



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

Policy Name:	Monitoring and Oversight
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Policy: This policy outlines the procedures generally applicable to the Intercountry Adoption Accreditation and Maintenance Entity's (IAAME) monitoring and oversight processes. This policy contains requirements for mandatory reporting, and addresses activities, as governed by 22 CFR 96.6 and 96.72, related to IAAME's monitoring and oversight of an agency/person for ongoing compliance with the applicable standards.

1. Monitoring and oversight throughout the period of accreditation/approval is a crucial and important factor in serving the best interests of children and families. IAAME will gather, track, analyze and act on information throughout the agency or person's accreditation/approval period. IAAME will utilize information to note trends, best practices, areas in need of improvement and areas of concern. This will lead to a better understanding of each agency or person and the intercountry adoption system as a whole. This understanding and reaction(s) to findings creates an accountable system focused on maintaining compliance with the standards, doing what is in the best interests of children, and keeping children and families safe.
2. IAAME will assign a staff member to work with an agency or person to work directly with the agency or person on monitoring and oversight issues.
3. IAAME staff will have a minimum of quarterly contact by phone or in person, depending on the situation, with the agency or person and will provide technical support as required. During the quarterly contact, IAAME will provide information regarding any changes in requirements/laws/regulations and upcoming mandatory



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

reporting due dates. The agency or person may discuss any questions or concerns with IAAME. This communication is designed to foster ongoing discussion and build relationships between IAAME and the agencies and persons.

4. IAAME Analysts are responsible for ongoing monitoring and oversight tasks including, but not limited to:
 - a) Providing technical support
 - b) Completing/reviewing current accreditation/approval report and the standardized scoring tool
 - c) Determining areas in need of improvement and areas for review. As appropriate, gathering data and information from agencies or persons, prospective adoptive individuals and families, and foreign supervised providers on an ongoing basis. Analyzing the data/information and determining if improvements have been made and maintained
 - d) Requesting reports and data from agency/persons
 - e) Processing complaints in accordance with IAAME's complaint review policy
 - f) Processing agency or persons self-reports
 - g) Reviewing agency or persons reports, including self-reports, and complaints for accuracy and trends
 - h) Providing feedback and follow-up to agency or person regarding any issues needing to be addressed
 - i) Completing corrective and/or adverse action processes
 - j) Sending reports and data to agency or person
 - k) Sending reports and data to the Department of State
 - l) Sending report analysis and data to IAAME staff to utilize during accreditation/approval renewal process
 - m) Updating website and database
 - n) Conducting site visits if needed to address issues of concern
 - o) Remaining knowledgeable on State law, foreign law/regulations, The Hague Adoption Convention, IAA, UAA and State licensing standards
 - p) Sending email reminders to agency/persons informing them of updates to standards, changes in reporting/data requirements, changes to fee structure, etc.
 - q) Quarterly contact with the agency/person to address issues as described above.

5. Self-Reports
 - a) IAAME requires all accredited/approved agencies/persons to submit self-reports when certain events occur or are planned to occur which have or potentially have an impact on child safety, the agency/person's operations, and/or the



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

- agency/person’s ability to continue to substantially comply with the standards.
- b) Self-reports are a defined set of events and/or circumstances. Self-reports must be provided via email utilizing the IAAME self-report form and must also include all required supporting documentation.
 - c) Accredited/approved agencies/persons must submit to IAAME the required self-reports and supporting documentation in a timely manner.
 - d) Required self-reports, supporting documentation, and the timeframe for the agency/person’s submission to IAAME are listed in the following table:

Occurrence	Explanation and Required Information	Reporting Time
<p>Revocation of State License or Authority (see 22 CFR 96.30 (a) – (d) and 96.35 (b))</p>	<p>Explanation: The agency or person has had its State license revoked, been debarred, lost the right, or otherwise denied the authority to provide adoption services in any State.</p> <p>Information to Be Provided to IAAME:</p> <ul style="list-style-type: none"> • A copy of the notification from the licensing or regulatory authority including any review and/or investigative findings from the licensing or regulatory authority • A copy of the corrective action plan developed by the adoption service provider • A copy of the licensing or other investigative authority/entity’s approval of the plan • Any additional documentation or information relevant to the revocation or investigation and/or requested by IAAME 	<p>Within two (2) business days of agency/person’s receipt of formal documentation revoking the license or other documentation limiting the agency/person’s authority to provide adoption services in any State.</p>



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

Occurrence	Explanation and Required Information	Reporting Time
<p>Action(s) by Licensing or other oversight bodies (local, state, or federal) or Other Investigative Entity (see 22 CFR 96.30 (a)-(d) and 96.35 (b)-(d))</p>	<p>Explanation: The agency or person is under investigation or has been suspended for cause or received other negative sanctions by a licensing, or other oversight bodies including regulatory or other Government Authority. This includes the following actions:</p> <ul style="list-style-type: none"> • Suspension of license • Change in license, including provisional, probationary, or other compromised status. • Receipt of financial or other sanctions or penalties • Hold placed on referrals and/or new applicants for adoption services • Initiation of investigation • Corrective action required resulting from investigation due to: <ul style="list-style-type: none"> ○ Financial wrongdoing or misconduct ○ Quality of service delivery ○ Business ethics and/or regulatory compliance issues ○ Health and/or /safety, ○ Substantiated complaints, and/or ○ Other (provide description) <p>Examples of oversight bodies include, but are not limited to: IRS, Federal Trade Commission, U.S. Citizenship and Immigration Services, Department of State, Department of Justice, Office of Civil Rights, FBI, state</p>	<p>Within two 2) business days from the effective date of the action on the licensing authority or other oversight body's notification document.</p>



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

	<p>attorney general (corporate integrity agreements), other law enforcement authorities, or other investigative entities such as legal right organizations and consumer protection organizations.</p> <p>Information to Be Provided to IAAME:</p> <ul style="list-style-type: none"> • A copy of the notification from the licensing or regulatory authority including any review and/or investigative findings from the licensing or regulatory authority • A copy of the adoption service provider’s response including corrective action plan, if applicable • When received, documentation that the adoption service provider’s response has been accepted • When received, notification from the licensing/regulatory authority that license has been restored to “regular” status or equivalent • Any additional documentation that is relevant to the notification of investigation and/or is requested by IAAME 	
Occurrence	Explanation and Required Information	Reporting Time
<p>Initiation of Legal Action by Third-Parties:</p> <ol style="list-style-type: none"> 1. Related to Child Welfare or Adoption Related Services, or 2. Filing of Civil or Criminal Charges or 3. Filing of Child Abuse Charges (see 22 CFR 96.35(b)(6)) 	<p>Explanation: Legal action has been initiated against the agency or person or employees or associates of the agency or person, including supervised providers.</p>	<p>Within two 2) business days from the date of service or receipt of other notification document regarding initiation of the legal action.</p>



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

	<p>Information to Be Provided to IAAME:</p> <ul style="list-style-type: none"> • A detailed explanation, including the basis for the action • Names of party(ies) initiating • Names and titles of workforce members named in the legal action • A copy of the notice received from the third party initiating the legal action • Any additional documentation that is relevant to the legal action and/or is requested by IAAME 	
Occurrence	Explanation and Required Information	Reporting Time
<p>Judgments, Violations, or Convictions of Employees or Associates of the Agency or Person (see 22 CFR 96.35 (b)(7))</p>	<p>Explanation: The agency or person, or an employee or associate of the agency or person has been found guilty of any crime under State, Federal, or foreign law or has been found to have committed any civil or administrative violation involving financial irregularities under Federal, State, or foreign law. Associates include supervised providers.</p> <p>Information to Be Provided to IAAME:</p> <ul style="list-style-type: none"> • A detailed explanation or copy of the judgment, violation, or conviction • Action initiated or to be initiated by the agency or person in response to the judgment, violation, or conviction • Any additional documentation that is 	<p>Within five (5) business days from the effective date on the notification document regarding the judgment, violation, or conviction.</p>



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

	relevant to the judgement, violation, or conviction and/or is requested by IAAME	
Occurrence	Explanation and Required Information	Reporting Time
Loss of Authorization to Provide Adoption Services in any Foreign Country (see 22 CFR 96.35(b))	Information to Be Provided to IAAME: <ul style="list-style-type: none"> • A detailed explanation of the basis for the action by a foreign country • Copies of any documents received from the foreign government pertaining to the loss of authorization • Plans for case transfers, including plans to reimburse clients fees for services not yet rendered, or narrative indicating agency or person has no cases to transfer. • Any additional documentation that is relevant to loss of authorization and/or is requested by IAAME 	Within thirty (30) calendar days from the effective date on the notification document of loss of authorization.
Completion of the agency or person’s Annual Internal Financial Review (see 22 CFR 96.33(b)(e))	Information to Be Provided to IAAME: <ul style="list-style-type: none"> • A copy of the internal financial review report • Documentation, including but not limited to documents such as copies of bank statements, operating budget and expenditure reports, etc., demonstrating that the agency or person maintains on average, sufficient cash reserves, assets, or other financial resources to meet operating expenses for two months. • Any additional documentation that is 	Within thirty (30) calendar days from the completion of the agency or person’s annual internal financial review



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

	relevant to the internal financial review report and/or is requested by IAAME	
Completion of the agency or person's Independent Audit (see 22 CFR 96.33(b)(c))	Information to Be Provided to IAAME: <ul style="list-style-type: none"> • A copy of independent audit and any accompanying management letter or qualified opinion letter • Any additional documentation that is relevant to an independent audit and/or is requested by IAAME 	Within thirty (30) calendar days from the completion of the agency's/person's independent audit.
Occurrence	Explanation and Required Information	Reporting Time
Bankruptcy (see 22 CFR 96.33(a)-(e) and 96.35(b))	Information to Be Provided to IAAME: <ul style="list-style-type: none"> • Detailed explanation of reason(s) for the bankruptcy • The agency or person's plan that addresses the need for ongoing service delivery to consumers and/or the discontinuing service delivery • Any additional documentation that is relevant to the bankruptcy and/or is requested by IAAME 	Within five (5) business days from the decision to file for bankruptcy.
For Lawyers, Loss of Good Standing Status or Initiation of Disciplinary Action by a State Bar association (see 22 CFR 96.35(d)(3))	Information to Be Provided to IAAME: <ul style="list-style-type: none"> • Detailed explanation of reasons the lawyer is not in good standing or why disciplinary action was initiated • Copies of any documentation received from the state bar or jurisdiction. 	Within two (2) business days from the effective date on the notification document.



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

	<ul style="list-style-type: none"> Any additional documentation that is relevant to the loss of good standing or disciplinary action and/or is requested by IAAME 	
<p>For Social Workers, Loss of Good Standing Status or Initiation of Disciplinary Action by State Licensing or Professional Social Work Review Body (see 22 CFR 96.35(d)(4))</p>	<p>Information to Be Provided to IAAME:</p> <ul style="list-style-type: none"> Detailed explanation of the reasons the social worker is not in good standing or why disciplinary action was initiated Copies of any relevant documentation received from the state licensing and/or the professional review body Any additional documentation that is relevant to the loss of good standing or disciplinary action and/or is requested by IAAME 	<p>Within two (2) business days from the effective date on the notification document.</p>
Occurrence	Explanation and Required Information	Reporting Time
<p>Decision of agency or person to close. (see 22 CFR 96.33(e) and 22 CFR 96.42(d))</p>	<p>Explanation: The adoption service provider has made a decision to close. See Section 5 (e) of this policy for detailed guidance about information to provide to IAAME.</p>	<p>Within five (5) business days of the official decision by the agency or person to close.</p>
<p>Discontinuation by the Agency/Person of Intercountry Adoption Services (see 22 CFR 96.33(e) and 22 CFR 96.42(d-e))</p>	<p>Explanation: The agency/person plans to cease providing Primary Provider Services or a specific adoption service or services (see 22 CFR 96.2 for definition of “adoption service”), to cease providing services in a particular country(ies), and/or to cease providing services in connection with either incoming or outgoing cases.</p>	<p>Within thirty (30) calendar days of the agency/person is continuing service(s).</p>



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

	<p>See Section 5(f) of this policy for detailed guidance about information to provide to IAAME.</p>	
<p>Initiation by the Agency/Person of Services as a Primary Provider in a foreign country (see 22 CFR 96.44 (a))</p>	<p>Explanation: The agency/person plans to initiate providing services as a primary provider in a particular country(ies), Information to be provided to IAAME:</p> <ul style="list-style-type: none"> a. Narrative regarding decision to initiate intercountry adoption services in a particular country or countries; b. Authorization from the Central Authority or identified foreign entity to provide adoption services c. Licenses/Authorization of in-country personnel to provide adoption services, if applicable d. Service Plan Template e. Fee Schedule 	<p>Within two (2) business days of the decision by the agency/person to initiate service(s) in a foreign country.</p>
<p>Opening or Closing an Office(s) (see 22 CFR 96.25)</p>	<p>Explanation: The agency/person plans to open an additional office(s) or close an existing office(s) providing intercountry adoption services</p> <p>Information to Be Provided to IAAME:</p> <ul style="list-style-type: none"> • A copy(ies) of any applicable license(s) and/or certificates for the new state or a copy of application for license in the new state if applicable • Estimated date(s) of additional office(s) providing services to 	<p>Within thirty (30) calendar days from the decision by the agency/person to open an additional office(s) or close an existing office(s).</p>



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

	<p>consumers or an existing office closing</p> <ul style="list-style-type: none"> • Mailing address(es) of the office(s), name and contact information of the individual(s) responsible for managing the office(s) • A list of adoption services being provided in the additional office or closing office • Plan to transfer custody of adoption records subject to retention or archival requirements, as applicable. • Any additional documentation that is relevant to the loss of good standing or disciplinary action and/or is requested by IAAME 	
Occurrence	Explanation and Required Information	Reporting Time
<p>Initiation of Incoming or Outgoing Adoption Services (see 22 CFR 96.47- 96.52 and 96.53-96.55)</p>	<p>Explanation: The agency/person, since receiving intercountry adoption accreditation or approval, plans to begin providing intercountry adoption services in connection with incoming or outgoing cases.</p> <p>Information to Be Provided to IAAME:</p> <ul style="list-style-type: none"> • Formal letter to IAAME with a brief explanation of reason(s) for the decision • The agency/person's policies and procedures related to the provision of new services. • A template/example of the child background study for outgoing cases, if applicable. 	<p>Within thirty (30) calendar days of the decision by the agency/person to begin providing services in incoming or outgoing cases</p>



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

<p>Change in Corporate Structure (see 22 CFR 96.31)</p>	<p>Explanation: The agency/person has decided to change from a non-profit to for-profit or from for-profit to non-profit or it has lost 501 (c)(3) status.</p> <p>Information to Be Provided to IAAME:</p> <ul style="list-style-type: none"> • Detailed explanation of reason(s) for the change or loss of 501 (c)(3) status • Copy of the board resolution or a copy of the notification of loss of non-profit status received from the IRS • Copies of the state and IRS response and/or approval for a filing for a change in corporate structure • Any additional documentation that is relevant to the change and/or requested by IAAME. 	<p>Within five (5) business days of the decision by the agency/person to change corporate structure or receipt of notification of loss or approval of 501(c)(3) status.</p>
<p>Occurrence</p>	<p>Explanation and Required Information</p>	<p>Reporting Time</p>
<p>Significant Change in Compensation for employees and/or supervised providers (e.g. change greater than 10%) (see 22 CFR 96.34(b))</p>	<p>Explanation: The agency/person has significantly changed compensation to its directors, officers, employees, and/or supervised providers.</p> <p>Information to Be Provided to IAAME:</p> <ul style="list-style-type: none"> • Detailed explanation of change(s) in compensation • Reason(s) for the change(s) • Amount of current compensation and the new compensation amount 	<p>Within thirty (30) calendar days of the significant change(s) in compensation.</p>



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

	<ul style="list-style-type: none"> • Effective date of the change • Any additional documentation that is relevant to the change and/or requested by IAAME 	
<p>Change in the Agency or Person's fees charged to prospective adoptive parents (see 22 CFR 96.40)</p>	<p>Explanation: The agency/person has decided to change fees charged to prospective adoptive parents. NOTE: Upon approval by the accrediting entity, of a change in the agency/person's fees, the agency/person must update their fee schedule in the Department of State's (Department) Adoption Tracking System (ATS).</p> <p>Information to Be Provided to IAAME:</p> <ul style="list-style-type: none"> • A copy of the changed/revised fee schedule that is provided to a prospective adoptive parent(s) • A copy of the previous fee schedule. • A description of the reason(s) for the change(s) • A screenshot from ATS verifying that the agency/person has updated their changed fees in the ATS • Any additional documentation that is relevant to the change and/or requested by IAAME 	<p>Within thirty (30) calendar days of the decision by the agency/person to change the schedule of adoption fees.</p>



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

Occurrence	Explanation and Required Information	Reporting Time
<p>Notification of Change in Supervised Provider(s) (see 22 CFR 96.45(a-b) and 96.46(a-b))</p>	<p>Explanation: The agency/person, since receiving intercountry accreditation or approval, has decided to discontinue the use of a supervised provider or to begin using a new supervised provider.</p> <p>Information to Be Provided to IAAME:</p> <ul style="list-style-type: none"> • Provide a copy of the correspondence to the supervised provider documenting the discontinued relationship or a copy of the agreement documenting the new relationship, as applicable. • Evidence of agency or person's efforts to confirm the supervised provider operates in compliance with the laws of the state or foreign country in which it operates; <p>For Foreign Supervised Providers only:</p> <ul style="list-style-type: none"> • Evidence of agency or person's efforts to confirm the foreign supervised provider does not have a pattern of licensing suspensions or sanctions and has not lost the right to provide adoption services in any jurisdiction. • Copy of the foreign supervised provider's policies/procedures reflecting prohibition of child buying; and evidence of training provided to the foreign 	<p>Within thirty (30) calendar days of the decision by the agency/person to discontinue using a supervised provider or to add a supervised provider.</p>



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

	<p>supervised provider's agents/employees regarding policy;</p> <ul style="list-style-type: none"> Any additional documentation that is relevant to the change and/or requested by IAAME 	
Occurrence	Explanation and Required Information	Reporting Time
<p>Initiation of Primary Provider Activities (see 22 CFR 96.44(a-b), 96.45 and 96.46)</p>	<p>Explanation: During the accreditation/approval review process, the agency/person certified in its Executive Verification Form that the agency/person would not act as a primary provider in any case for the duration of the accreditation/approval cycle, without first notifying the AE. The agency/person has decided to act as the primary provider in intercountry adoption cases.</p> <p>Information to Be Provided to IAAME:</p> <ul style="list-style-type: none"> Provide an updated Executive Verification Form Provide a narrative describing the agency/person's plans to act as a primary provider. Specify the type and volume of cases the provider plans to be the primary provider for, the location of primary provider programs; and the additional resources that will be obtained and other changes that will be implemented to fulfill the responsibilities of a primary provider Template or Example Placement Contracts 	<p>Within thirty (30) calendar days of the decision by the agency/person to act as a primary provider.</p>



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

	<ul style="list-style-type: none"> • Template or Example Service Plan which includes the provision of all six (6) adoption services. Any additional documentation that is relevant to the initiation of primary provider activities and/or requested by IAAME 	
Occurrence	Explanation and Required Information	Reporting Time
Decision by the Agency or Person to Merge with, Acquire, or be acquired by another Party/Entity (see 22 CFR 96.32(e))	Explanation: The agency/person has decided to merge with, acquire, or be acquired by, another provider/organization/entity, regardless of whether the other provider/organization/entity is accredited or approved for intercountry adoption services. See Section 5(g) of this Policy for required documentation to be provided to IAAME.	Within five (5) business days from the date of the agency/person's official decision to merge with, acquire, or be acquired by another party/entity.
Change in the Agency/Person's: CEO, Executive Director, or Contact Person (see 22 CFR 96.32(a) and 97.37(c))	Explanation: The agency/person has an interim, acting, or new CEO/executive officer/leader, or a new individual is designated as the agency/person's accreditation/approval contact person. Information to Be Provided to IAAME: <ul style="list-style-type: none"> • Name of interim, acting, or new CEO/Executive • Confirmation of his/her qualifications as outlined in 96.32(a) and 96.37(c) • Confirmation that he/she meets any state licensing or regulatory requirements, as applicable. 	Within two (2) business days prior to the effective date of the change or earlier.



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

	<ul style="list-style-type: none"> • Details of compensation package • Name and email address of new contact person for the agency/person • Effective date of the change <p>Any other documentation that is relevant to the change and/or is requested by IAAME</p>	
<p>Change in Address (see 22 CFR 96.32(a) and 96.42(a))</p>	<p>Information to Be Provided to IAAME:</p> <ul style="list-style-type: none"> • Effective Date of Change • New Address • Description of the storage of adoption records • Verification that state licensing has been notified • Any other documentation that is relevant to the change and/or is requested by IAAME 	<p>Within two (2) business days prior to the effective date of the change or earlier.</p>
Occurrence	Explanation and Required Information	Reporting Time
<p>Initial Information Received Regarding a Potential Disruption or Dissolution of an Intercountry Adoption (see 22 CFR 96.50(c)-(f) and 96.51(a-d))</p>	<p>Information to Be Provided to IAAME:</p> <ul style="list-style-type: none"> • Information known about the potential disruption or dissolution • Plan of action to be taken by the agency/person in effort to avoid the disruption or dissolution. 	<p>Within two (2) business days of the agency/person having knowledge of an intent to disrupt/dissolve an adoption.</p>
<p>Disruption or Dissolution of an Intercountry Adoption (see 22 CFR 96.50(c)-(f) and 96.51(a-d))</p>	<p>Information to Be Provided to IAAME:</p> <ul style="list-style-type: none"> • Detailed explanation of the occurrence- See Portal Manual for 	<p>Within five (5) business days of the agency/person having knowledge of a disruption/dissolution occurring.</p>



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

	<p>information to be provided in the narrative</p> <ul style="list-style-type: none">• ATS Screenshot verifying report to the Department of State• Completed post-placement/post-adoption reports, if applicable• Adoptive parent home study• Evidence of required adoptive parent training• Child referral information• Adoption Services Contract signed by the adoptive parent(s)• For Dissolutions, the final adoption decree for the new adoptive placement if available at the time of reporting.• Evidence that notification to the Central Authority of the sending country has been done in consultation with the Secretary.• Any other documentation that is relevant to the disruption or dissolution and/or is requested by IAAME	
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Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

<p>Allegations of Child Buying or Fraud by an Employee or Associate of the Agency or Person or Arrest of an Employee or Associate of the Agency/Person Related to Adoption Services (see 22 CFR 96.36(a))</p>	<p>Explanation: The agency or person discovers someone with whom they are associated, i.e., an employee, supervised provider or an exempted provider is being or has been charged with, under investigation for, arrested for or having been convicted of child buying or fraud.</p> <p>Information to Be Provided to IAAME:</p> <ul style="list-style-type: none"> • A detailed description • Copy of any notification received about the child buying or fraud • Any other documentation that is relevant to the allegation(s) or arrest(s) and/or is requested by IAAME 	<p>Within two (2) business days of discovering child buying or fraud allegations/arrests/convictions.</p>
<p>Death of a Child (see 22 CFR 96.50(a)-(f))</p>	<p>Explanation: A minor child dies while being accompanied from the country of origin; or during the agency/person's post-placement service delivery; or the death is discovered by, or reported to, the agency or person after the finalization of the adoption. The death is attributed to an undisclosed medical condition(s); or, it resulted from an occurrence such as abuse, neglect, endangerment, homicide, etc.</p> <p>Information to Be Provided to IAAME:</p> <ul style="list-style-type: none"> • A detailed explanation of the occurrence • Any action taken/to be taken or notifications made • Any other documentation that is relevant to the child's death and/or is requested by IAAME 	<p>Within two (2) business days of learning of the death of an adopted child.</p>



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

Occurrence	Explanation and Required Information	Reporting Time
<p>Serious Injury of a Child (see 22 CFR 96.50 (a)-(f))</p>	<p>Explanation: A minor child sustains a serious injury while being accompanied from the country of origin; or during the agency/person's post-placement service delivery; or the injury is discovered by or reported to the agency or person after the finalization of the adoption.</p> <p>The injury resulted from an occurrence of abuse, neglect, endangerment, etc. The injury resulted in debilitating or permanent loss of function (e.g., paralysis, brain trauma, loss of limb, etc.) or serious physical or psychological injury (e.g., abuse, assault, rape, etc.)</p> <p>Information to Be Provided to IAAME:</p> <ul style="list-style-type: none"> • A detailed explanation of the occurrence • Any action taken or to be taken • Any other documentation that is relevant to the injury and/or is requested by IAAME 	<p>Within two (2) business days of learning of a serious injury to an adopted child.</p>

e). Agency Closure

1. When an agency or person makes the decision to close or cease providing adoption services? the agency/person must submit to IAAME, within two (2) business days of its formal decision to close (see 22 CFR 96.42):
 - a. The date closure is to be effective
 - b. Written document outlining the agency or person's plan and actions taken and/or to be taken to:
 - i. complete list of cases in progress by country, with status for each case



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

- ii. when possible, complete services for active cases
 - iii. transfer pending/active intercountry adoption cases and case records to other agencies or persons or another appropriate custodian
2. Within five (5) business days of the date of the closure of the agency or person, IAAME will post the closure information on its website making note of the date of closure and the end date of the accreditation/approval
3. Once closed, the agency or person may no longer hold themselves out to be an accredited agency or approved person. As applicable, the agency or person must notify all staff, volunteers, and stakeholders of the closure
4. Fees paid to IAAME are non-refundable. Agencies or persons who close their intercountry adoption service agency are not eligible for refunds of any fees paid to IAAME
5. An agency or person who closes may, in keeping with 22 CFR 96, reapply for accreditation/approval if it were to reopen to perform intercountry adoption services

f.) Discontinuation of Intercountry Adoption Services

1. When an agency or person decides to discontinue providing primary provider or specific adoption service(s) (see Policy 001 for definitions), adoption services in a particular country, and/or services for incoming and/or outgoing adoptions, the agency/person, within two (2) business days of the formal decision, must submit to IAAME:
 - a. The date the agency/person will no longer provide the intercountry adoption service(s);
 - b. A complete list of cases in progress by country, with status for each case;
 - c. A written document outlining the agency or persons plans and actions being taken or to be taken to:
 - i. When possible, complete services for all cases in progress
 - ii. Transfer pending intercountry adoption cases and case records to other accredited agencies or approved persons or another appropriate custodian.
2. Fees paid to IAAME are non-refundable and agencies/persons that cease to provide any or all intercountry adoption services are not eligible for refunds of any fees paid to IAAME.



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

3. Within five (5) business days of the agency or person's submission of the information described in section (f)(1) above, IAAME will inform the Department as appropriate.
4. Within five (5) business days of the official date of the agency/person's discontinuation of intercountry adoption services, IAAME will post the information on its website making note of the date the agency/person discontinued the services.

g) Merger or Acquisition

1. Within five (5) business days of the agency/person's decision to merge with or acquire another party/entity the agency/person the agency person must submit to IAAME the following information/documentation:

2. Table of Information and Details to be Provided:

Information	Details to be Provided
Identification of the agency/provider with which the applicant for intercountry adoption accreditation or approval or an accredited or approved ASP has decided to merge with, acquire or be acquired by ("Other Agency/Person").	<ul style="list-style-type: none"> • Other agency/person's name and address. • Whether the other agency/person is an applicant for accreditation or approval or is currently accredited or approved by IAAME or another designated accrediting entity, identifying the other accrediting entity, if any.
A detailed narrative that explains the reasons for and the expected impact of the merger/acquisition.	<ul style="list-style-type: none"> • The reasons for the merger/acquisition. • The extent to which the merger/acquisition will result in a significant change in the delivery of adoption services (e.g., new or discontinued services and policies). • The extent to which the merger/acquisition will have a significant impact on the successor agency/person's financial position. • The impact of the merger/acquisition on existing adoption cases. • Change(s) in country programs and fees.
Information	Details to be Provided
Additional information to be provided post-notification to IAAME regarding the merger or acquisition	<ul style="list-style-type: none"> • A copy of the amended by-laws, "articles of incorporation," or other comparable, legally effective statements of the merger/acquisition, as soon as available (to update



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

	<p>documents previously provided to IAAME and to describe the new entity).</p> <ul style="list-style-type: none"> • Copies of all required licenses for the successor agency/person, with written confirmation from the applicable regulatory authorities confirming the status of the required licenses (after merger/acquisition).
<p>Additional information about the other agency/person's programs (an agency/person who is not accredited or approved or an applicant for intercountry adoption accreditation may not have some of the required content).</p>	<ul style="list-style-type: none"> • A description of the adoption services being provided by the other agency/person at the time of the formal decision to merge/acquire (enclosing copies of descriptive service brochures). • The other agency/person's most recent annual report. • The other agency/person's most recent financial audit (with management letter), if applicable. • Revised Organizational Chart, identifying those management positions that will be filled by management of the other agency/person. • An explanation of the extent to which the merger/acquisition will significantly impact the job responsibilities of non- management staff. • If applicable, written confirmation from the other accrediting entity to the services for which the other agency/person is seeking accreditation or approval and the other agency/person's applicant status at the time of the formal decision to merge/acquire.

h) Processing of Self-Reports

1. Within ten (10) business days of receipt of the self-report and supporting documentation described above, IAAME staff will review self-report(s) and accompanying documentation and will contact the agency or person's accreditation/approval contact. IAAME staff will discuss the self-report documentation submitted by the agency or person, and will:
 - a. Ask follow-up questions as necessary to obtain further information and/or to determine if the information provided is sufficient and no further action is needed.
 - b. Indicate if the self-report and documentation submitted is sufficient or, if information is missing and/or additional documentation is necessary,



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

IAAME staff will inform the agency or person of the specific information needed.

- c. Set due dates by which, when additional information is needed, the agency or person will submit the additional information to IAAME.
 - d. Set dates and conduct an on-site visit if determined to be necessary. See section 8 below in this policy for information related to on-site visits to be conducted as a result of monitoring and oversight activities.
2. Within thirty (30) calendar days of receipt of all reports, supporting documentation/information, and conclusion of any required on-site visit, IAAME staff will complete the review of the information and will make a final determination. Such a determination may include, for instance, a finding that:
- a. The information is complete and supports that the agency or person is in substantial compliance with the standards related to the event(s) reported in the self-report
 - b. The information indicates the agency or person is not in substantial compliance with the standards related to the event(s) reported in the self-report and an adverse action may be warranted to adequately address the areas of non-compliance. For further details on adverse action, see IAAME's policy regarding adverse action

1. Mandatory Reports

- a) In addition to self-reports, IAAME requires agencies or persons to provide certain mandatory reports. These reports assist IAAME and the Department with collecting and maintaining data and information necessary to determine the agency/person's ongoing substantial compliance with the standards and about intercountry adoption as a whole.
- b) Agencies or persons who are acting as primary providers are required to maintain all of the data required by 22 CFR 96.43 and to submit this data to the accrediting entity on an annual basis. Agencies or persons are responsible for entering all required information into the Adoption Tracking Service (ATS) within 30 days of the event occurring. Such reports include, but are not limited to:
 1. Data on Children Immigrating to the United States (incoming cases) - the data must include the following information:
 - a. total number of Convention and Non-Convention adoptions undertaken by the agency or person per year



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

- b. for each case:
 - i. foreign country from which the child immigrated
 - ii. state to which the child immigrated
 - iii. state of foreign country in which the adoption was finalized
 - iv. the age of the child
 - v. date of the child's placement for adoption

2. Data on Children Emigrating from the United States (outgoing cases) - the data must include the following information:
 - a. total number of Convention and Non-Convention adoptions undertaken by the agency or person per year
 - b. for each case:
 - i. state from which the child emigrated
 - ii. foreign country to which the child emigrated
 - iii. state of foreign country in which the adoption was finalized
 - iv. the age of the child
 - v. date of the child's placement for adoption

3. Data on Disruptions - the data should include the following information:
 - a. the foreign country from which the child emigrated
 - b. the state to which the child immigrated
 - c. the age of the child
 - d. the date of the child's placement for adoption
 - e. reason for and resolution of the disruption of the placement for adoption
 - f. names of the agencies or persons that handled the placement for adoption
 - g. citizenship status of the child
 - h. plans for the child
 - i. current location of the child

If any of the above information is unknown the report must include what information is unknown and why the information is not known.

4. Data on Dissolutions - the data should include the following information:
 - a. the foreign country from which the child emigrated
 - b. the state to which the child immigrated
 - c. the age of the child
 - d. the date of the child's placement for adoption
 - e. reason for and resolution of the dissolution of the adoption (to the extent known)
 - f. names of the agencies/persons that handled the placement for adoption



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

- g. citizenship status of the child
- h. plans for the child
- i. current location of the child

Also see section 5(d) for self-reports required related to dissolutions.

If any of the above information is unknown the report must include what information is unknown and why the information is not known.

- 5. Adoption Timeframe Data - the data must include information on each case regarding the length of time it takes to complete an intercountry adoption, set forth by the child's country of origin, calculated from the time the child is matched with a prospective adoptive parent until the time the adoption is finalized by a court, excluding any period for appeal.
- 6. Adoption Fees – the data must include information on each case regarding the fees, set forth by the child's country of origin, charged and collected by the agency or person for intercountry adoption services for children immigrating to the United States in connection with their adoption.

c.) Semi-Annual Report on Complaints

- 1. Agencies and persons are required to follow 22 CFR 96.41(a)-(h) regarding responding to complaints and improving service delivery. Agencies/persons must respond to all complaints as received, regardless of the format by which the complaint is received, call, email, letter, etc. IAAME will review the agency/person's compliance with these regulations and their policies during accreditation/approval and monitoring and oversight activities, including but not limited to IAAME's oversight and review of complaints and reporting.
- 2. This report is due to IAAME within ten (10) business days from April 1st and October 1st each year. 22 CFR 96.41(f) requires agencies or persons submit a semi-annual report on complaints. This report documents information related to all complaints the agency or person has received for the six months prior to the date of submission of the report. The report must include the following information:
 - a. Number of complaints received during the prior six-month period; If none the report must indicate none, and:



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

- i. For each complaint a summary that includes a description of the complaint, who made the complaint, findings from the review of the complaint, and actions taken to resolve the complaint.
 - ii. If an agency or person fails to provide the required data/information, fails to provide all information and/or knowingly falsifies information the agency or person is subject to possible adverse action. See IAAME adverse action policy.
- b. As a part of the semi-annual report on complaints the agency or person must submit their assessment of the information including any identified trends or patterns in the complaints received and a description of the agency or person's action taken or planned to be taken to processes, systems, and/or policies to address these identified trends and patterns.

d.) Annual Attestation of Substantial Compliance

1. As per the requirement in 22 CFR 96.66(c), agencies or persons must submit to IAAME an Annual Attestation of Compliance form. This form is a certification by the agency or person that they have remained in substantial compliance with the standards in CFR 96 Subpart F. See IAAME Annual Attestation of Substantial Compliance form. This form is due to IAAME on April 1st of each calendar year.

7. Falsification, Misrepresentation, or Failure to Provide Information

- a) Agencies or persons who submit self-reports, mandatory reports or the Annual Attestation of Substantial Compliance form attesting and/or reporting they remain in substantial compliance with the standards in 22 CFR Part 96, Subpart F and are found to have not have been in substantial compliance are subject to adverse action including debarment. Criminal and civil penalties/actions may also result from the agency/person making an attestation of substantial compliance when the agency/person was not actually in substantial compliance with the standards as set forth in 22 CFR Part 96, Subpart F.
- b.) If an agency or person fails to provide the required data/information, fails to provide all information and/or knowingly falsifies information the agency or person is subject to possible adverse action. See IAAME adverse action policy.

8. On-Site Reviews as a Part of Monitoring and Oversight Activities



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

- a) In most cases when there are areas needing additional follow-up, such follow-up can occur via verbal or written communication with the agency or person. There will however be times when an on-site visit to an agency or person is needed. On-site visits for monitoring and oversight maybe completed when there is evidence of:
1. Non-compliance with one or more standards that involves any one of the following:
 - a. gross negligence
 - b. ongoing risks to the safety of children
 - c. fraud
 - d. other serious errors in fiscal, legal, and ethical practice
 2. If an on-site review is needed, most will be announced with dates determined by IAAME staff in conjunction with the agency or person's staff. However, IAAME reserves the right to make unannounced on-site reviews, when it determines such a review is necessary.
 3. When on-site reviews are necessary, IAAME will send a minimum of one reviewer.

9. Utilization and Posting of Information

- a) IAAME utilizes the information requested and obtained during monitoring and oversight to evaluate the agency or person's continued substantial compliance with the standards, and, as required, to post information on its website in accordance with applicable law and to provide information and reports to the Department. IAAME will post information on its website only as allowed by applicable laws and regulations. Information posted will be only the categories of information the Department has approved for collection.
- b) IAAME utilizes the data and information to analyze for trends, identify areas of best practice, and areas in need of improvement. When areas of improvement are indicated, IAAME will work with the agencies or persons to establish actions to be taken to address areas of need. Such actions may include but are not limited to, corrective action plans, suspensions, and other adverse action as appropriate (See adverse action policy for further details). IAAME will additionally work with the



Intercountry Adoption Accreditation and Maintenance Entity
Policy and Procedure Manual

agencies or persons, other stakeholders, and the Department to address areas in need of improvement.

- c) IAAME provides information to the public via its website at www.iaame.net. The website provides information regarding each agency or person and includes:
1. Name, including doing business as name
 2. Address
 3. Phone number
 4. Main and sub-site information
 5. Accreditation/approval status including date of initial accreditation/approval and date due for renewal
 6. The names of agencies or persons denied accreditation/approval that are not then subsequently accredited/approved
 7. The names of agencies or persons that have been subject to suspension, cancellation, refusal to renew or debarment by the accrediting entity and/or the Department
 8. The names of agencies or persons who have had a substantiated complaint, including information related to the complaint and the outcome of the complaint
 9. The names of agencies or persons who have been subject to adverse action, information regarding the reason for the adverse action and information regarding the outcome of the adverse action

10. Public Requests for Information

Public requests for information related to an agency or person will be processed by IAAME Management. IAAME will only release information in accordance with applicable State and Federal law, including the regulations in 22 CFR Part 96.