourself and any DHSS staff</td> <td><input checked="" type="checkbox"/> Clients Interviews</td> <td><input checked="" type="checkbox"/> Staff Interviews</td> <td><input type="checkbox"/> Other:</td> </tr> </table>						<input checked="" type="checkbox"/> DACS to ensure background checks are current.	<input checked="" type="checkbox"/> Any active rule variances.	<input checked="" type="checkbox"/> Any license restrictions or conditions.	<input type="checkbox"/> Any needed rule variances.	<input checked="" type="checkbox"/> Introduce yourself and any DHSS staff	<input checked="" type="checkbox"/> Clients Interviews	<input checked="" type="checkbox"/> Staff Interviews	<input type="checkbox"/> Other:
<input checked="" type="checkbox"/> DACS to ensure background checks are current.	<input checked="" type="checkbox"/> Any active rule variances.	<input checked="" type="checkbox"/> Any license restrictions or conditions.	<input type="checkbox"/> Any needed rule variances.	<input checked="" type="checkbox"/> Introduce yourself and any DHSS staff	<input checked="" type="checkbox"/> Clients Interviews	<input checked="" type="checkbox"/> Staff Interviews	<input type="checkbox"/> Other:						
<p>Inspection Information:</p> <ul style="list-style-type: none"> - The licensor will email you this inspection checklist after the inspection is completed. This checklist is not an official compliance statement. The licensor will send you an 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. - If the only non compliance items are documentation and/or records, please submit them by the correction required date listed. A licensor may conduct a follow-up inspection to verify compliance and maintenance of any noncompliance. 													
Signature Information													
Inspection Type:	Renewal	Date:	05/09/2023	Time Started On-site:									
Number of Non Compliant Items:		0	Name of Individual Informed of this Inspection:	Janie Sabin									
Licensor(s) Conducting this Inspection:	Greg Hirst												
<input checked="" type="checkbox"/> The Licensor explained noncompliance items (if any).	<p>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</p> <p>Janie Sabin</p>												

General Provisions Inspection Checklist							
	C = Compliant NC = Not Compliant NA = Not Assessed during this inspection	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
Licensing Application and Monitoring Procedures							
R501-1-4(c) and R501-1-10. The provider permitted OL unrestricted access to site(s), records, clients, and staff during business hours.	<input checked="" type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>	
Program Changes	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
R501-1-6. Any changes to the license, services, ownership, capacity, location, and contact information were properly reported and processed.	<input checked="" type="checkbox"/>	<input type="checkbox"/>				<input type="checkbox"/>	
Variances	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
R501-1-8. The provider is in compliance with the terms of approved rule variances.	<input checked="" type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	
Required Approvals	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
R501-1-9. All required policies, curriculums, and updates have been approved by OL before implementation.	<input type="checkbox"/>	<input checked="" type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	
Investigations of Alleged Noncompliances	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
R501-1-11. All reportable critical incidents were properly reported.	<input checked="" type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	
Licensee Noncompliance	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
R501-1-12. If the license has been suspended or revoked, the provider does not accept new clients.	<input checked="" type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	
Program Administration and Direct Service Requirements	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
R501-1-13(1). The provider clearly identifies services to the office, public, potential client, parent, or guardian regarding:	(a) contact information;						
	(b) the complaint reporting and resolution process;						
	(c) a description of each service provided;						
	(e) each program requirement and expectation;						
	(f) eligibility criteria outlining behavior, diagnosis, situation, population, and age that can be safely served;						
	(g) each cost, fee, and expense for a service and refund policy; and						
	(n) identification of each non-clinical, extracurricular, or supplemental service offered or referred.					<input type="checkbox"/>	

R501-1-13(2). The following items are posted in a conspicuous place:				
(a) abuse reporting laws; (b) civil rights notice; (c) Americans with Disabilities Act notice; (d) the program license; (e) any office notice of agency action; and (f) a client rights poster.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
R501-1-13(3). Provider is in compliance with:				
(a) food handler permits for any person preparing meals for any other person; (b) capacity limits; (c) licensure and registration of any vehicles used to transport clients.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
R501-1-13(5). Provider has proof that:				
(a) financial viability of the program as verified by a financial professional; (b) vehicle insurance;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
R501-1-13(6). Provider ensures that:				
(a) each entity associated with the licensee read, understand, sign, and follow the current department code of conduct; (b) current staff and client lists are available at each licensed site; (f) at least one CPR and First Aid trained or certified staff member is available when staff and clients are present together; (g) the program maintains an opioid overdose reversal kit on-site with on duty staff trained in its use if the program is serving, or is likely to serve, a client with a substance use disorder; and (m) the program provides trainings and monitors staff to ensure compliance regarding program policy and procedures including:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(i) the needs of each client; (ii) licensing rule; (iii) client rights; (iv) department code of conduct; (v) incident reporting; (vi) program emergency response plan; and (vii) CPR and first aid.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
R501-1-13(7) & (8). A program providing school on-site:				
(a) completes youth education forms for all education entitled children (b) maintains the established staff to client ratio with behavioral intervention trained staff in the school setting; (c) is recognized as in good standing by an educational accreditation organization such as the State Board of Education or the National School Accreditation Board; and (d) ensures each youth is taught at grade level.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Requirements	Residential Programs Additional Administration and Direct Services	R501-1-13(9). The provider ensures that unlicensed clinical and medical staff who are not associated with the facility are appropriately supervised.	R501-1-13(10). A program that utilizes telehealth for treatment complies with each applicable rule.
R501-1-14(1). A program providing residential service:			
(b) ensures that each staff shift list remains current and available to the office upon request;			
(c) ensures access to a medical clinic or a medical professional familiar with the program and population served; and			
(d) provides a separate space for clients who are sick.			
R501-1-14(3). If the congregate care program caring for youth allows an individual turning 18 years old to remain in the program, the provider ensures that:			
(a) the individual remains in the custody of a State entity or the individual was admitted and continuously resided in the program for at least 30 days before the individual's 18th birthday;			
(b) the program has a documented need for the individual to remain in the program;			
(c) the program maintains responsibility for discharge to an appropriate setting when clinically appropriate and no later than the day an individual reaches 19 years of age;			
(d) the program outlines a policy regarding the protection of younger clients by supervising or separating 18-year-old individuals from youth who are more than two years younger; and			
(e) the individual signs a consent document outlining:			
(i) the individual is consenting to remain in the program voluntarily and understands the individual is not required to remain against their will;			
(ii) that any criminal offenses committed may result in being charged as an adult; and			
(iii) that if the individual is involved in any critical incidents posing a risk to the health and safety of other program residents they may be discharged from the program.			
R501-1-14(4). The provider facilitates weekly confidential voice-to-voice communication between a child and the child's parents, guardian, foster parents, and siblings. The provider ensures that the communication complies with the child's treatment plan, if any; and			
(a) does not use family contact as an incentive for proper behavior or withhold family contact as a punishment;			
(b) does not deny the communication unless state law or a court order prohibits the communication; or			
modify the frequency or form of the communication unless:			
(A) the office approves the modification; or			
(B) state law or a court order prohibits the frequency or the form of the communication.			

R501-1-14(5). The provider ensures that before allowing a direct care staff to work unsupervised, they have an approved background clearance and are trained in the following:						
(a) behavior management policy and curriculum including crisis intervention, appropriate use of restraint and seclusion, and de-escalation techniques;	<input checked="" type="checkbox"/>	<input type="checkbox"/>				
(b) which practices are prohibited for congregate care programs;	<input type="checkbox"/>	<input type="checkbox"/>				
(c) the clinical needs of each of the clientele;						
(d) client rights;						
(e) department code of conduct; and						
(f) incident reporting.						
R501-1-14(6). Direct care staff are trained in first aid and CPR within six months of hire.	<input checked="" type="checkbox"/>	<input type="checkbox"/>				
Program Physical Facilities and Safety	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
R501-1-15(1). The appearance and cleanliness of the building and grounds are maintained and free from health and fire hazards.	<input checked="" type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	
R501-1-15(2). Appliances, plumbing, electrical, HVAC, and furnishings are maintained in operating order and in a clean and safe condition.	<input checked="" type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	
R501-1-15(3). clients with disabilities are accommodated as needed or appropriately referred to comparable services.	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	
R501-1-15(4). Fire drills in non-outpatient programs are conducted and documented at least quarterly and program administration provides and documents feedback regarding response time and process.	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	
R501-1-15(5). A 911 recognizable phone is always on-site with clients.	<input checked="" type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	
R501-1-15(6). Bathroom facilities for staff and clients allow for individual privacy and afford reasonable accommodation based on gender identity.	<input checked="" type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	
R501-1-15(7). Each bathroom is properly equipped with toilet paper, paper towels or a dryer, and soap.	<input checked="" type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	
R501-1-15(8). Each bathroom is ventilated by mechanical means or equipped with a window that opens.	<input checked="" type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	
R501-1-15(9). Medications and potentially hazardous items on-site are maintained lawfully, responsibly, and with consideration of the safety and risk level of the population served. This includes locked storage for each medication and hazardous chemical.	<input checked="" type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	
R501-1-15(10). Non-prescription medications, if stored on-site, are stored in original manufacturer's packaging together with the manufacturer's directions and warnings.	<input checked="" type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	
R501-1-15(11) & (12). Prescription medications, if stored on-site, are stored in original pharmacy packaging or individual pharmacy bubble pack together with the pharmacy label, directions, and warnings. Maintains fully supplied First Aid Kit as recommended by the American Red Cross	<input checked="" type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	
Residential Programs Additional Facilities and Safety Requirements	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
R501-1-16(1). There is designated space available for records, administrative work, and confidential phone calls for clients.	<input checked="" type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	

Program Personnel Record Requirements						
	c	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
R501-1-17(2). Meals are not used as incentive or punishment.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
R501-1-17(3). Each program that provides meals provides nutritional counseling to staff and clients and designate staff responsible for food service. As part of these responsibilities, each program ensures that designated staff:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
(a) maintain a current list of each client with special nutritional needs;						
(b) 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; and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
(c) 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 is:						
(i) served from dietician or nutritionist approved menus; or						
(ii) for programs serving individuals experiencing homelessness, serve meals as required by USDA standard homeless settings.						
R501-1-17(4). Programs that provide meals establish and post kitchen rules and privileges in a kitchen according to client needs and safe food handling practices.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
R501-1-17(5). Programs that provide meals provide adequate dining space that is maintained in a clean and safe condition for each client.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
R501-1-17(6). Programs that provide self-serve meals ensure that self-serve kitchen users are supervised, directed, and trained by a staff that has a Department of Health food handler's permit or is trained by Serv-Safe, USDA, or a comparable program.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
Program Staffing						
R501-1-18(1). There is adequate staffing, so the current population can be safely supervised.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
R501-1-18(2). A manager or qualified designee is immediately available when the program is in operation or there is a qualified and trained substitute when the manager is absent or unavailable.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
R501-1-18(3). Programs that offer clinical services employ or consult with licensed professional staff that include an individual who is familiar with the program and the needs of each client.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
R501-1-18(4). Programs serving substance use disorder ensure each staff and client is screened for tuberculosis.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
R501-1-18(5). Programs managing, storing, or administering client medication identify a medical professional to be responsible for the medication management policy, medication oversight, and staff training regarding medication management.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
R501-1-18(6). Each program or person involved with the prescription, administration, or dispensing of controlled substances maintains appropriate medical or pharmacy licenses and DEA registration numbers as described in 21 CFR 1301.21	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			

R501-1-19(1)-(2). The program create and maintains personnel information for each staff member, contracted employee, and volunteer, including:				
(a) any applicable qualification, experience, certification, or license;				
(b) any approved and current office background clearance, except as excluded in Section R501-14-17;				
(c) a department code of conduct that is signed by the staff member, contracted employee, or volunteer;	<input type="checkbox"/>			
(d) any training records with the date completed, topic, and the individual's signed acknowledgement of training completion to include: (i) current CPR and First Aid certification; (ii) current policy and procedure training; and (iii) proof of annual department code of conduct and behavior management training;	<input checked="" type="checkbox"/>			
(e) any grievances or complaints made by or against the individual and actions taken by the program; and	<input type="checkbox"/>			
(f) each crisis intervention or critical incident report involving the individual.	<input type="checkbox"/>			
Program Client Record Requirements	c	NC	NA	Date to be corrected by
				Corrected During Inspection
Notes				
R501-1-20(1). Client information is maintained and includes:				
(a) client name, address, email address, phone numbers, date of birth and identified gender;				
(b) emergency contact names, including legal guardian where applicable, and at minimum, the emergency contact 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;	<input type="checkbox"/>			
(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;				
(m) any grievances or complaints 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 agreements and consent forms.				
R501-1-20(2). There is a plan detailing how each program staff and client file will be maintained and remain available to the office and other agencies legally authorized to access the files for seven years regardless of whether the program remains licensed.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Program Intake and Discharge Requirements	c	NC	NA	Date to be corrected by
				Corrected During Inspection
Notes				

R501-1-21(1). The program completes an intake screening before accepting a client into the program. Intake screenings assess at minimum:	<input type="checkbox"/>			
(a) verification that the client meets the eligibility requirements of the program;	<input type="checkbox"/>			
(b) verification that the client does not meet any of the exclusionary criteria that the program identified in policy as unable to serve;	<input checked="" type="checkbox"/>			
(c) description of presenting needs;	<input type="checkbox"/>			
(d) suicide risk screening; and	<input type="checkbox"/>			
(e) a program 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.	<input type="checkbox"/>			
R501-1-21(3). Following determination of eligibility, the client or parent or guardian signs and receives copies of the following agreements to be maintained as client records:	<input type="checkbox"/>			
(a) fee agreement outlining costs of services including program, client, parent, or guardian responsibility for payment; and	<input type="checkbox"/>			
(b) signed consent for treatment that outlines:	<input checked="" type="checkbox"/>			
(i) rules of the program;	<input type="checkbox"/>			
(ii) expectations of clients, parents, and guardians;	<input type="checkbox"/>			
(iii) services to be provided;	<input type="checkbox"/>			
(iv) Medicaid number, insurance information, and identification of any other entities that are billed for the client's services; (v) client rights; and	<input type="checkbox"/>			
(vi) licensing contact information.	<input type="checkbox"/>			
R501-1-21(4). A discharge plan identify resources available to a client and include:	<input checked="" type="checkbox"/>			
(a) reason for discharge or transfer;	<input type="checkbox"/>			
(b) aftercare plan;	<input type="checkbox"/>			
(c) summary of services provided; and	<input type="checkbox"/>			
(d) progress evaluation.	<input type="checkbox"/>			
Residential Additional Program Intake and Discharge Requirements				
R501-1-22(1). In residential facilities, an intake assessment is completed following an approved intake screening and no later than seven days from the admission date. The assessment considers and contains:	<input type="checkbox"/>			
(a) gender identity and individualized assessment for bedroom and bathroom assignments;	<input checked="" type="checkbox"/>			
(b) cultural background;	<input type="checkbox"/>			
(c) dominant language and mode of communication;	<input type="checkbox"/>			
(d) family history and dynamics;	<input type="checkbox"/>			
(e) current and past health and medical history;	<input type="checkbox"/>			
(f) social, psychological, developmental, vocational, and, as appropriate, educational factors;	<input type="checkbox"/>			
(g) suicide risk screening; and	<input type="checkbox"/>			
(h) authorization to serve and obtain emergency care.	<input type="checkbox"/>			
R501-1-22(3). No youth from out of state is served without a disruption plan as described in Section 62A-2-125 and, as applicable, Title 80-2-905, Interstate Compact Placement of Children.	<input checked="" type="checkbox"/>			

R501-1-22(4). The disruption plan contains the following:						
(a) program must retain jurisdiction and responsibility for the youth while the youth remains in Utah;						
(b) a program must complete an individualized disruption plan at the time of intake for each out of state client to include:						
(i) who is responsible for the child's return if placement at the facility disrupts;						
(ii) current emergency contact information to include the name, address, phone and email address of the parent or responsible party;						
(iii) a signed statement from parent or responsible party outlining the plan for the youth in the event of an unplanned disruption in care; and						
(iv) a plan for safe transportation either to the state of origin, the responsible party identified in Subsection R501-1-22(3)(a) or to another licensed congregate care program.						
R501-1-22(5). Each congregate care program may demonstrate compliance with Subsections R501-1-22(2) and R501-1-22(3) by producing the 100A and 100B forms and disruption plan as required by the Interstate Compact for the Placement of Children (ICPC).						
R501-1-22(6). Private placements are reported to the office by the fifth business day of each month.						
R501-1-22(7). Critical and non-critical restraints or seclusions are reported to the office within one business day.						
Program Clinical Services						
R501-1-23(1). Programs providing clinical treatment assign a clinical director to ensure that assessment, treatment, and service planning practices are:						
(a) regularly reviewed and updated;						
(b) individualized; and						
(c) designed to involve the participation of each client or each client's parent or guardian.						
R501-1-23(2). Programs providing clinical treatment ensure that 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.						
R501-1-23(3). Programs providing clinical treatment ensure that client treatment plans are developed and signed by a licensed clinical professional within 30 days of admission.						
R501-1-23(4). Program providing clinical treatment ensure that discharge goals are identified in the initial treatment plan and treatment goals are structured around the identified discharge goals and objectives.						
R501-1-23(5). Program providing clinical treatment ensure that each client identified for treatment receives individual treatment at least weekly.						
R501-1-23(6). Program providing group counseling, family counseling, skills development, or other treatment ensure the treatment is offered and documented as prescribed in the treatment plan.						
Program Policy and Procedure Requirements						
	c	NC	NA	Date to be corrected by	Corrected During Inspection	Notes

Additional Policy and Procedure Requirements for Residential Programs					Notes
	C	NC	NA	Date to be corrected by	Corrected During Inspection
R501-1-24. As submitted to the office, the program developed, implemented, and complied with policies and procedures sufficient to ensure client health and safety and meet the needs of the client population served.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
R501-1-25(1). Residential programs that provide meals for clients have and follow a food service policy.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
R501-1-25(2). Residential programs managing, storing, or administering client medications have and follow a medication management policy.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
R501-1-25(3). Residential programs have a policy to train staff to identify and address critical risks including violence, suicide, mental health concerns, etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
R501-1-25(4). Residential programs have a policy regarding the care, vaccination, licensure, and maintenance of any animals on-site.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
R501-1-25(5). Residential programs have a policy regarding client belongings policy that addresses:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(a) initial and updated inventory signed by the client;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(b) storage and return of each client belonging to the client or client's guardian at the time of discharge; and	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(c) program shall replace any lost or stolen items for which the program is responsible.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
R501-1-25(6). A program managing funds for client allowances must document each expense.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
R501-1-25(7). Residential programs develop and follow a policy for providing separate space for sick clients.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Congregate Care Program Additional Policy and Procedure Requirement					Notes
	C	NC	NA	Date to be corrected by	Corrected During Inspection

- R501-1-26.** A Congregate Care Program does not utilize any behavior management technique, restraint, seclusion, or curriculum unless it has been approved by the office. They do not use cruel, severe, unusual, or unnecessary practice on a child, including:
- (a) a strip search unless the congregate care program determines and documents that a strip search is necessary to protect an individual's health or safety;
 - (b) a body cavity search unless the congregate care program determines and documents that a body cavity search is necessary to protect an individual's health or safety;
 - (c) inducing pain to obtain compliance;
 - (d) hyperextending joints;
 - (e) peer restraints;
 - (f) discipline or punishment that is intended to frighten or humiliate;
 - (g) requiring or forcing the child to take an uncomfortable position, including squatting or bending;
 - (h) for the purpose of punishing or humiliating, requiring or forcing the child to repeat physical movements or physical exercises such as running laps or performing push-ups;
 - (i) spanking, hitting, shaking, or otherwise engaging in aggressive physical contact;
 - (j) denying an essential program service;
 - (k) depriving the child of a meal, water, rest, or opportunity for toileting;
 - (l) denying shelter, clothing, or bedding;
 - (m) withholding personal interaction, emotional response, or stimulation;
 - (n) prohibiting the child from entering the residence;
 - (o) abuse as defined in Section 80-1-102; and
 - (p) neglect as defined in Section 80-1-102.

Outpatient Treatment Programs - Additional Inspection Checklist						
<p style="text-align: center;">C = Compliant NC = Not Compliant NA = Not Assessed during this inspection</p>						
Administration and Direct Services	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
<p>R501-21-4(2). Programs shall have current program information readily available to the Office and the public, including a description of:</p> <ul style="list-style-type: none"> (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. 	<input type="checkbox"/>					

	<input type="checkbox"/>
	<input type="checkbox"/>
	<input checked="" type="checkbox"/>
<p>R501-21-4(3). The Program shall:</p> <ul style="list-style-type: none"> (a) provide outpatient and/or intensive outpatient treatment services not to exceed nineteen hours per week, as clinically recommended and documented; (b) identify and provide to the Office the organizational structure of the program including: <ul style="list-style-type: none"> (i) names and titles of owners, directors and individuals responsible for implementing all aspects of the program, and (ii) a job description, duties and qualifications for each job title; (c) identify a director or qualified designee who shall be immediately available at all times that the program is in operation; (d) ensure at least one CPR/First Aid trained or certified staff member is available onsite at all times with clients (e) disclose any potential conflicts of interest to the Office; (f) ensure that staff are licensed or certified in good standing as required and that unlicensed individuals providing direct client services shall do so only in accordance with the Mental Health Professional Practices Act; (g) train and monitor staff compliance regarding: <ul style="list-style-type: none"> (i) program policy and procedures; (ii) the needs of the program's consumers; (iii) Office of Licensing rule 501-21 and annual training on the Licensing Code of Conduct and client rights as outlined in R501-1-11; (iv) emergency procedures; (h) create and maintain personnel files for each staff member to include: <ul style="list-style-type: none"> (i) applicable qualifications, experience, certifications and licenses; (ii) approved and current Office of Licensing background screening, except as excluded in 501-14-17; and (iii) training records with date completed, topic and employee signature(s) verifying completion. (i) comply with Office rules and all local, state and federal laws to include maintaining a current business license, fire inspection and health clearance as applicable; (j) maintain proof of financial viability of the program; (k) maintain general liability insurance, professional liability insurance that covers all program staff, vehicle insurance for transport of clients, fire insurance and any additional insurance required to cover all program activities; and (l) maintain proof of completion of the National Mental Health Services Survey (NMHSS) annually for each site providing mental health services; and (m) ensure that all programs and individuals involved with the prescription, administration or dispensing of controlled substances shall do so per state and federal law, including maintenance of DEA registration numbers for: <ul style="list-style-type: none"> (i) all prescribing physicians; and (ii) the specific site where the controlled substances are being prescribed, as required. 	

R501-21-4(4). The program shall develop, implement and comply with policies and procedures sufficient to ensure the health and safety and meet the needs of the client population served. Policies and procedures shall address:			
(a) client eligibility;	<input type="checkbox"/>		
(b) intake and discharge process;	<input type="checkbox"/>		
(c) client rights as outlined in R501-1-12;	<input type="checkbox"/>		
(d) staff and client grievance procedures;	<input type="checkbox"/>		
(e) behavior management;	<input type="checkbox"/>		
(f) medication management;	<input type="checkbox"/>		
(g) critical incident reporting as outlined in R501-1-2-9 and R501-1-9-2d;	<input type="checkbox"/>		
(h) transportation of clients to include requirement of insurance, valid driver license, driver and client safety and vehicle maintenance;	<input type="checkbox"/>		
(i) firearms;	<input type="checkbox"/>		
(j) client safety including any unique circumstances regarding physical facility, supervision, community safety and mixing populations; and	<input type="checkbox"/>		
(l) provision of client meals, administration of required medications, maximum group sizes, and sufficient physical environment providing for the comfort of clients when clients are present for six or more consecutive hours.	<input type="checkbox"/>		
R501-21-4(5). Programs shall maintain client files to include the following:			
(a) client name, home address, email address if available, phone numbers, date of birth and gender;	<input type="checkbox"/>		
(b) legal guardian and emergency contact names, address, email address and phone numbers;	<input type="checkbox"/>		
(c) all information that could affect the health, safety or well-being of the client including all medications, allergies, chronic conditions or communicable diseases;	<input type="checkbox"/>		
(d) intake assessment;	<input type="checkbox"/>		
(e) treatment plan signed by the clinical professional or service plan for non-clinical services;	<input type="checkbox"/>		
(f) detailed documentation of all clinical and non-clinical services provided with date and signature of staff completing each entry;	<input type="checkbox"/>		
(g) signed fee disclosure statement including Medicaid number, insurance information and identification of any other entities that are billed for the client's services;	<input type="checkbox"/>		
(h) client or guardian signed consent or court order of commitment to services in lieu of signed consent, for all treatment and non-clinical services;	<input type="checkbox"/>		
(i) grievance and complaint documentation; and	<input type="checkbox"/>		
(j) discharge documentation.	<input type="checkbox"/>		
R501-21-4(6). Programs shall document a plan detailing how all program, staff, and client files shall be maintained and remain available for the Office and other legally authorized access, for seven years, regardless of whether or not the program remains licensed.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
R501-21-4(7). The program shall ensure that assessment, treatment and service planning practices are clinically appropriate, updated as needed, timely, individualized, and involve the participation of the client or guardian.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

Physical Facility				Corrected During Inspection	Notes
	C	NC	NA	Date to be corrected by	
R501-21-4(8). Programs shall maintain documentation of all critical incidents; critical incident reports shall contain:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
(a) time of incident;				<input type="checkbox"/>	
(b) summary of incident;				<input type="checkbox"/>	
(c) individuals involved; and				<input type="checkbox"/>	
(d) program response to the incident.				<input type="checkbox"/>	
R501-21-5(1). Space shall be adequate to meet service needs and ensure client Confidentiality and comfort.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
R501-21-5(2). 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.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
R501-21-5(3). All furniture and equipment shall be maintained in a clean and safe condition.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
R501-21-5(4). Programs offering supplemental services or activities in addition to outpatient treatment shall:				<input type="checkbox"/>	
(a) remain publicly transparent in the use of the equipment, practices and purposes;				<input type="checkbox"/>	
(b) ensure the health and safety of the consumer;				<input type="checkbox"/>	
(c) gain informed consent for participation in supplemental services or activities; and				<input type="checkbox"/>	
(d) provide verification of all trainings or certifications as required for the operation and use of any supplemental equipment.				<input type="checkbox"/>	
R501-21-5(5). The program shall post the following documents where they are clearly visible by clients, staff, and visitors:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
(a) Civil Rights and anti-discrimination laws;				<input type="checkbox"/>	
(b) program license;				<input type="checkbox"/>	
(c) current or pending Notices of Agency Action;				<input type="checkbox"/>	
(d) abuse and neglect reporting laws; and				<input type="checkbox"/>	
(e) client rights and grievance process.				<input type="checkbox"/>	
R501-21-5(6). The program site shall provide access to a toilet and lavatory sink in a manner that ensures basic privacy, and shall be:	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
(a) stocked with toilet paper, soap, and paper towels/dryer; and				<input type="checkbox"/>	
(b) maintained in good operating order and kept in a clean and safe condition.				<input type="checkbox"/>	
R501-21-5(7). 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.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Substance Use Disorder Treatment Programs			Corrected During Inspection	Notes	
C	NC	NA	Date to be corrected by		
R501-21-6(1). All substance use disorder treatment programs shall develop and implement a plan on how to support opioid overdose reversal.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
R501-21-6(2). Maintain proof of completion of the National Survey of Substance Abuse Treatment Services (NSSATS) annually.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

This is not as substance use disorder treatment program.

<p>R501-21-6(3). Medication-assisted treatment (MAT) in substance use disorder programs shall:</p> <ul style="list-style-type: none"> (a) maintain a program-wide counselor to MAT consumer ratio of: 1:50; (b) assure all consumers see a licensed practitioner that is authorized to prescribe controlled substances at least once yearly; (c) show proof of completion of federally required physician training for physicians prescribing buprenorphine; (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; (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 two times per month for the first three 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; (f) require that consumers participate in at least one 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 twice monthly for the next six months. Upon documented successful completion of nine months of treatment, consumers shall be seen by a licensed counselor at least monthly thereafter until discharge; and (g) require one hour of prescribing practitioner time at the program site each month for every ten MAT consumers enrolled. 	<input type="checkbox"/>
<p>R501-21-6(4). MAT Programs prescribing, administering or dispensing Methadone (Opioid Treatment Programs) shall:</p>	<input type="checkbox"/>
<ul style="list-style-type: none"> (a) maintain Substance Abuse and Mental Health Services Administration (SAMHSA) certification and accreditation as an opioid treatment program. (b) comply with DSAMH Rule R523-10 Governing Methadone and other opioid treatment service providers; (c) employ at: 	<input type="checkbox"/>
<ul style="list-style-type: none"> (i) licensed physician who is an American Society of Addiction Medicine certified physician; or (ii) prescribing licensed practitioner who can document specific training in current industry standards regarding methadone treatment for opioid addictions; or (iii) prescribing licensed practitioner who can document specific training or experience in methadone treatment for opioid addictions; and (d) provide one nurse to dispense or administer medications for every 150 Methadone consumers dosing on an average daily basis. 	<input type="checkbox"/>

This is not a MAT program.

					This is not a DUI education program.
R501-21-6(5). Certified DUI Education Programs (a) Only programs certified with the Division of Substance Abuse and Mental Health (DSAMH) to provide Prime for Life education in accordance with R523-11 shall provide court ordered DUI education. (b) Certified DUI education programs shall: (i) complete and maintain a substance use screening for each participant prior to providing the education course; (A) screenings may be shared between providers with client written consent;; (ii) provide a workbook to each participant to keep upon completion of the course; (iii) ensure at least 16 hours of course education; and (iv) provide separate classes for adults and youth. (c) Any violations of this rule section will be reported to DSAMH for evaluation of certification.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		
R501-21-6(6). Justice Reform Initiative (JRI) Certified Programs shall operate in compliance with DSAMH rules 523-3 and 523-4. (a) JRI certified programs shall maintain a criminogenic screen/risk assessment for each justice involved client and separate clients into treatment groups according to level of risk assessed. (b) Providers shall complete screenings that assess both substance abuse and mental health comorbidity. (c) JRI programs shall treat, or refer to other DHS licensed programs that have obtained a justice certification from the DSAMH to treat the array of disorders noted in screenings. (d) Any violations of this rule section shall be reported to DSAMH for evaluation of certification.			<input type="checkbox"/>		
Domestic Violence	C	NC	NA	Date to be corrected by	Corrected During Inspection
R501-21-7(1). Domestic Violence (DV) treatment programs shall comply with generally accepted and current practices in domestic violence treatment, and shall meet the following requirements: (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; (i) treatment sessions for children and victims shall offer a minimum of ten sessions for each consumer, not including intake or orientation; (ii) if the consumer is a perpetrator, program contact with the victims, current partner, and the criminal justice referring agencies is also required, as appropriate; (iii) 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.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
R501-21-7(2). Staff to Consumer Ratio (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. (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.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<p>R501-21-7(3). 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, additional information 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, additional information 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> <ul style="list-style-type: none"> (i) a profile of the frequency, severity, and duration of the domestic violence behavior, which includes a summary of psychological violence; (ii) documentation of any homicidal, suicidal ideation and intentions, as well as abusive behavior towards children; (iii) a clinical diagnosis and a referral for evaluation to determine the need for medication, if indicated; (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; (A) for victims who choose not to become treatment consumers, safety planning shall be addressed when they are contacted; and (v) documentation that appropriate measures have been taken to protect children from harm. 	<input type="checkbox"/>
<p>R501-21-7(4). Treatment Procedures</p> <p>(a) Consumers deemed appropriate for a domestic violence treatment program shall have an individualized treatment plan, which addresses all relevant treatment issues.</p> <p>(b) Consumers who are not deemed appropriate for domestic violence programs shall be referred to the appropriate resource, with the reasons for referral documented, and notification given to the referring agency.</p> <p>(c) Domestic violence counseling shall be provided concurrently with, or after other necessary treatment, when appropriate.</p> <p>(d) Conjoint or group therapy sessions with victims and 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, and that conjoint treatment is appropriate.</p> <p>(e) The perpetrator must complete a minimum of 4 domestic violence 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 and timely manner:</p> <ul style="list-style-type: none"> (i) entry of the court ordered defendant into treatment; (ii) notification of consumer compliance, participation, or completion; (iii) disposition of non-compliant consumers; (iv) notification of the recurrence of violence; and (v) notification of factors which may exacerbate an individual's potential for violence. <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 domestic violence assessment and treatment practices, including 24 hours of Utah Association for Domestic Violence Treatment (UADVT) pre-service training, within the last two years; and 16 hours annual training thereafter for all individuals providing treatment service.</p> <p>(i) Clinical supervision for treatment staff that are not clinically licensed shall consist of a minimum of one hour per week to discuss clinical dynamics of cases.</p>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

R501-21-7(5). Training (a) Training that is documented and approved by the designated Utah DHS DV Specialist Regarding assessment and treatment practices for treating: (i) DV victims; and (ii) DV perpetrators.	<input type="checkbox"/>	
R501-21-7(6). Programs must disclose all current DHHS contracts and actions against the contract to the Office.	<input type="checkbox"/>	<input type="checkbox"/>
R501-21-7(7). Programs must disclose all current Accreditations and actions against accredited status to the Office.	<input type="checkbox"/>	<input type="checkbox"/>

ADDITIONAL INFORMATION							