



BEST PRACTICES SELF ASSESSMENT TOOL

To be successful in assessing, establishing, or maintaining a high-functioning regulatory system, organizations should assess their systems and associated functions over a period of time and document the levels of achievement for each best practice. Then they should put in place strategies to acknowledge successes and build upon gaps. Documentation should be clear, complete, and consistent so that it may be used as a tool throughout the process.

This assessment will give agencies an initial indication of improvement opportunities in their agency staff development programs. It is anticipated that organizations may not fully meet all criteria of *Best Practices for Human Care Regulation* initially. Using this structured assessment and planning process can give interested organizations a clearer sense of direction. The results of the self-assessment should be used to guide a strategic planning process of self-improvement. Strategies should be prioritized and combined with internal resources to help minimize any impacts on performance or mandates until the underlying problems can be overcome.

National Association for Regulatory Administration

400 South 4th Street, Suite 754E, Minneapolis, MN 55415 | Phone: 888-674-7052 | Email: admin@naralicensing.org

National Center on Child Care Quality Improvement, A Service of the Office of Child Care

9300 Lee Highway, Fairfax VA, 22031 | Phone: 877-296-2250 | Email: OCCQualityCenter@icfi.com

Instructions for Assessment Tool

The assessment tool is designed to identify if the organization's practices are aligned with the recommended best practices. An organization should evaluate its current practices, rather than future plans. There are three levels to the scale:

Exceeds	The organization is showing evidence that exceeds the minimum requirements for the best practice.
Meets	The organization is showing evidence of meeting the minimum requirements for the best practice.
Needs Attention	The organization is not demonstrating the minimum requirement for the best practice.

The tool is designed as a tiered scale and therefore an organization **must clearly show evidence for the "Meets" criteria** having been met before selecting "Exceeds."

1. Organizational Management

1.1. Leadership

	Needs Attention	Meets Standard	Exceeds Standard	Notes
1.1.1. Engages in a decision-making process that is inclusive of and guided by multiple sources of information.	<input type="checkbox"/> Only organization staff are involved in the decision-making process.	<input type="checkbox"/> The decision-making process involves integrating information from one resource in each of the following categories when applicable: national, state, territory, tribal, local, and providers.	<input type="checkbox"/> The decision-making process involves integrating information from multiple resources in each of the "Meets" categories, or includes resources from the following additional categories: other state agencies, advocates, accreditation bodies, and early learning advisory councils.	
1.1.2. Manages risk to support decisions, policy, regulation, and enforcement through periodically conducting risk analysis for the organization.	<input type="checkbox"/> Does not conduct risk analysis.	<input type="checkbox"/> Conducts risk analysis every 5 years and uses results to guide decisions.	<input type="checkbox"/> Conducts risk analysis every 3 years and uses results on an ongoing basis to guide decisions.	
1.1.3. Establishes effective partnerships for coordination of regulation and services.	<input type="checkbox"/> The organization does not seek or utilize partnership input.	<input type="checkbox"/> Partnerships are engaged to address focused topics with targeted groups throughout the year with time-limited, specific engagement.	<input type="checkbox"/> Partnerships are collaborative, providing ongoing advisory recommendations and guidance through continuous engagement.	

1.1. Leadership (continued)

	Needs Attention	Meets Standard	Exceeds Standard	Notes
1.1.4. Ensures transparency of performance and program activities and supports consumer education	<input type="checkbox"/> The organization has Web site but does not include inspection or sanction information.	<input type="checkbox"/> The Web site includes a description of state processes and inspection information and will be maintained for a period of 3 years.	<input type="checkbox"/> The Web site includes information about sanctions, administrative actions, substantiated complaints, and validated critical incident reports for a period of 3 years.	
1.1.5. Remains current on trends and research-based practices.	<input type="checkbox"/> The organization relies on program staff to share information.	<input type="checkbox"/> The organization relies on its central office to collect and distribute information internally to staff.	<input type="checkbox"/> Individual leaders within the organization seek trend- and research-based information through various professional development opportunities and professional research from multiple sources.	
1.1. Leadership Overall Notes:				

1.2. Strategic Planning

	Needs Attention	Meets Standard	Exceeds Standard	Notes
1.2.1. Defines clear vision, mission, and values for the organization.	<input type="checkbox"/> The vision, mission, and values are not clearly identified	<input type="checkbox"/> The vision, mission, and values are defined and are clearly identified and internally accessible.	<input type="checkbox"/> The vision, mission, and values are transparent and externally accessible and reviewed on a periodic basis.	
1.2.2. Generates measurable and observable strategic and operating plans.	<input type="checkbox"/> The organization does not have a plan or the outcomes are not measurable or observable.	<input type="checkbox"/> Plan includes one measurable and observable outcome that align with strategic plan.	<input type="checkbox"/> The plan is comprehensive and addresses multiple outcomes that align with strategic plan.	
1.2.3. Collects data and monitors plans for assessment purposes.	<input type="checkbox"/> The organization does not collect data or monitor achievement of outcomes.	<input type="checkbox"/> The organization conducts comprehensive assessment at the conclusion of the plan period to develop a new strategic plan.	<input type="checkbox"/> The organization uses organizational monitoring data to guide decisions for continuous improvement.	
1.2. Strategic Planning Overall Notes:				

1.3. Financial and Resource Controls

	Needs Attention	Meets Standard	Exceeds Standard	Notes
1.3.1. Establishes and monitors fiscal business practices to comply with all internal and external requirements.	<input type="checkbox"/> The licensing administrator has no involvement in or understanding of the organization's fiscal business practices.	<input type="checkbox"/> Administrative support provides strong fiscal business practices accountability and is reviewed annually.	<input type="checkbox"/> Fiscal policies are reviewed and updated as needed.	
1.3.2. Creates prioritized, itemized budgets that align with the strategic plan.	<input type="checkbox"/> The organization does not link the itemized budget to the strategic plan.	<input type="checkbox"/> The itemized budget globally supports the overall strategic plan.	<input type="checkbox"/> The itemized budget links specifically to a goal within the strategic plan.	
1.3.3. Monitors itemized budget for appropriate and timely spending throughout the fiscal year.	<input type="checkbox"/> The organization does not monitor.	<input type="checkbox"/> The organization monitors annually.	<input type="checkbox"/> The organization regularly monitors throughout the fiscal year.	
1.3.4. Establishes and maintains inventory systems for equipment, supplies, vehicles and services.	<input type="checkbox"/> The organization does not have an inventory system.	<input type="checkbox"/> The organization has an inventory system and records are kept up-to-date.	<input type="checkbox"/> The inventory system is proactively monitored to prevent lack of equipment or consumables.	
1.3.5. Creates a supportive work environment and gathers feedback from staff.	<input type="checkbox"/> The organization has no protocols to monitor workplace environment.	<input type="checkbox"/> Work environments are reviewed annually by management and revisions are made as needed.	<input type="checkbox"/> The organization collects feedback from staff annually regarding work environments, uses feedback to ensure work environments are supportive, and continuously monitors the environment.	

1.3. Financial and Resource Controls (continued)

	Needs Attention	Meets Standard	Exceeds Standard	Notes
1.3.6. Requires staff to be knowledgeable about the organization's fiscal and work environment business practices as well as safety and security procedures.	<input type="checkbox"/> The staff are not trained or made aware of procedures.	<input type="checkbox"/> The policies and procedures are accessible and new staff are trained upon hire.	<input type="checkbox"/> The organization reviews policies and procedures periodically and as changes occur.	
1.3. Financial and Resource Controls Overall Notes:				

2. Programmatic Management

2.1. Staffing

	Needs Attention	Meets Standard	Exceeds Standard	Notes
2.1.1. Establishes job qualifications and job expectations that are clear, complete, and up-to-date.	<input type="checkbox"/> The organization does not have an in-field degree requirement.	<input type="checkbox"/> The organization requires a bachelor's degree in an appropriate field or has a minimum number of required credit hours in the field with experience.	<input type="checkbox"/> The organization requires staff to obtain regulatory certification, such as the National Regulatory Professional Credential.	
2.1.2. Establishes internal protocols to implement Human Resources policies and procedures and monitors for compliance.	<input type="checkbox"/> The organization has no written protocols or does not monitor.	<input type="checkbox"/> The organization has written protocols and monitors annually.	<input type="checkbox"/> Protocols are reviewed annually, revised as needed, and include continuous monitoring.	
2.1.3. Establishes policies for staff regarding off-duty communication and conduct.	<input type="checkbox"/> The organization has no policy.	<input type="checkbox"/> The written policy is shared with staff.	<input type="checkbox"/> The management staff monitors policy implementation.	
2.1.4. Conducts licensing workload assessment.	<input type="checkbox"/> The organization does not conduct a licensing workload assessment.	<input type="checkbox"/> The organization conducts a licensing workload assessment every 5 years and includes at least two of the four areas: rebalance, temporary overloads, deployment of positions, and team inspections.	<input type="checkbox"/> The organization conducts a licensing workload assessment every 3 years or sooner to address needs and includes all four areas: rebalance, temporary overloads, deployment of positions, and team inspections.	

2.1. Staffing (continued)

	Needs Attention	Meets Standard	Exceeds Standard	Notes
2.1.5. Develops and maintains a staffing plan based on licensing workload assessment.	<input type="checkbox"/> The organization does not have a staffing plan.	<input type="checkbox"/> The organization utilizes a licensing workload assessment to develop its staffing plan every 5 years.	<input type="checkbox"/> The organization utilizes a licensing workload assessment to develop its staffing plan every 3 years.	
2.1.6. Develops and implements a telecommuting policy.	<input type="checkbox"/> The organization has no policy.	<input type="checkbox"/> The organization ensures all staff follow written policy.	<input type="checkbox"/> The organization's policy is reviewed annually and revised as needed.	
2.1.7. Conducts organizational orientation and initial training program.	<input type="checkbox"/> The organization has no formalized training program for new staff.	<input type="checkbox"/> An orientation is conducted within 6 months of employment.	<input type="checkbox"/> An orientation is conducted before staff work independently and training includes a mentoring program.	
2.1.8. Monitors staff performance systematically for correct implementation and response.	<input type="checkbox"/> The organization holds meetings with individual staff less than quarterly or with the unit less than biannually.	<input type="checkbox"/> The organization has a staff performance review system that includes quarterly individual meetings and biannual unit meetings.	<input type="checkbox"/> The organization has a staff performance review system that includes monthly individual meetings and quarterly unit meetings.	

2.1. Staffing Overall Notes:

2.2. Professional Development System for Organization Staff

	Needs Attention	Meets Standard	Exceeds Standard	Notes
2.2.1. Identifies an individual within the program responsible for oversight and management of the staff professional development system.	<input type="checkbox"/> The organization has no job description including these duties.	<input type="checkbox"/> The organization includes this position along with other job duties and training is mostly developed in-house.	<input type="checkbox"/> The organization has a position dedicated to this function and training includes external learning opportunities.	
2.2.2. Performs needs and effectiveness assessment to guide professional development activities so that staff remain current on programmatic and industry practices.	<input type="checkbox"/> The organization does not perform a needs or effectiveness assessment.	<input type="checkbox"/> A needs and effectiveness assessment is performed every 3 years.	<input type="checkbox"/> A needs and effectiveness assessment is performed annually.	
2.2.3. Creates and monitors staff professional development plans.	<input type="checkbox"/> Only staff with performance issues have professional development plans, or no staff have professional development plans.	<input type="checkbox"/> All staff have professional development plans.	<input type="checkbox"/> Professional development plans monitored annually.	
2.2.4. Plans the staff development services to assure that training is timely and accessible.	<input type="checkbox"/> No staff development services plan exists.	<input type="checkbox"/> Services are scheduled within 6 months of need.	<input type="checkbox"/> The organization has options for staff training to be accessible when and as soon as needed.	
2.2.5. Ensures qualified individuals conduct professional development activities.	<input type="checkbox"/> Professional development activities are conducted by individuals with content background but no instructional design or adult learning training.	<input type="checkbox"/> Professional development activities are conducted by qualified individuals who have an instructional design and content background.	<input type="checkbox"/> Professional development activities are conducted by qualified individuals who have degrees or certifications in instructional design or adult learning and content area background.	

1.5. Professional Development System for Organization Staff (continued)

	Needs Attention	Meets Standard	Exceeds Standard	Notes
2.2.6. Follows instructional design and adult learning best practices.	<input type="checkbox"/> The organization does not conduct a review to ensure instructional design or adult learning best practices are being used.	<input type="checkbox"/> The organization conducts an internal review to ensure courses are designed utilizing instructional design and adult learning best practices.	<input type="checkbox"/> The organization conducts an external review to ensure courses are designed utilizing instructional design and adult learning best practices.	
2.2.7. Confirms professional development activities include assessment and evaluation to ensure the learner has achieved intended outcomes.	<input type="checkbox"/> The organization does not use assessment or evaluation methods.	<input type="checkbox"/> A single comprehensive assessment and two levels of evaluation are used.	<input type="checkbox"/> Multiple methods of assessment and at least three levels of evaluation are used.	
2.2.8. Ensures appropriate follow-up during and after professional development activities.	<input type="checkbox"/> The organization does not provide follow-up.	<input type="checkbox"/> Follow-up identified during professional development activity is completed.	<input type="checkbox"/> Post activity follow-up is conducted to guide future opportunities.	

2.2. Professional Development System for Organization Staff Overall Notes:

2.3. Quality Assurance for Improvement and Control

	Needs Attention	Meets Standard	Exceeds Standard	Notes
2.3.1. Develops and manages an integrated quality assurance system.	<input type="checkbox"/> The organization has no quality assurance system.	<input type="checkbox"/> The quality assurance system monitors consistent implementation of standards and enforcement.	<input type="checkbox"/> The system uses monitoring data to guide staff professional development, policy development, and program improvements.	
2.3.2. Assesses the enforcement system for identification of trends and programmatic strengths and weaknesses.	<input type="checkbox"/> The organization conducts no data analysis.	<input type="checkbox"/> The organization conducts data analysis every 3 years and uses the data for program improvement.	<input type="checkbox"/> The organization conducts data analysis annually and uses the data for program improvement.	

2.5. Quality Assurance for Improvement and Control Overall Notes:

2.4. Communication

	Needs Attention	Meets Standard	Exceeds Standard	Notes
2.4.1. Establishes and maintains a clear communication plan, which includes the following:				
2.4.1.1. Protocols for external sharing of required or best practices affecting the industry with leadership, legislative offices, and government officials.	<input type="checkbox"/> The organization has no written protocols.	<input type="checkbox"/> Protocols exist for information sharing with the organization's executive leadership.	<input type="checkbox"/> Procedures exist for information sharing with legislative offices and government officials, including other agencies.	
2.4.1.2. Procedures for gathering and sharing information internally with staff.	<input type="checkbox"/> The organization has no written procedures.	<input type="checkbox"/> Procedures exist to exchange information with the regulatory management staff on a quarterly basis.	<input type="checkbox"/> Procedures exist to exchange information with the regulatory management staff on a monthly basis.	
2.4.1.3. Processes for gathering input and feedback as well as being responsive to providers, advocates, communities, families, and the media.	<input type="checkbox"/> The organization has no written procedures.	<input type="checkbox"/> Procedures exist to exchange information with external parties on an annual basis.	<input type="checkbox"/> Procedures exist to exchange information with external parties on a regular basis.	
2.4.1.4. Providing outreach to the public.	<input type="checkbox"/> The organization does not conduct public outreach.	<input type="checkbox"/> Public outreach is reactive to situations.	<input type="checkbox"/> Public outreach is proactive in nature and for educational purposes.	
2.4.2. Uses a structured process to coordinate with legal staff.	<input type="checkbox"/> The organization has no written processes.	<input type="checkbox"/> A written process exists to coordinate with legal staff for legal-risk decisions, enforcement, and litigation.	<input type="checkbox"/> The written process includes legal consultation to support agency decision making in statutory guidance and policy development.	

2.4. Communication (continued)

	Needs Attention	Meets Standard	Exceeds Standard	Notes
2.4.3. Develops and monitors process for reporting critical incidents.	<input type="checkbox"/> The organization has no written processes.	<input type="checkbox"/> The organization has a written monitoring process to ensure critical incidents are reported.	<input type="checkbox"/> The organization uses information from monitoring to guide quality assurance and technical assistance initiatives.	
2.4.4. Creates protocols for staff communication that address timeliness and content control.	<input type="checkbox"/> The organization has no written protocols.	<input type="checkbox"/> The organization responds within 5 workdays and critical issue communications are reviewed by a second person.	<input type="checkbox"/> The organization responds within 48 hours with a second-person content review as applicable.	
2.4.5. Monitors compliance with public records request requirements.	<input type="checkbox"/> The organization does not monitor public records requests.	<input type="checkbox"/> The organization monitors compliance of public records requests regularly.	<input type="checkbox"/> The organization uses the information from monitoring to guide program improvement.	
2.4.6. Establishes time boundaries for response to applicants.	<input type="checkbox"/> Less than 95 percent of licenses are issued by the legal deadline.	<input type="checkbox"/> Ninety-five percent of licenses are issued by the legal deadline.	<input type="checkbox"/> One-hundred percent of licenses are issued by the legal deadline or within 90 days.	

2.4. Communication Overall Notes:

3. Regulatory Management

3.1. Statutory Provisions

	Needs Attention	Meets Standard	Exceeds Standard	Notes
3.1.1. Identifies authority, responsibility, and protective intent.	<input type="checkbox"/> At least one of the three components (authority, responsibility, and protective intent) are missing in statute.	<input type="checkbox"/> All three components (authority, responsibility, and protective intent) are addressed in statute.		
3.1.2. Defines distinctions in types of licenses.	<input type="checkbox"/> The organization does not define distinctions.	<input type="checkbox"/> Broad distinctions are defined.	<input type="checkbox"/> Within broad distinctions, subsets are defined.	
3.1.3. Affords similar protections to populations in similar risk categories or settings.	<input type="checkbox"/> Exemptions are allowed.	<input type="checkbox"/> No exemptions are allowed.		
3.1.4. Provides flexibility to enable the organization to deal effectively with changes in the industry.	<input type="checkbox"/> The statutes allow some flexibility and limited prescriptive language.	<input type="checkbox"/> The statutes allow some flexibility and limited prescriptive language.	<input type="checkbox"/> The statutes provide framework and parameters but are not prescriptive.	
3.1.5. Delineates the licensure fee and fine parameters.	<input type="checkbox"/> The organization has no fee and fine parameters.	<input type="checkbox"/> Fee and fine parameters are prescriptive by providing the specific licensure fee and noncompliance fines.	<input type="checkbox"/> Fee and fine parameters provide guidelines for establishing licensing fees and noncompliance fines.	
3.1.6. Requires a minimum inspection frequency including unannounced inspections.	<input type="checkbox"/> The organization conducts one or no inspections per year OR all inspections are announced.	<input type="checkbox"/> The organization conducts two inspections per year with at least one unannounced inspection.	<input type="checkbox"/> The organization conducts more than two inspections per year with at least one unannounced inspection.	

3.1. Statutory Provisions (continued)

	Needs Attention	Meets Standard	Exceeds Standard	Notes
3.1.7. Establishes sanction guidelines that serve as a basis for consistent enforcement and discretionary waivers.	<input type="checkbox"/> The statutes are prescriptive.	<input type="checkbox"/> The statutes allow some flexibility and limited prescriptive language.	<input type="checkbox"/> The statutes provide a framework and parameters but are not prescriptive.	
3.1.8. Outlines due process rights and court engagement.	<input type="checkbox"/> The statutes do not outline due process rights.	<input type="checkbox"/> The statutes outline due process rights.		
3.1. Statutory Provisions Overall Notes:				

3.2. Standards Development

	Needs Attention	Meets Standard	Exceeds Standard	Notes
3.2.1. Uses processes and methods to develop and revise effective regulations.	<input type="checkbox"/> The organization does not use processes or methods to develop regulations.	<input type="checkbox"/> The standards development process is limited to internal staff and a limited number of key stakeholders.	<input type="checkbox"/> Internal staff and external partners are engaged in guiding standards development as well as the use of monitoring data.	
3.2.2. Develops standards that are clearly written and measurable, addressing at a minimum: applications, background screening, behavior and guidance, environment, family engagement, food preparation and service, health, personnel training, ratio and group size, safety requirements, supervision, and transportation.	<input type="checkbox"/> Standards include less than 9 categories.	<input type="checkbox"/> Standards include 9 of the 12 categories and are clearly written and measurable.	<input type="checkbox"/> Standards include all 12 categories and are clearly written and measurable.	
3.2.3. Develops and maintains an up-to-date interpretive guide for use in applying regulations consistently:	<input type="checkbox"/> The organization does not have an interpretive guide.	<input type="checkbox"/> An interpretive guide is developed and used with internal staff.	<input type="checkbox"/> An interpretive guide is developed for internal and external use.	
3.2. Standards Development Overall Notes:				

3.3. Programmatic Policy

	Needs Attention	Meets Standard	Exceeds Standard	Notes
3.3.1. Uses structured cycles to comprehensively review and develop effective regulations.	<input type="checkbox"/> The organization does not maintain a structured review cycle.	<input type="checkbox"/> A comprehensive review is conducted every 5 years.	<input type="checkbox"/> A comprehensive review is conducted every 3 years and targeted revisions are made as needed.	
3.3.2. Develops procedures and protocols to achieve consistent enforcement.	<input type="checkbox"/> The organization has no procedures and protocols for consistent enforcement.	<input type="checkbox"/> Procedures are prescriptive at the broad category level.	<input type="checkbox"/> Enforcement is prescriptive for each standard and substandard with limited flexibility based on severity of noncompliance.	
3.3. Programmatic Policy Overall Notes:				

3.4. Legal Enforcement

	Needs Attention	Meets Standard	Exceeds Standard	Notes
3.4.1. Establishes and maintains an automated regulatory data collection system and uses standard file-organization methods for case files and office records.	<input type="checkbox"/> The organization does not have an automated system established for data collection.	<input type="checkbox"/> The organization has an automated system for inspection reports, with reporting capabilities.	<input type="checkbox"/> The organization has an automated system with additional data collection, such as administrative actions, illegal operations, closures, and fines.	
3.4.2. Conducts licensing inspections.	<input type="checkbox"/> The organization does not conduct unannounced onsite inspections, or conducts one inspection a year without a reliable system to determine the need for additional inspections for compliance, or inspections are not conducted within program expectation timeframes.	<input type="checkbox"/> The organization conducts onsite inspections twice a year within program expectation timeframes.	<input type="checkbox"/> The organization conducts additional onsite inspections that exceed the minimum statutory requirement.	
3.4.3. Ensures that inspection documentation is clear, accurate, and objective.	<input type="checkbox"/> The inspection system has poor documentation that may include use of slang, illegible comments, or shorthand.	<input type="checkbox"/> Inspection documentation is written in plain language using complete sentences and is professional in nature and monitored for quality assurance.	<input type="checkbox"/> The automated inspection system uses standardized language templates and includes tools such as spelling and grammar check to promote professionalism.	
3.4.4. Ensures that licensing decisions are appropriate and actions are timely, fair, objective, and consistent.	<input type="checkbox"/> The organization has no processes.	<input type="checkbox"/> Procedures clearly identify the decision-making process, timeframes, and circumstances for review.	<input type="checkbox"/> A quality assurance review is conducted to ensure decisions are appropriate, timely, and consistent.	

3.4. Legal Enforcement (continued)

	Needs Attention	Meets Standard	Exceeds Standard	Notes
3.4.5. Investigates complaints and reports of illegal operations.	<input type="checkbox"/> The organization has no established timeframes.	<input type="checkbox"/> The organization has established timeframes based on severity and risk.	<input type="checkbox"/> A quality assurance review is conducted to monitor that investigations are appropriate, timely, and consistent.	
3.4.6. Requires corrective actions be based on cause and monitored systematically for compliance.	<input type="checkbox"/> The organization has no established corrective action guidelines.	<input type="checkbox"/> The organization has established guidelines for appropriate, timely, and consistent corrective actions to be applied based on noncompliance situations.	<input type="checkbox"/> A quality assurance review is conducted to monitor that corrective actions are completed and licensing staff have followed up.	
3.4.7. Maintains close monitoring and regular management review for high-risk cases.	<input type="checkbox"/> The organization has no processes.	<input type="checkbox"/> Procedures clearly identify the decision-making process, timeframes, and circumstances for review.	<input type="checkbox"/> A quality assurance review is conducted to ensure that decisions are appropriate, timely, and consistent.	
3.4.8. Develops a process for handling interagency reports with regard to licensure.	<input type="checkbox"/> The organization has no processes.	<input type="checkbox"/> The process includes regularly scheduled communication with partners.	<input type="checkbox"/> Communication is automated and electronic.	

3.4. Legal Enforcement Overall Notes:

3.5. Technical Assistance

	Needs Attention	Meets Standard	Exceeds Standard	Notes
3.5.1. Provides inquirers with access to timely information and orientation on compliance expectations to assist their decision-making on whether to apply for licensure.	<input type="checkbox"/> The organization provides no technical assistance.	<input type="checkbox"/> Orientations are held annually.	<input type="checkbox"/> Orientations are held more than once a year and frequently enough to meet community need.	
3.5.2. Establishes plans and guidance to provide appropriate technical assistance and other support services to providers.	<input type="checkbox"/> The organization provides no technical assistance.	<input type="checkbox"/> Technical assistance includes providing resources and annual training opportunities.	<input type="checkbox"/> Technical assistance is ongoing and available to providers on a regular schedule as well as on an as-needed basis.	
3.5.3. Ensures that all personnel make referrals to other agencies as appropriate.	<input type="checkbox"/> The organization provides no information formally to staff.	<input type="checkbox"/> Information about making referrals is provided formally to staff through orientation and resource documentation.	<input type="checkbox"/> The organization conducts a quality assurance review and periodic training updates to ensure referrals are appropriate and timely.	

3.5. Technical Assistance Overall Notes: