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| UTAH DEPARTMENT OF HEALTH AND HUMAN SERVICES DIVISION OF SERVICES FOR PEOPLE WITH DISABILITIES POLICY AND PROCEDURES | | |
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| UPDATING AND REPORTING WAITING LIST INFORMATION | | |
| <p>RATIONALE: The intent of this policy is to establish a standard for updating the division waiting list to maintain accurate and up to date NAQ scores.</p> <p>Authorizing Code: 26B-6-403 Rule: NA Forms: Needs Assessment Questionnaire; Waiting List Survey.</p> | | |
| Original Effective: NA | Revision: 3/6/2026 | Next Review Due: 3/1/2030 |

I. DESCRIPTION

In order to maintain accurate information about the waiting list, the division annually updates the Needs Assessment Questionnaire for each Person on the waiting list and conducts the Waiting List Survey to determine their ongoing interest in remaining on the waiting list.

II. DEFINITIONS

The following terms are defined for this policy as:

- A. Caseworker:** for this policy means division staff who provide assistance with intake, eligibility, waiting list updates, and waiting list services; and are certified by the division as a Qualified Intellectual Disability Professional (QIDP), or are supervised by a QIDP.
- B. NAQ/WL Survey Tracking Google Doc:** means the tracking sheet used by case workers to record annual updates to the NAQ and survey.
- C. Needs Assessment Questionnaire (NAQ):** means a standardized set of questions used to determine level of need for services.
- D. Utah System for Tracking Eligibility, Planning, and Services (USTEPS):** means the secure, web-based case management system used by the division to track eligibility, manage individualized support plans, and monitor service data for Persons in services with the division.
- E. Waiting List Survey (survey):** means a set of questions used to determine a Person’s ongoing interest in remaining on the waiting list.

III. POLICY

- A. The division's Office of Service Entry shall maintain current information to support accurate placement on the waiting list.
 - 1. Caseworkers shall update the NAQ at least annually.
 - 2. Caseworkers shall confirm a Person's interest in remaining on the waiting list by conducting the survey at least annually.

IV. PROCEDURE

- A. The division shall conduct annual updates to the waiting list.
 - 1. On or around the beginning of each calendar year, caseworkers shall begin updating the NAQ and conducting the survey.
 - 2. Updates shall continue throughout the calendar year.
 - 3. The caseload for each caseworker shall be distributed evenly for each month of the year to assure they remain on track to complete the NAQ update and survey for their caseload.
- B. Caseworkers shall contact each Person they are assigned, or their family, during the same month as the preceding year, to update the NAQ and survey in USTEPS.
- C. The caseworker shall check for and address any translation needs by:
 - 1. assigning a division employed Spanish-speaking caseworker for Spanish-speaking families; or
 - 2. using a DHHS contracted translator for any family with a translation need for a language other than Spanish.
- D. The caseworker shall attempt to contact the Person or their family at least three times using each of the following methods of contact, including:
 - 1. phone;
 - 2. postal service; and
 - 3. e-mail.
- E. After a caseworker has made three unsuccessful attempts to contact the Person or their family, the caseworker shall:
 - 1. send a Notice of Agency Action (NAA); and
 - 2. complete the survey to move the Person to "Episode Closed" status 10 days after the NAA was sent, as described in Policy 1.11 "Notice of Agency Action and Hearing Rights."
- F. If a Person or their family calls the intake line, any caseworker staffing the intake line shall check log notes for a recent record of issues with completing an outstanding survey.
 - 1. The caseworker shall complete the NAQ and survey over the phone with the Person or their family.
 - 2. The caseworker may not transfer the Person or their family to the assigned waitlist worker unless asked to do so, or if there is need for translation services.
- G. Completed NAQs and surveys shall be documented in the NAQ/WL Survey Tracking Google Doc and in the USTEPS report portal.
 - 1. The waiting list manager shall export a report.
 - 2. The report may be exorted from the USTEPS Report Portal -> Intake and Waiting List -> Waiting List Breakdown by Worker.
- H. A NAQ may be updated at any time by the Person or family. If the survey is also ready for an annual update, the caseworker shall complete the survey at the same time.

- I. If the Person or guardian, when applicable, asks to be removed from the waiting list, division staff may not complete the NAQ but shall instead skip this step and:
 1. send a Notice of Agency Action (NAA); and
 2. complete the survey to move the Person to "Episode Closed" status 10 days after the NAA was sent, as described in Policy 1.11 "Notice of Agency Action and Hearing Rights."