



## Desk Review Evidence

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IAAME provides this evidence list as an opportunity for the agency/person to provide additional evidence to demonstrate compliance with the Standards in 22 CFR 96 Subpart F. **Any evidence provided must be related only to the current accreditation/approval cycle.** This list is not exhaustive; IAAME may ask for further evidence.

### Standard Specific Evidence

- 96.42(b): Documentation of completed information requests from current/previous clients
- 96.43(b): Report(s) generated and maintained including all elements of the standard, as applicable
- 96.45(a): Evidence demonstrating oversight (including verification of each element) of supervised providers in the United States the agency/person currently oversees, as applicable
- 96.45(b): Executed written agreements with current supervised providers in the United States, as applicable
- 96.46(a): Evidence demonstrating oversight (including verification of each element) of foreign supervised providers the agency/person currently oversees, as applicable
- 96.46(b): Executed written agreements with current foreign supervised providers, as applicable
- 96.46(c): Evidence demonstrating verification of the work of foreign providers not under the agency/person's supervision, as applicable

***The evidence below is personnel record specific. If the evidence is included in the personnel file, and you prefer to submit the entire personnel file, you may do so. However, if you prefer to not submit the entire personnel file, and only submit the evidence below, you may do so as well.***

### Personnel Evidence

- 96.37(a): Resume (for employees who provide adoption-related social services and supervisors)
- 96.35(c)(d): State criminal background and child abuse clearance(s) (for individuals in the United States in a senior management position or who works directly with parent(s) and/or children)
- 96.35(c)(d): Completed FBI FD-258 form (for individuals in the United States in a senior management position or who works directly with parent(s) and/or children)
- 96.35(d): Social Worker Certificate of Good Standing (required only for an approved person who is an individual practitioner)
- 96.35(d): Lawyer Certificate of Good Standing (only required only for an approved person who is an individual practitioner)

### Employee Orientation/Training Evidence

- 96.38(a): Verification of Orientation **or** exemption per 96.38(d)
- 96.38(b): Verification of Initial Training **or** exemption per 96.38(d)
- 96.38(c): Verification of required On-going Training

***The evidence below is adoption record specific. If the evidence is included in the adoption record, and you prefer to submit the entire adoption record, you may do so. However, if you prefer to not submit the entire adoption record, and only submit the evidence below, you may do so as well.***

### General Client-Specific Evidence

- 96.39(d), 96.40(d), 96.50(f)(g), 96.51(b)(c): Adoption Services Contract including any/all attachments



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- 96.40(a)(b): Written Fee and Estimated Expenses Disclosure(s)
- 96.41(a)-(h): Complaint Policies and Procedures, if not included in the Adoption Services Contract
- 96.44(a): Completed Service Plan
- 96.40(g): Written receipts for any fees paid in-country (for unforeseen additional fees/expenses), as applicable
- 96.46(b)(8): Evidence of how the ASP ensures itemized bills are given clients if the FSP is billing the client directly for its service and evidence of any refunds issued to clients, as applicable
- USCIS Request for Evidence and/or Notice of Intent to Deny, as applicable

### Incoming Case Evidence

- 96.47(a)(b): Finalized home studies, updates and addendums performed by the ASP
- 96.47(c): Evidence of the ASP's home study review and written approval, if the home study was not performed in the first instance by an accredited agency, as applicable
- Documentation (e.g., certificates, checklists, worksheets, case notes) of prospective adoptive parent training/preparation/counseling including:
  - 96.48(a)(b): PAP required training
  - 96.48(c): Child-specific training/counseling
  - 96.48(e): Individual counseling and preparation, as applicable
  - 96.48(g): Documentation of training/preparation/counseling exemption, as applicable
- 96.49(g): Documentation in adoption record of reasonable efforts to obtain medical and/or social records, as applicable
- 96.49(k): Evidence of providing referral to prospective adoptive parents, as applicable
- 96.52(b): Evidence of prospective adoptive parents' referral acceptance/denial, as applicable
- 96.47(d): Evidence the prospective adoptive parent's home study was transmitted to the foreign Central Authority, as applicable
- 96.50(b): Post-placement monitoring and supervision; post-placement reports, as applicable
- 96.50(g): Evidence post-placement reports were provided to the foreign central or competent authority, as applicable
- 96.50(h): Documentation of the steps taken to obtain the adoption order and to notify the Secretary of the finalization of the adoption, as applicable
- 96.52(a)(b)(c)(d): Evidence of performance of communication and coordination functions as specified in the ASP's written procedures

### Child-Specific Evidence

- Documentation of child referral information including:
  - 96.49(a)-(e): Medical Records/Information
  - 96.49(f): Social information
  - 96.49(i): Photo(s) or video(s) of the child

### Outgoing Case Evidence

- 96.53(a): Child background study
- 96.53(b): Evidence of ASP's child background study review and written approval, if the child background study was not performed in the first instance by an accredited agency, as applicable
- 96.53(c): All required consents for the adoption and evidence consents were obtained in compliance with the standard, as applicable



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- 96.53(d): Documentation of the agency giving due consideration to the child’s wishes or opinions (age appropriate), as applicable
- 96.53(e): Evidence the agency provided to state court including child background study, all required consents, and determination that placement is in the best interest of the child
- 96.54(a)(b): Documentation of efforts to find a placement in the United States, as applicable
- 96.54(b): State court orders with “reasonable efforts” finding
- 96.54(d): Documentation of birth parent informed of child being adopted abroad, if required by law
- 96.54(g): Evidence of the agency preparing the child for the transition, as applicable
- 96.54(j): Evidence of the order granting the adoption or legal custody for the purpose of adoption
- 96.55(a)(b)(c)(d)(e): Evidence of performance of communication and coordination functions, as specified in the ASP’s written procedures

\*\*The following evidence must be made available upon request by IAAME:

- Any open adoption records and any adoption records closed during the current accreditation/approval cycle, including all records of correspondence
- Payroll records
- Financial statements, accounts payable and accounts receivable records

### **Tips for providing Required Evidence to IAAME**

- If possible, provide IAAME access to the electronic management system/drop box/cloud-based system prior to the start of the Desk Review to ensure there are no technical difficulties.
- ASPs are responsible for ensuring the electronic management system/drop box/cloud-based system utilized has sufficient storage. If the system utilized by the ASP runs out of storage, IAAME will work with the ASP to upload evidence to the *Documents* tab of the portal.
- To assist IAAME in ensuring the most accurate review of evidence provided, it is preferable that evidence provided is organized by case record name and clearly labeled by standard.
- If ASPs submit the entire adoption record, as opposed to just the evidence requested in this Desk Review Evidence document, do not provide the entire record as one scanned document. In order for IAAME to easily locate evidence, it is preferable for the record to be scanned in sections, with each section clearly labeled.
- IAAME has found it helpful when ASPs provide a “table of contents” or “key” to assist IAAME with locating evidence provided. ASPs have provided an individualized document per adoption record; others provided a more generalized document. Such documents have included information such as page numbers if evidence is provided in scanned sections, reason(s) why a certain piece of evidence is not provided for a case record (i.e., case has not progressed to this stage), reason(s) why evidence in one case record may look different (i.e., updated document was implemented), and any other information the ASP thought would be helpful to IAAME during the Review. Utilizing these steps assists IAAME in clearly locating and reviewing the evidence provided.



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- IAAME addressed providing evidence to IAAME as part of the March 17, 2020 *IAAME Messaging COVID-19 Pandemic Crisis* communication. ASPs may wish to refer to the *Required Evidence* section for further guidance. The communication may be located on the IAAME website, here: <https://www.iaame.net/wp-content/uploads/2021/02/IAAME-COVID-19-Response-3.17.2020.pdf>