



# IAAME Portal Manual for Adoption Service Providers

## Adoption Service Provider Portal Tabs

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# IAAME Portal Manual for Adoption Service Providers

## Home page

The Portal Homepage will appear upon login by the ASP. The Portal Homepage includes a navigation bar at the top.

## Feedback

In the upper right-hand corner of the Portal is the Feedback link. Use this link to submit requests to IAAME for Portal-related issues such as:

1. **Portal Technical Issue** – An error has occurred within the system that is preventing the completion of a function in the portal.
2. **Enhancement Request** – Suggestions for enhancement of process or functionality within the Portal system.
3. **Training and Education** – Technical support questions and requests for guidance related to use of the Portal.
4. **Other Issue** – All other Portal related questions and issues that do not fit one of the above categories (including modifications to and withdrawal of client applications).

*\*When referencing a client application or additional adoption, utilize the assigned AppID and AdoptID. Please do not include client names in Feedback requests unless there is no associated ID number for reference.*

*\*For further details and instructions regarding withdrawing client applications see page 9-10 below.*

An IAAME staff member will contact the ASP with follow-up to the Feedback request within 48 hours of the submitted request.

## **The Portal Home page includes the following subsections:**

- A link to this Portal Manual.
- Important Dates: These include 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 Staff assigned to the ASP with email links.
- Client Application Transfer Requests: Client Applications with a status of "Pending" appear on the transferring and receiving ASP's Homepage until formally accepted in the Portal by the receiving ASP. Transferred Client Applications will appear on both the transferring and receiving ASPs' home page for 30 days after a Client Application transfer has been completed in the Portal.



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- Activities processed by IAAME within the last 30 days: This includes activities which IAAME has processed for the ASP within the last 30 days.
- Activities Returned From IAAME: This includes any activities which IAAME has returned to the ASP for required action by the ASP.
- News: This section contains important news and updates posted by IAAME.
- Feedback Request Status: This section provides information for the ASP related to submitted feedback requests, including the date of submission, who within IAAME it's been assigned to and the date of completion.

### **ASP Info**

The ASP Info tab contains the general ASP information known to IAAME, current and historical countries in which the ASP provides/has provided intercountry adoption services as a primary provider, the locations from which the ASP provides intercountry adoption services, and the ASP's identified Portal contacts. Any changes to countries or locations must be requested via a self-report (see Appendix included in this Portal Manual). Changes to Contacts may be made by the ASP with that section.

### **Adoption Service Provider Contacts in the Portal**

The Contacts section includes active and inactive primary and secondary contacts identified by the ASP, including those who will receive invoices from IAAME and those with Portal access.

There is no limit to the number of Contacts entered by an ASP, but the ASP may only have three enabled Portal Accounts. The Portal Account column will indicate if an ASP has three enabled Portal Accounts. If the ASP creates a new Contact (see process below) that requires Portal access, the ASP must disable an existing Portal User to enable the new Contact's Portal Account.

An ASP may only have a maximum of two Contacts identified to receive invoices from IAAME. If the ASP has two Contacts identified to receive invoices and creates a new Contact or modifies an existing Contact, wishing to indicate that Contact will receive invoices, the ASP must enter into one of the existing Contacts and indicate "No" for the field "Will this Contact Receive Invoices from IAAME".

### **Changes to Contacts**

As of February 2021, ASPs are responsible for keeping the ASP's contacts and portal user account information up-to-date and accurate. This is done by making changes directly to the Contacts section of the Portal. Submitting a self-report in Activities is no longer required or available. When changes to a Contact are made within the Portal by the ASP, the Portal auto-generates a self-report on the ASP's behalf and submits it to IAAME, noting the changes.



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### To edit an existing contact

1. Select the magnifying glass icon next to the individual's name. This will open a new entry box titled "Contact Detail."
2. Change, delete, or enter information accordingly. The entry fields with red asterisks (\*) identify fields which cannot be left blank. Please enter as much information as possible so IAAME has accurate information for contacting the ASP.
3. Select the attestation checkbox when it appears (it will appear if the change being initiated automatically generates a self-report).
4. To Disable a Portal Account for a contact, select "Disable Portal Account" at the bottom of the entry box.
5. Select "Apply Changes."
6. The Portal will auto-generate and submit a Change in Contact self-report on the ASP's behalf to IAAME any time an existing contact is modified or deactivated in the portal.
7. If a contact is deactivated, IAAME staff will contact the ASP to confirm if this deactivation resulted in a change in invoicing personnel.

### To create a new contact

1. On the far-right hand side of the Contact section, select "Create Contact."
2. Enter applicable data. The entry fields with red asterisks (\*) identify fields which cannot be left blank. Please enter as much information as possible so IAAME has accurate information for contacting the ASP.
3. To create a Portal Account for this new contact, click the checkbox titled "Create Portal Account." A pop-up box will appear as a reminder to verify the data. Select "OK." If the Contact should not have a Portal Account, leave this box un-checked.
4. Select the attestation checkbox accordingly.
5. Click "Create" to save the record. If a Portal Account is being created, the system will email initial portal login credentials to the new user. Please ensure the contact's email address is correct before saving.
6. The portal will auto-generate and submit a Change in Contact self-report on the ASP's behalf to IAAME any time an ASP creates a new contact in the portal.

## **Activities**

The Activities tab is where various accreditation/approval and M&O activities are completed by ASPs. Activities may be generated by the ASP (i.e. self-reports), or by IAAME (i.e. Application Part A and B, SARC, Annual Attestation, etc.). Pending, Submitted and Processed activities are contained in this section and may be sorted by selecting the column heading.



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Review and save or print a help document listing all self-report deadlines by selecting “Self-Report Deadlines” located at the upper right-hand corner of the Activities tab.

### **Submitting a Self-Report**

**\*Please see the appendix of this Portal Manual which includes the Supporting Documents Required for Self-Reports. Also see the final page of this Portal Manual for a self-report requirements quick reference guide.**

1. Click “Create Self-Report” to create a new Self-Report.
2. A description may be entered by the ASP into the self-report for ease of identification, however, is not required.
3. Enter additional context for IAAME, if necessary, regarding the report in the “ASP Notes” section of the report. Evidence must be submitted in the Checklist section only (*be sure to click “save” before submitting the report if notes are entered*).
4. Choose the Self-Report Type from the drop-down box.
5. Upload all required evidence in the appropriate “Upload” section of the report.
  - a. Click “Upload New Document” then choose the document to upload.
  - b. Select “Save Upload.”
  - c. Select “Done.”
6. ASPs may also “link” evidence to the self-report that has already been uploaded within the Documents section of the Portal.
7. Ensure all required evidence has been uploaded.
8. Select “yes” or “no” to attest the information in the self-report is accurate.
9. Click “Submit to IAAME.”

The self-report will then be submitted to IAAME to process. The self-report’s status will reflect “Pending IAAME.” When IAAME has processed the self-report, the status will change to “IAAME Processed.” If IAAME returns the self-report to the ASP to address a question or missing information, IAAME will email the ASP and the self-report’s status will be changed to “Returned to ASP.”

### **Submitting Application Part A - Renewal**

**IAAME staff will create the Application Part A activity in the ASP’s Portal account:**

1. Go to “Activities” tab in the Portal and click the pencil icon: “Application Part A” activity.
2. Under the “Checklist” section of the activity, enter the required evidence.
3. Upload all required evidence in the appropriate “Upload” section of the activity:
  - a. Click “Upload New Document” then choose the document to upload.
  - b. Select “Save Upload.”
  - c. Select “Done.”



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4. ASPs may also “Link” evidence to the self-report that has already been uploaded within the Documents section of the Portal.
5. Ensure all evidence has been uploaded.
6. Select “Submit to IAAME.”

### **Submitting Application Part B**

*IAAME would recommend that agencies/persons utilize Google Chrome to experience optimal functionality of the Portal.*

#### **IAAME staff will create the Application Part B activity in the ASP’s Portal account:**

1. Go to “Activities” tab in Portal and click the pencil icon: “Application Part B” activity.
2. Under the “Checklist” section of the Activity there will be a drop-down labeled: “Standards Category.”
  - a. Click on the drop down to see the full list of categories of standards.
  - b. Select the category to be completed.
  - c. All categories must be completed prior to submission to IAAME.
3. Sub-standards are listed with the total number of required evidence for that sub-standard and the ASP’s progress in uploading/linking evidence is listed next to the sub-standard (e.g. 0/2). The sub-standard will appear in blue in Google Chrome.
4. Click on the sub-standard to which evidence should be uploaded/linked.
  - a. Once in the “Supporting Documentation for Checklist Item” window, the Category, Standard, Sub-standard, and Elements are identified.
    - i. If permitted to identify sub-standards as not applicable (Category 8 for ASPs which do not provide incoming adoption services; Category 9 for ASPs which do not provide outgoing adoption services), a drop-down menu is available to identify the sub-standard as not applicable.
  - b. Click the “Upload/Link/View” hyperlink next to the required evidence listed.
  - c. In the “Upload/Link Supporting Document(s)” window, upload documents directly from a computer or link documents already uploaded from the “Documents Not Linked” section.
    - i. If a document has already been uploaded to the Portal and linked to another sub-standard, it may be chosen from the “Documents Not Linked” section by selecting the “Link” button beside the document and it will show as being linked to that sub-standard evidence requirement.
    - ii. If a document has not already been uploaded to the Portal, choose “Upload New Document,” then choose the file from the computer desired to upload. Once the document is selected, click “Save Upload.” This document will then be linked to that sub-standard as evidence.



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- d. When finished, click “Done” to exit the “Upload/Link Supporting Document(s)” window for that sub-standard.
  - e. Once all evidence has been uploaded or linked, select “Done” to exit the “Supporting Documentation for Checklist Item” window.
    - i. Notice the number to the right of the sub-standard on the “Checklist” will change depending on the amount of evidence 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 Google Chrome).
  - f. At the top of each Category there is a Category Progress bar which identifies the ratio of uploaded evidence to required evidence. Once all required evidence for the selected Category has been uploaded, the numbers will match, and the bar will be completely green (when utilizing Google Chrome).
5. When all required evidence has been uploaded/linked to the corresponding sub-standards, click “Submit to IAAME.” Once submitted, no changes can be made to the activity by the ASP.

### **Other important functions:**

- The “Activity Progress” bar at the top will show progress for the entire activity.
- Regularly click “Save” in each section and before closing the activity out to return 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 (when utilizing Google Chrome) and indicate “0/0.”

## **Client Applications**

The Client Applications tab is where the ASP will create new Client Applications and additional applications, as well as edit existing client applications, including original and additional 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 “Client Application Detail” window will appear.
2. Enter all required information in the Client Application Detail section.



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- In the field titled “Country Adopting From,” the available countries are auto generated as the countries in which the ASP has identified providing intercountry adoption services as a Primary Provider. If the applicable country does not appear, a self-report for Initiation by the Agency or Person of Services as a Primary Provider in a Foreign Country should be submitted to IAAME for the specific country.
  - If there is no country identified at the time of application acceptance, 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 an error message will be received when attempting to upload the file.
  - To use the prefilled CSV file template: click the “Download” link to download a sample CSV file and use to save and import information into the Portal.
  - Ensure the file is saved in CSV format, otherwise an error message will be received when attempting to upload the file.
2. Click “Choose File” and choose the saved CSV file to import, then click “Continue.” The system will ask to verify the import results. Imported information in any of the fields may be edited
3. Once all information is complete and accurate, click “Finish Import.” These applications will then appear in the Client Applications section of the site

### **Editing Original Adoption within Client Application**

Once a client application has been created:

1. Click the pencil icon next to the client application to edit
2. Under the “Adoptions” section, click the pencil icon next to “original application” to enter fields related to the child to be adopted
  - a. Enter applicable fields in the Adoption Detail section
  - b. Click the question mark icon(?) next to each field for explanations and helpful tips when completing various fields







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### Definitions of Data to be Entered in Client Application Detail and Adoption Follow-Up Detail

**Referral Date:** Date the referral of the child was accepted by the prospective adoptive parent(s) (PAPs). *(If there was no formal referral, indicate the date the client application was accepted by the ASP as the referral date)*

**Child's Birth Name:** Birth name of the child

**Child's Date of Birth:** Birth date for the child

**Child's Country of Origin:** Country from which the child will emigrate

**Sibling:** Is the child a sibling to another child to be adopted

**PAP(s) Acting on own Behalf:** See 22 CFR 96.13 for definition

**Home Study Approved:** Date original home study was approved

**Dossier Date:** Date dossier was mailed/sent to the foreign Central Authority

**Referral Given:** Date the referral was given to the PAP(s)

**Name of Orphanage/FCO:** Orphanage or Foster Care Organization

**Relative Adoption:** Is the child a relative of the PAP(s)

**Adopting Unrelated Children:** Are the PAP(s) adopting unrelated children

**Out of Birth Order Placement:** Does the adoption create a change in birth order within the PAP(s)' family

**Foreign Custody:** Date the PAP(s) assumed legal custody of the child in the foreign country

**Finalized In:** Where the adoption was finalized (United States or Foreign Country)

**Date Finalized:** Date adoption finalized

### Viewing/Downloading All Client Applications

To view and download submitted client application data into various file formats:

1. Click on the "Client Applications" tab.
  2. In the top right corner, click "Applications/Adoptions on Monthly Reports."
  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
2. The document will download to the computer in the format identified.

### Transferring a Client Application

ASPs can formally transfer a client application to another ASP within the Portal without the assistance of IAAME. For a client application to be transferred, it must have first been submitted as part of a Monthly Report to IAAME by the transferring ASP.



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### Transferring ASP Instructions:

1. Open the client application to transfer and in the Client Application Detail section, locate the “Transfer this Application” button. Click this button.
2. A Transfer Detail box will pop up, and the ASP will be prompted to choose the ASP the client application will be transferred to from a drop-down listing of ASPs in. Then choose the “Transfer Reason” from the drop-down options and click “Submit Transfer Request.”

### Accepting ASP Instructions:

1. On the Home page of both the sending and receiving ASPs’ Portal accounts, there is a section titled “Client Application Transfer Requests”. Click the pencil icon next to the pending transfer case and choose “accept” or “reject” the transfer.
  - a. If accepted, the client application will formally move from the transferring ASP’s client applications listing to the accepting ASP’s listing.
  - b. If rejected, the client application will show as status “rejected” to the transferring ASP and the transfer will not proceed.

*\*All initiated transfers will remain on both the transferring and accepting ASPs’ Home page for 30 days after accepting or rejecting. After 30 days the processed transfer will be archived.*

### Deleting and Withdrawing Client Applications

ASPs may delete client applications that have been created in the Portal prior to submitting the client application as part of a Monthly Report:

1. Click the pencil icon next to the client application to edit.
2. Select “Delete This Application” on the right side of the client application.
3. Confirm deletion of the client application.

Once a client application has been submitted as part of a Monthly Report, the application may not be deleted. There are, however, various circumstances where a client application may be withdrawn from the ASP’s Portal:

- The Client Application was entered by the ASP in error.
- The PAP(s) have decided to end services with the current ASP with no immediate plan to transfer to another ASP for adoption services.
- The ASP has determined it is no longer able or willing to continue to provide services to PAP(s) (following the submission of Client Application in the Portal, but prior to completion of the adoption), and the PAPs are NOT being “transferred” to another ASP for adoption services (see transfer process outlined above).



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Withdrawal of client applications may only occur via a Feedback request submitted to IAAME in the Portal. Prior to submitting such a request, the ASP must do the following:

1. Click the pencil icon next to the client application to edit.
2. Ensure all applicable adoption milestones have been entered (i.e. home study approval, dossier date, etc.).

*\*For further details and instructions on submitting a Feedback request in the Portal, see page 1.*

### **M&O Follow-Up**

ASPs are required 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.

**The “M & O Follow-Up” tab in the IAAME portal collects client-specific data. To enter the required data, click on the M & O Follow-Up tab in the menu bar of the portal.**

- 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, and number of children being adopted.
- To enter the information, 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. Enter the information directly into this form by double clicking on the specific data entry box where information needs entered. Then click the “Done” button located on the right-hand side of the page.
- Information should be entered as the various milestones in a case occur, wherever possible.
- Once all required information is entered to completion, 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.

ASPs are required to provide all information applicable to the specific adoption as outlined by the entry fields. It is recommended ASPs enter information as the case progresses and the



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specified milestones occur. The required information is to be entered for each child referred for adoption. If a client application has more than one associated child to be adopted, data will be entered for each child.

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.

### **Monthly Reports**

By the 5<sup>th</sup> of each month, each ASP will create a monthly report of all client applications and additional applications (adoptions) submitted for the prior month (*e.g. By May 5<sup>th</sup>, the ASP will submit a monthly report that includes all new client applications reported for the month of April*). If the ASP has not entered all applicable client applications and additional applications, this must be done prior to creating the monthly report. If the Monthly Report is created prior to all applicable client applications and additional applications being entered, the Monthly Report must be deleted and the ASP must enter all client applications and additional applications, create the Monthly Report, and submit to IAAME.

#### **Submitting a Monthly Report:**

1. On the Monthly Reports tab in the Portal, click “Create Monthly Report.” All client applications and additional 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 or additional applications in the previous month, check “No billable activities this month” checkbox before submitting the Monthly Report.
3. Add notes to the “ASP Notes” section if there is additional information about the monthly report that IAAME should be aware of when reviewing (select “Save” to save the note before submitting the monthly report).
4. Once all information is verified as accurate and accounted for in the Monthly Report, select “Submit Monthly Report.”

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



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

*\* If experiencing issues submitting a monthly report:*

- *Delete the Monthly Report and attempt to generate a new report.*
- *If the issues continue, submit a Feedback request to IAAME.*

### **Fees**

The Fees tab displays the fees charged by the ASP as outlined in 22 CFR 96.40(b)-(c), including in countries where the ASP is identified as acting as a primary provider.

When an ASP submits a self-report for Initiation by the Agency or Person of Services as a Primary Provider in a Foreign Country, the country will automatically populate to the ASP Info tab and the ASP's Fees tab. The ASP will then enter the fees for the newly added country into the Fees section.

The Fees tab also captures fees charged by ASPs who do not act as a Primary Provider. These fees are not connected to a particular country, as Non-Primary Providers would have no active countries listed in the Portal.

### **Reporting Fee Changes (editing existing fees)**

1. Once in the Fees tab, click the pencil icon to edit the fees for the specific country or if the ASP is not a primary provider, edit the "Non-Primary Provider" fees
2. Click on the pencil icon next to the Fee Type to edit
3. Edit all applicable fee ranges
4. Select "Save"
5. Once all fees have been entered, select "Done Editing 'Country Name'- Return to Fees Listing"
6. Click "Submit Changes to IAAME", then check the box attesting that the information being submitted is accurate.
7. A self-report is automatically submitted to IAAME on the ASP's behalf for "Change in the Agency or Person's Fees Charged to Prospective Adoptive Parents". The ASP is not required to submit a separate self-report for this change.

### **Entering Fee Information for a New Country (following the submission of a self-report initiating a new country)**

1. Once in the Fees tab, click the pencil icon to enter the Fees for the newly reported country.
2. Click on the pencil icon next to each Fee Type to Edit
3. Enter fee begin and end range for each Fee Type (of a Fee is not applicable, indicate not applicable in the Fee Detail and enter a Reason in the text box), click "save".



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4. Once all fees have been entered, click “Done Editing ‘Country Name’- Return to Fees Listing”
5. Click “Complete Initial Fees Entry”.

### Complaints

The Complaint tab in the Portal will include all complaints filed against the ASP which have been accepted for review by IAAME. The complaint process in the Portal will include the steps outlined below. For further information regarding IAAME’s complaint procedures, please refer to IAAME’s Policy and Procedure 005 available on IAAME’s website.

1. Once IAAME has accepted a complaint for review, IAAME will enter the complaint into the ASP’s Portal Complaints and notify the ASP via email. The notification will include instructions for the ASP to respond to the complaint
2. The ASP will locate the identified complaint in the Complaints tab in the Portal
3. The ASP must click “Acknowledge Complaint Review” within the Complaint Detail to verify receipt of the complaint
4. The Complaint Detail section includes various milestones that will occur within a complaint review, including the outcome. It also includes the details of the complaint
5. The Allegations/Standards/Documentation section, includes the identified complaint allegations and any applicable Standards identified from 22 CFR 96 Subpart F
6. Under the heading “ASP Required Documentation,” the ASP will find the specific evidence being requested by IAAME
7. **To upload evidence:**
  - a. Click on the evidence name, which is in blue font
  - b. Choose File from the ASP’s computer
  - c. Once the document is selected, click “Upload”
8. Once all requested evidence has been uploaded, select “Submit to IAAME”
9. This will change the Review Status to “Pending IAAME”
10. IAAME will complete its review of the complaint. If additional evidence is needed, IAAME will notify the ASP via email and return the Complaint Review to the ASP in the Portal to upload additional evidence (step 7 above)
11. Once IAAME has completed its review, IAAME will notify the ASP via email and upload the Final Report on findings to the complaint in the Portal.
12. If the complaint results in adverse action, IAAME will also upload the Notice of Deficiencies



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## Documents

To upload a document into the ASP's IAAME Portal account, click the Documents tab. This section may be utilized for submission of evidence in response to a formal request by IAAME, a corrective action plan response, etc.

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) to upload (*hint: it is best to name the document so able to identify it easily in this section later, e.g. "Annual Attestation 2018"*)
  - a. If having difficulties uploading, it may be beneficial to refer to the "PDF File Size Help" tab located under the Upload Files box. Each file must be less than 30mb.
  - b. Up to 10 files may be uploaded at a time
4. A logo will appear in the box once 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. Documents linked to an activity cannot be deleted unless unlinked from the activity

*\*Documents can be sorted by selecting the column heading*

## Reports

The Reports tab includes reports that are downloadable and exportable by ASPs within the portal. Currently, the Reports tab includes one report options for ASPs titled, "Case Tracking and Reporting". This report may be utilized by ASPs to meet the reporting requirements set forth in 96.43(b)(1)(2) and (5).

To download a report of data available via this page, click the "Actions" drop down arrow, and select "download". Select the file type you'd like to download the data to. If you wish to export the report to an excel file, choose "CSV file".

## Resources

The Resources tab is utilized by IAAME to post various resources for ASPs. IAAME will post recorded trainings and presentations, important help documents and tools, as well as other important items for easy access by ASPs. Many of these resources will also be available via the IAAME website. The intention of creating a mechanism within the Portal to maintain resources





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for ASPs is for ease in accessing information by consolidating all resources into one location, accessible by accredited or approved ASPs.

Click on the magnifying glass icon next to the title of the resource to view the Resource Detail. Included in the resource detail is the title, description, links to any documents or videos, and any documents that may be downloaded and saved 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 the Self-Report.

#### **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

**The self-report will be processed, and a second self-report should be submitted once a response from the oversight body has been received.**

- 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, if applicable
- Any additional documentation that is relevant.



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***\*\*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 or Executive Director**

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



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**Prior to submission of this self-report, the ASP should make applicable edits to the Contacts section of the ASP Info tab in the Portal, including changing the individual's Job Title or creating a new contact if the individual was not previously a Portal contact.**

- 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
- Effective date of the change
- Any other documentation that is relevant to the change.

### **Change in the Agency/Person's Contact**

**Due within (2) business days of the effective change in contact**

In order to submit changes to the adoption service provider's contacts, the ASP must make such changes directly to the ASP Info section of the ASP's Portal. For instructions, the ASP should refer to the Contacts instructions located in the Portal Manual. Such changes to the Contacts section of the ASP Info tab in the Portal will auto-generate the required self-report to IAAME. No additional self-report is required.

### **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**

In order to submit changes to the adoption service provider's fees charged to prospective adoptive parent(s), the ASP must make such changes directly to the Fee section of the ASP's Portal. For instructions, the ASP should refer to the Fee instructions located in the Portal Manual. Such changes to the Fee section of the Portal will auto-generate the required self-report to IAAME. No additional self-report is required.



## **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 or other documentation verifying that the internal financial review was completed
- A narrative and calculations of how the agency/person determined it meets on average, two-months of operating expenses in reserve.
- Financial documents utilized in completion of the annual internal financial review, e.g. bank statements, operating budget, expenditure reports, and/or other relevant financial reports.

## **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 management 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.**



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### **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.***



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***\*\*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**

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

- Details required in the Portal activity entry fields
- Completed post-placement reports, if applicable
- Prospective adoptive parent home study
- Evidence of required prospective adoptive parent training
- Child referral information
- Adoption services contract signed by the prospective adoptive parent(s)



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- Evidence of consultation with the Secretary to notify the Central Authority of the sending country (as applicable)
- 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.**

- Details required in the Portal activity entry fields
- Completed post-adoption 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)
- Evidence of consultation with the Secretary to notify the Central Authority of the sending country (as applicable)
- 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



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- 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 (provided in the Fee section of the Portal rather than uploaded to the self-report)
- Any additional documentation that is relevant.

***\*The submission of a self-report for Initiation by the Agency/Person of Services as a Primary Provider in a Foreign Country will automatically create the country in the Fees section of the Portal. As part of submission of the self-report, the ASP should visit the Fees section of the Portal and enter all applicable fees for the specified country.***

***\*The submission of a self-report for Initiation by the Agency/Person of Services as a Primary Provider in a Foreign Country will automatically add the identified country to the ASP's listed countries in the Portal.***





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### **Initiation of Incoming 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 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 cases**

- Formal request letter to IAAME with a brief explanation of the reason(s) for the decision
- Evidence required as listed in the Tables of Evidence for Standards for Convention Cases in Which a Child is Immigrating to the United States (96.47-96.52)

***\*\*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 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.



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**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
- Evidence required as listed in the Tables of Evidence for Standards for Convention Cases in Which a Child is Emigrating from the United States (96.53-96.55)

***\*\*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 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.**



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- 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 CEO, Executive Director.**

### **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).**



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- 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%)**



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**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. \*\***



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Self-Report Type	Due to IAAME
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



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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
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