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Standards for Cases in Which a Child Is Immigrating to the United States**

Preparation of Home Studies in Incoming Cases 96.47 (a) – (d)

| Standard | Evidence to be submitted as a part of Application Part B | Evidence to be submitted and Interviews to be Conducted During Site Visit |
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| <p>Critical</p> <p>96.47 (a) The agency or person ensures that a home study on the prospective adoptive parent(s) (which for purposes of this section includes the initial report and any supplemental statement submitted to DHS) is completed that includes the following:</p> <p>(1) Information about the prospective adoptive parent(s)' identity, eligibility and suitability to adopt, background, family and medical history, social environment, reasons for adoption, ability to undertake an intercountry adoption, and the characteristics of the children for whom the prospective adoptive parent(s) would be qualified to care (specifying in particular whether they are willing and able to care for a child with special needs);</p> <p>(2) A determination whether the prospective adoptive parent(s) are eligible and suited to adopt;</p> | <ul style="list-style-type: none"> • A narrative describing which states the agency/person conducts home studies and information about the relevant laws and regulations • Home study preparation procedures • Review of case records | <p>Interviews with:</p> <ul style="list-style-type: none"> • Supervisors • Employees who conduct home studies • Review of case records |



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| <p>(3) A statement describing the counseling and training provided to the prospective adoptive parent(s);</p> <p>(4) The results of a criminal background check on the prospective adoptive parent(s) and any other individual for whom a check is required by 8 CFR 204.311;</p> <p>(5) A full and complete statement of all facts relevant to the eligibility and suitability of the prospective adoptive parent(s) to adopt a child under any specific requirements identified to the Secretary by the Central Authority of the child's country of origin; and</p> <p>(6) A statement in each copy of the home study that it is a true and accurate copy of the home study that was provided to the prospective adoptive parent(s) or HS.</p> <p><i>Additional technical guidance provided by the Department of State. – G.1 Outgoing military cases and home study preparers. 96.47</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) 96.47(c)</i></p> | | |
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| <i>Additional technical guidance provided by the Department of State. – G.3 “True and accurate copy” statement. 96.47(a)(6)</i> | | |
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| 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>Critical</p> <p>96.47 (b) The agency or person ensures that the home study is performed in accordance with 8 CFR 204.311, and any applicable State law.</p> | <ul style="list-style-type: none"> • Home study preparation procedures • Review of applicable state law, as necessary | <p>Interviews with:</p> <ul style="list-style-type: none"> • Supervisors • Employees <p>• Review of applicable state law, as necessary</p> |
| <p>Critical</p> <p>96.47 (c) Where the home study is not performed in the first instance by an accredited agency, the agency or person ensures that the home study is reviewed and approved in writing by an accredited agency. The written approval must include a determination that the home study:</p> <p>(1) Includes all of the information required by paragraph (a) of this section and is performed in accordance with 8 CFR 204.311, and applicable State law; and</p> <p>(2) Was performed by an individual who meets the requirements in §96.37(f), or, if the individual is an exempted provider, ensures that the individual meets the requirements for</p> | <ul style="list-style-type: none"> • Procedures for reviewing and approving home studies • Checklist, tool, or other documentation used in the review and approval of home studies • Review of case records | <p>Interviews with:</p> <ul style="list-style-type: none"> • Supervisors • Relevant employees <p>• Review of case records</p> |



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| <p>home study providers established by 8 CFR 204.301.</p> <p><i>Additional technical guidance provided by the Department of State. – D.1 Contractor, supervised provider, must meet education and experience requirements of 96.37€. 96.47(c)</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) 96.47(c)</i></p> <p><i>Additional technical guidance provided by the Department of State. – G.4 Primary provider does not have to review home study prepared by accredited agency. 96.47(c)</i></p> <p><i>Additional technical guidance provided by the Department of State. – G.5 Home study updates must be reviewed by an accredited or temporarily accredited agency. 96.47(c)</i></p> <p><i>Additional technical guidance provided by the Department of State. – F.5a Working with supervised providers; letterhead – Revised. 96.47(c)</i></p> | | |
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| <p>Foundational</p> <p>96.47 (d) The agency or person takes all appropriate measures to ensure the timely transmission of the same home study that was provided to the prospective adoptive parent(s) or to DHS to the Central Authority of the child's country of origin (or to an alternative authority designated by that Central Authority).</p> <p><i>Additional technical guidance provided by the Department of State. – G.6 Use of home study summaries. 96.47(d)</i></p> | <ul style="list-style-type: none"> • Home study preparation procedures | <p>Interviews with:</p> <ul style="list-style-type: none"> • Supervisors • Employees |



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Preparation and Training of Prospective Adoptive Parent(s) in Incoming Cases 96.48 (a) – (h)

| Standard | Evidence to be submitted as a part of Application Part B | Evidence to be submitted and Interviews to be Conducted During Site Visit |
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| <p>Critical</p> <p>96.48 (a) The agency or person provides prospective adoptive parent(s) with at least ten hours (independent of the home study) of preparation and training, as described in paragraphs (b) and (c) of this section, designed to promote a successful intercountry adoption. The agency or person provides such training before the prospective adoptive parent(s) travel to adopt the child or the child is placed with the prospective adoptive parent(s) for adoption.</p> <p><i>Additional technical guidance provided by the Department of State. – G.7 Timing of 10 hours of training for PAPs. 96.48(a)</i></p> | <ul style="list-style-type: none"> • Provide a narrative describing the process for providing training to prospective adoptive parents. Include information about who provides the training and the methods used for training. Describe the process for informing prospective adoptive parents of training requirements. • Review documentation of training attendance in case records, including review of training logs | <p>Interviews with:</p> <ul style="list-style-type: none"> • Personnel • Adoptive Parents <ul style="list-style-type: none"> • Review documentation of training attendance in case records |
| <p>Foundational</p> <p>96.48 (b) The training provided by the agency or person addresses the following topics:</p> <p>(1) The intercountry adoption process, the general characteristics and needs of children awaiting adoption, and the in-country conditions that affect children in the foreign</p> | <ul style="list-style-type: none"> • Table of contents of training curriculum • Training curriculum | <p>Interviews with:</p> <ul style="list-style-type: none"> • Adoptive parents • Training/program personnel |



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| <p>country from which the prospective adoptive parent(s) plan to adopt;</p> <p>(2) The effects on children of malnutrition, relevant environmental toxins, maternal substance abuse, and of any other known genetic, health, emotional, and developmental risk factors associated with children from the expected country of origin;</p> <p>(3) Information about the impact on a child of leaving familiar ties and surroundings, as appropriate to the expected age of the child;</p> <p>(4) Data on institutionalized children and the impact of institutionalization on children, including the effect on children of the length of time spent in an institution and of the type of care provided in the expected country of origin;</p> <p>(5) Information on attachment disorders and other emotional problems that institutionalized or traumatized children and children with a history of multiple caregivers may experience, before and after their adoption;</p> <p>(6) Information on the laws and adoption processes of the expected country of origin, including foreseeable delays and impediments to finalization of an adoption;</p> | | |
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| <p>(7) Information on the long-term implications for a family that has become multicultural through intercountry adoption; and</p> <p>(8) An explanation of any reporting requirements associated with intercountry adoptions, including any post-placement or post-adoption reports required by the expected country of origin.</p> | | |
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| 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>Foundational</p> <p>96.48 (c) The agency or person also provides the prospective adoptive parent(s) with training that allows them to be as fully prepared as possible for the adoption of a particular child. This includes counseling on:</p> <p>(1) The child's history and cultural, racial, religious, ethnic, and linguistic background;</p> <p>(2) The known health risks in the specific region or country where the child resides; and</p> <p>(3) Any other medical, social, background, birth history, educational data, developmental history, or any other data known about the particular child.</p> | <ul style="list-style-type: none"> • Provide a narrative describing the organization's process for informing and counseling prospective adoptive parents on child-specific information in preparation for adoption • Review case records; for sample medical records | <p>Interviews with:</p> <ul style="list-style-type: none"> • Personnel • Adoptive Parents • Supervisors <ul style="list-style-type: none"> • Review case records; for sample medical records |



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| <p>Foundational</p> <p>96.48 (d) The agency or person provides such training through appropriate methods, including:</p> <p>(1) Collaboration among agencies or persons to share resources to meet the training needs of prospective adoptive parents;</p> <p>(2) Group seminars offered by the agency or person or other agencies or training entities;</p> <p>(3) Individual counseling sessions;</p> <p>(4) Video, computer-assisted, or distance learning methods using standardized curricula; or</p> <p>(5) In cases where training cannot otherwise be provided, an extended home study process, with a system for evaluating the thoroughness with which the topics have been covered.</p> <p><i>Additional technical guidance provided by the Department of State. – G.8 Training PAPs electronically. 96.48(d)</i></p> | | <p>Interviews with:</p> <ul style="list-style-type: none"> • Personnel |



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| <p>Foundational</p> <p>96.48 (e) The agency or person provides additional in-person, individualized counseling and preparation, as needed, to meet the needs of the prospective adoptive parent(s) in light of the particular child to be adopted and his or her special needs, and any other training or counseling needed in light of the child background study or the home study.</p> | <ul style="list-style-type: none"> • Provide a narrative describing the organization’s process for informing and counseling prospective adoptive parents on child-specific information in preparation for adoption • Review of case records | <p>Interviews with:</p> <ul style="list-style-type: none"> • Personnel • Adoptive parents <ul style="list-style-type: none"> • Review of case records |
| <p>Foundational</p> <p>96.48 (f) The agency or person provides the prospective adoptive parent(s) with information about print, internet, and other resources available for continuing to acquire information about common behavioral, medical, and other issues; connecting with parent support groups, adoption clinics and experts; and seeking appropriate help when needed.</p> | <ul style="list-style-type: none"> • Sample resource information given to prospective adoptive parents • Review of case records | <p>Interviews with:</p> <ul style="list-style-type: none"> • Personnel • Adoptive parents <ul style="list-style-type: none"> • Review of case records |
| <p>Foundational</p> <p>96.48 (g) The agency or person exempts prospective adoptive parent(s) from all or part of the training and preparation that would normally be required for a specific adoption only when the agency or person determines that the prospective adoptive parent(s) have received adequate prior training or have prior</p> | <ul style="list-style-type: none"> • Procedure and criteria for exempting prospective adoptive parents from training • Review of case records | <p>Interviews with:</p> <ul style="list-style-type: none"> • Personnel <ul style="list-style-type: none"> • Review of case records |



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| experience as parent(s) of children adopted from abroad. | | |
| Standard | Evidence to be submitted as a part of Application Part B | Evidence to be submitted and Interviews to be Conducted During Site Visit |
| Foundational 96.48 (h) The agency or person records the nature and extent of the training and preparation provided to the prospective adoptive parent(s) in the adoption record. | | |

Provision of Medical and Social Information in Incoming Cases 96.49 (a) – (k)

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| Standard | Evidence to be submitted as a part of Application Part B | Evidence to be submitted and Interviews to be Conducted During Site Visit |
| Critical 96.49 (a) The agency or person provides a copy of the child's medical records (including, to the fullest extent practicable, a correct and complete English-language translation of such records) to the prospective adoptive parent(s) as early as possible, but no later than two weeks before either the adoption or placement for adoption, or the date on which the prospective adoptive parent(s) travel to the foreign country to complete all procedures in | <ul style="list-style-type: none"> • Procedure for obtaining and providing medical and social information • Review of case records | Interviews with: <ul style="list-style-type: none"> • Prospective adoptive parents • Personnel • Review of case records |



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| <p>such country relating to the adoption or placement for adoption, whichever is earlier.</p> | | |
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| 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>Foundational</p> <p>96.49 (b) Where any medical record provided pursuant to paragraph (a) of this section is a summary or compilation of other medical records, the agency or person includes those underlying medical records in the medical records provided pursuant to paragraph (a) if they are available.</p> | <ul style="list-style-type: none"> • Procedure for obtaining and providing medical and social information • Review of case records | <p>Interviews with:</p> <ul style="list-style-type: none"> • Prospective adoptive parents • Personnel <ul style="list-style-type: none"> • Review of case records |
| <p>Foundational</p> <p>96.49 (c) The agency or person provides the prospective adoptive parent(s) with any untranslated medical reports or videotapes or other reports and provides an opportunity for the client(s) to arrange for their own translation of the records, including a translation into a language other than English, if needed.</p> | <ul style="list-style-type: none"> • Procedure for obtaining and providing medical and social information | <p>Interviews with:</p> <ul style="list-style-type: none"> • Prospective adoptive parents • Personnel • |



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| <p>Critical</p> <p>96.49 (d) The agency or person itself uses reasonable efforts, or requires its supervised provider in the child's country of origin who is responsible for obtaining medical information about the child on behalf of the agency or person to use reasonable efforts, to obtain available information, including in particular:</p> <p>(1) The date that the foreign country or other child welfare authority assumed custody of the child and the child's condition at that time;</p> <p>(2) History of any significant illnesses, hospitalizations, special needs, and changes in the child's condition since the foreign country or other child welfare authority assumed custody of the child;</p> <p>(3) Growth data, including prenatal and birth history, and developmental status over time and current developmental data at the time of the child's referral for adoption; and</p> <p>(4) Specific information on the known health risks in the specific region or country where the child resides.</p> | <ul style="list-style-type: none"> • Medical information requests, showing types of information requested • Copy of agreement between primary and foreign supervised providers • Communication with supervised providers, foreign providers, public foreign authorities, etc., showing types of information requested | <p>Interviews with:</p> <ul style="list-style-type: none"> • Prospective adoptive parents • Personnel • Personnel responsible for agreements with supervised providers <ul style="list-style-type: none"> • Medical information requests, showing types of information requested • Copy of agreement between primary and foreign supervised providers • Communication with supervised providers, foreign providers, public foreign authorities, etc., showing types of information requested |



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| <p>Critical</p> <p>96.49 (e) If the agency or person provides medical information, other than the information provided by public foreign authorities, to the prospective adoptive parent(s) from an examination by a physician or from an observation of the child by someone who is not a physician, the agency or person uses reasonable efforts to include the following:</p> <p>(1) The name and credentials of the physician who performed the examination or the individual who observed the child;</p> <p>(2) The date of the examination or observation; how the report's information was retained and verified; and if anyone directly responsible for the child's care has reviewed the report;</p> <p>(3) If the medical information includes references, descriptions, or observations made by any individual other than the physician who performed the examination or the individual who performed the observation, the identity of that individual, the individual's training, and information on what data and perceptions the individual used to draw his or her conclusions;</p> | <ul style="list-style-type: none"> • Procedure for obtaining and providing medical and social information • Review of case records | <p>Interviews with:</p> <ul style="list-style-type: none"> • Prospective adoptive parents • Personnel • CEO <ul style="list-style-type: none"> • Review of case records |



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| <p>(4) A review of hospitalizations, significant illnesses, and other significant medical events, and the reasons for them;</p> <p>(5) Information about the full range of any tests performed on the child, including tests addressing known risk factors in the child's country of origin; and</p> <p>(6) Current health information.</p> | | |
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| 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>Critical</p> <p>96.49 (f) The agency or person itself uses reasonable efforts, or requires its supervised provider in the child's country of origin who is responsible for obtaining social information about the child on behalf of the agency or person to use reasonable efforts, to obtain available information, including in particular:</p> <p>(1) Information about the child's birth family and prenatal history and cultural, racial, religious, ethnic, and linguistic background;</p> <p>(2) Information about all of the child's past and current placements prior to adoption, including, but not limited to any social work or court reports on the child and any information on</p> | <ul style="list-style-type: none"> • Procedure for obtaining and providing medical and social information • Review of case records | <p>Interviews with:</p> <ul style="list-style-type: none"> • Prospective adoptive parents • Personnel <ul style="list-style-type: none"> • Review of case records |



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| <p>who assumed custody and provided care for the child; and</p> <p>(3) Information about any birth siblings whose existence is known to the agency or person, or its supervised provider, including information about such siblings' whereabouts.</p> | | |
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| 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>Critical</p> <p>96.49 (g) Where any of the information listed in paragraphs (d) and (f) of this section cannot be obtained, the agency or person documents in the adoption record the efforts made to obtain the information and why it was not obtainable. The agency or person continues to use reasonable efforts to secure those medical or social records that could not be obtained up until the adoption is finalized.</p> | <ul style="list-style-type: none"> • Procedure for obtaining and providing medical and social information • Review of case records | <p>Interviews with:</p> <ul style="list-style-type: none"> • Prospective adoptive parents • Personnel <ul style="list-style-type: none"> • Review of case records |
| <p>Foundational</p> <p>96.49 (h) Where available, the agency or person provides information for contacting the examining physician or the individual who made the observations to any physician engaged by the prospective adoptive parent(s), upon request.</p> | <ul style="list-style-type: none"> • Procedure for obtaining and providing medical and social information | <p>Interviews with:</p> <ul style="list-style-type: none"> • Prospective adoptive parents • Personnel |



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| <p>Foundational</p> <p>96.49 (i) The agency or person ensures that videotapes and photographs of the child are identified by the date on which the videotape or photograph was recorded or taken and that they were made in compliance with the laws in the country where recorded or taken.</p> | <ul style="list-style-type: none"> • Procedure for obtaining and providing medical and social information • Review of case records | <p>Interviews with:</p> <ul style="list-style-type: none"> • Prospective adoptive parents • Personnel <p>• Review of case records</p> |
| <p>Critical</p> <p>96.49 (j) The agency or person does not withhold from or misrepresent to the prospective adoptive parent(s) any available medical, social, or other pertinent information concerning the child.</p> | <ul style="list-style-type: none"> • Procedure for obtaining and providing medical and social information | <p>Interviews with:</p> <ul style="list-style-type: none"> • Prospective adoptive parents • Personnel |
| <p>Foundational</p> <p>96.49 (k) The agency or person does not withdraw a referral until the prospective adoptive parent(s) have had two weeks (unless extenuating circumstances involving the child's best interests require a more expedited decision) to consider the needs of the child and their ability to meet those needs, and to obtain physician review of medical information and other descriptive information, including videotapes of the child if available.</p> | <ul style="list-style-type: none"> • Policy and procedure regarding withdrawal of a referral • Information provided to prospective adoptive parents about the referral process • Review of case records | <p>Interviews with:</p> <ul style="list-style-type: none"> • Prospective adoptive parents • Personnel <p>• Review of case records</p> |



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| <i>Additional technical guidance provided by the Department of State. – G.9 Meaning of “extenuating circumstances.” 96.49(k)</i> | | |
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Placement and Post-Placement Monitoring Until Final Adoption in Incoming Cases 96.50 (a) – (h)

| Standard | Evidence to be submitted as a part of Application Part B | Evidence to be submitted and Interviews to be Conducted During Site Visit |
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| <p>Critical</p> <p>96.50 (a) The agency or person takes all appropriate measures to ensure that the transfer of the child takes place in secure and appropriate circumstances, with properly trained and qualified escorts, if used, and, if possible, in the company of the prospective adoptive parent(s).</p> | <ul style="list-style-type: none"> • A description of the process or procedures for child transfers | <p>Interviews with:</p> <ul style="list-style-type: none"> • Prospective adoptive parents • Personnel |
| <p>Critical</p> <p>96.50 (b) In the post-placement phase, the agency or person monitors and supervises the child's placement to ensure that the placement remains in the best interests of the child, and ensures that at least the number of home visits required by State law or by the child's country of origin are performed, whichever is greater.</p> | <ul style="list-style-type: none"> • Post placement monitoring procedures • Review of applicable state law and sending country requirements, when necessary • Review of case records | <p>Interviews with:</p> <ul style="list-style-type: none"> • Personnel • Adoptive parents <ul style="list-style-type: none"> • Review of applicable state law and sending country requirements, when necessary • Review of case records |
| <p>Critical</p> | <ul style="list-style-type: none"> • Review of case records | <p>Interviews with:</p> <ul style="list-style-type: none"> • Personnel • Supervisors |



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| <p>96.50 (c) When a placement for adoption is in crisis in the post-placement phase, the agency or person makes an effort to provide or arrange for counseling by an individual with appropriate skills to assist the family in dealing with the problems that have arisen.</p> | | <ul style="list-style-type: none"> • Review of case files |
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| 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>Critical</p> <p>96.50 (d) If counseling does not succeed in resolving the crisis and the placement is disrupted, the agency or person assuming custody of the child assumes responsibility for making another placement of the child.</p> <p><i>Additional technical guidance provided by the Department of State. – G.10 Need policy for disruptions and dissolutions. 96.50 (d)</i></p> <p><i>Additional technical guidance provided by the Department of State. – G.11 Disruption plans must have options. 96.50(d)</i></p> <p><i>Additional technical guidance provided by the Department of State. – G12 Primary provider responsibility in transfer and care of child. 96.50(d), (e)</i></p> | <ul style="list-style-type: none"> • Procedure for assuming custody and providing temporary care of children whose placement has disrupted • Placement procedures for children whose placement has disrupted • Review of case records | <p>Interviews with:</p> <ul style="list-style-type: none"> • Personnel • Supervisors <ul style="list-style-type: none"> • Review of case records |



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| <p>Critical</p> <p>96.50 (e) The agency or person acts promptly and in accord with any applicable legal requirements to remove the child when the placement may no longer be in the child's best interests, to provide temporary care, to find an eventual adoptive placement for the child, and, in consultation with the Secretary, to inform the Central Authority of the child's country of origin about any new prospective adoptive parent(s).</p> <p>(1) In all cases where removal of a child from a placement is considered, the agency or person considers the child's views when appropriate in light of the child's age and maturity and, when required by State law, obtains the consent of the child prior to removal.</p> <p>(2) The agency or person does not return from the United States a child placed for adoption in the United States unless the Central Authority of the country of origin and the Secretary have approved the return in writing.</p> | <ul style="list-style-type: none"> • Procedures for removing a child from a placement • Review of case records | <p>Interviews with:</p> <ul style="list-style-type: none"> • Personnel • Supervisors <ul style="list-style-type: none"> • Review of case records |



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| <p><i>Additional technical guidance provided by the Department of State. – G12 Primary provider responsibility in transfer and care of child. 96.50(d), (e)</i></p> | | |
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| 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>Foundational</p> <p>96.50 (f) The agency or person includes in the adoption services contract with the prospective adoptive parent(s) a plan describing the agency's or person's responsibilities if a placement for adoption is disrupted. This plan addresses:</p> <p>(1) Who will have legal and financial responsibility for transfer of custody in an emergency or in the case of impending disruption and for the care of the child;</p> <p>(2) If the disruption takes place after the child has arrived in the United States, under what circumstances the child will, as a last resort, be returned to the child's country of origin, if that is determined to be in the child's best interests;</p> | <ul style="list-style-type: none"> • Adoption Services Contract • Review of case records | <ul style="list-style-type: none"> • Review of case records |



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| <p>(3) How the child's wishes, age, length of time in the United States, and other pertinent factors will be taken into account; and</p> <p>(4) How the Central Authority of the child's country of origin and the Secretary will be notified.</p> | | |
|--|--|---|
| 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>Critical</p> <p>96.50 (g) The agency or person provides post-placement reports until final adoption of a child to the foreign country when required by the foreign country. Where such reports are required, the agency or person:</p> <p>(1) Informs the prospective adoptive parent(s) in the adoption services contract of the requirement prior to the referral of the child for adoption;</p> <p>(2) Informs the prospective adoptive parent(s) that they will be required to provide all necessary information for the report(s); and</p> <p>(3) Discloses who will prepare the reports and the fees that will be charged.</p> | <ul style="list-style-type: none"> • Adoption Services Contract • Review of case records | <p>Interviews with:</p> <ul style="list-style-type: none"> • Personnel • Supervisors <ul style="list-style-type: none"> • Review of case records |



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|---|---|--|
| <p>Foundational</p> <p>96.50 (h) The agency or person takes steps to:</p> <p>(1) Ensure that an order declaring the adoption as final is sought by the prospective adoptive parent(s), and in Convention adoptions is entered in compliance with section 301(c) of the IAA (42 U.S.C. 14931(c)); and</p> <p>(2) Notify the Secretary of the finalization of the adoption within thirty days of the entry of the order.</p> <p><i>Additional technical guidance provided by the Department of State. – G13 Date of the entry order in 96.50(h) refers to the date of the U.S. court order. 96.50(h)</i></p> <p><i>Additional technical guidance provided by the Department of State. – G14 Hague certificates and entering final adoption orders in ATS. 96.50(h)</i></p> | <ul style="list-style-type: none"> • Procedures for finalizing adoptions | <p>Interviews with:</p> <ul style="list-style-type: none"> • Personnel • Supervisors |



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Post-Adoption Services in Incoming Cases 96.51 (a) – (d)

| 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>Foundational</p> <p>96.51 (a) The agency or person takes all appropriate measures to ensure that the transfer of the child takes place in secure and appropriate circumstances, with properly trained and qualified escorts, if used, and, if possible, in the company of the adoptive parent(s).</p> | <ul style="list-style-type: none"> • A description of the process of procedures for child transfers | <p>Interviews with:</p> <ul style="list-style-type: none"> • Personnel |
| <p>Foundational</p> <p>96.51 (b) The agency or person informs the prospective adoptive parent(s) in the adoption services contract whether the agency or person will or will not provide any post-adoption services. The agency or person also informs the prospective adoptive parent(s) in the adoption services contract whether it will provide services if an adoption is dissolved, and, if it indicates it will, it provides a plan describing the agency's or person's responsibilities.</p> | <ul style="list-style-type: none"> • Adoption Services Contract • Review of case records | <p>Interviews with:</p> <ul style="list-style-type: none"> • Personnel • Review of case records |



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| 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>Foundational</p> <p>96.51 (c) When post-adoption reports are required by the child's country of origin, the agency or person includes a requirement for such reports in the adoption services contract and makes good-faith efforts to encourage adoptive parent(s) to provide such reports.</p> | <ul style="list-style-type: none"> • Adoption Services Contract • List of all cases with missing post-adoption reports by country of origin • Review of case records | <p>Interviews with:</p> <ul style="list-style-type: none"> • Personnel • Supervisors <ul style="list-style-type: none"> • List of all cases with missing post-adoption reports by country of origin • Review of case records |
| <p>Critical</p> <p>96.51 (d) The agency or person does not return from the United States an adopted child whose adoption has been dissolved unless the Central Authority of the country of origin and the Secretary have approved the return in writing.</p> | <ul style="list-style-type: none"> • Policy and procedure for returning a child to country of origin • Review dissolved adoption case records | <p>Interviews with:</p> <ul style="list-style-type: none"> • Supervisors • CEO • Clients <ul style="list-style-type: none"> • Review dissolved adoption case records |

Performance of Convention Communication and Coordination Functions in Incoming Cases 96.52 (a) – (e)

| 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>Foundational</p> <p>96.52 (a) The agency or person keeps the Central Authority of the foreign country and the Secretary informed as necessary about the adoption process and the measures taken to complete it, as well as about the progress of</p> | <ul style="list-style-type: none"> • Policy and procedures for informing Central Authorities and the Secretary about the adoption process | <p>Interviews with:</p> <ul style="list-style-type: none"> • Appropriate personnel |



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| the placement if a probationary period is required. | | |
| 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>Critical</p> <p>96.52 (b) The agency or person takes all appropriate measures, consistent with the procedures of the U.S. Central Authority and of the foreign country, to:</p> <p>(1) Transmit on a timely basis the home study to the Central Authority or other competent authority of the child's country of origin;</p> <p>(2) Obtain the child background study, proof that the necessary consents to the child's adoption have been obtained, and the necessary determination that the prospective placement is in the child's best interests, from the Central Authority or other competent authority in the child's country of origin;</p> <p>(3) Provide confirmation that the prospective adoptive parent(s) agree to the adoption to the Central Authority or other competent authority in the child's country of origin; and</p> <p>(4) Transmit the determination that the child is or will be authorized to enter and reside permanently in the United States to the Central</p> | <ul style="list-style-type: none"> • Procedure for transmitting and receiving information from Central Authorities | <p>Interviews with: Appropriate personnel</p> |



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| <p>Authority or other competent authority in the child's country of origin.</p> | | |
|---|--|---|
| 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>Critical</p> <p>96.52 (c) The agency or person takes all necessary and appropriate measures, consistent with the procedures of the foreign country, to obtain permission for the child to leave his or her country of origin and to enter and reside permanently in the United States.</p> | <ul style="list-style-type: none"> • Procedures for obtaining permission for child to leave country of origin and enter and reside permanently in the United States | <p>Interviews with:</p> <ul style="list-style-type: none"> • Appropriate personnel |
| <p>Foundational</p> <p>96.52 (d) Where the transfer of the child does not take place, the agency or person returns the home study on the prospective adoptive parent(s) and/or the child background study to the authorities that forwarded them.</p> | <ul style="list-style-type: none"> • Procedure for returning home studies | <p>Interviews with:</p> <ul style="list-style-type: none"> • Personnel |
| <p>Critical</p> <p>96.52 (e) The agency or person takes all necessary and appropriate measures to perform any tasks in an intercountry adoption case that the Secretary identifies are required to comply with the Convention, the IAA, the UAA, or any regulations implementing the IAA or UAA.</p> | | <p>Interviews with:</p> <ul style="list-style-type: none"> • CEO • Supervisors • Personnel |