



# Administration and Management (PA-AM)

## 2026 Updates for Public Agencies

### Purpose

Through sound administration and effective management, the agency achieves its mission and strategic goals; assures appropriate use of public resources for the public good; and remains responsive to the needs of the communities it serves.

### Introduction

COA's Administration and Management standards outline the responsibilities of agency leadership to foster a culture of transparency, accountability, and community responsiveness; provide oversight of operations; and promote program and operational improvements. The responsibilities set forth in the standards represent the multi-faceted functions the leadership of a public agency assumes in cooperation with relevant stakeholders.

**Note:** Please see [PA-AM Reference List](#) for the research that informed the development of these standards.

**Note:** ~~For information about changes made in the 2020 Edition, please see the [PA-AM Crosswalk](#). See also [ETH Public Crosswalk for Ethical Practice standards that are now found in PA-AM](#).~~

## PA-AM 1: Agency Mission

The agency's mission:

- a. is responsive to the needs of the communities it serves;
- b. guides the agency's strategic direction, administrative operations, and delivery of services/service delivery; and
- c. serves as a benchmark of organizational agency effectiveness.

**NA** State-administered agency regional office

**Interpretation:** Regarding element a, COA recognizes that an agency's mission may be established in statute, and its parameters framed by budget authorization.

Table of Evidence		
Standard Code	Evidence Type	Description
PA-AM 1	On-Site Activities	<p><b>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</b></p> <ul style="list-style-type: none"> <li>Interviews may include: <ul style="list-style-type: none"> <li><u>1.</u> Agency leadership</li> <li><del>4.</del><u>2.</u> <u>Agency personnel across both direct service and administrative or support functions</u></li> <li><del>2.</del> Agency field personnel</li> <li>3. Contracted providers</li> </ul> </li> </ul> <p><b>State Administered Agency (Regional Office)</b></p> <ul style="list-style-type: none"> <li>Evaluated at Central Office only</li> </ul>
PA-AM 1	Self-Study	<p><b>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</b></p> <ul style="list-style-type: none"> <li>See agency mission statement provided during application</li> </ul> <p><b>State Administered Agency (Regional Office)</b></p> <ul style="list-style-type: none"> <li>Evaluated at Central Office Only</li> </ul>

Rating Indicators	
Rating	
1	<p><b>Full Implementation, Outstanding Performance</b></p> <p>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity. -</p>

Rating Indicators	
Rating	
	<del>All elements or requirements outlined in the standard are evident in practice, with rare or no exceptions; exceptions do not impact service quality or agency performance.</del>
2	<p><b>Substantial Implementation, Good Performance</b>  A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; <u>e.g.,-</u></p> <ul style="list-style-type: none"> <li><del>• The majority of the standards requirements have been met and the basic framework required by the standard has been implemented.</del></li> <li><del>• Minor inconsistencies and not yet fully developed practices are noted; however, these do not significantly impact service quality or agency performance.</del></li> <li>• <u>The mission is being used to drive decision making across the agency, but the role of the mission in driving performance or quality improvement could be stronger; or</u></li> <li>• <u>Integration of the mission with strategic planning is happening but inconsistent.</u></li> </ul>
3	<p><b>Partial Implementation, Concerning Performance</b>  A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; <u>e.g.,-</u></p> <ul style="list-style-type: none"> <li><del>• The agency has not implemented the basic framework of the standard but instead has in place only part of this framework.</del></li> <li><del>• Omissions or exceptions to the practices outlined in the standard occur regularly, or practices are implemented in a cursory or haphazard manner.</del></li> <li><del>• Service quality or agency functioning may be compromised.</del></li> <li><del>• Capacity is at a basic level.</del></li> <li>• <u>The agency's mission statement is not actively used to guide strategy or assess effectiveness.</u></li> </ul>
4	<p><b>Unsatisfactory Implementation or Performance</b>  A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all.- <del>The agency's observed administration and management infrastructure and practices are weak or non-existent; or show signs of neglect, stagnation, or deterioration.</del></p>

## PA-AM 2: Strategic and Annual Planning

The agency engages in an inclusive strategic planning process and annually conducts short-term planning in support of its mission and goals.

<u>Table of Evidence</u>		
<u>Standard Code</u>	<u>Evidence Type</u>	<u>Description</u>
<u>PA-AM 2</u>	<u>On-Site Activities</u>	<p><b><u>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</u></b></p> <ul style="list-style-type: none"> <li>• <u>Interviews may include:</u> <ol style="list-style-type: none"> <li><u>1. Agency leadership</u></li> <li><u>2. Agency personnel across both direct service and administrative or support functions</u></li> <li><u>3. Community stakeholders</u></li> </ol> </li> </ul> <p><b><u>State Administered Agency (Regional Office)</u></b></p> <ul style="list-style-type: none"> <li>• <u>Interviews may include:</u> <ol style="list-style-type: none"> <li><u>1. Regional director</u></li> <li><u>2. Agency personnel across both direct service and administrative or support functions</u></li> <li><u>3. Community stakeholders</u></li> </ol> </li> </ul>
<u>PA-AM 2</u>	<u>On-Site Evidence</u>	<p><b><u>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</u></b></p> <ul style="list-style-type: none"> <li>• <u>Meeting schedules, agendas, and minutes from the current year for strategic plan monitoring, progress reporting, and annual planning</u></li> <li>• <u>Prior years' annual plan(s) upon request of the peer review team</u></li> </ul> <p><b><u>State Administered Agency (Central/Regional Office)</u></b></p> <ul style="list-style-type: none"> <li>• <u>Meeting schedules, agendas, and minutes from the current year for strategic plan monitoring, progress reporting, and annual planning</u></li> </ul>

		<ul style="list-style-type: none"> <li>• <u>Prior years' annual plan(s) upon request of the peer review team</u></li> </ul>
<u>PA-AM 2</u>	<u>Self-Study</u>	<p><b><u>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</u></b></p> <ul style="list-style-type: none"> <li>• <u>Strategic and annual planning procedures</u></li> <li>• <u>Strategic plan (Child and Family Services Plan for state-administered child and family serving systems)</u></li> <li>• <u>Current annual plan(s)</u></li> </ul> <p><b><u>State Administered Agency (Regional Office)</u></b></p> <ul style="list-style-type: none"> <li>• <u>Strategic and annual planning procedures</u></li> <li>• <u>Strategic plan</u></li> <li>• <u>Current annual plan</u></li> </ul>

### **Rating Indicators**

<b><u>Rating</u></b>	
<u>1</u>	<p><b><u>Full Implementation, Outstanding Performance</u></b>  <u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity, as indicated by full implementation of the practices outlined in the PA-AM 2 Practice standards.</u></p>
<u>2</u>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement, as noted in the ratings for the PA-AM 2 Practice standards.</u></p>
<u>3</u>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement, as noted in the ratings for the PA-AM 2 Practice standards.</u></p>

<u>Rating Indicators</u>	
<u>Rating</u>	
<u>4</u>	<p><b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all, as noted in the ratings for the PA-AM 2 Practice standards.</u></p>

**FPPA-AM 2.013.02**

Leadership involves personnel across positions and departments in long-term strategic planning at least every ~~four to~~ five years that includes:

- a. reviewing detailed performance data, including identifying and responding to disparities in outcomes among different service population groups;
- ~~a. a review of the agency's mission, values, mandates, and strategic direction;~~
- ~~b. a review of the demographics of its defined service populations;~~
- ~~c. b. an assessment of the previous long-term planning cycle, including current an assessing internal strengths and areas for opportunity;~~
- ~~d. c. setting realistic, measurable goals and objectives that support fulfillment of its mission and, mandated responsibilities, and quality improvement priorities; and~~
- ~~e. d. identifying strategies for meeting identified goals, including the need to redirect resources and eliminate or expand services to respond to changing community demographics and the needs of persons served.~~

**Examples:** *To enhance its review, the agency can draw upon the findings of other external needs assessments, such as those conducted by the United Way, municipal planning boards, universities, or other agencies with a community-wide focus. Child and family-serving agencies may also refer to KidsCount, SACWIS, AFCARS, and NCANDS data; legislative study committee reports; and/or public health reports.*

<u>Rating Indicators</u>	
<u>Rating</u>	
<u>1</u>	<p><b><u>Full Implementation, Outstanding Performance</u></b>  <u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u></p>

<b>Rating Indicators</b>	
<b>Rating</b>	
<u>2</u>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>One of the standard's elements is not fully implemented.</u></li> </ul>
<u>3</u>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>Strategic planning has not been done in more than five years; or</u></li> <li>• <u>One of the standard's elements is not addressed at all; or</u></li> <li>• <u>Two of the standard's elements are not fully implemented.</u></li> </ul>
<u>4</u>	<p><b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>Strategic planning has not been done in more than six years; or</u></li> <li>• <u>The strategic plan is wholly inadequate or nonexistent.</u></li> </ul>

### **FPA-AM 2.023-03**

The agency ~~develops and implements the strategic plan~~ develops and implements the strategic plan ~~an annual plan that integrates the priorities and objectives of each of its departments and programs, and by:~~

- a. regularly monitoring and evaluating progress towards strategic goals;
- b. adapting the strategic plan as necessary to remain aligned with evolving needs and priorities;
- c. developing an annual plan that operationalizes the goals and objectives of the strategic plan for each of its departments and programs; and
- a. ~~maintaining clear and ongoing communication with staff regarding progress is staff driven;~~
- b. ~~operationalizes the agency's long-term strategic plan;~~
- c. ~~reflects changing conditions and needs, such as resource allocation, funding and regulatory changes; and~~
- d. ~~responds to information from PQI activities.~~

**Interpretation:** State-administered agencies may develop one annual plan but should be able to demonstrate regional level planning activities and feedback.

**Examples:** Annual plans can also incorporate other regular planning processes, including:

- a. HR planning;
- b. evaluation of training needs;
- c. budget planning; and
- d. ~~technology and information management assessments; and~~
- e-d. the annual PQI report.

**Related Standards:** PA-PDS 1.01, ~~PA-FIN 2,~~ PA-FIN 2.01, PA-HR 1,

<u>Rating Indicators</u>	
<u>Rating</u>	
<u>1</u>	<p><b><u>Full Implementation, Outstanding Performance</u></b>  <u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u></p>
<u>2</u>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>Departmental priorities and objectives could be better defined; or</u></li> <li>• <u>While department and program plans are not integrated into an agency-wide annual plan, all but one or two departments or programs have developed their own comprehensive annual plan.</u></li> </ul>
<u>3</u>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>Several departments or programs are not included in the most recent annual plan and have not developed their own annual plan; or</u></li> <li>• <u>One of the standard's elements is not addressed at all; or</u></li> <li>• <u>An agency seeking reaccreditation has not completed an annual plan in one or more of the intervening years.</u></li> </ul>
<u>4</u>	<p><b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all.</u></p>

## PA-AM 23: Implementing Agency-Wide Change

The agency ensures effective implementation of agency-wide initiatives through sound leadership and strategic management of the change process that fosters support and emphasizes sustainability.

NA State-administered agency regional office

Table of Evidence		
Standard Code	Evidence Type	Description
PA-AM 23	On-Site Activities	<p><b>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</b></p> <ul style="list-style-type: none"> <li>Interviews may include:               <ol style="list-style-type: none"> <li>Agency leadership</li> <li>Community stakeholders</li> <li>Agency <del>field</del> personnel <u>across both direct service and administrative or support functions</u></li> <li>Contracted providers</li> </ol> </li> </ul> <p><b>State Administered Agency (Regional Office)</b></p> <ul style="list-style-type: none"> <li><i>Evaluated at the Central Office only</i></li> </ul>
PA-AM 23	On-Site Evidence	<p><b>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</b></p> <ul style="list-style-type: none"> <li>Documentation of collaboration with stakeholders</li> </ul> <p><b>State Administered Agency (Regional Office)</b></p> <ul style="list-style-type: none"> <li><i>Evaluated at the Central Office only</i></li> </ul>
PA-AM 23	Self-Study	<p><b>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</b></p> <ul style="list-style-type: none"> <li>For the most recent agency-wide initiative:               <ol style="list-style-type: none"> <li>Project vision</li> </ol> </li> </ul>

Table of Evidence		
Standard Code	Evidence Type	Description
		<ol style="list-style-type: none"> <li>2. Completed readiness assessment</li> <li>3. Implementation plan</li> <li>4. Evidence of actions taken to support plan implementation (e.g. meeting minutes, updated policy/procedures, reports, etc.)</li> </ol> <p><b>State Administered Agency (Regional Office)</b></p> <ul style="list-style-type: none"> <li>• <i>Evaluated at the Central Office only</i></li> </ul>

Rating Indicators	
Rating	
1	<p><b>Full Implementation, Outstanding Performance</b></p> <p>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity, <u>as indicated by full implementation of the practices outlined in the PA-AM 3 Practice standards.</u> <del>All elements or requirements outlined in the standard are evident in practice, with rare or no exceptions: exceptions do not impact service quality or agency performan</del></p>
2	<p><b>Substantial Implementation, Good Performance</b></p> <p>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement, <u>as noted in the ratings for the PA-AM 23 Practice standards.</u></p> <p><del>The majority of the standards requirements have been met and the basic framework required by the standard has been implemented.</del></p> <p><del>Minor inconsistencies and not yet fully developed practices are noted; however, these do not significantly impact service quality or agency performance.</del></p>
3	<p><b>Partial Implementation, Concerning Performance</b></p> <p>A rating of (3) indicates that the agency's observed infrastructure and/or practices</p>

Rating Indicators	
Rating	
	<p>require significant improvement, <u>as noted in the ratings for the PA-AM 3 Practice standards</u>.</p> <p><del>The agency has not implemented the basic framework of the standard but instead has in place only part of this framework.—</del></p> <p><del>Omissions or exceptions to the practices outlined in the standard occur regularly, or practices are implemented in a cursory or haphazard manner.—</del></p> <p><del>Service quality or agency functioning may be compromised.—</del></p> <p><del>Capacity is at a basic level.</del></p>
4	<p><b>Unsatisfactory Implementation or Performance</b></p> <p>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all, <u>as noted in the ratings for the PA-AM 3 Practice standards</u>.</p> <p><del>The agency's observed administration and management infrastructure and practices are weak or non-existent; or show signs of neglect, stagnation, or deterioration.</del></p>

## PA-AM 23.01

Prior to initiating an agency-wide initiative, agency leadership:

- a. identifies the needed change or identifies the purpose of a mandated change;
- b. works with staff and persons served, as well as other relevant stakeholders, to establish a shared project vision that aligns with the agencies core values; and
- c. assesses the agency's readiness and capacity for change including strengths, needs, and available resources at the system, organizational, and personnel level.

**Examples:** *The readiness assessment may include an assessment of:*

- a. *the sociopolitical climate;*
- b. *available funding;*
- c. *organizational culture and climate;*
- e.d. *administrative resources and processes (e.g. computer systems);*
- d.e. \_\_\_\_\_ *policy and procedure alignment with the desired change;*
- e.f. *communication mechanisms for knowledge and information sharing; and*

f.g. the knowledgebase, attitude, and workload of staff who will be responsible for carrying out the change.

**Examples:** Relevant stakeholders can include, but are not limited to: staff at all levels, individuals and families served, community-based providers, contracted providers when applicable, and universities.

<b>Rating Indicators</b>	
<b>Rating</b>	
<u>1</u>	<p><b><u>Full Implementation, Outstanding Performance</u></b>  <u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u></p>
<u>2</u>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>Leadership follows a structured approach to initiating change initiatives, but one of the standards elements is not fully implemented (e.g., minor gaps exist in consistency, depth, or documentation.)</u></li> </ul>
<u>3</u>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>One of the standard's elements is not addressed at all.</u></li> </ul>
<u>4</u>	<p><b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all.</u></p>

## **PA-AM 23.02**

An assessment-based implementation plan promotes the sustainability of the initiative by:

- identifying financial, organizational, and human resource needs;
- establishing communication protocols for ongoing, two-way communication;
- developing, revising, or implementing policies and procedures in accordance with new ways of doing work;

- d. updating human resources and personnel development and supervision practices to reflect the attitude, knowledge, and skill set needed to effectively implement new practices with fidelity; and
- e. outlining ongoing implementation monitoring activities.

**Examples:** *Examples of methods for identifying needed resources include, but are not limited to, making recommendations to oversight entities regarding resource allocation; collecting and regularly reporting barriers to successful implementation to oversight entities; and developing partnerships with external stakeholders who can help to advance the agency's implementation goals by advocating on its behalf with the community, funders, and other entities as needed.*

<b>Rating Indicators</b>	
<b>Rating</b>	
<u>1</u>	<p><b><u>Full Implementation, Outstanding Performance</u></b>  <u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u></p>
<u>2</u>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>One of the standard's elements is not fully implemented.</u></li> </ul>
<u>3</u>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>One of the standard's elements is not addressed at all, and gaps limit the agency's ability to implement new practices with fidelity over time.</u></li> </ul>
<u>4</u>	<p><b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all.</u></p>

## **PA-AM 34: Agency Leadership**

The agency establishes and sustains a high-functioning executive team that provides cohesive Agency leadership, oversees operations, and sets the direction of the agency, and fosters effective decision-making through the following activities:

- a. developing, implementing, and evaluating policy;

~~b. providing financial oversight;~~

~~a.c. interfacing with other government and oversight entities long-term and annual planning;  
and~~

~~1. developing, implementing, and evaluating policy;~~

~~b.d. succession planning and leadership development;~~

~~c.e. providing financial oversight; and~~

~~d.f. interfacing with other government entities and oversight entities.~~

**Interpretation:** ~~The individual or entity (i.e. office, unit, committee, etc.) responsible for carrying out each of the functions in this section can vary depending on the agency's size and administrative structure. Agencies should establish for themselves a consistent definition for "agency leadership" and identify the applicable parties responsible for carrying out the responsibilities outlined in this section. The executive team provides cohesive leadership, but who carries out specific functions may vary by agency size and structure. Each agency should define the role of its executive team and document how responsibilities are delegated and coordinated.~~

Table of Evidence		
Standard Code	Evidence Type	Description
PA-AM <del>34</del>	On-Site Activities	<p><b>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</b></p> <ul style="list-style-type: none"><li>Interviews may include:<ol style="list-style-type: none"><li>Agency leadership</li><li>Policy development or legal/regulatory/compliance personnel</li><li><u>Agency personnel across both direct service and administrative or support functions</u></li><li><del>Operations/program field personnel</del></li><li>Community stakeholders</li></ol></li></ul> <p><b>State Administered Agency (Regional Office)</b></p> <ul style="list-style-type: none"><li>Interviews may include:<ol style="list-style-type: none"><li>Regional director</li><li><u>Agency personnel across both direct service and administrative or support functions</u></li></ol></li></ul>

		<p><del>2. Program field personnel</del></p> <p>3. Community stakeholders</p>
PA-AM <del>34</del>	On-Site Evidence	<p><b>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</b></p> <ul style="list-style-type: none"> <li>• <u>Executive team meeting schedules, agendas, and minutes from the current year</u></li> <li>• <del>Meeting schedules, agendas, and minutes from the current year for annual planning</del></li> <li>• Policy drafts with comments from senior staff</li> <li>• Documentation of policy release and implementation (memos, training content, etc.)</li> <li>• Agency leadership testimony at budget hearings</li> <li>• Copies of relevant reports</li> </ul> <p><b>State Administered Agency (Central Office)</b></p> <ul style="list-style-type: none"> <li>• <u>Executive team meeting schedules, agendas, and minutes from the current year</u></li> <li>• <del>Meeting schedules, agendas, and minutes from the current year for annual planning</del></li> </ul>
PA-AM <del>34</del>	Self-Study	<p><b>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</b></p> <ul style="list-style-type: none"> <li>• Manual or procedures detailing communication protocols and reporting information</li> <li>• Summary of task forces/committees, including responsibilities</li> <li>• <del>Long term and annual planning procedures</del></li> <li>• <del>Long term plan (Child and Family Services Plan for state administered child and family serving systems)</del></li> <li>• <del>Annual Plan(s)</del></li> </ul>

		<ul style="list-style-type: none"> <li>• Procedures for policy development, implementation and evaluation</li> <li>• Agency leadership: <ul style="list-style-type: none"> <li>○ Job description(s)</li> <li>○ Resumes or curricula vitae</li> </ul> </li> <li>• <del>Succession planning procedures</del></li> <li>• Succession plan</li> <li>• <u>Values-based Equity</u> statement</li> </ul> <p><b>State Administered Agency (Regional Office)</b></p> <ul style="list-style-type: none"> <li>• If applicable, summary of regional task forces/committees, including responsibilities</li> <li>• Documentation of policy implementation (memos, training content, etc.)</li> <li>• Regional director: <ul style="list-style-type: none"> <li>○ Job description</li> <li>○ Resumé or curriculum vitae</li> </ul> </li> </ul>
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Rating Indicators	
Rating	
1	<p><b>Full Implementation, Outstanding Performance</b></p> <p>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity, <u>as indicated by full implementation of the practices outlined in the PA-AM 4 Practice standards.</u></p> <p><del>All elements or requirements outlined in the standard are evident in practice, with rare or no exceptions: exceptions do not impact service quality or agency performance.</del></p>
2	<ul style="list-style-type: none"> <li>• <b>Substantial Implementation, Good Performance</b></li> </ul> <p>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement, <u>as noted in the ratings for the PA-AM 4 Practice standards.</u> <del>The majority of the standards requirements</del></p>

Rating Indicators	
Rating	
	<p><del>have been met and the basic framework required by the standard has been implemented.</del></p> <ul style="list-style-type: none"> <li><del>Minor inconsistencies and not yet fully developed practices are noted; however, these do not significantly impact service quality or agency performance.</del></li> </ul>
3	<p><del>Partial Implementation, Concerning Performance</del></p> <p>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement, <u>as noted in the ratings for the PA-AM 4 Practice standards.</u> <del>The agency has not implemented the basic framework of the standard but instead has in place only part of this framework.</del></p> <p><del>Omissions or exceptions to the practices outlined in the standard occur regularly, or practices are implemented in a cursory or haphazard manner. Service quality or agency functioning may be compromised. Capacity is at a basic level.</del></p>
4	<p><b>Unsatisfactory Implementation or Performance</b></p> <p>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all, <u>as noted in the ratings for the PA-AM 4 Practice standards.</u></p> <p><del>The agency's observed administration and management infrastructure and practices are weak or non-existent; or show signs of neglect, stagnation, or deterioration</del></p>

## PA-AM 34.01

The agency establishes the following in an accessible, written format:

- communication protocols and reporting information for major functions/operations; and
- other structures or processes for implementing leadership responsibilities, including establishing task forces/committees.

Example: Communication protocols, reporting information, and other structures or processes for implementing leadership responsibilities may include, but are not limited to:

- cross-departmental communications procedures;
- meeting protocols;
- communication related to policy or procedural updates;

- d. executive communication chains;
- e. decision-making matrices; and
- a-f. role clarity documents.

<b>Rating Indicators</b>	
<b>Rating</b>	
<u>1</u>	<p><b><u>Full Implementation, Outstanding Performance</u></b>  <u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u></p>
<u>2</u>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>Communication protocols, reporting information, and leadership structures and processes are documented, but one of the standard's elements is not fully implemented.</u></li> </ul>
<u>3</u>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>One or more of the standard's elements are not addressed at all.</u></li> </ul>
<u>4</u>	<ul style="list-style-type: none"> <li>• <b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all.</u></li> </ul>

### **FP**PA-AM 3.02

~~Leadership involves personnel across positions and departments in long-term planning every four to five years that includes:~~

- ~~a. a review of the agency's mission, values, mandates, and strategic direction;~~
- ~~b. a review of the demographics of its defined service populations;~~
- ~~c. an assessment of the previous long-term planning cycle, including current strengths and areas for opportunity;~~
- ~~d. measurable goals and objectives that support fulfillment of its mission, mandated responsibilities, and quality~~
- ~~e. improvement priorities; and~~
- ~~f. strategies for meeting identified goals.~~

~~**Examples:** To enhance its review, the agency can draw upon the findings of other external needs assessments, such as those conducted by the United Way, municipal planning boards, universities, or other agencies with a community-wide focus. Child and family serving agencies may also refer to KidsCount, SACWIS, AFCARS, and NCANDS data; legislative study committee reports; and/or public health reports.~~

### ~~FP~~ **PA-AM 3.03**

~~The agency develops and implements an annual plan that integrates the priorities and objectives of each of its departments and~~

- ~~a. programs, and;~~
- ~~b. is staff driven;~~
- ~~c. operationalizes the agency's long-term strategic plan;~~
- ~~d. reflects changing conditions and needs, such as resource allocation, funding and regulatory changes; and~~
- ~~e. responds to information from PQI activities.~~

### ~~FP~~ **PA-AM 34.024**

~~Leadership's policy development, implementation, and evaluation responsibilities include:~~

- ~~a. establishing, reviewing, and revising policy;~~
- ~~b. ensuring that recommendations from various stakeholder groups, including direct service staff and their supervisors, are communicated back to those responsible for establishing or revising policy;~~
- ~~b.c. analyzing and adopting any changes to policies resulting from recommendations from various stakeholder groups;~~
- ~~e.d. providing clear, timely, and thorough communications when policies are established or revised;~~
- ~~d.e. ensuring front line supervisors have the information and support needed to guide staff on implementing policies; and~~
- ~~1. providing feedback to those establishing policy on recommendations from various stakeholder groups, including front line staff and their supervisors; and~~
- ~~e.f. evaluating the costs and benefits of implementing policies for persons served consumers and for the agency.~~

<b>Rating Indicators</b>	
<b>Rating</b>	
<b>1</b>	<p><b><u>Full Implementation, Outstanding Performance</u></b>  <u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u></p>
<b>2</b>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>One of the standard's elements is not fully implemented.</u></li> </ul>
<b>3</b>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>One of the standard's elements is not addressed at all; or</u></li> <li>• <u>Stakeholder input is not routinely solicited or incorporated; or</u></li> <li>• <u>Policies may be established with little to no communication; or</u></li> <li>• <u>Supervisors do not get the information they need to support frontline staff in implementation; or</u></li> <li>• <u>The agency does not routinely conduct cost-benefit analyses of new policies.</u></li> </ul>
<b>4</b>	<p><b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all.</u></p>

### **FP PA-AM 34.035**

Agency leadership's financial oversight responsibilities include:

- a. setting resource development targets and goals, as reflected in federal, state, and county budgets and/or consolidated plans; and
- b. working with the legislature, legislative committees, and other relevant public entities to advocate for adequate and timely flow of resources to implement the agency's strategic planning and budgeting decisions.

**Interpretation:** *This standard should be interpreted based on the agency's structure and its role in the budget development process. Agencies with direct budget authority may lead budget development and resource planning, while others may focus on advocacy, coordination, and aligning internal priorities with broader government budgeting processes.*

<b>Rating Indicators</b>	
<b>Rating</b>	
<u>1</u>	<p><b><u>Full Implementation, Outstanding Performance</u></b>  <u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u></p>
<u>2</u>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>Agency leadership effectively oversees the agency finances, but one of the standard's elements is not fully implemented (e.g., advocacy efforts are strong but not fully documented.)</u></li> </ul>
<u>3</u>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>Agency leadership addresses only part of its financial oversight role (e.g., resource development targets may be set but advocacy is limited or the agency advocates for resources without clear budget targets.)</u></li> </ul>
<u>4</u>	<p><b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>Agency leadership does not set resource development targets or goals; or</u></li> <li><u>Targets or goals are set but not reflected in budgets or plans; or</u></li> <li><u>The agency does not engage with legislative bodies or public entities to secure needed funding.</u></li> </ul>

### **PA-AM 34.046**

Agency leadership establishes and maintains collaborative partnerships with cabinet-level personnel, appointees, and personnel from other government entities.

<b>Rating Indicators</b>	
<b>Rating</b>	
<u>1</u>	<p><b><u>Full Implementation, Outstanding Performance</u></b>  <u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u></p>

<b>Rating Indicators</b>	
<b>Rating</b>	
<u>2</u>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>Engagement with government entities and oversight bodies is occurring but tends to be more reactive than strategic.</u></li> </ul>
<u>3</u>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>Engagement with government entities and oversight bodies is minimal outside of required reporting.</u></li> </ul>
<u>4</u>	<ul style="list-style-type: none"> <li><b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all.</u></li> </ul>

### **PA-AM 34.057**

Agency leadership provides regular, timely reports on operations, finances, and implementation of the long-term strategic plan and system-wide initiatives to the legislature and oversight entities.

**Examples:** *Reports to oversight entities on the agency's finances can include:*

- a. *current financial status and any anticipated problems;*
- b. *shifting strategic priorities and their financial implications; and*
- c. *financial planning and funding alternatives.*

**Examples:** *Relevant public entities within a county model may include a county board, designated county board members, county committees, etc.*

<b>Rating Indicators</b>	
<b>Rating</b>	
<u>1</u>	<p><b><u>Full Implementation, Outstanding Performance</u></b>  <u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u></p>

<b>Rating Indicators</b>	
<b>Rating</b>	
<u>2</u>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>Reports are regular and timely, but could be more comprehensive; or</u></li> <li>• <u>Reports could be more clearly aligned with all elements of the strategic plan.</u></li> </ul>
<u>3</u>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>Reports lack information for one or more key areas; or</u></li> <li>• <u>Reporting may not fully meet the expectations or schedules of the legislature or oversight entity.</u></li> </ul>
<u>4</u>	<ul style="list-style-type: none"> <li>• <b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all.</u></li> </ul>

### **PA-AM 34.068**

Agency leadership, ~~including the agency head and regional directors in state-administered agencies,~~ have demonstrated competence in the agency's mission and services as well as public human services administration, including human resources management, financial management, ~~and~~ cross-system collaboration, ~~and~~ data-driven decision-making.

**Interpretation:** *Competence to fulfill the core functions of the position can be demonstrated through any combination of experience, formal education, and training.*

<b>Rating Indicators</b>	
<b>Rating</b>	
<u>1</u>	<p><b><u>Full Implementation, Outstanding Performance</u></b>  <u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u></p>
<u>2</u>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p>

<b>Rating Indicators</b>	
<b>Rating</b>	
	<ul style="list-style-type: none"> <li>• <u>While leaders demonstrate competence across most areas, one or two may be less fully developed and require support from other staff.</u></li> </ul>
<b>3</b>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>Leaders may be strong in some areas but notably lacking in others and competency gaps reduce leadership's ability to fully oversee agency operations.</u></li> </ul>
<b>4</b>	<p><b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>Leaders lack demonstrated competence in multiple core areas and deficiencies impede the agency's operations and/or the agency's ability to achieve its mission.</u></li> </ul>

### **PA-AM 34.079**

To ensure continuity during transitions in leadership, the agency maintains ~~succession planning procedures and~~ a succession plan.

**Interpretation:** *For state-administered agencies the succession plan should include relevant regional positions, such as regional directors.*

**Interpretation:** Succession planning includes both short-term replacement strategies to maintain continuity as well as long-term planning to meet the agency's future needs.

**Examples:** ~~Information included~~ in a succession plan ~~can may~~ include, ~~for example:~~

- ~~a. under what conditions interim authority can be delegated and the limits of that authority;~~
- ~~b.a. \_\_\_\_\_ relevant positions and their key leadership and management key functions of those positions;~~
- ~~b. under what conditions interim authority can be delegated for those positions, and the limits of that authority, and how functions will be delegated; and~~
- ~~1. to whom various leadership and management functions will be delegated; and~~
- c. *the mechanisms for assessing personnel's readiness to assume identified leadership positions and for providing training, mentorship, and ~~other leadership skill~~ development opportunities to ensure readiness.*

<b>Rating Indicators</b>	
<b>Rating</b>	
<u>1</u>	<p><b><u>Full Implementation, Outstanding Performance</u></b>  <u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u></p>
<u>2</u>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>A succession plan is in place and there is evidence that it is used; however, procedures could be more clearly documented.</u></li> </ul>
<u>3</u>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>A succession plan is in place but there is limited evidence that it is used in practice.</u></li> </ul>
<u>4</u>	<ul style="list-style-type: none"> <li><b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all.</u></li> </ul>

### **PA-AM 34.0810**

The ~~organization~~ agency develops an values-based equity statement that reflects its history and, mission, ~~and values~~ and affirms~~demonstrates~~ its commitment to fairness, respect, dignity, and equal opportunity for all people who interact with the agency~~organization~~.

<b>Rating Indicators</b>	
<b>Rating</b>	
<u>1</u>	<p><b><u>Full Implementation, Outstanding Performance</u></b>  <u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u></p>

<b>Rating Indicators</b>	
<b>Rating</b>	
<u>2</u>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>The agency has a statement that encompasses all requirements of the standard, but it has not been shared with its stakeholders.</u></li> </ul>
<u>3</u>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>The agency has begun the process of developing a statement addressing the requirements of the standard, but the process is not yet complete.</u></li> </ul>
<u>4</u>	<p><b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>The agency does not have a statement addressing the requirements of the standard and little to no work has begun to create one.</u></li> </ul>

## PA-AM 45: Community and Provider Engagement

The agency fosters a culture of community responsiveness by:

- a. conducting public outreach and education;
- b. engaging a diverse group of stakeholders in collaborative, purposeful, and ongoing partnership; and
- c. incorporating recommendations from collaborative efforts into its ~~organizational~~-decision-making related to regulatory processes, risk management, quality improvement, service delivery, and ~~long-term~~strategic planning activities.

**Interpretation:** *For state-administered agencies, there is a role for both the central and regional offices in effectively engaging relevant stakeholders. While it will be the responsibility of the central office to provide leadership in this area, the regional offices need to establish similar relationships with relevant stakeholders in their jurisdiction. Efforts at the regional level should complement the state-wide approach, while focusing on those stakeholders and issues that are most relevant to their region and its residents.*

**Examples:** *For state agencies providing child and family services, community and provider engagement can include involving stakeholders in developing and monitoring the State Child & Family Services Plan as well as participating in both the assessment and improvement phases of the Federal Child and Family Service Reviews.*

**Examples:** Stakeholders can include, but are not limited to: the courts, ~~legal system~~, and law-enforcement officials; Tribes and Tribal organizations; ~~individuals and families~~ persons served; internal staff; community-based agencies including mental health, substance use, and domestic violence service providers; state and local governments; advocacy and professional organizations; health care providers; educators; representatives from communities of faith; business community representatives; other public agencies and providers; contracted providers; and the media.

Table of Evidence		
Standard Code	Evidence Type	Description
PA-AM <u>45</u>	On-Site Evidence	<p><b>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</b></p> <ul style="list-style-type: none"> <li>• Informational materials available in communities served</li> <li>• Documentation of:               <ol style="list-style-type: none"> <li>1. Collaboration with stakeholders (e.g., meeting minutes, agenda, correspondence, etc.)</li> <li>2. Decisions made and/or actions taken in response to stakeholder feedback (e.g., progress/data reports)</li> </ol> </li> <li>• Training curricula and materials for:               <ol style="list-style-type: none"> <li>1. <u>Training provided to stakeholders</u>, <del>Stakeholder training</del>, as applicable</li> <li>2. Staff training related to engaging and collaborating with <u>persons served</u> <del>consumers</del></li> <li>3. <u>Training and/or other supports provided to persons served</u> <del>Consumer training and/or other supports</del> to facilitate their active involvement</li> </ol> </li> <li>• <del>Stakeholder advisory group meeting minutes</del></li> <li>• <del>Communications plan/procedures training curricula and materials</del></li> <li>• Documentation tracking staff completion of <u>required trainings</u> <del>on the communications plan/procedures for responding to critical incidents</del></li> </ul>

		<ul style="list-style-type: none"> <li>• Evidence of collaboration with Tribes or Tribal representatives</li> </ul> <p><b>State Administered Agency (Regional Office)</b></p> <ul style="list-style-type: none"> <li>• Informational materials available in communities served</li> <li>• Documentation of:             <ol style="list-style-type: none"> <li>1. Collaboration with stakeholders (e.g., meeting notices, agendas, and minutes; correspondence; etc.)</li> <li>2. Decisions made and/or actions taken in response to stakeholder feedback (e.g., progress/data reports)</li> </ol> </li> <li>• Training curricula and materials for:             <ol style="list-style-type: none"> <li>1. Stakeholder training, as applicable</li> <li>2. Staff training related to collaborating with consumers</li> <li>3. <del>Consumer t</del>Training and/or other supports <u>provided to persons served</u> to facilitate their active involvement</li> </ol> </li> </ul>
PA-AM <u>45</u>	Self-Study	<p><b>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</b></p> <ul style="list-style-type: none"> <li>• See website URL and links to social media sites provided during application</li> <li>• Summary of public outreach and education activities</li> <li>• List of stakeholder groups/entities/<u>collaboration forums</u></li> <li>• Assessment of existing and potential community partners</li> <li>• Community and provider engagement plan</li> <li>• <del>Stakeholder advisory group bios</del></li> <li>• <del>Communications plan and/or procedures for responding to critical incidents</del></li> </ul>

		<ul style="list-style-type: none"> <li>• Description of collaborative efforts or written agreements with Tribes or Tribal representatives</li> </ul> <p><b>State Administered Agency (Regional Office)</b></p> <ul style="list-style-type: none"> <li>• List of regional stakeholder groups/entities/<a href="#">collaboration forums</a></li> <li>• Assessment of existing and potential regional community partners</li> <li>• Regional community and provider engagement plan</li> </ul>
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Rating Indicators	
Rating	
1	<p><b>Full Implementation, Outstanding Performance</b>  A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity, <u>as indicated by full implementation of the practices outlined in the PA-AM 5 Practice standards.</u> <del>All elements or requirements outlined in the standard are evident in practice, with rare or no exceptions: exceptions do not impact service quality or agency performance.</del></p>
2	<p><del><b>Substantial Implementation, Good Performance</b></del>  A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement, <u>as noted in the ratings for the PA-AM 5 Practice standards.</u> <del>The majority of the standards requirements have been met and the basic framework required by the standard has been implemented.</del></p> <p><del>Minor inconsistencies and not yet fully developed practices are noted; however, these do not significantly impact service quality or agency performance.</del></p>
3	<p><del><b>Partial Implementation, Concerning Performance</b></del>  A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement, <u>as noted in the ratings for the PA-AM 5 Practice standards.</u> <del>The agency has not implemented the basic framework of the standard but instead has in place only part of this framework.</del></p> <p><del>Omissions or exceptions to the practices outlined in the standard occur regularly, or practices are implemented in a cursory or haphazard manner.</del></p> <p><del>Service quality or agency functioning may be compromised.</del></p>

Rating Indicators	
Rating	
	<del>Capacity is at a basic level.</del>
4	<p><b>Unsatisfactory Implementation or Performance</b></p> <p>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all, <u>as noted in the ratings for the PA-AM 5 Practice standards</u>. <del>The agency's observed administration and management infrastructure and practices are weak or non-existent; or show signs of neglect, stagnation, or deterioration.</del></p>

## PA-AM 45.01

The agency's public outreach and education activities include:

- regularly providing the public with clear, timely, and accurate information about the agency's mission, programs, activities, service recipients, and finances;
- informing the public of the ~~positive~~ impact agency programs are having on the community and its residents; and
- fostering a positive relationship with the local media.

**Examples:** *Ongoing communication with the public and the media provides an opportunity for the agency to communicate information on its initiatives, policy and advocacy efforts, proactive problem-solving efforts, and stories of success. This cultivates a working relationship with the media and builds public awareness of the positive work being done by the agency, which can mobilize public support for policy issues or changes that impact the agency's work.*

~~For example, child and family services agencies can inform local communities about progress towards reducing racial and ethnic treatment disparities to strengthen partnerships and sustain collective work to address racial disproportionality.~~

Rating Indicators	
Rating	
<u>1</u>	<p><b><u>Full Implementation, Outstanding Performance</u></b></p> <p><u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u></p>

<b>Rating Indicators</b>	
<b>Rating</b>	
<u>2</u>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>While social media or the website provides accurate information, some written materials that continue to be distributed are outdated; or</u></li> <li>• <u>The agency's public outreach materials may not cover all programs or services; or</u></li> <li>• <u>The agency has a positive but limited relationship with the media.</u></li> </ul>
<u>3</u>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>Generally, public information is not current; or</u></li> <li>• <u>Some important information is not available to the public; or</u></li> <li>• <u>The agency does not proactively build relationships with the media.</u></li> </ul>
<u>4</u>	<ul style="list-style-type: none"> <li>• <b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all.</u></li> </ul>

## **PA-AM 45.02**

The agency takes a coordinated, assessment-based approach to engaging community partners and service providers that includes:

- a. clear goals and strategies for engagement that have been incorporated into the agency's strategic plan;
- b. allocation of sufficient resources to support engagement activities;
- c. identification of partner roles, participation expectations, and rules of engagement;
- d. centralized oversight and coordination across jurisdictions, when applicable;
- e. support for stakeholder needs, including training and capacity-building resources;
- f. mechanisms for frequent, two-way communication and documentation of key decisions;  
and
- g. systems for monitoring and evaluating engagement progress and outcomes.

**Example:** Community partners may include individuals and organizations with similar missions, goals, or service populations that do not have a contractual relationship with the agency. Examples include representatives from other government agencies, educational institutions, and the judicial or law enforcement sectors.

## PA-AM 4.02

~~The agency assesses its existing relationships with key community partners, both existing and potential, and develops an assessment-based community and provider engagement plan that:~~

- ~~outlines community and provider engagement goals and strategies for achieving them;~~
- ~~allocates sufficient resources to support community and provider engagement initiatives;~~
- ~~establishes centralized oversight and coordination when the agency has partners in different communities or jurisdictions; and~~
- ~~includes mechanisms for monitoring progress towards meeting engagement goals.~~

**Interpretation:** *Community and provider engagement goals should be incorporated into the agency's long-term plan (PA-AM 3.02).*

**Examples:** *Various structures may be in place to sustain community and provider engagement and the model(s) chosen will vary based on the agency's community partnership goals. Examples of mechanisms to facilitate community and provider engagement include, but are not limited to:*

- a. *work groups;*
- b. *advisory boards;*
- c. *decision-making boards;*
- d. *memoranda of understanding;*
- e. *systems of care;*
- f. *quality improvement structures;*
- g. *collaborative contract monitoring procedures;*
- h. *~~long-term~~strategic planning structures; and*
- i. *case-level service delivery teams.*

<b>Rating Indicators</b>	
<b>Rating</b>	
<b>1</b>	<b><u>Full Implementation, Outstanding Performance</u></b> <u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u>

<b>Rating Indicators</b>	
<b>Rating</b>	
<u>2</u>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>One of the standard's elements is not addressed at all.</u></li> </ul>
<u>3</u>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>Two of the standard's elements are not addressed at all; or</u></li> <li><u>Community and provider engagement goals are not reflected in the agency's strategic plan.</u></li> </ul>
<u>4</u>	<ul style="list-style-type: none"> <li><b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all.</u></li> </ul>

### **PA-AM 4.03**

The agency communicates and collaborates with stakeholders by:

- ~~1. establishing a shared purpose and goals for partnership;~~
- ~~2. setting clear guidelines for participation including defined roles, resource expectations, rules of engagement, and dispute resolution;~~
- ~~3. identifying and addressing the needs of participating stakeholders, including training resources;~~
- ~~4. documenting all important decisions; and~~
- ~~5. developing clear mechanisms for frequent, ongoing, two-way communication.~~

### **PA-AM 45.0403**

The agency promotes meaningful and respectful engagement of persons served~~encourages active consumer participation~~ in advisory activities by:

- a. partnering with relevant~~local~~ consumer and/or advocacy groups to identify and support individuals interested in contributing their perspectives~~reach consumers and encourage their involvement;~~
- b. training agency staff on meaningful engagement practices, including how to collaborate in ways that are non-tokenizing and conscious of power dynamics~~strategies for partnering with consumers in advisory activities;~~

- c. developing clear and accessible outreach and informational materials that explain the purpose, responsibilities, and benefits of advisory roles to support target consumers and provide them with information necessary to make an informed decision about participationg;
- d. fostering inclusive, trauma-informed creating an environments that elevate participant voices and create space for authentic contributionswelcomes consumers and values their voice; and
- e. providing offering trauma-informed training and mentorship, capacity-building opportunities, and optional trauma-informed support for individuals to consumers participating in advisory activities.

<b>Rating Indicators</b>	
<b>Rating</b>	
<u>1</u>	<p><b><u>Full Implementation, Outstanding Performance</u></b>  <u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u></p>
<u>2</u>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>Persons served are engaged in meaningful ways with limited exceptions; or</u></li> <li>• <u>One of the standard's elements is not addressed at all.</u></li> </ul>
<u>3</u>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>Persons served are rarely engaged in meaningful ways; or</u></li> <li>• <u>Two of the standard's elements are not addressed at all.</u></li> </ul>
<u>4</u>	<p><b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all.</u></p>

## PA-AM 4.05

The agency fosters community responsiveness by establishing and maintaining a stakeholder advisory group or groups that include representatives of:

1. relevant community groups;
2. consumers;
3. families;
4. service providers;
5. advocates; and
6. others with an interest in the success of the agency at achieving its mission or purpose.

NA State-administered agency regional office

## PA-AM 45.046

The agency:

- a. incorporates recommendations of advisory and collaborative efforts into its risk management, emergency preparedness, quality improvement, and ~~long-term~~ strategic planning activities; and
- b. periodically reports back to its partners on decisions made and actions taken.

<b>Rating Indicators</b>	
<b>Rating</b>	
<b>1</b>	<b><u>Full Implementation, Outstanding Performance</u></b> <u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u>
<b>2</b>	<b><u>Substantial Implementation, Good Performance</u></b> <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u> <ul style="list-style-type: none"><li>• <u>Recommendations are routinely incorporated into risk management, emergency preparedness, quality improvement, and strategic planning but reporting back to partners could be more frequent or timely.</u></li></ul>
<b>3</b>	<b><u>Partial Implementation, Concerning Performance</u></b> <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u> <ul style="list-style-type: none"><li>• <u>Recommendations are rarely incorporated into risk management, emergency preparedness, quality improvement, and strategic planning; or</u></li><li>• <u>Recommendations are only incorporated into one or two areas; or</u></li></ul>

<b>Rating Indicators</b>	
<b>Rating</b>	
	<ul style="list-style-type: none"> <li><u>The agency rarely reports back to partners on decisions made and actions taken.</u></li> </ul>
<u>4</u>	<ul style="list-style-type: none"> <li><b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all.</u></li> </ul>

**PA-AM 4.07** Moved to PA-PDS 2

~~Personnel receive training on the agency's communications plan and/or procedures for responding to critical incidents, including position-specific communication guidelines for responding to inquiries from the media and the public.~~

**PA-AM 45.058**

Child and family services agencies have formal partnerships with area Tribes or Tribal representatives that include:

- a. ongoing collaboration and information sharing;
- b. Tribal involvement in staff and resource family training; and
- c. consultation with Tribal representatives on policy and practice issues.

**NA** *The agency does not provide child and family services and is not assigned the Child and Family Services (PA-CFS) standards.*

**NA** *There are no federally recognized Tribes within the agency's service area.*

<b>Rating Indicators</b>	
<b>Rating</b>	
<u>1</u>	<p><b><u>Full Implementation, Outstanding Performance</u></b>  <u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u></p>
<u>2</u>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>The agency consistently partners with Tribes/Tribal representatives, but one of the standard's elements is not fully implemented.</u></li> </ul>

<b>Rating Indicators</b>	
<b>Rating</b>	
<b>3</b>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>The agency has made little effort to partner with Tribes/Tribal representatives.</u></li> </ul>
<b>4</b>	<p><b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all.</u></p>

## PA-AM **56**: Service Array and Resource Development

The agency partners with stakeholders in the service delivery system to integrate, advocate for, and coordinate the array of services public and/or private providers deliver to meet the needs of the service population.

**Interpretation:** *For state-administered agencies, implementation of this section will vary at the state and regional level. While many of the practices outlined in this section are primarily the responsibility of the state central office, regional offices are expected to work with community partners and the central office to better meet the needs of the communities they serve.*

**Examples:** *Partnership in this context can include the pursuit of contracts when agencies are purchasing social or human services to meet an identified need within the service population.*

**Examples:** *The service delivery system can include services and benefits provided by **other** federal or federally assisted programs serving the same population.*

<b>Table of Evidence</b>		
<b>Standard Code</b>	<b>Evidence Type</b>	<b>Description</b>
PA-AM <b>56</b>	On-Site Activities	<p><b>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</b></p> <ul style="list-style-type: none"> <li>Interviews may include: <ol style="list-style-type: none"> <li>Agency leadership</li> </ol> </li> </ul>

		<ol style="list-style-type: none"> <li>2. Contract management personnel</li> <li>3. Contracted providers</li> <li>4. <del>Program field personnel</del> <u>Direct service personnel</u></li> <li>5. Community stakeholders</li> <li>6. Persons served</li> </ol> <p><b>State Administered Agency (Regional Office)</b></p> <ul style="list-style-type: none"> <li>• Interviews may include: <ol style="list-style-type: none"> <li>1. Regional Director</li> <li>2. Contracted providers</li> <li>3. <del>Program field</del> <u>Direct service</u> personnel</li> <li>4. Community stakeholders</li> <li>5. Persons served</li> </ol> </li> </ul>
PA-AM <u>56</u>	On-Site Evidence	<p><b>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</b></p> <ul style="list-style-type: none"> <li>• Completed community assessment</li> <li>• Evidence of collaboration with <u>justice-intervening</u> systems</li> </ul> <p><b>State Administered Agency (Regional Office)</b></p> <ul style="list-style-type: none"> <li>• <i>No On-Site Evidence</i></li> </ul>
PA-AM <u>56</u>	Self-Study	<p><b>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</b></p> <ul style="list-style-type: none"> <li>• Service utilization goals</li> <li>• Utilization data</li> <li>• Access guidelines</li> <li>• Procedures for monitoring and adjusting the service array including procedures for obtaining feedback from regions and line staff about regional service needs and the quality of services</li> </ul>

		<ul style="list-style-type: none"> <li>• Resource development plan or relevant portions of strategic planning documents related to service array and resource development</li> <li>• Procedures for working with intervening <b>justice</b> systems</li> </ul> <p><b>State Administered Agency (Regional Office)</b></p> <ul style="list-style-type: none"> <li>• <i>No Self-Study Evidence</i></li> </ul>
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Rating Indicators	
Rating	
1	<p><b>Full Implementation, Outstanding Performance</b></p> <p>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity, <u>as indicated by full implementation of the practices outlined in the PA-AM 6 Practice standards.</u> <del>All elements or requirements outlined in the standard are evident in practice, with rare or no exceptions; exceptions do not impact service quality or agency performance.</del></p>
2	<p><b>Substantial Implementation, Good Performance</b></p> <p>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement, <u>as noted in the ratings for the PA-AM 6 Practice standards.</u> <del>The majority of the standards requirements have been met and the basic framework required by the standard has been implemented.</del></p> <p><del>Minor inconsistencies and not yet fully developed practices are noted; however, these do not significantly impact service quality or agency performance.</del></p>
3	<p><b>Partial Implementation, Concerning Performance</b></p> <p>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement, <u>as noted in the ratings for the PA-AM 6 Practice standards.</u> <del>The agency has not implemented the basic framework of the standard but instead has in place only part of this framework.</del></p> <p><del>Omissions or exceptions to the practices outlined in the standard occur regularly, or practices are implemented in a cursory or haphazard manner.</del></p> <p><del>Service quality or agency functioning may be compromised.</del></p> <p><del>Capacity is at a basic level.</del></p>

Rating Indicators	
Rating	
4	<p><b>Unsatisfactory Implementation or Performance</b></p> <p>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all, <u>as noted in the ratings for the PA-AM 6 Practice standards. The agency's observed administration and management infrastructure and practices are weak or non-existent; or show signs of neglect, stagnation, or deterioration.</u></p>

## PA-AM 56.01

Ease of entry into a system of highly accessible services is achieved through:

- a. access guidelines responsive to the service population;
- b. staff that understand the services provided by other community providers;
- c. clearly articulated service utilization goals; and
- d. mechanisms for monitoring service utilization and addressing identified concerns.

**CFS Interpretation:** *For state agencies providing child and family services, standard implementation should include ensuring that services are accessible to families and children in all jurisdictions covered in the state's Child and Family Services Plan.*

Rating Indicators	
Rating	
<u>1</u>	<p><b><u>Full Implementation, Outstanding Performance</u></b></p> <p><u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u></p>
<u>2</u>	<p><b><u>Substantial Implementation, Good Performance</u></b></p> <p><u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>One of the standard's elements is not fully implemented.</u></li> </ul>

<b>Rating Indicators</b>	
<b>Rating</b>	
<u>3</u>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>One of the standard's elements is not addressed at all.</u></li> </ul>
<u>4</u>	<ul style="list-style-type: none"> <li>• <b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all.</u></li> </ul>

## **PA-AM 56.02**

The agency partners with local communities to continually improve the service array by:

- conducting periodic assessments of community need and existing resources;
- developing a plan for resource development to meet identified needs; and
- monitoring the effectiveness of plan implementation.

**NA** *State-administered agency regional office*

**Interpretation:** *Assessments of community need may be conducted by a third party and utilized by the agency to make resource development plans.*

**Interpretation:** *For state-administered agencies, the assessment of community need and existing resources should include obtaining feedback from regions and frontline staff on regional service needs and the quality of services.*

**Examples:** *Partnerships with local communities should address unmet needs in the community and advocate for issues of mutual concern such as improving support and accommodations for people with special needs, improving access to needed services for underserved populations and marginalized communities, and identifying solutions to community-specific needs.*

**Examples:** *Child and family services agencies can also use their performance on certain CFSSR outcomes measures, such as ability to place siblings together, placement within the county/geographic region, and length of stay in care, to assess the need to modify the service array.*

<b><u>Rating Indicators</u></b>	
<b><u>Rating</u></b>	
<b><u>1</u></b>	<p><b><u>Full Implementation, Outstanding Performance</u></b>  <u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u></p>
<b><u>2</u></b>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>One of the standard's elements is not fully implemented.</u></li> </ul>
<b><u>3</u></b>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>One of the standard's elements is not addressed at all.</u></li> </ul>
<b><u>4</u></b>	<p><b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all.</u></p>

### **PA-AM 56.03**

~~When applicable, a~~ Agencies work to develop effective partnerships with intervening justice systems, ~~such as juvenile and family courts~~ to:

- a. advocate for changes or improvements in the service array and other issues of mutual concern;
- b. evaluate mechanisms for ongoing collaboration and information-sharing;
- c. improve the effectiveness of administrative operations and case outcomes; and
- d. develop MOUs for service provision, when needed.

<b>Rating Indicators</b>	
<b>Rating</b>	
<u>1</u>	<p><b><u>Full Implementation, Outstanding Performance</u></b>  <u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u></p>
<u>2</u>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>One of the standard's elements is not fully implemented.</u></li> </ul>
<u>3</u>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>One of the standard's elements is not addressed at all.</u></li> </ul>
<u>4</u>	<p><b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all.</u></p>

## PA-AM **67**: Conflict of Interest

The agency prevents the enrichment of insiders and other abuses by identifying potential conflicts of interest within the agency and properly managing these risks through the enforcement of a conflict of interest policy consistent with state laws and regulations.

**NA** *State-administered agency regional office*

**Note:** Please see the [Conflict of Interest Policy and Procedures Template](#) for additional guidance on this standard.

<b>Table of Evidence</b>		
<b>Standard Code</b>	<b>Evidence Type</b>	<b>Description</b>

<p>PA-AM <del>67</del></p>	<p>On-Site Activities</p>	<p><b>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</b></p> <ul style="list-style-type: none"> <li>• Interviews may include:             <ol style="list-style-type: none"> <li>1. Agency leadership</li> <li>2. Ethics officer/in-house counsel</li> <li>3. Oversight <del>Entity</del><u>entity</u>/<del>Stakeholder Advisory Panel members</del></li> <li>4. CFO or equivalent</li> <li>5. Persons served</li> <li>6. Community stakeholders</li> <li><del>7. Personnel</del> <u>7. Agency personnel across both direct service and administrative or support functions</u></li> </ol> </li> </ul> <p><b>State Administered Agency (Regional Office)</b></p> <ul style="list-style-type: none"> <li>• Evaluated at Central Office only</li> </ul>
<p>PA-AM <del>67</del></p>	<p>On-Site Evidence</p>	<p><b>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</b></p> <ul style="list-style-type: none"> <li>• <del>Management meeting minutes documenting</del><u>Documentation of review and discussions of/about</u> potential and apparent conflicts of interest from the previous 12 months</li> </ul> <p><b>State Administered Agency (Regional Office)</b></p> <ul style="list-style-type: none"> <li>• Evaluated at Central Office only</li> </ul>
<p>PA-AM <del>67</del></p>	<p>Self-Study</p>	<p><b>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</b></p> <ul style="list-style-type: none"> <li>• Conflict of interest policy</li> <li>• Policy prohibiting preferential treatment</li> <li>• Ethical referral procedures</li> <li>• Documentation of policy communication to staff</li> </ul>

		<p><b>State Administered Agency (Regional Office)</b></p> <ul style="list-style-type: none"> <li>• Evaluated at the Central Office only</li> </ul>
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Rating Indicators	
Rating	
1	<p><b>Full Implementation, Outstanding Performance</b>  A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity, <u>as indicated by full implementation of the practices outlined in the PA-AM 7 Practice standards.</u></p> <p><del>All elements or requirements outlined in the standard are evident in practice, with rare or no exceptions; exceptions do not impact service quality or agency performance.</del></p>
2	<ul style="list-style-type: none"> <li>• <b>Substantial Implementation, Good Performance</b>  A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement, <u>as noted in the ratings for the PA-AM 7 Practice standards.</u> <del>The majority of the standards requirements have been met and the basic framework required by the standard has been implemented.</del></li> <li>• <del>Minor inconsistencies and not yet fully developed practices are noted; however, these do not significantly impact service quality or agency performance.</del></li> </ul>
3	<p><b>Partial Implementation, Concerning Performance</b>  A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement, <u>as noted in the ratings for the PA-AM 7 Practice standards.</u></p> <p><del>The agency has not implemented the basic framework of the standard but instead has in place only part of this framework.</del>  <del>Omissions or exceptions to the practices outlined in the standard occur regularly, or practices are implemented in a cursory or haphazard manner.</del>  <del>Service quality or agency functioning may be compromised.</del>  <del>Capacity is at a basic level.</del></p>
4	<p><b>Unsatisfactory Implementation or Performance</b>  A rating of (4) indicates that implementation of the standard is minimal or there is no</p>

Rating Indicators	
Rating	
	<p>evidence of implementation at all, <u>as noted in the ratings for the PA-AM 7 Practice standards.</u></p> <p><del>The agency's observed administration and management infrastructure and practices are weak or non-existent; or show signs of neglect, stagnation, or deterioration.</del></p>

### **FP PA-AM 7.01**

The agency prevents and manages potential and apparent conflicts of interest by:

- a. establishing a conflict of interest policy;
- b. training individuals covered by the policy on proper disclosure of potential conflicts;
- c. thoroughly reviewing disclosures in a fair, timely manner and communicating recommendations for next steps as applicable; and
- d. documenting all disclosures in an organized, confidential manner.

Interpretation: Regarding element (b), training may differ depending on the individual's role and supervisory responsibility within the agency.

<u>Rating Indicators</u>	
<u>Rating</u>	
<u>1</u>	<p><b><u>Full Implementation, Outstanding Performance</u></b></p> <p><u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u></p>
<u>2</u>	<p><b><u>Substantial Implementation, Good Performance</u></b></p> <p><u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>• One element of the standard is not fully implemented.</u></li> </ul>
<u>3</u>	<p><b><u>Partial Implementation, Concerning Performance</u></b></p> <p><u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>• Important groups covered by the policy are not aware of the policy;</u></li> <li><u>• Two elements of the standard are not fully implemented; or</u></li> <li><u>• One element of the standard is not addressed at all.</u></li> </ul>

<u>4</u>	<p><b><u>Unsatisfactory Implementation or Performance</u></b></p> <p><u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all; e.g.,</u></p> <ul style="list-style-type: none"> <li>• <u>No policy exists; or</u></li> <li>• <u>The policy is not enforced or is ignored in practice.</u></li> </ul>
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**FP PA-AM 76.024**

TheA conflict of interest policy is tailored to the agency’s specific needs, ~~and~~ characteristics, and risks, and includes:

- a. the agency’s definition of~~defines a~~ conflict of interest;
- b. which~~identifies~~ groups of individuals associated ~~within~~ the agency~~organization~~ are covered by the policy;
- c. disclosure requirements
- ~~b-d.~~ guidelines for recusal from discussions or votes concerning identified conflicts:
  - ~~1.~~ addresses transactions between oversight entities and the agency;
  - ~~c-e.~~ ensures that contracts and business arrangements serve the agency’s and service recipients’ best interests, not private interests;how the addresses policy is enforced~~edent~~; and
  - ~~2.~~ provides a framework for evaluating situations that may constitute a conflict; ~~and~~
  - ~~d-f.~~ invests management with developing procedures that facilitate disclosure of information to prevent and manage potential and apparent conflicts of interest.

**NA** *The agency is not responsible for developing the conflict of interest policy.*

**Examples:** Individuals associated with the agency who may have a conflict of interest can include: (a) agency leadership, (b) personnel, (c) consultants, and (d) advisory group members, when applicable.

<u>Rating Indicators</u>	
<u>Rating</u>	
<u>1</u>	<p><b><u>Full Implementation, Outstanding Performance</u></b></p> <p><u>A rating of (1) indicates that the agency’s practices fully meet the standard and reflect a high level of capacity.</u></p>

<b>Rating Indicators</b>	
<b>Rating</b>	
<u>2</u>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>A conflict of interest policy is in place, but one of the standard's elements is not fully implemented or needs clarifying.</u></li> </ul>
<u>3</u>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>One of the standard's elements is not addressed at all; or</u></li> <li><u>The policy is outdated or inconsistently applied.</u></li> </ul>
<u>4</u>	<ul style="list-style-type: none"> <li><b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all.</u></li> </ul>

**~~FP-PA-AM 6.02:~~**

~~Advisory group members, personnel, and consultants who have a financial interest in the agency's assets, business transactions, leases, or professional services:~~

- ~~a. disclose this information; and~~
- ~~b.a. \_\_\_\_\_ do not participate in any discussion or vote taken with respect to such interests.~~

**PA-AM 67.03**

The ~~a~~Agency policy prohibits:

- a. making or accepting payment or other consideration in exchange for referrals;
- b. preferential treatment of community partners, advisory group members if applicable, personnel, or consultants in applying for and receiving the agency's services; and
- ~~1.~~ steering or directing referrals to private practices in which personnel, consultants, or the immediate families of personnel and consultants are financially invested~~engaged~~.

~~NA The agency does not provide child and family services and is not assigned the Child and Family Services (PA-CFS) standards.~~

**Interpretation:** *It is permissible to include on referral lists personnel and consultants with private practices, or family members of personnel and consultants, but the agency may not actively direct service recipients to the practices of these individuals and must clarify in writing the relationship between the private practitioners and the ~~organization~~agency.*

<b>Rating Indicators</b>	
<b>Rating</b>	
<b><u>1</u></b>	<p><b><u>Full Implementation, Outstanding Performance</u></b>  <u>A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity.</u></p>
<b><u>2</u></b>	<p><b><u>Substantial Implementation, Good Performance</u></b>  <u>A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>Procedures are in place agency-wide with some minor gaps in documentation.</u></li> </ul>
<b><u>3</u></b>	<p><b><u>Partial Implementation, Concerning Performance</u></b>  <u>A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; e.g.,</u></p> <ul style="list-style-type: none"> <li><u>There are some examples of preferential treatment;</u></li> <li><u>One of the standard's elements is not addressed at all; or</u></li> <li><u>A significant number of staff are unaware of the policy.</u></li> </ul>
<b><u>4</u></b>	<p><b><u>Unsatisfactory Implementation or Performance</u></b>  <u>A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all.</u></p>

## PA-AM 78: Protection of Reporters of Suspected Misconduct

The ~~a~~Agency prohibits ~~employment-related~~retaliation against employees and others affiliated with the agency, who come forward with information about suspected misconduct or questionable practices, and provides an appropriate, confidential channel for reporting such information.

NA *State-administered agency regional office*

<b>Standard Code</b>	<b>Evidence Type</b>	<b>Description</b>

PA-AM <u>87</u>	On-Site Activities	<p><b>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</b></p> <ul style="list-style-type: none"> <li>• Interviews may include: <ol style="list-style-type: none"> <li>1. Agency leadership</li> <li>2. <u>Agency pPersonnel across both direct service and administrative or support functions</u></li> <li>3. HR director</li> </ol> </li> </ul> <p><b>State Administered Agency (Regional Office)</b></p> <ul style="list-style-type: none"> <li>• Evaluated at Central Office only</li> </ul>
PA-AM <u>87</u>	On-Site Evidence	<p><b>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</b></p> <ul style="list-style-type: none"> <li>• Documentation of any grievances/incidents related to retaliation, <u>if applicable</u></li> </ul> <p><b>State Administered Agency (Regional Office)</b></p> <ul style="list-style-type: none"> <li>• Evaluated at Central Office only</li> </ul>
PA-AM <u>87</u>	Self-Study	<p><b>County/Municipality Administered Agency, State Administered Agency (Central Office), or other Public Entity</b></p> <ul style="list-style-type: none"> <li>• Whistle-blower provisions in legislation or administrative code</li> <li>• Documentation of policy communication to staff (e.g. memos, staff meeting minutes, training documents)</li> </ul> <p><b>State Administered Agency (Regional Office)</b></p> <ul style="list-style-type: none"> <li>• Evaluated at Central Office only</li> </ul>

## Rating Indicators

Rating	
1	<p><b>Full Implementation, Outstanding Performance</b>            A rating of (1) indicates that the agency's practices fully meet the standard and reflect a high level of capacity. <del>All elements or requirements outlined in the standard are evident in practice, with rare or no exceptions: exceptions do not impact service quality or agency performance.</del></p>
2	<p><b>Substantial Implementation, Good Performance</b>            A rating of (2) indicates that an agency's infrastructure and practices are basically sound but there is room for improvement; <u>e.g.</u>,</p> <ul style="list-style-type: none"> <li>• <u>Protections and reporting channels are established and used appropriately, with limited exceptions.</u></li> </ul>
3	<p><b>Partial Implementation, Concerning Performance</b>            A rating of (3) indicates that the agency's observed infrastructure and/or practices require significant improvement; <u>e.g.</u>,</p> <ul style="list-style-type: none"> <li>• <u>A policy is in place but is not well-communicated, trusted, or consistently enforced; or</u></li> <li>• <u>Reporting channels exist but lack clarity, confidentiality, or accessibility.</u></li> </ul>
4	<p><b>Unsatisfactory Implementation or Performance</b>            A rating of (4) indicates that implementation of the standard is minimal or there is no evidence of implementation at all; <u>e.g.</u>,</p> <ul style="list-style-type: none"> <li>• <u>No clear policy or mechanism exists to protect whistleblowers or allow confidential reporting; or</u></li> <li>• <u>Reports of retaliation are ignored or not addressed.</u></li> </ul>