

 Utah Department of Health & Human Services Licensing & Background Checks		DSPD Certification Checklist				This tool is a preliminary inspection checklist designed to ensure consistency across all inspections. <i>(Revised Oct. 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		
Inspection Information:							
- These are initial observations and do not constitute a final inspection report. The Licensor will email you this inspection checklist after the inspection is completed if requested. An official inspection report will be sent to you once this inspection has been approved by OL management.							
Inspection Type:		Date:		Time Started On-site:		Time Ended On-site:	
Number of Items Under Review:			Name of Individual Informed of this Inspection:				
Licensor(s) Conducting this Inspection:				OL Staff Observing Inspection:			

Residential Support and Day Support Certification - Inspection Checklist
(Revised Oct. 2025)

R = Reviewed.
UR = Under Review. Under Review indicates evidence of potential noncompliance.
NA = Not Assessed during this inspection.

R501-23-4 Certification Required.	R	UR	NA	Corrected During Inspection	Technical Assistance Given	Notes
R501-23-4(1) OL DSPD certification is required for a provider to enter into a department contract to provide residential or day support certification services.	☐	☐	☐	☐	☐	
R501-23-4(2)(a) For a site-based OL DSPD 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.	☐	☐	☐	☐	☐	
R501-23-4(3)(a) An OL DSPD certification is for the provider and is specific only to an approved site. (b) An OL DSPD certification is not assignable or transferable. (c) An OL DSPD certification is required for each provider and for each site.	☐	☐	☐	☐	☐	
R501-23-5 Initial and Renewal Certification and Certification Changes.	R	UR	NA	Corrected During Inspection	Technical Assistance Given	Notes
R501-23-5(1) To receive an OL DSPD certification, the provider must: (b) submit and maintain the applicable residential or non-residential attestation agreement and self-assessment forms	☐	☐	☐	☐	☐	
R501-23-5(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 OL DSPD certification;	☐	☐	☐	☐	☐	
R501-23-5(3) For any OL DSPD certification or 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 OL DSPD certification application for any change of site before the change is made.	☐	☐	☐	☐	☐	
R501-23-6 Program or Facility Changes.	R	UR	NA	Corrected During Inspection	Technical Assistance Given	Notes
R501-23-6(1) An OL DSPD certificate holder shall submit a complete program change application to amend an existing OL DSPD certification at least 30 days before: (a) an increase or decrease of capacity, including any change to the amount of space used to provide services; (b) a change in the name of the program or facility; or (d) a change that transfers less than 50% ownership or controlling interest to a new owner.	☐	☐	☐	☐	☐	
R501-23-6(2) A provider may proceed with a change or make the change public after the office approves the change.	☐	☐	☐	☐	☐	
R501-23-6(3) A provider shall submit a complete office application for a new OL DSPD certification at least 30 days before any: (a) change of location; (b) change in the population served; (c) change in the regulation type of the program or facility; or (e) change that transfers 50% or more ownership or controlling interest to a new owner.	☐	☐	☐	☐	☐	
R501-23-6(4)(a) For a change that requires a new OL DSPD certificate, the provider may not serve any new client until OL issues a new OL DSPD certificate. (b) Until a new OL DSPD certificate is issued, the previous OL DSPD certificate's status continues.	☐	☐	☐	☐	☐	
R501-23-7 Inspections and Investigations.	R	UR	NA	Corrected During Inspection	Technical Assistance Given	Notes
R501-23-7(3) The provider and any staff shall cooperate with OL and refrain from withholding or manipulating information or influencing or interfering with any specific response of staff or a client to any department personnel.	☐	☐	☐	☐	☐	

R501-23-7(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 area of each site subject to OL DSPD certification; and (c) each staff member and client.	☐	☐	☐	☐	☐	
R501-23-8 Administration.	R	UR	NA	Corrected During Inspection	Technical Assistance Given	Notes
R501-23-8(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 rule.	☐	☐	☐	☐	☐	
R501-23-8(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.	☐	☐	☐	☐	☐	
R501-23-8(3) The provider shall ensure compliance with each OL DSPD certification requirement, unless the department approves a deviation in writing.	☐	☐	☐	☐	☐	
R501-23-8(4) The provider shall disclose any community-based services and ensure that community-based services are provided safely and in consideration of emergencies, transportation, weather, and overall client needs for food, medicine, and any other assistance necessary for safe participation in the human services program.	☐	☐	☐	☐	☐	
R501-23-9 Background Checks.	R	UR	NA	Corrected During Inspection	Technical Assistance Given	Notes
R501-23-9(2) The provider shall designate an individual who is responsible for: (a) ensuring each individual associated with the OL DSPD certification has an eligible background check determination before being unsupervised with a client; (b) ensuring each individual providing services 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 the individual's supervised employment term before receiving the eligible determination from OBP; (d) initiating, monitoring, and maintaining background checks in DACS for each individual with direct access; (g) monitoring DACS and taking necessary actions when eligibility status changes for anyone associated with the OL DSPD certification;	☐	☐	☐	☐	☐	
R501-23-10 Physical Site, Safety, and Injury Prevention.	R	UR	NA	Corrected During Inspection	Technical Assistance Given	Notes
R501-23-10(1) The provider shall ensure that any appliance and electrical, HVAC, and plumbing system is maintained in operating order.	☐	☐	☐	☐	☐	
R501-23-10(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 a 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.	☐	☐	☐	☐	☐	
R501-23-10(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; and (iii) toilet paper and soap; (d) emergency numbers, including 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 any emergency call; 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 the Concealed Firearm Act.	☐	☐	☐	☐	☐	

R501-23-10(4) The residential support certification provider shall ensure: (a) each client bedroom on the ground level has a minimum of one window that may be used as egress if there is a fire; (b) each client bedroom that is not on the ground level has a minimum of two exits, at least one of which shall exit directly to outside of the building that may be used as egress 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(5) The provider shall document any deviation from this section as a result of client choice in the person-centered support plan.	☐	☐	☐	☐	☐	
R501-23-11 Client Guidance and Interaction.	R	UR	NA	Corrected During Inspection	Technical Assistance Given	Notes
R501-23-11(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 if the provider witnesses or suspects abuse, neglect, or exploitation	☐	☐	☐	☐	☐	
R501-23-11(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, medications, 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, unless used as an emergency intervention or with a documented human rights restriction; (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 Rule R380-80.	☐	☐	☐	☐	☐	
R501-23-12 Emergency Preparedness and Response.	R	UR	NA	Corrected During Inspection	Technical Assistance Given	Notes
R501-23-12(1) The provider shall maintain a first aid kit on site and in each vehicle used to transport a client.	☐	☐	☐	☐	☐	
R501-23-12(2) The provider shall have a working fire extinguisher type 2A:10B:C or of larger capacity on each level of the site.	☐	☐	☐	☐	☐	
R501-23-12(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.	☐	☐	☐	☐	☐	
R501-23-12(4) If a critical incident occurs under the direct responsibility and supervision of the provider, the provider shall: (a) initiate a report of the incident to the DSPD online provider system within one business day of the incident; (b) ensure any incident of abuse, neglect, or exploitation of a client is made known 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.	☐	☐	☐	☐	☐	