



Intercountry Adoption Accreditation and Maintenance Entity
Policy Manual

Policy Name:	Monitoring and Oversight
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Policy: This policy governs IAAME’s monitoring and oversight processes. This policy contains requirements for reporting and activities, as governed by 22 CFR 96.6, 96.66 and 96.72, related to IAAME’s monitoring and oversight of an accredited agency (agency) or approved person (person) for ongoing compliance with the applicable standards.

A. Overview:

1. Monitoring and oversight throughout the period of accreditation or approval is a crucial and important factor in serving the best interests of children and families. IAAME gathers, analyzes, and acts on information it receives throughout the agency’s or person’s accreditation or approval period.
2. IAAME offers a minimum of quarterly contact by phone or video with the agency or person. This communication is designed to foster ongoing discussion and build a working relationship between IAAME and the agency or person. During the quarterly contact, IAAME and the agency or person may review:
 - a) information regarding any changes in procedures, requirements, laws, or regulations
 - b) the status of any open complaints
 - c) the status of any adverse actions
 - d) any upcoming training opportunities
 - e) any upcoming mandatory reporting due dates
 - f) information related to anticipated/potential changes in accreditation or approval status (e.g. upcoming expirations/relinquishments, renewal process, etc.)
 - g) any questions or concerns posed by the agency or person

Agencies and persons are welcome to contact IAAME at any time with questions or concerns.



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3. IAAME completes ongoing monitoring and oversight tasks including, but not limited to:
 - a) Providing technical support
 - b) Requesting reports and data from agencies or persons
 - c) Processing documents and other materials related to an agency's or a person's activities related to oversight, including but not limited to Self-Reports and Mandatory Reports
 - d) Processing complaints in accordance with Policy 005
 - e) Processing Compliance Investigations
 - f) Processing adverse action in accordance with Policy 006
 - g) Sending reports and data to the Department of State
 - h) Updating information in the IAAME Portal and the Adoptions Tracking Service
 - i) Conducting on-site reviews

B. Monitoring and Oversight Activities

1. Compliance Investigations

- a) A compliance investigation is conducted when a potential deficiency is found in an agency's or person's compliance that is:
 - i. Discovered outside of routine monitoring and oversight activities
 - ii. Discovered during routine monitoring and oversight activities, but the potential deficiency is outside the original scope of the activity being reviewed
- b) In completing a Compliance Investigation, IAAME notifies the agency or person of the potential deficiency and requests evidence from the agency or person to demonstrate the agency or person is or is not in compliance with the applicable standards.
- c) IAAME imposes adverse action as applicable based on the findings of the investigation. See Policy 006.

2. Self-Reports

- a) IAAME requires agencies or persons to submit self-reports when certain events occur(ed) or are planned to occur which have or potentially have an impact on child safety, the agency or person's operations, and/or the agency's or person's ability to remain in compliance with the standards.
- b) Self-reports are to be submitted based on the requirements outlined in the table below.
- c) Self-reports must be submitted in the agency or person's Portal and include all required supporting evidence.



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A. Suitability of Agencies and Persons			
Self-Report	Explanation	Required Evidence	Reporting Time
<p>1. Agency or person has lost the right to provide adoption services in any State or country</p> <p>see 22 CFR 96.30 (a) and (b), 96.35 (b)(1), (b)(2), and (e), and 96.42 (e)</p>	<p>The agency or person:</p> <ul style="list-style-type: none"> • lost the right to provide adoption services in any State or country • was debarred or otherwise denied the authority to provide adoption services in any State or country 	<ul style="list-style-type: none"> • Notice from the licensing or regulatory authority including any review and/or investigative findings, and the basis for such action • Action(s) taken or to be taken to address the loss of the right to provide adoption services • List of active cases in the foreign country, including status of each active case and the plan for initiation of case transfers, as applicable 	<p>Within thirty (30) business days of the notification of the loss of the right to provide adoption services in any State or country</p>
<p>2. Initiation of suspensions, negative sanctions or disciplinary action(s)</p> <p>see 22 CFR 96.35 (b)(3), (b)(4), and (e)</p>	<p>The agency or person:</p> <ul style="list-style-type: none"> • received licensing suspensions for cause or other negative sanctions by oversight bodies <p>(Oversight bodies include, but are not limited to: Internal Revenue Service, Federal Trade</p>	<ul style="list-style-type: none"> • Notice of the suspension, negative sanction or disciplinary action(s), including the basis of the action • Action(s) taken or to be taken to address the suspension, negative sanctions, or disciplinary action(s) 	<p>Within thirty (30) business days of the notification of the suspension, negative sanction, or disciplinary action(s)</p>



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	<p>Commission, U.S. Citizenship and Immigration Services, Department of State, Department of Justice, U.S. Department of Health and Human Services, Federal Bureau of Investigation, Department of Homeland Security, and State Attorneys General)</p> <ul style="list-style-type: none"> • received disciplinary action(s) by a licensing or accrediting body <p>(An accrediting body other than IAAME)</p>		
<p>3. Disposition of suspensions, negative sanctions or disciplinary action(s)</p> <p>see 22 CFR 96.35 (b)(3), (b)(4), and (e)</p>	<p>The agency or person:</p> <ul style="list-style-type: none"> • Received the disposition of licensing suspensions for cause or other negative sanctions by oversight bodies <p>(Oversight bodies include, but are not limited to: Internal Revenue</p>	<ul style="list-style-type: none"> • Notice of the disposition of the suspension, negative sanctions, or disciplinary action(s) • Action(s) taken or to be taken to address the disposition of the suspension, negative sanctions, or disciplinary 	<p>Within thirty (30) business days of the notification of the disposition of suspension, negative sanction(s), or disciplinary action(s)</p>



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	<p>Service, Federal Trade Commission, U.S. Citizenship and Immigration Services, Department of State, Department of Justice, U.S. Department of Health and Human Services, Federal Bureau of Investigation, Department of Homeland Security, and State Attorneys General)</p> <ul style="list-style-type: none"> Received the disposition of disciplinary action(s) by a licensing or accrediting body <p>(An accrediting body other than IAAME)</p>	<p>action(s), as applicable</p>	
<p>4. Notification and disposition of any written complaint(s) related to the provision of adoption-related services filed with any State, Federal or foreign regulatory body</p> <p>see 22 CFR 96.35 (b)(5), and (e)</p>	<p>The agency or person has received notification and disposition of a complaint related to the provision of adoption-related services filed with any State, Federal or foreign regulatory body</p>	<ul style="list-style-type: none"> Notice of the filing, including the basis and disposition of the complaint Action(s) taken or to be taken to address the disposition of the complaint, as applicable 	<p>Within thirty (30) business days of the notification of the disposition of the complaint</p>



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<p>5. Initiation of investigation(s) by Federal or public domestic authorities, criminal charge(s), child abuse charge(s), or lawsuit(s) against the agency or person related to the provision of child welfare or adoption-related services</p> <p>see 22 CFR 96.35 (b)(6) and (e)</p>	<p>The agency or person is notified of an investigation by Federal authorities or public domestic authorities, criminal charge(s), child abuse charge(s), or lawsuit(s) against the agency or person related to the provision of child welfare or adoption-related services</p> <p>(Federal or public domestic authorities include but are not limited to: Police, Sheriff, Child Welfare Authorities, State or Federal Judicial System, Internal Revenue Service, Federal Trade Commission, U.S. Citizenship and Immigration Services, Department of State, Department of Justice, U.S. Department of Health and Human Services, Federal Bureau of Investigations, Department of Homeland Security, and State Attorneys General)</p>	<ul style="list-style-type: none"> • Notice, including the basis for, investigation(s), criminal charge(s), child abuse charge(s), or lawsuit(s) • Action(s) taken or to be taken to address the investigation, as applicable 	<p>Within thirty (30) business days of notification of investigation(s), criminal charge(s), child abuse charge(s), or lawsuit(s)</p>
<p>6. Convictions of crimes or violations of</p>	<p>The agency or person has been found guilty of any crime under Federal, State, or foreign law or</p>	<ul style="list-style-type: none"> • Copy of the conviction or violation 	<p>Within thirty (30) business days from the receipt of formal</p>



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<p>financial irregularities</p> <p>see 22 CFR 96.35 (b)(7) and (e)</p>	<p>has been found to have committed any civil or administrative violation involving financial irregularities under Federal, State, or foreign law</p>	<ul style="list-style-type: none"> Action(s) taken or to be taken in response to the conviction or violation 	<p>notice of conviction or violation</p>
<p>7. Bankruptcy</p> <p>see 22 CFR 96.35 (b)(8) and (e)</p>	<p>The agency or person filed for bankruptcy</p>	<ul style="list-style-type: none"> Explanation of reason(s) for the bankruptcy Court filings related to the bankruptcy The plan for continued service delivery to clients and/or the plan for discontinuing service delivery 	<p>Within thirty (30) business days of the filing for bankruptcy</p>
<p>8. Businesses or activities that are inconsistent with the principles of the Convention</p> <p>see 22 CFR 96.35 (b)(9), (c)(5) and (e)</p>	<p>There have been or are currently businesses or activities carried out by the agency or person (including individual directors, officers, and employees), affiliate organizations, or by an organization in which the agency or person has an ownership or controlling interest, that are inconsistent with the principles of the Convention</p>	<ul style="list-style-type: none"> Detailed explanation of businesses or activities Action(s) taken or to be taken in response to the related businesses or activities Note: depending on the scenario, IAAME may ask for additional information 	<p>Within thirty (30) business days of notification of the businesses or activities</p>
<p>9. External disciplinary proceeding(s) related to the provision of</p>	<p>The agency or person is notified of the external disciplinary proceeding(s)</p>	<ul style="list-style-type: none"> Notice related to the external disciplinary proceeding(s), including the 	<p>Within thirty (30) business days of the notification of the disciplinary proceeding(s)</p>



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<p>adoption-related services, regarding an agency's or person's individual directors, officers, and employees</p> <p>see 22 CFR 96.35 (c)(1), and (e)</p>	<p>related to the provision of adoption-related services</p>	<p>name(s), title/position of the individual(s), and the basis for the disciplinary proceeding(s)</p> <ul style="list-style-type: none"> • Action(s) taken or to be taken to address the issues leading to the disciplinary proceeding(s) 	
<p>10. Convictions or current investigations of any individual in a senior management position for acts involving financial irregularities</p> <p>see CFR 96.35 (c)(2), and (e)</p>	<p>The agency or person is notified of the convictions or current investigations of any individual in a senior management position for acts involving financial irregularities</p>	<ul style="list-style-type: none"> • Notice related to the convictions or current investigation, including the name, title/position of the individual, and the basis of the conviction(s) or investigation(s) • Action(s) taken or to be taken to address the issues related to the convictions or current investigations 	<p>Within thirty (30) business days of the notification of the convictions or current investigations</p>
<p>11. For Individual Practitioner Lawyers: loss of good standing and any disciplinary action considered by the State bar association, regardless of whether the action relates to</p>	<p>The individual practitioner lawyer:</p> <ul style="list-style-type: none"> • had a loss in good standing and/or • had disciplinary action considered or taken 	<ul style="list-style-type: none"> • Explanation of the reason(s) the lawyer is not in good standing • Explanation of any disciplinary action considered or taken • Relevant documentation for the loss of good standing 	<p>Within thirty (30) business days of the notification of loss of good standing and/or disciplinary action</p>



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<p>intercountry adoption</p> <p>see 22 CFR 96.35 (d)(3) and (e)</p>		<p>and disciplinary action</p> <ul style="list-style-type: none"> Action(s) taken or to be taken to address the loss of good standing and/or disciplinary action 	
<p>12. For Individual Practitioner Social Workers: loss of good standing</p> <p>see 22 CFR 96.35 (d)(4) and (e)</p>	<p>The individual practitioner social worker had a loss in good standing</p>	<ul style="list-style-type: none"> Explanation of reason(s) the social worker is not in good standing Relevant documentation for the loss of good standing Action(s) taken or to be taken to address the loss of good standing 	<p>Within thirty (30) business days of notification of loss of good standing</p>
<p>13. Disposition of legal action filed by an agency or person against a current or previous intercountry adoption client</p> <p>see 22 CFR 96.52 (e)</p>	<p>The agency or person initiated legal action against a current or former intercountry adoption client and the final judgement or order for dismissal has been issued</p>	<ul style="list-style-type: none"> Final judgment or order for dismissal 	<p>Within thirty (30) business days of receipt of final judgement or order for dismissal</p>



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B. CEO, Structure, and Location			
Self-Report	Explanation	Required Evidence	Reporting Time
<p>1. Change in agency's or person's CEO or equivalent official</p> <p>see 22 CFR 96.32 (a); 96.34 (d)</p>	<p>The agency or person has made a change in CEO or equivalent official</p>	<ul style="list-style-type: none"> • Name of new or interim CEO or equivalent official • Evidence confirming the new or interim CEO or equivalent official has all of the required qualifications as outlined in 96.32(a) • Details of wages or salary • Effective date of the change 	<p>Within thirty (30) business days of the effective date of the change</p>
<p>2. Change in corporate structure</p> <p>see 22 CFR 96.30, 96.31, and 96.32 (e)</p>	<p>The agency or person undergoes a change in non-profit or for-profit status, or has decided to merge with, acquire, or be acquired by another organization or entity</p>	<p>Change in non-profit or for-profit status:</p> <ul style="list-style-type: none"> • Explanation of reason(s) for the change <p>and</p> <p>For decisions to change status:</p> <ul style="list-style-type: none"> • Copy of the board resolution and copies of the state and IRS filing for a change in corporate structure • Documents demonstrating the change in status • *See B.2.c. below for additional 	<p>Within thirty (30) business days of the decision to change non-profit or for-profit status</p> <p>or</p> <p>Within thirty (30) business days of the decision to, merge with, acquire or be acquired by another organization</p> <p>or</p>



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		<p>information IAAME may request related to a change in status</p> <p>or</p> <p>For loss of status:</p> <ul style="list-style-type: none"> • Notice of loss of non-profit status received from the IRS <p>For decision to merge with, acquire or be acquired by another organization:</p> <ul style="list-style-type: none"> • Name of the other organization(s) and accreditation/ approval status(es) • Narrative including reason for merger or acquisition, changes in service delivery, impact on financial position, impact on or plan for active intercountry adoption cases • *B.2.c. See below for additional information IAAME may request related to a merger or acquisition 	<p>Within five (5) business days of an unplanned change</p>
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<p>3. Change in address or location</p> <p>see 22 CFR 96.30 (a), 96.32 (e), 96.33 (e), and 96.42 (d)</p>	<p>There is a change in agency's or person's primary or secondary address(es) or location(s)</p>	<p>For adding an address or location:</p> <ul style="list-style-type: none"> • The address or documentation that no physical and/or mailing address is required • Adoption services to be provided at the location, as applicable • If the location is primary or secondary • If the location address is a physical, mailing, physical and mailing, as applicable • State license or certificate or documentation a license or certificate is not required • Date of the change <p>For closing an address or location:</p> <ul style="list-style-type: none"> • Date of closure • Plans to transfer custody of any adoption records, as applicable • Plans to transfer active clients, as applicable 	<p>Within thirty (30) business days of the date of the change</p>
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C. Adoption Services and Supervised Providers			
Self-Report	Explanation	Required Evidence	Reporting Time
<p>1. Intent to initiate incoming adoption services</p> <p>see 22 CFR 96.47 - 96.52</p>	<p>The agency's accreditation or person's approval does not include incoming adoption services, and the agency or person plans to initiate providing adoption services in connection with incoming cases</p>	<ul style="list-style-type: none"> • Narrative regarding the decision to initiate providing adoption services for incoming cases • Evidence required in the Tables of Evidence for Standards for Convention Cases in Which a Child is Immigrating to the United States (96.47-96.52) 	<p>Within thirty (30) business days of the decision to initiate and prior to providing adoption services in incoming cases</p>
<p>2. Intent to initiate outgoing adoption services</p> <p>see 22 CFR 96.53 - 96.55</p>	<p>The agency's accreditation or person's approval does not include outgoing adoption services, and the agency or person plans to initiate providing adoption services in connection with outgoing cases</p>	<ul style="list-style-type: none"> • Narrative regarding the decision to initiate providing adoption services for outgoing cases • Evidence required in the Tables of Evidence for Standards for Convention Cases in Which a Child is Emigrating from the United States (96.53-96.55) 	<p>Within thirty (30) business days of the decision to initiate and prior to providing adoption services in outgoing cases</p>
<p>3. Initiation or discontinuation by the agency or person to provide adoption services as a primary</p>	<p>The agency or person initiates or discontinues providing adoption services as a primary provider in a foreign country</p>	<p>For Initiation:</p> <ul style="list-style-type: none"> • Narrative regarding the decision to initiate adoption services in a foreign country 	<p>Within thirty (30) business days of the initiation of or discontinuation of providing adoption services as a primary provider in a foreign country</p>



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<p style="text-align: center;">provider in a foreign country</p> <p>see 22 CFR 96.42 (e), 96.44 (a) and (b)</p>		<ul style="list-style-type: none"> • Authorization to provide adoption services from the Central Authority, Competent Authority, or equivalent, if applicable. If not applicable, a statement as to why it is not applicable. • Service Plan Template • Country Fees <p>For Discontinuation:</p> <ul style="list-style-type: none"> • Date the agency or person ceased providing adoption services in the foreign country • Complete list of active cases in the foreign country, including status of each active case and plans for completion of cases or initiation of case transfers and refunds for services not yet rendered, as applicable 	
<p>4. Change in non- accredited or approved supervised provider in the United States</p>	<p>The agency or person has initiated or discontinued a relationship with supervised provider in the United States who is a not</p>	<p>For Initiation:</p> <ul style="list-style-type: none"> • Evidence the supervised provider in the United States is in compliance with 	<p>Within thirty (30) business days of the execution of the agreement or the date of the discontinuation of the relationship</p>



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<p>see 22 CFR 96.45 (a) and (b), and 96.52 (e)</p>	<p>accredited or approved</p>	<p>all applicable State licensing and regulatory requirements in all jurisdictions in which it provides adoption services</p> <ul style="list-style-type: none"> • Evidence of the efforts to confirm the supervised provider in the United States does not engage in practices inconsistent with the Convention's principles of furthering the best interests of the child, and preventing sale, abduction, exploitation or trafficking of children • Evidence that before entering into the agreement with the supervised provider in the United States, that the supervised provider disclosed the suitability information listed in 96.35 • Agreement, including applicable attachments 	
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		<p>For Discontinuation:</p> <ul style="list-style-type: none"> • Correspondence with the supervised provider in the United States documenting the discontinuation of the relationship 	
<p>5. Change in foreign supervised provider</p> <p>see 22 CFR 96.46 (a) and (b), and 96.52 (e)</p>	<p>The agency or person has initiated or discontinued a relationship with a foreign supervised provider</p>	<p>For Initiation:</p> <ul style="list-style-type: none"> • Evidence the foreign supervised provider is in compliance with the laws of the foreign country in which it operates • Evidence of the efforts to confirm the foreign supervised provider does not engage in practices inconsistent with the Convention's principles of furthering the best interests of the child, and preventing sale, abduction, exploitation or trafficking of children • Evidence that before entering into the agreement with the foreign supervised provider, the foreign 	<p>Within thirty (30) business days of the execution of the agreement or the date of the discontinuation of the relationship</p>



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		<p>supervised provider disclosed the suitability information listed in 96.35</p> <ul style="list-style-type: none"> • Evidence of the 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 • Evidence the foreign supervised provider is accredited in the foreign country in which it operates, if required. If not required, a statement regarding why it is not required. • Agreement, including applicable attachments <p>For Discontinuation:</p> <ul style="list-style-type: none"> • Correspondence with the foreign supervised provider documenting the discontinuation of the relationship 	
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<p>6. Termination of agency's accreditation or person's approval</p> <p>see 22 CFR 96.33 (e) and 96.42 (d) and (e), and 96.52 (e)</p>	<p>The agency or person plans to discontinue provision of intercountry adoption services as an agency or person</p>	<ul style="list-style-type: none"> • Request to relinquish accreditation or approval, or • Notification the agency or person will allow its accreditation or approval to expire • Request or notification to include: <ul style="list-style-type: none"> ○ Effective date ○ Plan to transfer any adoption records, as applicable ○ List of active cases in each foreign country, including status of each active case ○ Plan to complete active cases prior to discontinuation or to transfer active cases and provide refunds, as applicable 	<p>Within thirty (30) business days of the decision to discontinue adoption services</p>
<p>7. Change in agency's or person's designation in the Portal</p>	<p>The agency or person is no longer acting as a primary provider or has decided to act as a primary provider</p>	<ul style="list-style-type: none"> • Notification the agency or person will no longer act as a primary provider or has decided to act as 	<p>Within thirty (30) business days of the decision to change status</p>



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<p>see 22 CFR 96.52 (e) and 96.55 (f)</p>		<p>a primary provider</p> <ul style="list-style-type: none"> • Notification to include: <ul style="list-style-type: none"> ○ Effective date ○ List of active cases in each foreign country, including status of each active case or if no cases a statement there are no active cases, as applicable ○ Plan to complete active cases prior to discontinuation or to transfer active cases and provide refunds, as applicable 	
D. Finance and Fees			
Self-Report	Explanation	Required Evidence	Reporting Time
<p>1. Completion of agency's or person's independent audit</p> <p>see 22 CFR 96.33 (b) and (c)</p>	<p>The agency's or person's finances were subject to an independent audit</p>	<ul style="list-style-type: none"> • A copy of the independent audit • Accompanying management letter or qualified opinion letter, as applicable. If no management or qualified opinion letter is available to provide, a statement declaring no such document exists 	<p>Within thirty (30) business days from the receipt of the completed independent audit</p>



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<p>2. Completion of agency's or person's annual internal financial review</p> <p>see 22 CFR 96.33 (b) and (e)</p>	<p>The agency's or person's finances were subject to an annual internal review</p>	<ul style="list-style-type: none"> Evidence that the agency or person completed its internal financial review 	<p>Within thirty (30) business days from the completion of the annual internal financial review</p>
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E. Child Safety for Incoming and Outgoing Cases

**These reports are the responsibility of the Primary Provider, unless the Primary Provider is no longer accredited or approved. In such circumstances, the responsibility falls to the accredited agency or approved person who received the information.*

Self-Report	Explanation	Required Evidence	Reporting Time
<p>1. Serious injury of a child post-placement</p> <p>see 22 CFR 96.52 (a) and 96.55 (a)</p>	<p>During the post-placement period a minor child sustains a serious injury resulting from abuse, neglect, and/or a criminal offense</p>	<ul style="list-style-type: none"> A detailed explanation of the occurrence 	<p>Within five (5) business days of learning of a serious injury to a child placed for adoption</p>
<p>2. Serious injury of a child post-adoption</p> <p>see 22 CFR 96.52 (e) and 96.55 (f)</p>	<p>After the adoption is finalized, a minor child sustains a serious injury resulting from abuse, neglect, and/or a criminal offense</p>	<ul style="list-style-type: none"> A detailed explanation of the occurrence 	<p>Within five (5) business days of learning of a serious injury to an adopted child</p>
<p>3. Information regarding a potential dissolution of an adoption</p> <p>see 22 CFR 96.52 (e) and 96.55 (f)</p>	<p>Information is received by the agency or person of the adoptive parent's intent to dissolve the adoption</p>	<ul style="list-style-type: none"> Information known about the potential dissolution 	<p>Within five (5) business days of learning of the adoptive parent's intent to dissolve the adoption</p>
<p>4. Disruption of a placement for adoption</p>	<p>During the post-placement period, there has been an interruption</p>	<ul style="list-style-type: none"> Disruption Summary to include but not 	<p>Within five (5) business days of learning of</p>



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<p>see 22 CFR 96.43 (b), 96.50 (c), (d), (e) and (f), 96.52 (e), and 96.55 (f)</p>	<p>of the placement for adoption. This includes but is not limited to when the prospective adoptive parents report they no longer wish to move forward with the adoption.</p> <p><i>see 22 CFR 96.2 for definition of post-placement</i></p>	<p>limited to information required by 96.43 (b) and the following:</p> <ul style="list-style-type: none"> • Narrative regarding the efforts of providing or arranging for counseling • Narrative outlining who assumed/ is assuming custody, how the agency or person assisted with the arrangement of another placement or assumed custody of the child for the purpose of making another placement • Evidence of consultation with the Secretary to notify the foreign Central Authority about any new prospective adoptive placement • Narrative outlining how the child's views were considered, as applicable • If the child was returned/is being returned to the country of origin, evidence the 	<p>the disruption occurring</p>
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		Secretary and the Central/Competent Authority of the country of origin approved the return in writing	
<p>5. Dissolution of an intercountry adoption</p> <p>see 22 CFR 96.43 (b), 96.51 (d), 96.52 (e), and 96.55 (f)</p>	<p>There has been a termination of the adoptive parents' parental rights</p>	<ul style="list-style-type: none"> • Dissolution Summary • Evidence of consultation with the Department if the child was or is to be returned to the country of origin 	<p>Within five (5) business days of learning of the termination of parental rights occurring</p>
<p>6. Death of a child post-placement</p> <p>see 22 CFR 96.52 (a), 96.55 (e)</p>	<p>During the post-placement period, there is a death of a minor child</p> <p><i>see 22 CFR 96.2 for definition of post-placement</i></p>	<ul style="list-style-type: none"> • A detailed explanation of the occurrence 	<p>Within five (5) business days of learning of the death of a child placed for adoption</p>
<p>7. Death of a child post-adoption</p> <p>see 22 CFR 96.52 (e), and 96.55 (f)</p>	<p>After the adoption is finalized, there is a death of a minor child and:</p> <ul style="list-style-type: none"> • the death is attributed to an undisclosed medical condition(s) that was not known at the time of the adoption, or • the child committed suicide, and/or • the death was a result of abuse, neglect, and/or a criminal offence 	<ul style="list-style-type: none"> • A detailed explanation of the occurrence 	<p>Within five (5) business days of learning of the death of an adopted child</p>



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d) Additional information to be provided to IAAME upon request, as applicable.

<p>*Change in Corporate Structure Additional Information:</p> <p>see 22 CFR 96.30, 96.31 and 96.32 (e)</p>	<ul style="list-style-type: none"> • For Change in Status: <ul style="list-style-type: none"> ○ Documentation of the response from state and/or IRS regarding the filing of the change in status • For Merger/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 ○ Copies of all required licenses or authorizations to provide intercountry adoption services ○ Employee Profile reflecting the agency or person post acquisition or merger
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e) Processing of Self-Reports

- i. Within twenty (20) business days of receipt of a self-report, IAAME reviews the submitted self-report. IAAME requests additional evidence from the agency or person as needed, providing an identified timeframe for submission.
- ii. Once all evidence is received, IAAME processes the self-report within the timeframes identified below:
 - 1) Within fifteen (15) business days for self-reports with a five (5) business day reporting time
 - 2) Within forty-five (45) business days for self-reports with a thirty (30) business day reporting time
- iii. IAAME assesses applicable standards for each self-report using the Substantial Compliance System, and makes a final determination regarding any deficiencies.



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Determinations include a finding that:

- 1) The evidence demonstrates the agency or person is in substantial compliance with applicable standards
- 2) The evidence demonstrates the agency or person is not in substantial compliance with applicable standards and adverse action may be warranted. See Policy 006.

3. Mandatory Reports

In addition to self-reports, IAAME requires all agencies or persons to provide mandatory reports. IAAME may impose adverse action as applicable based on the findings of the review. See Policy 006.

a) 22 CFR 96.43 Requirements:

Agencies or persons who act as a primary provider are required to maintain all data required by 22 CFR 96.43 and to submit this data on an annual basis. This data is maintained within the Portal client applications reporting function in the Portal. Agencies and persons may choose to generate and maintain reports outside of the Portal as well to meet this requirement.

b) Semi-Annual Report on Complaints (SARC)

Pursuant to 22 CFR 96.41 (f), agencies or persons are required to submit a SARC to IAAME and the Secretary. This activity is made available in the Portal on April 1st and October 1st of each calendar year and is due within ten (10) business days of April 1st and October 1st. IAAME notifies the agency or person once the SARC has been processed and provides instruction for the agency or person to submit the SARC to the Secretary.

c) Annual Attestation of Substantial Compliance

Pursuant to 22 CFR 96.66 (c), agencies or persons are required to submit an Annual Attestation of Substantial Compliance. This activity is made available in the Portal on January 1st of each calendar year and is due by January 31st.

d) Annual Financial Status Report

Pursuant to 22 CFR 96.33 (e) and 96.52 (e), and 96.55 (f), agencies or persons are required to submit evidence it operates on a sound financial basis with two months operating expenses in reserves. This activity is made available in the Portal on January 1st of each calendar year and is due by January 31st.



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e) Annual reporting of Agency's or Person's Adoption Services Fees or Expenses

Pursuant to 22 CFR 96.43 (b) and (d) and 96.52 (e), agencies or persons are required to submit to IAAME and the Secretary on an annual basis information regarding the agency's or person's adoption service fees and expenses. This information is due within thirty (30) business days of request.

C. Falsification and Misrepresentation or Failure to Provide Information

1. Agencies or persons who submit false or fraudulent statements or misrepresentations to IAAME are subject to adverse action including possible debarment. Pursuant to section 404 of the IAA, criminal penalties and civil penalties/enforcement may also result from such actions.
2. Pursuant to 96.25 (c), if an agency or person fails to provide the requested evidence or information or fails to make employees available as requested, the agency or person may be subject to adverse action.

D. On-Site Reviews

IAAME may conduct an on-site review as needed.

E. Public Requests for Information

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