



## Accreditation/Approval Table of Evidence Service Planning and Delivery

### Acting as a Primary Provider 96.44 (a) – (b)

Standard	Evidence to be submitted as a part of Application Part B	Evidence to be submitted and Interviews to be Conducted During Site Visit
<p><b>Critical</b></p> <p>96.44 (a) When required by §96.14(a), the agency or person acts as primary provider and adheres to the provisions in §96.14(b) through (e). When acting as the primary provider, the agency or person develops and implements a service plan for providing all adoption services and provides all such services, either directly or through arrangements with supervised providers, exempted providers, public domestic authorities, competent authorities, Central Authorities, public foreign authorities, or, to the extent permitted by §96.14(c), other foreign providers (agencies, persons, or other non-governmental entities).</p> <p><i>Additional technical guidance provided by the Department of State. - F.2 Providers in receiving countries 96.44, 96.45, 96.46</i></p> <p><i>Additional technical guidance provided by the Department of State – F.1 Meaning of “service plan” 96.44(a)</i></p>	<ul style="list-style-type: none"> <li>• Service planning procedures</li> <li>• Executive Verification</li> <li>• Case Record Template</li> <li>• Case records (e.g., service plans with supervised providers identified)</li> </ul>	<p>Interviews with:</p> <ul style="list-style-type: none"> <li>• Personnel</li> <li>• Supervised providers, as applicable</li> <li>• Case records (e.g., service plans with supervised providers identified)</li> </ul>



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<p><b>Critical</b></p> <p>96.44 (b) The agency or person has an organizational structure, financial and personnel resources, and policies and procedures in place that demonstrate that the agency or person is capable of acting as a primary provider in any intercountry adoption case and, when acting as the primary provider, provides appropriate supervision to supervised providers and verifies the work of other foreign providers in accordance with §§96.45 and 96.46.</p>	<ul style="list-style-type: none"> <li>• Describe the agency/person’s capability to supervise other providers and verify the work of other foreign providers.</li> <li>• Organizational Chart and job descriptions illustrating responsibility for performance of primary provider functions</li> <li>• Policies and procedures for acting as a primary provider</li> <li>• Budget specifying funds allocated/necessary for supervisory activities or for ASPs who are not currently acting as a primary provider a plan for obtaining additional resources</li> </ul>	<p>Interviews with:</p> <ul style="list-style-type: none"> <li>• Supervised providers, as applicable</li> <li>• CEO/Executive Director</li> <li>• Personnel responsible for supervised providers</li> </ul>

#### Using Supervised Providers in the United States 96.45 (a) – (b)

Standard	Evidence to be submitted as a part of Application Part B	Evidence to be submitted and Interviews to be Conducted During Site Visit
<p><b>Critical</b></p> <p>96.45 (a) The agency or person, when acting as the primary provider and using supervised providers in the United States to provide adoption services, ensures that each such supervised provider:</p>	<ul style="list-style-type: none"> <li>• Procedures for entering into agreements with supervised providers</li> <li>• Procedures for overseeing supervised providers</li> <li>• Executive Verification</li> <li>• Documentation demonstrating oversight of all supervised providers the ASP currently oversees including verification of compliance with relevant licensing and</li> </ul>	<p>Interviews:</p> <ul style="list-style-type: none"> <li>• CEO/Executive Director</li> <li>• Personnel responsible for supervised providers</li> <li>• Supervised providers, as applicable</li> <li>• Documentation demonstrating oversight of all supervised providers the ASP currently oversees including verification of</li> </ul>



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<p>(1) Is in compliance with applicable State licensing and regulatory requirements in all jurisdictions in which it provides adoption services;</p> <p>(2) Does not engage in practices inconsistent with the Convention's principles of furthering the best interests of the child and preventing the sale, abduction, exploitation, or trafficking of children; and</p> <p>(3) Before entering into an agreement with the primary provider for the provision of adoption services, discloses to the primary provider the suitability information listed in §96.35.</p> <p><b><i>Additional technical guidance provided by the Department of State. - F.2 Providers in receiving countries 96.44, 96.45, 96.46</i></b></p> <p><b><i>Additional technical guidance provided by the Department of State. – F.5 Working with supervised providers: letterhead 96.45-96.47</i></b></p> <p><b><i>Additional technical guidance provided by the Department of State. - C.6 Criminal and Child Abuse Background Checks: Are both supervised and foreign supervised providers subject to criminal and child abuse background checks? 96.35, 96.45(a)(3), and 96.46 (a)(3)</i></b></p>	<p>legal requirement (e.g. licensing reports, documentation of compliance with standards that apply to supervised providers)</p> <ul style="list-style-type: none"> <li>• Information on relevant state licensing rules</li> </ul>	<p>compliance with relevant licensing and legal requirement (e.g. licensing reports, documentation of compliance with standards that apply to supervised providers)</p> <ul style="list-style-type: none"> <li>• Information on relevant state licensing rules</li> </ul>
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<i>Additional technical guidance provided by the Department of State. - F.4 96.45(a) Supervising accredited agencies.</i>		
<b>Standard</b>	<b>Evidence to be submitted as a part of Application Part B</b>	<b>Evidence to be submitted and Interviews to be Conducted During Site Visit</b>
<p><b>Critical</b></p> <p>96.45 (b) The agency or person, when acting as the primary provider and using supervised providers in the United States to provide adoption services, ensures that each such supervised provider operates under a written agreement with the primary provider that:</p> <p>(1) Identifies clearly the adoption service(s) to be provided by the supervised provider and requires that the service(s) be provided in accordance with the applicable service standard(s) for accreditation and approval (for example: home study (§96.47); parent training (§96.48); child background studies and consent (§96.53));</p> <p>(2) Requires the supervised provider to comply with the following standards regardless of the type of adoption services it is providing: §96.36 (prohibition on child-buying), §96.34 (compensation), §96.38 (employee training), §96.39(d) (waivers of liability), and §96.41(b) through (e) (complaints);</p>	<ul style="list-style-type: none"> <li>• Procedures for entering into agreements with supervised providers</li> <li>• Executive Verification</li> <li>• Sample written agreement or draft of agreement</li> <li>• Collaborative Relationships Profile</li> <li>• Signed written agreements with current supervised providers</li> </ul>	<p>Interviews with:</p> <ul style="list-style-type: none"> <li>• CEO/Executive Director</li> <li>• Personnel responsible for supervised providers</li> <li>• Supervised providers, as applicable</li> </ul> <ul style="list-style-type: none"> <li>• Signed written agreements with current supervised providers</li> </ul>



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<p>(3) Identifies specifically the lines of authority between the primary provider and the supervised provider, the employee of the primary provider who will be responsible for supervision, and the employee of the supervised provider who will be responsible for ensuring compliance with the written agreement;</p> <p>(4) States clearly the compensation arrangement for the services to be provided and the fees and expenses to be charged by the supervised provider;</p> <p>(5) Specifies whether the supervised provider's fees and expenses will be billed to and paid by the client(s) directly or billed to the client through the primary provider;</p> <p>(6) Provides that, if billing the client(s) directly for its service, the supervised provider will give the client(s) an itemized bill of all fees and expenses to be paid, with a written explanation of how and when such fees and expenses will be refunded if the service is not completed, and will return any funds collected to which the client(s) may be entitled within sixty days of the completion of the delivery of services;</p> <p>(7) Requires the supervised provider to meet the same personnel qualifications as accredited agencies and approved persons, as provided for in §96.37, except that, for purposes of §§96.37(e)(3), (f)(3), and (g)(2),</p>		
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<p>the work of the employee must be supervised by an employee of an accredited agency or approved person;</p> <p>(8) Requires the supervised provider to limit the use of and safeguard personal data gathered or transmitted in connection with an adoption, as provided for in §96.42;</p> <p>(9) Requires the supervised provider to respond within a reasonable period of time to any request for information from the primary provider, the Secretary, or the accrediting entity that issued the primary provider's accreditation or approval;</p> <p>(10) Requires the supervised provider to provide the primary provider on a timely basis any data that is necessary to comply with the primary provider's reporting requirements;</p> <p>(11) Requires the supervised provider to disclose promptly to the primary provider any changes in the suitability information required by §96.35;</p> <p>(12) Permits suspension or termination of the agreement on reasonable notice if the primary provider has grounds to believe that the supervised provider is not in compliance with the agreement or the requirements of this section.</p>		
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<p><i>Additional technical guidance provided by the Department of State. - F.6 Home study preparers who are independent contractors – when are they supervised? 96.45(b) 96.14</i></p> <p><i>Additional technical guidance provided by the Department of State. - F.7 Employees of supervised providers supervised by primary and own agency 96.45(b)(7)</i></p> <p><i>Additional technical guidance provided by the Department of State. - F.10 Use of master agreements with supervised providers. 96.46</i></p>		
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### Using Providers in Foreign Countries 96.46 (a) – (c)

Standard	Evidence to be submitted as a part of Application Part B	Evidence to be submitted and Interviews to be Conducted During Site Visit
<p><b>Critical</b></p> <p>96.46 (a) The agency or person, when acting as the primary provider and using foreign supervised providers to provide adoption services in foreign countries, ensures that each such foreign supervised provider:</p> <p>(1) Is in compliance with the laws of the foreign country in which it operates;</p>	<ul style="list-style-type: none"> <li>• Procedures for entering into agreements with foreign supervised providers</li> <li>• Procedures for overseeing foreign supervised providers</li> <li>• Executive Verification</li> <li>• Documentation demonstrating oversight of current foreign supervised providers including verification of compliance with relevant licensing, accreditation, and legal requirements.</li> </ul>	<p>Interviews with:</p> <ul style="list-style-type: none"> <li>• CEO/Executive Director</li> <li>• Personnel responsible for supervising providers in foreign countries</li> <li>• Foreign supervised provider, as necessary</li> </ul> <p>• Documentation demonstrating oversight of current foreign supervised providers including verification of compliance with</p>



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<p>(2) Does not engage in practices inconsistent with the Convention's principles of furthering the best interests of the child and preventing the sale, abduction, exploitation, or trafficking of children;</p> <p>(3) Before entering into an agreement with the primary provider for the provision of adoption services, discloses to the primary provider the suitability information listed in §96.35, taking into account the authorities in the foreign country that are analogous to the authorities identified in that section;</p> <p>(4) Does not have a pattern of licensing suspensions or other sanctions and has not lost the right to provide adoption services in any jurisdiction for reasons germane to the Convention or the Convention's principles of ensuring that intercountry adoptions take place in the best interests of children and preventing the abduction, exploitation, sale, or trafficking of children; and</p> <p>(5) Is accredited in the foreign country in which it operates, if such accreditation is required by the laws of that foreign country to perform the adoption services it is providing.</p> <p><b><i>Additional technical guidance provided by the Department of State. - F.2 Providers in receiving countries 96.44, 96.45, 96.46</i></b></p>		<p>relevant licensing, accreditation, and legal requirements.</p>
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<p><i>Additional technical guidance provided by the Department of State. - F.9 When is foreign provider a foreign supervised provider? 96.46</i></p> <p><i>Additional technical guidance provided by the Department of State. - F.11 For foreign providers, when must supervise and when can verify. 96.46</i></p> <p><i>Additional technical guidance provided by the Department of State. - C.6 Criminal and Child Abuse Background Checks: Are both supervised and foreign supervised providers subject to criminal and child abuse background checks? 9.35, 96.45 (a)(3), and 96.46(a)(3)</i></p> <p><i>Additional technical guidance provided by the Department of State. - F.12 Suitability info from foreign supervised providers. 96.43(a)(3), referencing 96.35</i></p> <p><i>Additional technical guidance provided by the Department of State. - G.2 Conducting home studies for American citizens residing abroad in incoming/immigrating Convention cases. 96.2 96.14(c) 96.37(f) 96.46(a) 96.74(c)</i></p>		
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<p><b>Critical</b></p> <p>96.46 (b) The agency or person, when acting as the primary provider and using foreign supervised providers to provide adoption services in foreign countries, ensures that each such foreign supervised provider operates under a written agreement with the primary provider that:</p> <p>(1) Identifies clearly the adoption service(s) to be provided by the foreign supervised provider;</p> <p>(2) Requires the foreign supervised provider, if responsible for obtaining medical or social information on the child, to comply with the standards in §96.49(d) through (j);</p> <p>(3) Requires the foreign supervised provider to adhere to the standard in §96.36(a) prohibiting child buying; and has written policies and procedures in place reflecting the prohibitions in §96.36(a) and reinforces them in training programs for its employees and agents;</p> <p>(4) Requires the foreign supervised provider to compensate its directors, officers, and employees who provide intercountry adoption services on a fee-for-service, hourly wage, or</p>	<ul style="list-style-type: none"> <li>• Procedures for entering into agreements with foreign supervised providers</li> <li>• Executive Verification</li> <li>• Sample or draft agreement</li> <li>• Written agreements with current foreign supervised providers</li> </ul>	<p>Interviews with:</p> <ul style="list-style-type: none"> <li>• CEO/Executive Director</li> <li>• Personnel responsible for supervising providers in foreign countries</li> <li>• Foreign supervised provider, as necessary</li> </ul> <ul style="list-style-type: none"> <li>• Written agreements with current foreign supervised providers</li> </ul>



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<p>salary basis, rather than based on whether a child is placed for adoption, located for an adoptive placement, or on a similar contingent fee basis;</p> <p>(5) Identifies specifically the lines of authority between the primary provider and the foreign supervised provider, the employee of the primary provider who will be responsible for supervision, and the employee of the supervised provider who will be responsible for ensuring compliance with the written agreement;</p> <p>(6) States clearly the compensation arrangement for the services to be provided and the fees and expenses to be charged by the foreign supervised provider;</p> <p>(7) Specifies whether the foreign supervised provider's fees and expenses will be billed to and paid by the client(s) directly or billed to the client through the primary provider;</p> <p>(8) Provides that, if billing the client(s) directly for its service, the foreign supervised provider will give the client(s) an itemized bill of all fees and expenses to be paid, with a written explanation of how and when such fees and expenses will be refunded if the service is not completed, and will return any funds collected to which the client(s) may be entitled within</p>		
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<p>sixty days of the completion of the delivery of services;</p> <p>(9) Requires the foreign supervised provider to respond within a reasonable period of time to any request for information from the primary provider, the Secretary, or the accrediting entity that issued the primary provider's accreditation or approval;</p> <p>(10) Requires the foreign supervised provider to provide the primary provider on a timely basis any data that is necessary to comply with the primary provider's reporting requirements;</p> <p>(11) Requires the foreign supervised provider to disclose promptly to the primary provider any changes in the suitability information required by §96.35; and</p> <p>(12) Permits suspension or termination of the agreement on reasonable notice if the primary provider has grounds to believe that the foreign supervised provider is not in compliance with the agreement or the requirements of this section.</p> <p><b><i>Additional technical guidance provided by the Department of State. - F.8 Time to get supervisory agreements signed 96.46</i></b></p>		
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<i>Additional technical guidance provided by the Department of State. - F.10 Use of master agreements with supervised providers. 96.46</i>		
<b>Standard</b>	<b>Evidence to be submitted as a part of Application Part B</b>	<b>Evidence to be submitted and Interviews to be Conducted During Site Visit</b>
<p><b>Critical</b></p> <p>96.46 (c) The agency or person, when acting as the primary provider and, in accordance with §96.14, using foreign providers that are not under its supervision, verifies, through review of the relevant documentation and other appropriate steps, that:</p> <p>(1) Any necessary consent to termination of parental rights or to adoption obtained by the foreign provider was obtained in accordance with applicable foreign law and Article 4 of the Convention;</p> <p>(2) Any background study and report on a child in a case involving immigration to the United States (an incoming case) performed by the foreign provider was performed in accordance with applicable foreign law and Article 16 of the Convention.</p> <p>(3) Any home study and report on prospective adoptive parent(s) in a case involving emigration from the United States (an outgoing case) performed by the foreign provider was</p>	<ul style="list-style-type: none"> <li>• Executive Verification</li> <li>• Procedures for obtaining and verifying information received from foreign providers who are not supervised providers</li> <li>• Documentation demonstrating oversight of current foreign supervised providers including verification of compliance with relevant laws and the Convention</li> </ul>	<p>Interviews with:</p> <ul style="list-style-type: none"> <li>• CEO/Executive Director</li> <li>• Personnel responsible for supervising providers in foreign countries</li> <li>• Foreign supervised provider, as necessary</li> </ul> <ul style="list-style-type: none"> <li>• Documentation demonstrating oversight of current foreign supervised providers including verification of compliance with relevant laws and the Convention</li> <li>• Review relevant case records, as applicable.</li> </ul>



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performed in accordance with applicable foreign law and Article 15 of the Convention.		
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