

 Utah Department of Health & Human Services Licensing & Background Checks		DSPD Certification Checklist				This inspection checklist is the tool OL licensors use to ensure consistency for every inspection. <i>(Revised 02/2025)</i>	
Provider Name:		Facility ID:		Phone Number:		Notes	
Site Name or Address:				Email Address:			
Approved Capacity:		# of Present Residents\Clients:					
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)			
	Current backgrounds in DACS				Client Interviews		
	Current staff roster collected				Staff Interviews		
Additional Inspection Information:							
- 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 <i>correction required date</i> listed. A licensor may conduct a follow-up inspection to verify compliance and maintenance of any noncompliance.							
Signature Information							
Inspection Type:		Date:		Time Started On-site:		Time Ended On-site:	
Number of Noncompliant Items:			Name of Individual Informed of this Inspection:				
Licensor(s) Conducting this Inspection:					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.					

DSPD Certification - Inspection Checklist

(Revised 02/2025)

C = Compliant
NC = Not Compliant
NA = Not Assessed during this inspection

R501-23-3. Scope.	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
(1) Each provider shall comply with: (a) each department contract requirement; and (b) any applicable federal, state, or local law, administrative rule, or ordinance, including: (i) Rule R380-80; (ii) Rule R501-14; and (iii) this rule.						
R501-23-4. Certification Required.	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
(1) Certification is required for a provider to enter into a department contract to provide residential or day support certification services.						
(2)(a) For a site-based certification, the provider may not serve more than three clients at each site, as serving four or more clients requires a day treatment or residential support license in accordance with Section 26B-2-101. (b) For a community-based certification, the provider may not serve more than three clients in total, as serving four or more clients requires an OL day treatment license in accordance with Subsection 26B-2-101(12).						
(3)(a) A DSPD certification is for the provider and is specific only to the approved site. (b) A DSPD certification is not assignable or transferable. (c) A new DSPD certification is required for a different provider or for a different site.						
(4) If the department places a condition, suspension, or sanction status on a DSPD provider's certification, the provider must comply with each condition before a certification, contract, or license in good standing is granted by the department.						
(5) In addition to complying with this rule, a DSPD provider must be in good standing with the department to: (a) renew or to enter into a new contract with the department; (b) renew or start a new certification; or (c) have any sanctions removed including a conditional, suspension, or contractual sanction status issued by the department.						
(6) OL may not issue an initial or renewal DSPD certification when: (a) any applicant's background check status is determined as not eligible; (b) OL finds that an applicant or provider maintains association with any individual with a certification, contract, or license revoked by the department if the application is submitted within five years from the time of the revocation; (c) the provider does not complete the background check process within 60 calendar days of submitting the initial application; (d) the provider is not present for the site inspection; (e) the provider does not show compliance with rule and requirements within 60 calendar days of submitting the initial application; (f) the provider is found in noncompliance with any inspection by the required date outlined in Subsection R501-23-6(2); (g) there is another active department license or certification at the same address; or (h) the provider fails to cooperate with any inspection.						
(7) If OL does not issue a certification for a reason listed in Subsection (6), the provider may not reapply for certification for at least three months.						
R501-23-5. Initial and Renewal Certification and Certification Changes.	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
(1) To receive an initial OL DSPD certification, the provider must: (a) submit a completed DSPD certification application for each site needing certification; (b) submit, adhere to, and maintain the applicable residential or non-residential attestation agreement and self-assessment forms that may be found on the OL website; (c) ensure compliance with background checks as outlined in Section R501-23-8; (d) certify the provider understands and will comply with rule and contract requirements; (e) demonstrate compliance with this rule; and (f) schedule, participate, and successfully demonstrate compliance with an OL site inspection.						
(2) To receive a renewed DSPD certification, the provider must: (a) submit a renewal request in the licensing provider portal at least 30 days before the expiration date of the current certification; (b) participate in a site inspection; and (c) demonstrate compliance with each rule before the expiration date of the current certification.						

(3) For initial or renewal certification or a certification change, the provider shall: (a) notify OL of any change of email address, name, or telephone number when the change is made; and (b) submit a complete DSPD certification application for any change of site before the change is made.						
(4)(a) If the provider receives a department revocation notice, the provider shall: (i) notify the client and their legal guardian, if applicable, of the action within five calendar days of receiving the notice; and (ii) post the notice on the provider website and leave it posted for as long as the notice remains in effect. (b) If the department contract is terminated, any corresponding OL DSPD certifications are revoked and become inactive on the same date and may only be reinstated if the contract is reinstated or a new contract is approved.						
R501-23-6. Inspections and Investigations.	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
(1)(a) OL shall conduct a site inspection for each initial and renewal site certification. (b) OL may conduct a site investigation as needed to determine compliance or noncompliance with any rule or requirement.						
(2) When noncompliance to any rule or requirement is found during an OL site inspection or investigation, OL shall issue a written notice and notify the provider of the date that the provider is required to come into compliance with each requirement.						
(3) The provider and any staff shall ensure that the integrity of OL's information gathering process is not compromised by withholding or manipulating information or influencing any specific response of staff or clients to any department personnel.						
(4) The provider shall ensure department-authorized personnel have unrestricted access to: (a) any unaltered on and off-site provider or client records; (b) each site subject to certification; and (c) each staff member and client.						
R501-23-7. Administration.	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
(1) The provider shall (a) be at least 18 years old; and (b) know and comply with each applicable federal, state, and local law, ordinance, and administrative rule.						
(2) The provider: (a) shall accommodate each client's needs; (b) shall take reasonable measures to protect the safety of each client; and (c) may not engage in or allow conduct that endangers a client or is aversive to the health, safety, or welfare of a client.						
(3) The provider shall ensure compliance with every certification requirement, unless any deviation is approved in writing from the department.						
(4) The provider shall disclose any community-based services 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 human services program.						
R501-23-8. Background Checks.	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
(1) OBP shall conduct human services program background checks in accordance with Rule R501-14 and Section 26B-2-120.						
(2) The provider shall designate an individual who is responsible for: (a) ensuring each individual associated with the certification has an eligible background check determination before being unsupervised with a client; (b) ensuring each individual providing services or residing at the site has an application submitted in DACS within 14 days of becoming associated with the licensee; (c) documenting how each individual with direct access is directly supervised for the entirety of their supervised employment term before receiving the eligible determination from OBP; (e) initiating, monitoring, and maintaining background checks in DACS for each individual with direct access; (f) maintaining compliance with Rule R501-14; (g) managing communications with OBP and OL; (h) monitoring DACS and taking necessary actions when eligibility status changes for anyone associated with the certification; and (i) separating anyone in DACS within five calendar days when the individual: (i) is no longer associated with the certification; or (ii) has an ineligible determination status from OBP on a background check with no pending appeal.						
R501-23-9. Physical Site, Safety, and Injury Prevention.	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
(1) The provider shall ensure that any appliance, electrical, HVAC, and plumbing system is maintained in operating order.						

(2)(a) The provider shall maintain the site in a clean and safe manner that is free from hazards, excrement, grime, infestation, trash, and anything that could pose a risk to any client's health and safety. (b) The provider shall keep furnishings and finishes clean and in good repair. (c) The provider shall maintain the home, outdoor area, and equipment in a safe manner to prevent injury to a client.						
(3) The provider shall ensure: (a) any chemicals are stored in consideration of the safety and risk level of the clients served; (b) any set of three or more stairs is equipped with secured handrails; (c) each bathroom has at least: (i) a way to provide privacy to the user; (ii) a working tub or shower; and (iii) toilet paper and soap; (d) emergency numbers, including at least 911, are near the telephone or in an area clearly visible to anyone needing the information; (e) no animal that has a history of dangerous, attacking, or aggressive behavior is accessible to a client; (f) the proper handling, storage, and disposal of hazardous materials and bio-contaminants; (g) the site's street address number is visible from the street; (h) the water heater is maintained at a low setting and does not exceed 120 degrees Fahrenheit; (i) there are at least two ways of egress on each level of the site; (j) there is a working telephone on-site that is accessible to each client for emergency calls; and (k) when there is any firearm on the premises, that each firearm is not loaded and is in a cabinet, safe, or area that is locked with a key, combination, or fingerprint lock, unless the firearm's use is in accordance with Title 53, Chapter 5, Part 7, Concealed FirearmAct.						
(4) The residential support certification provider shall additionally ensure: (a) each client bedroom on the ground floor has a minimum of one window that may be used to evacuate the room if there is a fire; (b) each client bedroom that is not on the ground floor has a minimum of two exits, at least one of which shall exit directly to outside the building that may be used to evacuate the room if there is a fire; (c) there is a kitchen that is equipped with at least: (i) a working stove; (ii) a working sink; and (iii) a working refrigerator; (d) there is at least one toilet and hand washing sink that each client can easily access without going through the private room of any other individual; and (e) there is a working tub or shower for client access.						
R501-23-10. Client Guidance and Interaction.	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
(1)(a) The provider shall ensure each client is treated with dignity and respect and not subjected to any form of abuse, neglect, or exploitation while in care. (b) The provider shall follow the reporting requirements for the witnessing or suspicion of abuse, neglect, or exploitation.						
(2) The provider may not: (a) confine a client in any area or space including a closet, locked room, or other enclosure; (b) force or withhold food, medication, rest, or toileting; (c) inflict any form of abuse, neglect, or exploitation; (d) restrain a client's movement by binding, tying, or another form of restraint; (e) shout at or use any practice intended to intimidate or humiliate a client; (f) use any form of corporal punishment that produces pain or discomfort such as biting, hitting, pinching, shaking, or spanking; or (g) violate the department Code of Conduct and Client Rights as outlined in Rule R380-80.						
R501-23-11. Emergency Preparedness and Response.	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes
(1) The provider shall maintain a fully supplied first aid kit on-site and in any vehicle used to transport a client.						
(2) The provider shall have a working fire extinguisher type 2A:10B:C or of larger capacity on each floor of the site.						
(3) The provider shall ensure: (a) there is a working carbon monoxide monitor on each level of the site; and (b) there is a working smoke detector on each level of the site.						
(4) When a critical incident occurs under the direct responsibility and supervision of the provider, the provider shall: (a) submit a report of the critical incident to the DSPD online provider system within one business day of the critical incident occurrence; (b) ensure any incident of abuse, neglect, or exploitation of a client is made to the Division of Child and Family Services for a minor client or Adult Protective Services for an adult client and law enforcement as appropriate; (c) notify the parent or legal guardian of each involved client within a 24-hour period from the time of the incident; and (d) notify each department entity involved with the client's care, payment, or provider contract immediately.						
R501-23-12. Transportation.	C	NC	NA	Date to be corrected by	Corrected During Inspection	Notes

(1) While transporting a client, the provider shall ensure that individual safety restraints are utilized in accordance with Section 41-6a-1803.						
(2) The provider may not leave a client unattended in a vehicle.						