



IAAME Portal Manual for Adoption Service Providers

Home

The Portal Homepage is where the ASP will locate “Important Dates”, including the ASP’s Accreditation/Approval Expiration, when the Accreditation/Approval Agreement and Application Part B (self-study) are due, and the date of scheduled On-Site Review (as applicable).

IAAME will post important news and updates in the “News” section of the Portal Homepage.

Activities

The Activities tab is where the ASP will enter new and edit existing activities.

Submitting a Self-Report **(Please see Appendix for “Self-Report Required Documentation”).*

1. Click “Create Self-Report” to create a new Self-Report.
2. The ASP may enter additional information regarding the report in the “ASP Notes” section of the report. *(Be sure to click “save” before submitting the report, if notes are entered).*
3. Choose the Self-Report Type from the drop down box.
4. Upload all required evidence in the appropriate “Upload” section of the report.
5. Click “Upload New Document” then click “browse” to locate the file.
6. Be sure to click “Link to Current Checklist Item” before clicking “Done”. The system will alert you it’s been linked by displaying a message: “Document uploaded and linked”. *(If you do not click “link to current checklist item before clicking “done”, the system will not link the document to the self-report)*
7. Select “yes” or “no” to attest the information in the self-report is accurate.
8. Click “Submit to IAAME”.

Submitting Application Part B (self-study)

IAAME would recommend that agencies/persons utilize Google Chrome instead of Internet Explorer, to experience optimal functionality of the Portal.

IAAME staff will create the Application Part B Activity in your Portal account:

1. Go to “Activities” tab in Portal and click the pencil icon: “Application Part B” Activity from Activities Type list.
2. Under the “Checklist” section of the Activity, you will see a dropdown labeled: “Standards Category”.
 - a. Click on the drop down to see the full list of categories of standards.
 - b. Select the category you wish to complete.



3. In that category, click on the sub-standard you wish to upload/link evidence to. (*The sub-standard will appear in blue in Chrome*).
 - a. The total number of required evidence for that sub-standard, and your progress in uploading/linking evidence is listed next to the substandard (e.g. 0/2).
 - b. Once in the “Supporting Documentation for Checklist Item” window: Click the “Upload/Link/View” hyperlink next to the required evidence listed.
 - c. In the “Upload/Link Supporting Document(s)” window, you can upload documents directly from your computer, or link documents already uploaded from the “Documents Not Linked” section.
 - i. If you’ve already uploaded a document to the Portal and linked it to another sub-standard, you may choose that same document from the “Documents Not Linked” section, and “link” it to that sub-standard as evidence. Click on the “Link” button beside the document and it will show as being linked to that sub-standard evidence requirement.
 - ii. If you have not already uploaded a document to the Portal, choose “Upload New Document”, then select “Browse” to locate the document saved on your computer. Once the document is selected, click “Save Upload”. This document will then be linked to that sub-standard as evidence.
 - d. When finished, click “Done” to exit the “Upload/Link Supporting Document(s)” window for that sub-standard.
 - i. Notice the number to the right of the sub-standard on the “Checklist, will change depending on the amount of evidence you uploaded/linked (e.g. change from “0/2” to “2/2”). Once all evidence for that sub-standard has been uploaded/linked, the number will turn green (when utilizing Chrome).
4. When all required evidence has been uploaded/linked to the corresponding sub-standards, click “Submit to IAAME”. Once submitted, you will not be able to make any changes to the Activity.

Other important functions:

- A green “Category Progress” bar will show progress for each standard category.
- The “Activity Progress” bar at the top will show progress for the entire Activity.
- Ensure you click “Save” in each section as you move through, and before you close the Activity out to return to it later.
- For those sub-standards where a “Not Applicable” option is available, if an “N/A” is indicated in the sub-standard, the number next to the sub-standard on the “Checklist” will be green and indicate “0/0”.



Client Applications

The Client Applications tab is where the ASP will add new Client Applications.

ASPs have two options:

- 1.) Enter each new client application individually by clicking “create client application” or
- 2.) Upload an excel file (CSV format) with multiple new client applications.

Option 1: Create Client Application

In the Client Applications tab:

1. Click “Create Client Application” and the “Application detail” window will appear.
2. Enter all required information, including the city, state, and country where the client applicant resides, the client applicant(s) DOB, whether client applicants have previously adopted through intercountry adoption, and what country the client applicants are planning to adopt from. If the client applicant has not yet chosen a country, please choose “UNDECIDED” from the drop down list. *(This field must be edited in the Client Application Detail once determined - See Editing Client Application section below).*
3. Once all information is entered, click “Save”.

Option 2: Import from File

In the Client Applications tab:

1. Click “Import from File” to import an excel document in CSV format, for quick upload of several applications at once.
 - When creating the excel spreadsheet, ensure the column headings match the instructions listed in the “Import Client Applications from File” section, otherwise you will receive an error message when you attempt to upload the file.
 - To use the prefilled CSV file template: click the “Download” link to download a sample CSV file, which you may use to save and import into the Portal.
 - Ensure the file is saved in CSV format, otherwise you will receive an error message when you attempt to upload the file.
2. Click “Browse” and choose the saved CSV file you wish to import, then click “Continue”. The system will ask you to verify the import results. You may edit imported information in any of the fields.
3. Once you’ve verified all information is complete and accurate, click “Finish Import”. These applications will then appear in the Client Applications section of the site.

Editing Client Applications

Once a client application has been added:

1. Click the pencil icon next to the client application details to edit the original application.



2. Click “Apply Changes”
3. Below the client application details of the original application, you will see a section labeled “adoptions”. You will see the original client application listed there.
 - You may click on the pencil icon next to “Original Application” to edit the original application, and add details about the adoption such as referral date, child birth name, child’s DOB, etc. as the ASP obtains the child information and click “apply changes”.
4. To add additional children to the original application:
 - Click “Create Adoption”.
 - A new Adoption Detail window will open, and you’ll be prompted to enter information about the additional child, including referral date, child’s birth name, DOB, country of origin, etc. Follow this same process for each additional child.

Viewing/Downloading All Client Applications

ASPs are now able to view and download submitted client applications into various file formats.

1. Click on the “Client Applications” tab.
2. In the top right corner, click “View All Client Applications”.
3. Click “Actions” next to the search bar, and click “download” from the drop down options.
4. Choose the report format to download:
 - a. CSV (excel)
 - b. HTML
 - c. PDF

M&O Follow-Up

IAAME is requiring all Adoption Service Providers (ASPs) to enter certain client-specific data into the IAAME portal. This client-specific data corresponds to demographic information and points in time for each intercountry adoption. The data will be used to:

Augment data ASPs are required to report annually to the Accrediting Entity per 22 CFR Subpart F 96.43(a);

- Collect, analyze, and report data on intercountry adoptions; and
- Respond to the Department of State’s request for IAAME to collect additional pertinent data related to intercountry adoptions.

To collect this data IAAME created an “M & O Follow-Up” tab in the IAAME portal. To enter the required data, the ASP will click on the M & O Follow-Up tab in the menu bar within their IAAME Portal account.



- Upon clicking the M & O Follow-Up tab a listing of the ASP's client applications will appear. This list includes the application identification number, application acceptance date, name of parent 1, name of parent 2, city, state, country, number of children being adopted, and will indicate the number of client applications that require follow-up to enter the required data.
- To enter the information, the ASP will click on the pencil at the beginning of each row. Once the pencil is clicked a list will appear that includes all the required data elements. The ASP may enter the information directly into this form and click the "done" button located on the right-hand side of the page.
- Not all required data must be entered at the same time as not all information is known at the same time and as different actions within the adoption process are completed at various time points throughout the case.
- The M & O Follow-Up tab is designed so ASPs can go to one place to enter the required information and track such information to completion.
- Once all required information is entered for each referral the client application will no longer appear on the M & O Follow-up Tab. Only those client applications that have data remaining to be entered will appear in this tab.

It is expected that ASPs will start entering the required data fields for all client applications after a referral for a child has been accepted and will continue to enter requires information as the data becomes available. The required information is to be entered for each child referred for each client application. If a client application has only one associated child referral then the data would be entered for that referral, and if a client application has more than one associated child referral the data will be entered for each child referred.

IAAME will collect, analyze, and report information on this data to the Department of State and to ASPs. The data and reports will be provided to increase the knowledge and information regarding trends in intercountry adoptions. The reports will be utilized to provide information to assist with identifying areas of strength and areas in need of improvement. Gathering and reporting on this information will allow data to be shared that can be utilized with other entities, including the Department of State and the Secretary, United States Legislation, and foreign governments, to increase awareness, enhance confidence, and support intercountry adoption.

Definitions for Data to be Entered:

Referral Date: Date the referral of the child was accepted by the prospective adoptive parent (PAP)

Child Name: Birth name of the child

Child Date of Birth: Official birth date for the child

Child Country of Origin: Country from which the child immigrated or country to which the child emigrated

Home Study Approved: Date PAP's home study was finalized and approved



USCIS Filing Date: Date the I800a/I600a was filed with USCIS. If an “out of order adoption”, date the joint I600a/I600 document was filed with USCIS

USCIS Approval Date: Date of USCIS approval of the I800a/I600a. For an “out of order adoption”, date the joint I600a/I600 was approved by USCIS

Dossier Date: Date dossier was submitted to the country of origin

Referral Given: Date the referral was given to the PAPs

Name of Orphanage: Name of orphanage or if not from an orphanage name of the agency with custody of the child

Foreign Custody: Date the PAPs took legal custody or guardianship of the child in the country of origin

Visa Issuance: Date the visa was approved for the child

Citizenship Acquisition: Date child was granted citizenship

Monthly Reports

By the 5th of each month, each ASP will create a monthly report of all client applications submitted for the prior month (*i.e. By May 5th, the ASP will submit a monthly report that includes all new client applications reported for the month of April*)

Follow these steps to submit the Monthly Report:

1. On the Monthly Reports tab in the Portal, click “Create Monthly Report”. You will see all client applications reported in the Portal from the previous month, autofill into a generated Monthly Report.
2. If the ASP has reported NO new client applications posted in the previous month, indicate so by checking the “No billable activities this month” checkbox before submitting the Monthly Report.
3. The ASP can add notes to the “ASP Notes” section, if the ASP has any additional information about the monthly report that IAAME should be aware of when reviewing. (Make sure you click “Save” to save the note, before submitting your monthly report)
4. Once you’ve verified all information is accurate and accounted for in the Monthly Report, click “Submit Monthly Report”.

** Once the Monthly Report has been submitted in the Portal, it can no longer be edited.*

** Please do not upload Monthly Reports in the Documents tab in the portal.*

** If you are expecting issues submitting your monthly report:*

- *Ensure all Client Application for the previous month have been entered in portal BEFORE generating your monthly report.*
- *Try deleting the monthly report, and generating a new report.*



Documents

To upload a document into your IAAME Portal account, click the Documents tab.

1. Click “Upload Files”.
2. A box will appear on the screen that says, “Drop files here or click to upload”. Click inside the box.
3. Select the file(s) that you wish to upload (*hint: it is best to name your document so that you’re able to identify it easily in this section later, i.e. “Annual Attestation 2018”*).
4. A PDF logo will appear in the box with a check mark once it’s finished uploading.
5. A drop-down menu will appear on the screen, under “Document Type”.
6. Select the Document Type from the list of available options.
7. Click “Save uploaded files”.
8. The document(s) will appear in a Documents list. Any document with a status of “unlocked” can be edited or deleted from the Documents list by the ASP.

Appendix (Supporting Documents Required for Self-Reports)

In accordance with 22 CFR 96.25, IAAME has the authority to request the information provided herein, as well as additional documentation and information deemed necessary to ensure compliance of the Adoption Service Provider with Hague Standards, the IAA, and the UAA.

Please submit the identified supporting documentation with your Self-Report. IAAME will review the Self-Report and supporting documentation, and will then contact the Adoption Service Provider to request additional information or documentation as necessary to ensure compliance.

Actions by Licensing or Other Oversight Bodies (local, state, or federal) or Other Investigative Entity

Applicable when the agency or person is under investigation or has been suspended for cause or received other negative sanctions by a licensing, or other oversight bodies including regulatory or other Government Authority. See IAAME Policies and Procedures 004.5(d) for examples of actions and oversight bodies.

Due within two (2) business days from the effective date of the action on the licensing authority or other oversight body’s notification document.

- A copy of the notification from the licensing or regulatory authority including any review and/or investigative findings from the licensing or regulatory authority
- A copy of the adoption service provider’s response including corrective action plan, if applicable



(Separate Self-Report Required)

- When received, documentation that the adoption service provider's response has been accepted
- When received, notification from the licensing/regulatory authority that license has been restored to "regular" status or equivalent
- Any additional documentation that is relevant.

*****The ASP may also be required to submit additional self-reports. For example, Discontinuation of Intercountry Adoption Services, Revocation of State License or Authority.***

Allegations of Child Buying or Fraud by an Employee or Associate of the Agency or Person or Arrest of an Employee or Associate of the Agency/Person Related to Adoption Services

Due within two (2) business days of discovering child buying or fraud allegations/arrests/convictions

- A detailed description
- Copy of any notification received about the child buying or fraud
- Any other documentation that is relevant to the allegation(s) or arrest(s).

Bankruptcy

Due within five (5) business days from the decision to file for bankruptcy

- Detailed explanation of reason(s) for the bankruptcy
- The adoption service provider's plan that addresses the need for ongoing service delivery to consumers and/or the discontinuing service delivery
- Any additional documentation that is relevant.

*****The ASP may also be required to submit additional self-reports. For example, Discontinuation of Intercountry Adoption Services.***

Change in Address

Due within two (2) business days prior to the effective date of the change or earlier

- Effective date of change
- New address
- Description of the storage of adoption records
- Verification that State Licensing has been notified
- Any other documentation that is relevant to the change.



Change in the Agency/Person's: CEO, Executive Director, or Contact Person

Due within two (2) business days prior to the effective date of the change or earlier

- Name of interim, acting, or new CEO/Executive (if applicable)
- Confirmation of his/her qualifications as outlined in 96.32(a) and 96.37(c)
- Confirmation that he/she meets any state licensing or regulatory requirements, as applicable
- Details of compensation package
- Name and email address of new contact person for the agency/person (if applicable)
- Effective date of the change
- Any other documentation that is relevant to the change.

Change in Corporate Structure

Due within five (5) business days of the decision by the agency/person to change corporate structure or receipt of notification of loss or approval of 501(c)(3) status

- Detailed explanation of reason(s) for the change or loss of 501 (c)(3) status
- Copy of the board resolution or a copy of the notification of loss of non-profit status received from the IRS
- Copies of the state and IRS response and/or approval for a filing for a change in corporate structure
- Any additional documentation that is relevant to the change.

Change in the Adoption Services Provider's Fees Charged to Prospective Adoptive Parent(s)

Due within thirty (30) calendar days of the decision by the agency/person to change the schedule of adoption fees

- A copy of the changed/revised fee schedule that is provided to a prospective adoptive parent(s)
- A copy of the previous fee schedule
- A description of the reason(s) for the change(s)
- A screenshot from ATS verifying that the agency/person has updated their changed fees in the ATS
- Any additional documentation that is relevant to the change.

Completion of the Agency or Person's Annual Financial Review

The ASP must complete the Annual Financial Review yearly, including years in which the ASP also completes its independent audit.

Due within thirty (30) calendar days from the completion of the agency or person's annual internal financial review

- A copy of the internal financial review report



- Documentation, including but not limited to documents such as copies of bank statements, operating budget and expenditure reports, etc., demonstrating how the agency or person maintains on average, sufficient cash reserves, assets, or other financial resources to meet operating expenses for two months
- Any additional documentation that is relevant.

Completion of the Agency or Person's Audit

Due within thirty (30) calendar days from the completion of the agency's/person's independent audit

- A copy of the Independent audit and any accompanying letter or qualified opinion letter
- Any additional documentation that is relevant.

Death of a Child

Applicable when a minor child dies while being accompanied from the country of origin; or during the agency/person's post-placement service delivery; or the death is discovered by, or reported to, the agency or person after the finalization of the adoption. The death is attributed to an undisclosed medical condition(s); or, it resulted from an occurrence such as abuse, neglect, endangerment, homicide, etc.

Due within two (2) business days of learning of the death of an adopted child

- A detailed explanation of the occurrence
- Any action taken/to be taken or notifications made
- Any other documentation that is relevant to the child's death.

Decision by the Agency or Person to Merge with, Acquire, or be Acquired by Another Party/Entity

Step One due within five business days from the date of the agency/persons' official decision to merge with, acquire, or be acquired by another party/entity.

Step One (within five days of the decision of the merger/acquisition)

- Identification of the agency/provider with which the adoption service provider has decided to merge with, acquire, or be acquired by ("Other Agency/Person")
 - The other agency/person's name and address
 - Whether the other agency/person is currently accredited or approved, or is applying for accreditation or approval (if the accrediting/approving entity differs from IAAME, provide the name of the accrediting/approving entity)
- A detailed narrative that explains the reasons for and the expected impact of the merger/acquisition
 - Reasons for the merger/acquisition
 - The extent to which the merger/acquisition will result in a significant change in the delivery of adoption service (e.g., new or discontinued services or policies)



- The extent to which the merger/acquisition will have a significant impact on the successor agency/person's financial position
- The impact of the merger/acquisition on existing adoption cases
- Changes in country programs and fees

Step Two (the following information will be requested to be submitted by the ASP to the assigned IAAME Analyst, once it becomes available)

- A copy of the amended by-laws, articles of incorporation, or other comparable, legally effective statements of the merger/acquisition, as soon as available (to update documents previously provided to IAAME and to describe the new entity)
- Copies of all required licenses for the successor agency/person, with written confirmation from the applicable regulatory authorities confirming the status of the required licenses (after merger/acquisition has occurred)
- A description of the adoption services being provided by the other agency/person at the time of the formal decision to merge/acquire (enclosing copies of descriptive service brochures)
- The other agency/person's most recent annual report
- The other agency/person's most recent financial audit (with management letter), if applicable
- Revised organizational chart, identifying those management positions that will be filled by management of the other agency/person
- An explanation of the extent to which the merger/acquisition will significantly impact the job responsibilities of non-management staff
- If applicable, written confirmation from the other accrediting entity to the services for which the other agency/person is seeking accreditation or approval and the other agency/person's applicant status at the time of the formal decision to merge/acquire.

*****The ASP may also be required to submit additional self-reports. For example, Discontinuation of Intercountry Adoption Services- if any of the countries the ASP works in will not be continued with the new entity/agency.***

*****The ASP may need to provide a list of current clients, identifying which clients will be transferring to the new agency/person/entity demonstrating compliance with 96.33(e) and 96.42(d)-(e).***

Decision of Agency or Person to Close

Due within five (5) business days of the official decision by the agency or person to close.

- The date closure is to be effective
- Written document outlining the agency or person's plan and actions taken and/or to be taken to:
 - complete list of cases in progress by country, with status for each case
 - when possible, complete services for active cases
 - transfer pending/active intercountry adoption cases and case records to other agencies or persons or another appropriate custodian



Discontinuation by the Agency/Person of Intercountry Adoption Services

The agency/person plans to cease providing Primary Provider Services or a specific adoption service or services (see 22 CFR 96.2 for definition of “adoption service”), to cease providing services in a particular country(ies), and/or to cease providing services in connection with either incoming or outgoing cases.

Due within thirty (30) calendar days of the decision by the agency/person to discontinue service(s).

- The date the agency/person will no longer provide the intercountry adoption service(s)
- A complete list of cases in progress by country, with status for each case
- A written document outlining the agency/person’s plans and actions being taken or to be taken to:
 - When possible, complete services for all cases in progress
 - Transfer pending intercountry adoption cases and case records to other accredited agencies or approved persons or other appropriate custodian

Disruption of an Intercountry Adoption

The ASP should initially submit a self-report for Initial Information Received Regarding a Potential Disruption or Dissolution of an Intercountry Adoption if applicable.

Due within five (5) business days of the agency/person having knowledge of the disruption.

- Disruption or Dissolution Adoption Summary Report (*available via IAAME website*)
- ATS screenshot verifying report to the Department of State
- Completed post-placement reports, if applicable
- Adoptive parent home study
- Evidence of required adoptive parent training
- Child referral information
- Adoption services contract signed by the adoptive parent(s)
- The final adoption decree for the new adoptive placement *if available at the time of reporting* and if applicable
- Evidence of consultation with the Secretary to notify the foreign Central Authority
- Any other documentation that is relevant.

Dissolution of an Intercountry Adoption

Due within five (5) business days of the agency/person having a knowledge of a dissolution occurring.

- Disruption or Dissolution Adoption Summary Report (*available via IAAME website*)
- ATS Screenshot verifying report to the Department of State
- Completed post-adoption reports, if applicable
- Adoptive family home study



- Evidence of required adoptive parent training
- Child referral information
- Adoption Services Contract signed by the adoptive parent(s)
- The final adoption decree for the new adoptive placement *if available at the time of reporting*
- Evidence of consultation with the Secretary to notify the foreign Central Authority
- Any other documentation that is relevant.

For Lawyers, Loss of Good Standing Status or Initiation of Disciplinary Action by a State Bar Association

Due within two (2) business days from the effective date on the notification document.

- Detailed explanation of reasons the lawyer is not in good standing or why disciplinary action was initiated
- Copies of any documentation received from the state bar or jurisdiction
- Any additional documentation that is relevant.

*****The ASP may also be required to submit additional self-reports. For example, Action by Licensing or Other Oversight Body, Decision to Close, Discontinuation of Adoption Services, Revocation of State Licensure or Authorization, Change in Supervised Provider.***

For Social Workers, Loss of Good Standing Status or Initiation of Disciplinary Action by State Licensing or Professional Social Work Review Body

Due within two (2) business days from the effective date of the notification document.

- Detailed explanation of reasons the social worker is not in good standing or why disciplinary action was initiated
- Copies of any relevant documentation received from the state licensing and/or the professional review body
- Any additional documentation that is relevant.

*****The ASP may also be required to submit additional self-reports. For example, Action by Licensing or Other Oversight Body, Decision to Close, Discontinuation of Adoption Services, Revocation of State Licensure or Authorization, Change in Supervised Provider.***

Initial Information Received Regarding a Potential Disruption or Dissolution of an Intercountry Adoption

Due within two (2) business days of the agency/person having knowledge of an intent to disrupt/dissolve an adoption.

- Information known about the potential disruption or dissolution
- Plan of action to be taken by the agency/person in effort to avoid the disruption or dissolution



- Any additional documentation that is relevant.

Initiation by the Agency/Person of Services as a Primary Provider in a Foreign Country

Applicable when the ASP has decided to begin providing services as a Primary Provider in a particular country.

Due within two (2) business days of the decision by the agency/person to initiate service(s) in a foreign country.

- Narrative regarding decision to initiation intercountry adoption services in a particular country or countries
- Authorization from the Central Authority or identified foreign entity to provide adoption services
- Licenses/Authorization of in-country personnel to provide adoption services, if applicable
- Service Plan Template
- Fee Schedule
- Any additional documentation that is relevant.

Initiation of Incoming or Outgoing Adoption Services

Applicable when the agency/person, since receiving intercountry adoption accreditation or approval, plans to begin providing intercountry adoption services in connection with incoming or outgoing cases, for which they have not been providing during the accreditation/approval cycle.

Due within thirty (30) calendar days of the decision by the agency/person to begin providing services in incoming or outgoing cases

- Formal request letter to IAAME with a brief explanation of the reason(s) for the decision
- The agency/person's policies and procedures related to the provision of new services
- A template/example of the child background study for outgoing cases, if applicable

*****The ASP may also be required to submit additional self-reports. For example, Initiation by the Agency/Person of Services as a Primary Provider in a Foreign Country.***

Initiation of Legal Action by Third-Parties

- 1. Related to Child Welfare or Adoption Related Services, or**
- 2. Filing of Civil or Criminal Charges or**
- 3. Filing of Child Abuse Charges**

Due within two (2) business days from the date of service or receipt of other notification document regarding initiation of the legal action.

- A detailed explanation, including the basis for the action
- Names of party(ies) initiating



- Names and titles of workforce members named in the legal action
- A copy of the notice received from the third party initiating the legal action
- Any additional documentation that is relevant.

*****The ASP may also be required to submit additional self-reports. For example, Action by Licensing or Other Oversight Body, Serious Injury of a Child, Judgments, Violations, or Convictions, Loss of Authorization, Revocation of State License or Authority.***

Initiation of Primary Provider Activities

Applicable when the agency/person certified in the Executive Verification Form during its accreditation/renewal process that it would not act as a primary provider in any case for the duration of the accreditation/approval cycle without first notifying the Accrediting Entity. The agency/person has decided to act as a primary provider in intercountry adoption cases.

Due within thirty (30) calendar days of the decision by the agency/person to act as a primary provider.

- Updated Executive Verification Form
- Narrative describing the agency/person's plans to act as a primary provider. Specify the type and volume of cases the provider plans to be the primary provider for, the location of primary provider programs; and the additional resources that will be obtained and other changes that will be implemented to fulfill the responsibilities of a primary provider
- Template or Example of placement contracts
- Template or Example of the service plan which includes the provision of all six (6) adoption services
- Any additional documentation that is relevant.

*****The ASP may also be required to submit additional self-reports. For example, Change in Supervised Provider, and/or Initiation by the Agency/Person of Services as a Primary Provider in a Foreign Country.***

Judgments, Violations, or Convictions of Employees or Associates of the Agency or Person

The agency or person, or an employee or associate of the agency or person has been found guilty of any crime under State, Federal, or foreign law or has been found to have committed any civil or administrative violation involving financial irregularities under Federal, State, or foreign law. Associates include supervised providers.

Due within five (5) business days from the effective date on the notification document regarding the judgment, violation, or conviction.

- A detailed explanation or copy of the judgment, violation, or conviction
- Action initiated or to be initiated by the agency or person in response to the judgment, violation, or conviction.
- Any additional documentation that is relevant.



**** The ASP may be required to submit additional self-reports. Possible correlated self-reports may include but are not limited to: Action(s) by Licensing or Other Oversight Bodies or Other Investigative Entities; Bankruptcy; Change in Supervised Provider; Change in the Agency/Person's CEO, Executive Director, or Contact Person.**

Loss of Authorization to Provide Adoption Services in any Foreign Country

Due within thirty (30) calendar days from the effective date on the notification document of loss of authorization.

- A detailed explanation of the basis for the action by a foreign country.
- Copies of any documents received from the foreign government pertaining to the loss of authorization.
- Plans for case transfers, including plans to reimburse client fees for service not yet rendered, or narrative indicating agency or person has no cases to transfer.
- Any additional documentation that is relevant.

Notification of Change in Supervised Providers

Due within 30 calendar days of the decision by the agency/person to discontinue a relationship with a Supervised Provider, or to begin a relationship with a Supervised Provider.

- Provide a copy of the correspondence to the supervised provider documenting the discontinued relationship or a copy of the agreement documenting the new relationship, as applicable
- Evidence of agency or person's efforts to confirm the supervised provider operates in compliance with the laws of the state or foreign country in which it operates;
- Any additional documentation that is relevant to the change and/or requested by IAAME

For Foreign Supervised Providers only:

- Evidence of agency or person's efforts to confirm the foreign supervised provider does not have a pattern of licensing suspensions or sanctions and has not lost the right to provide adoption services in any jurisdiction
- Copy of the foreign supervised provider's policies/procedures reflecting prohibition of child buying; and evidence of training provided to the foreign supervised provider's agents/employees regarding policy.

Opening or Closing an Office

Due within thirty (30) calendar days from the decision by the agency/person to open an additional office(s) or close an existing office(s).

- A copy(ies) of any applicable license(s) and/or certificate(s) for the new state or a copy of application for license in the new state if applicable.
- Estimated date(s) of additional office(s) providing services to consumers or an existing office closing.
- Mailing address(es) of the office(s) and name and contact information of the individual(s) responsible for managing the office(s).
- A list of adoption services being provided in the additional office or closing office.



- Plan to transfer custody of adoption records subject to retention or archival requirements, as applicable.
- Any additional documentation that is relevant to the change.

Revocation of State License of Authority

Due within (2) business days of agency/person's receipt of formal documentation revoking the license or other documentation limiting the agency/person's authority to provide adoption services in any State.

- A copy of notification from the licensing or regulatory authority including any review and/or investigative findings from the licensing or regulatory authority
- A copy of the corrective action plan developed by the adoption service provider
- A copy of the licensing or other investigative authority/entity's approval of the plan
- Any additional documentation that is relevant to the change.

*****The ASP may also be required to submit additional self-reports. For example, Discontinuation of Intercountry Adoption Services.***

Serious Injury of a Child

A minor child sustains a serious injury while being accompanied from the country of origin; or during the agency/person's post-placement service delivery; or the injury is discovered by or reported to the agency or person after the finalization of the adoption. The injury resulted from an occurrence of abuse, neglect, endangerment, etc. The injury resulted in debilitating or permanent loss of function (e.g., paralysis, brain trauma, loss of limb, etc.) or serious physical or psychological injury (e.g., abuse, assault, rape, etc.)

Due within two (2) business days of learning of a serious injury to an adopted child.

- A detailed explanation of the occurrence
- Any action taken or to be taken
- Any other documentation that is relevant to the injury.

Significant Change in Compensation for Employees and/or Supervised Providers (e.g. Change Greater than 10%)

Due within thirty (30) calendar days of the significant change(s) in compensation.

- A detailed explanation of change(s) in compensation
- Reason(s) for the change(s)
- Amount of current compensation and the new compensation amount
- Effective date of the change
- Any additional documentation that is relevant to the change.

*****See the following page for a table summarizing self-report types and applicable due dates.*****



Self-Report Type	Date Due to IAAME Within...
Actions by Licensing or Other Oversight Bodies (local, state, or federal) or Other Investigative Entity	Two (2) business days from the effective date of the action on the licensing authority or other oversight body's notification document
Allegations of Child Buying/Fraud by an Employee/Associate of the ASP or Arrest of Employee/Associate of ASP Related to Adoption Services	Two (2) business days of discovering child buying or fraud allegations/arrests/convictions
Bankruptcy	Five (5) business days from the decision to file for bankruptcy
Change in Address	Two (2) business days prior to the effective date of the change or earlier
Change in the ASP's: CEO, Executive Director, or Contact Person	Two (2) business days prior to the effective date of the change or earlier
Change in Corporate Structure	Five (5) business days of the decision by the ASP to change corporate structure or receipt of notification of loss or approval of 501(c)(3) status
Change in the ASP's Fees Charged to Prospective Adoptive Parent(s)	Thirty (30) calendar days of the decision by the ASP to change the schedule of adoption fees
Completion of the ASP's Annual Financial Review	Thirty (30) calendar days from completion of the ASP's annual internal financial review
Completion of the ASP's Audit	Thirty (30) calendar days from completion of the ASP's independent audit
Death of a Child	Two (2) business days of learning of the death of an adopted child
Decision by the ASP to Merge with, Acquire, or be Acquired by Another Party/Entity	Five business days from the date of the ASP's official decision to merge with, acquire, or be acquired by another party/entity
Decision of ASP to Close	Five (5) business days of the official decision by the ASP to close
Discontinuation by the ASP of Intercountry Adoption Services	Thirty (30) calendar days of decision by the ASP to discontinue services.
Disruption of an Intercountry Adoption	Five (5) business days of the ASP having knowledge of the disruption
Dissolution of an Intercountry Adoption	Five (5) business days of the ASP having knowledge of a dissolution occurring
Lawyers, Loss of Good Standing Status or Initiation of Disciplinary Action by a State Bar Association	Two (2) business days of the effective date on the notification document
Social Workers, Loss of Good Standing Status or Initiation of Disciplinary Action by State Licensing or Professional Social Work Review Body	Two (2) business days of the effective date of the notification document
Initial Information Received Regarding a Potential Disruption or Dissolution of an Intercountry Adoption	Two (2) business days of the ASP having knowledge of an intent to disrupt/dissolve an adoption
Initiation by ASP of Services as a Primary Provider in a Foreign Country	Two (2) business days of the decision by the ASP to initiate service(s) in a foreign country
Initiation of Incoming or Outgoing Adoption Services	Thirty (30) calendar days of the decision by the ASP to begin providing services in incoming or outgoing cases
Initiation of Legal Action by Third-Parties	Two (2) business days from the date of service or receipt of other notification document regarding initiation of the legal action
Initiation of Primary Provider Activities	Thirty (30) calendar days of decision by ASP to act as a primary provider
Judgments, Violations, or Convictions of Employees or Associates of the Agency or Person	Five (5) business days from the effective date on the notification document regarding the judgment, violation, or conviction
Loss of Authorization to Provide Adoption Services in any Foreign Country	Thirty (30) calendar days from the effective date on the notification document of loss of authorization
Notification of Change in Supervised Providers	Thirty (30) calendar days of the decision by the ASP to discontinue using a Supervised Provider or to add a Supervised Provider
Opening or Closing an Office	Thirty (30) calendar days from the decision by the ASP to open an additional office(s) or close an existing office(s)
Revocation of State License of Authority	Two (2) business days of ASP's receipt of formal documentation revoking the license or other documentation limiting the ASP's authority to provide adoption services in any State
Serious Injury of a Child	Two (2) business days of learning of a serious injury to an adopted child
Significant Change in Compensation for Employees and/or Supervised Providers (e.g. Change Greater than 10%)	Thirty (30) calendar days of the significant change(s) in compensation