



Hague Accreditation & Approval Process

INTERCOUNTRY ADOPTION ACCREDITATION & MAINTENANCE ENTITY, INC.
(IAAME)

IAAME Team

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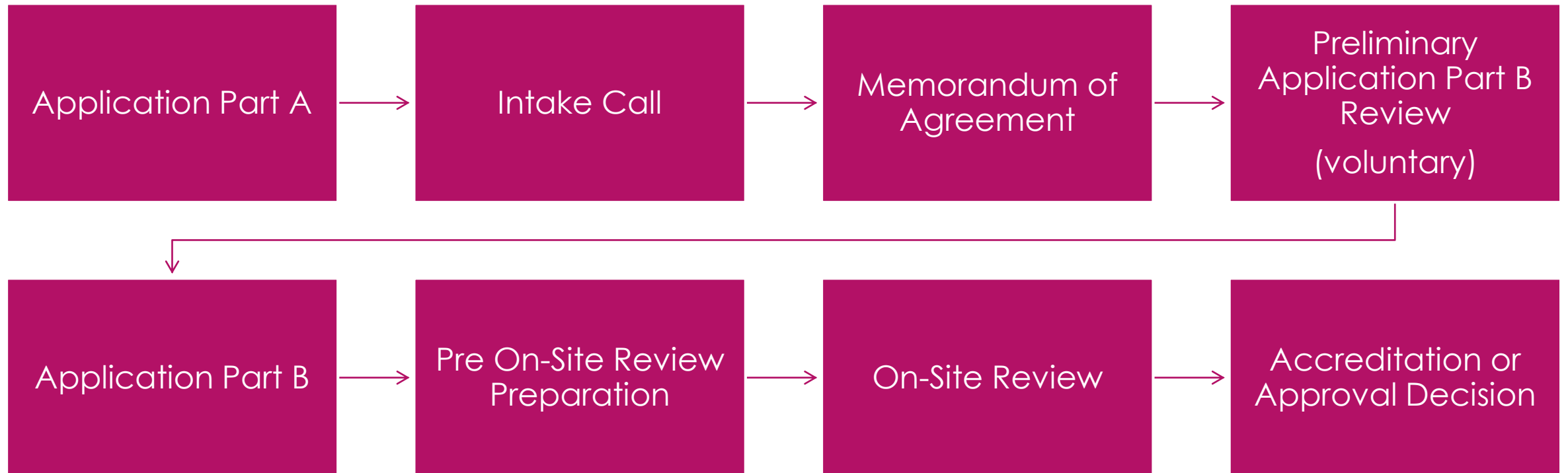
IAAME as the Accrediting Entity (AE)

- ▶ Accreditation & Approval Activities since April 1, 2018
 - ▶ Accepting/processing initial and renewal Application Part A
 - ▶ Contacting accredited/approved Adoption Service Providers (ASPs) to initiate renewal process
 - ▶ Conducting intake calls with initial and renewal applicants
 - ▶ Participating in follow up calls with applicants
 - ▶ Providing preliminary feedback to applicants on various Application Part B evidence.
 - ▶ Reviewing evidence for submission of Application Part B (self-study)
 - ▶ Scheduling/finalizing on-site review details
 - ▶ Currently 13 on-site reviews scheduled with ASPs

Accreditation/Approval Renewal Fees

Fee Category	Amount
Initial Accreditation/Approval Application Fee	\$3,000
Accreditation/Approval Renewal Application Fee	\$800
Extension Fee	\$2000
Accreditation/Approval Fee	0-5 Adoptions = \$8,000 6-25 Adoptions = \$12,000 26-75 Adoptions = \$16,000 76+ Adoptions = \$20,000
Monitoring and Oversight Fees	\$500 per adoption
Site Visit Fees (including site visits conducted for complaints and/or adverse action)	Travel Costs – actual cost of transportation per reviewer (plane ticket, hotel, gas, rental car, train) Per Diem costs per reviewer – IAAME will apply current federal per diem rates per reviewer per day of site visit activities
Site Visit Rescheduling Fee	\$1,000 plus actual cost of changes to transportation and lodging charges
Certificate Replacement Fee	\$5 per certificate requested

IAAME Accreditation/Approval Renewal Process




Application Part A

IAAME staff contacts ASP approximately **13 months** prior to Hague Accreditation/Approval expiration date and creates Application Part A in IAAME portal



ASP completes Application Part A in IAAME portal and uploads Application Part A Addendum and supporting documents into IAAME portal



Within **5 business days** of Application Part A submission, IAAME staff contacts ASP to schedule intake call

Intake Call

- ▶ Introductions and roles of participants
- ▶ Provides an orientation to and overview of the accreditation/approval process
- ▶ Discussion of corporate structure of the agency/person to assist in on-site review planning for IAAME
- ▶ Review of submitted Application Part A and supporting documents
- ▶ Request for any additional information needed to complete Application Part A
- ▶ Initial questions of the agency/person
- ▶ Assists in identifying scope of review required through review of service(s) provided in each country

Intake Call (cont.)

- ▶ Review Application Part B and supporting evidence requirements
- ▶ Overview of on-site review process
- ▶ Discussion of accreditation/approval fee(s), how and when fee(s) due
- ▶ Establish initial timeline for due dates related to the remainder of the process
 - ▶ Future check-in calls to review process (to include call for voluntary preliminary Application Part B documents review if agency/person elects to participate)
 - ▶ Agreement & Accreditation/Approval Fee – Due **3 months from intake call**
 - ▶ On-Site Review Date – **At least 3 months before expiration date**
 - ▶ Application Part B (Self-Study) – **Approximately 3 months before to on-site review**
- ▶ **Tip for agencies/persons:** Review Accreditation and Approval Policy 003 (on web) before intake call

Memorandum of Agreement & Fee

Accreditation, Approval, Monitoring and Oversight

- ▶ Within **5 business days** of intake call, IAAME sends Accreditation Agreement to be signed by agency/person and returned to IAAME
- ▶ Outlines accreditation, approval, monitoring and oversight, roles and responsibilities, as well as fees associated with accreditation, approval, and maintenance and oversight activities
- ▶ Accompanied by accreditation/approval fee invoice
- ▶ Submitted to IAAME signed by CEO/President of agency/person **3 months** from date of intake call, along with accreditation/approval fee
- ▶ Upon receipt, IAAME CEO will sign and final copy uploaded into agency/person's IAAME portal account

Preliminary Application Part B Evidence Review

- ▶ IAAME offers a preliminary review of select Application Part B evidence
- ▶ The preliminary review is fully **voluntary** for the agency/person and they will need to notify their IAAME staff member if they wish to participate
- ▶ IAAME staff will provide a list of recommended evidence to submit for preliminary review
- ▶ IAAME staff will review evidence and schedule a follow up call to provide feedback
- ▶ Preliminary reviews **will not** address compliance or ratings towards applicable standards
- ▶ The preliminary review **will** provide general feedback and recommendations for the agency/person to consider as Part B (self-study) and onsite evidence is finalized for submission to IAAME

Substantial Compliance System

- ▶ Four point rating system to guide reviewers in determining agency/person's degree of compliance with each standard
- ▶ Ratings
 - ▶ 1 – Full Compliance
 - ▶ 2 – Substantial Compliance
 - ▶ 3 – Partial Compliance
 - ▶ 4 – Non-compliance
 - ▶ N/A – Not applicable

Substantial Compliance System

▶ Weighting of the Standards

- ▶ **Mandatory** – Mandatory standards represent practices that are essential to fulfillment of the aims of the Convention, the IAA, the UAA, and the regulations, and have the greatest impact in preventing risks to children and families. ‘Mandatory’ is the highest weight assigned to regulation standards. An agency/person must have a performance rating of full compliance on all Mandatory standards to receive accreditation/approval or renewal of accreditation/ approval.
- ▶ **Critical** – Critical Standards represent practices that have a significant impact on fulfillment of the aims of the Convention, the IAA, the UAA, and the regulations. ‘Critical’ is a high weight assigned to regulation standards. A majority of the accreditation standards have a weight of Critical. An agency/person must have a performance rating of Full or Substantial Compliance on all Critical Standards to receive accreditation/approval or renewal of accreditation/ approval.
- ▶ **Foundational** – Foundational Standards are important to the operation of a well-functioning adoption program. They derive from and support compliance with the Convention, the IAA, the UAA, and the regulations. ‘Foundational’ is a weight below that of Mandatory and Critical. An agency/person must have a performance rating of partial compliance or higher on all Foundational Standards to receive accreditation/approval or renewal of accreditation/approval

Substantial Compliance System

- ▶ In order to be Accredited/Approved or renewed, the agency/person must:
 - ▶ receive ratings of Full Compliance on 100 percent of all [applicable] Mandatory Standards;
 - ▶ receive ratings of Full or Substantial Compliance on 100 percent of all applicable Critical Standards; and
 - ▶ receive ratings of Partial Compliance or higher on 100 percent of all applicable Foundational Standards

Demonstrating Compliance vs. Capacity

Compliance

- ▶ Demonstrated through actual performance
- ▶ Relevant policies, procedure, and/or practices
- ▶ Burden of demonstrating compliance with standards is the responsibility of the agency/person

Capacity

- ▶ Only appropriate when actual evidence of performance is not available (Initial applicants & home study only agencies/persons)
- ▶ Plan to implement the standard is not sufficient
- ▶ Must demonstrate capacity to implement, not just intent to implement

**See IAAME's Demonstrating Capacity help document available on the IAAME website.*

Demonstrating Capacity

WHEN DEMONSTRATING CAPACITY, THE AGENCY/PERSON SHOULD:

- ESTABLISH ALL REQUIRED POLICIES AND PROCEDURES
- DEMONSTRATE THAT STAFF HAVE BEEN TRAINED ON HOW TO IMPLEMENT THE STANDARDS
- DEVELOP NECESSARY TOOLS AND RESOURCES TO IMPLEMENT THE STANDARD

AN AGENCY/PERSON SHOULD NOT:

- DEVELOP A POLICY OR PROCEDURE THAT IS A DIRECT RESTATEMENT OF THE STANDARD(S)

Application Part B (Self-Study)

IAAME staff creates Application Part B Activity in agency/person's IAAME portal account upon receipt of MOA & Accreditation/Approval Fee



Agency/person uploads evidence for all applicable standards and sub-standards and submits to IAAME for review through portal



IAAME staff reviews and follows up with agency/person for any missing evidence prior to on-site review

Application Part B

- ▶ IAAME Tables of Evidence
 - ▶ 9 Tables of Evidence (all found on www.iaame.net)
 - ▶ 239 pieces of required evidence
 - ▶ Closely resembles previous Council on Accreditation's Tables of Evidence.
 - ▶ Some evidence that COA requested to review on-site, IAAME is requesting to be submitted during the self-study (Part B) process

Pre On-Site Review

- ▶ Final determination of how many IAAME staff required and length of time for agency/person on-site review (considering size and scope of agency/person) – minimum of two staff required.
- ▶ Assigned IAAME staff works with agency/person to determine on-site review schedule/agenda.
- ▶ Travel scheduled and travel invoice provided to agency/person (**approximately 3 months** prior to on-site review)
- ▶ Assigned IAAME staff corresponds with agency/person through email **approximately 2 months** prior to scheduled on-site review outlining the following:
 - ▶ Any additional evidence required prior to on-site review with due dates
 - ▶ List of on-site evidence required
 - ▶ List of individuals to be interviewed on-site
 - ▶ List of other agency/person sites to be visited
 - ▶ Request that agency/person ensures private meeting space is available for IAAME staff while on-site
 - ▶ Request a finalized on-site review draft schedule

Pre On-Site Review

- ▶ IAAME staff may hold additional calls with agency/person to further elaborate on evidence needed, and finalize details of on-site review schedule, interviews, etc.
- ▶ **One week** prior to on-site review, IAAME staff contacts agency/person to confirm details, finalize any other arrangements, and to answer any final questions
- ▶ Travel fees due in full to IAAME prior to the first day of the on-site review

Note: IAAME attempts to utilize federal per diem rates when scheduling lodging for on-site reviews and will attempt to stay within this rate whenever possible. IAAME also remains cognizant of cost to agencies/persons when booking flights, transportation, and other travel related expenses.

On-Site Review

- ▶ Visits are expected, depending upon size and scope of the adoption services provided, to take **two to three days** (some very large agencies/persons may take longer)
- ▶ **Minimum of two** IAAME staff to conduct visit/review
- ▶ IAAME strives to schedule on-site reviews for dates that meet the needs of the agency/person
- ▶ On-site reviews are scheduled **at least 3 months** prior to the agency/person's accreditation/approval expiration date

On-Site Review

- ▶ Entrance Meeting
 - ▶ Held with IAAME staff and the executive and other staff of agency/person.
 - ▶ Opportunity for introductions of all parties
 - ▶ Serves as starting point for on-site review process overview.
 - ▶ Initial questions from IAAME and the agency/person.
- ▶ Record Review
 - ▶ Random sample of client files chosen by IAAME from list provided by agency/person
 - ▶ Review of intercountry adoption staff and senior management personnel records

On-Site Review

- ▶ Interviews
 - ▶ Board chair and potentially other members of the governing body as needed
 - ▶ Staff at all levels, as indicated via each section of the Tables of Evidence
 - ▶ Clients including Prospective Adoptive Parents; Adoptive Parents
 - ▶ Other stakeholders (Supervised Providers, Licensing Bodies, etc.)
- ▶ Evidence Review
 - ▶ On-site evidence as noted in the Tables of Evidence
 - ▶ Case records as needed throughout on-site review

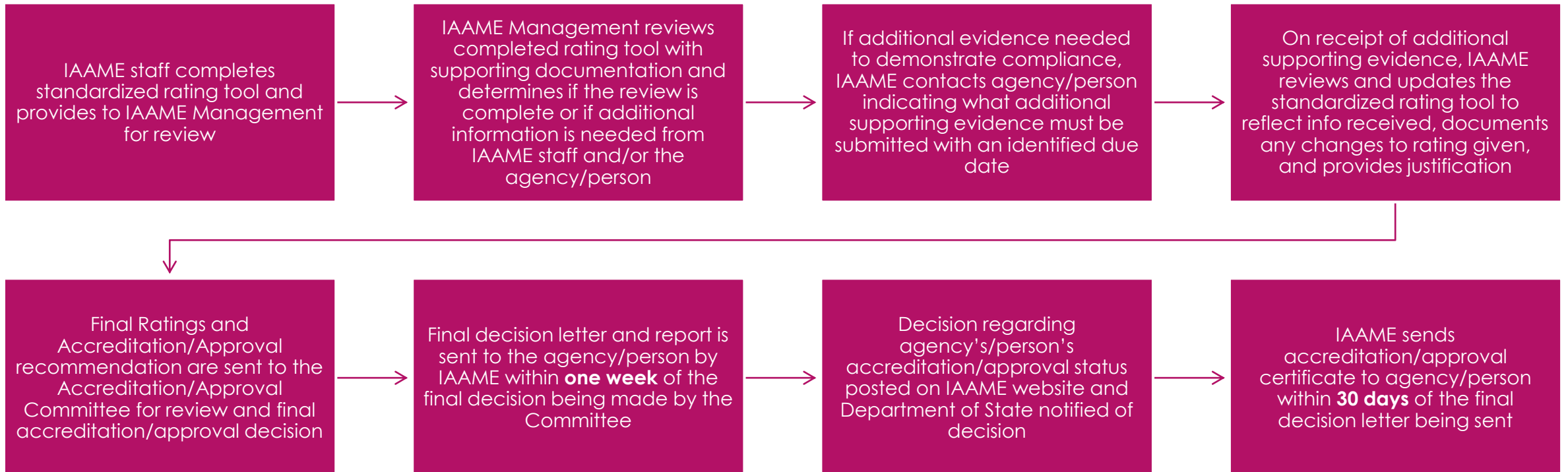
On-Site Review

- ▶ Exit Meeting
 - ▶ Final day of on-site review
 - ▶ Includes IAAME staff and agency/person executives and other staff
 - ▶ IAAME staff **will** provide an overview of preliminary findings
 - ▶ IAAME staff **will** provide an overview of general areas of strength and needs
 - ▶ IAAME staff **will not** provide the specific preliminary scores for each standard or sub-standard or whether the agency/person will be accredited/approved
 - ▶ IAAME staff provides timeframe for when final ratings and report will be completed and provided to agency/person

Accreditation or Approval Decision

- ▶ IAAME utilizes a standardized rating tool to score and finalize initial and renewal accreditation/approval decisions.
- ▶ Rating tool includes:
 - ▶ All standards and sub-standards with language directly from 22 CFR 96 Part F
 - ▶ Weighting (mandatory, critical, or foundational) for each standard and sub-standard
 - ▶ Scoring section, pursuant to the substantial compliance system, indicating if each standard and sub-standard is in full compliance, substantial compliance, partial compliance, or non-compliance
 - ▶ Focus on evidence of actual performance, or measuring capacity if IAAME determines evidence of actual performance is not available
 - ▶ Comment section for each standard and sub-standard for IAAME justification of ratings
 - ▶ Overall compliance ratings.

Accreditation or Approval Decision



Accreditation or Approval Decision

- ▶ Final Decision Letter
 - ▶ Includes specific ratings given for each standard and sub-standard
 - ▶ Provides written justification for all standards and sub-standards ratings of 2, 3, or 4
- ▶ Length of Accreditation or Approval Period
 - ▶ IAAME will generally accredit/approve an agency/person for a period of four years
 - ▶ Accredited/approved agencies/persons may apply for an extension of no more than one year such that the total accreditation/approval period does not exceed five years
 - ▶ Agency/person must meet the criteria as outlined in 22 CFR 96.60(b), as well as IAAME Policy and Procedure 003 (Initial and Renewal Accreditation and Approval)

Accreditation or Approval Decision

▶ Reconsideration of Denial

- ▶ Agency/person who has been denied accreditation/approval may submit to IAAME a written request for reconsideration
- ▶ Written request for reconsideration must be made and received by IAAME within **one week** of the date the agency/person received notification of denial
- ▶ Written requests for reconsideration must detail the agency's/person's rationale for the request, identify the specific ratings and/or justifications to be reconsidered or reassessed, and must be accompanied by documentation/evidence to support the agency's/person's position
- ▶ IAAME maintains the right to require an additional on-site visit, if necessary, to assess the request for reconsideration and to verify substantial compliance with the standards outlined in request
- ▶ IAAME Manager completes review, renders recommendation, and adds additional final ratings and justification information to the agency/person's record within **two weeks** of receipt of all required and requested information

Cont. Accreditation or Approval Decision

- ▶ Reconsideration of Denial
 - ▶ IAAME Manager forwards the additional information and recommendation to the IAAME Executive Director who reviews and will approve or deny the request of reconsideration within **one week** of receipt
 - ▶ Within **one week** of the decision being made, IAAME will send a letter to the agency/person regarding the final decision on the request for reconsideration
 - ▶ If the final decision changes the status of IAAME's accreditation/approval decision, IAAME will post the change to the IAAME website within **two business days** of notifying the agency/person and notifies the Department of State
 - ▶ Within **30 days** of the final decision, if the reconsideration is granted, IAAME will provide the agency/person the accreditation/approval certificate

Accreditation or Approval Decision

- ▶ Denial of initial or renewal accreditation/approval may be based on factors including but not limited to:
 - ▶ Agency's/person's inability to demonstrate substantial compliance, or when applicable, the ability to substantially comply with the applicable standards
 - ▶ Agency's/person's failure to provide required or requested information in a timely manner or at all during initial or renewal accreditation/approval process
 - ▶ Agency's/person's failure/refusal to make staff available as requested
 - ▶ Agency's/person's failure to report information necessary for IAAME to make a complete and informed decision regarding the agency's/person's demonstration of substantial compliance or, when applicable, their ability to substantially comply with the standards

Accreditation or Approval Decision

- ▶ If IAAME refuses to renew the agency's/person's accreditation/approval, IAAME will provide in writing:
 - ▶ Notification to indicate the need for the agency/person to enact their case transfer plans
 - ▶ Notification to the agency/person of the date by which the agency/person must cease services in intercountry adoptions

IAAME Accreditation/Approval Process Resources

- ▶ www.iaame.net
 - ▶ Accreditation page
 - ▶ Initial and Renewal Accreditation and Approval Policy (003)
 - ▶ Application Part A Addendum form
 - ▶ Fee schedule, explanations, and FAQs
 - ▶ Tables of Evidence
 - ▶ Substantial Compliance System
 - ▶ Accreditation and Approval Documents page
 - ▶ IAAME form templates for Application Part B
 - ▶ Demonstrating Capacity help document
 - ▶ Not Applicable Ratings help document
 - ▶ List of Accredited/Approved Agencies/Persons

Accreditation/Approval Process

Questions regarding IAAME's accreditation/approval process following this presentation can be submitted to contact@iaame.net