



## HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

The Hague Accreditation and Approval Tables of Evidence specify the evidence adoption service providers must make available to Hague Evaluators during the accreditation and approval and renewal process. Evaluators will request additional evidence if and when additional information is necessary to determine the adoption service provider's level of compliance with the standards. The Tables of Evidence will be used during the initial accreditation review, and any subsequent reviews. Generally, applicants seeking accreditation/approval for the first time should provide information for the last year unless otherwise specified in the Table of Evidence or the Standards. Generally, adoption service providers seeking to renew their accreditation or approval must submit information since the last accreditation/approval review.

The Tables of Evidence should be used by the Adoption Service Provider as a guide to assemble the Self-Study and prepare for the site visit. The Table of Evidence is organized in a chart that outlines the necessary evidence that must be provided with respect to each standard. The chart specifies documents that must be included in the self study and documents that must be available on-site during the site visit in addition to activities that may be conducted during the site visit.

The Self-Study Documents column on the chart includes evidence that should be provided in the Self-Study, which is submitted to COA and the Evaluators prior to the site visit. These documents demonstrate the adoption service provider's level of compliance with the standards for that chapter. COA has developed tools to assist the adoption service provider in presenting certain information to the Evaluators. These tools include:

- Executive Verification Form
- State Licensing and Regulatory Profile
- Governing Body Profile
- Employee Profile
- Collaborative Relationships Profile
- Organizational Profile

The On-Site Documents column on the chart includes evidence that should be readily available for the Evaluators when they arrive for the site visit. The Evaluators may review these documents if they need further information to evaluate your level of compliance with the standards. The Evaluators have the discretion to request additional documentation if they need further information to properly rate a standard.

The On-Site Activities column on the chart identifies the individuals who may be interviewed by the Evaluators during the site visit, as well as any necessary record reviews and other on-site activities. The Evaluators have the discretion to interview additional individuals if they need further information to properly rate a standard.



# HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

## LICENSING AND CORPORATE GOVERNANCE (96.30, 96.31, 96.32)

*Providers being accredited/approved for the first time: Please provide information for the last year unless otherwise specified.*

*Providers seeking renewal: Please provide information for the period since the last evaluation.*

### EVIDENCE CHART:

	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.30 State Licensing</b>			
<b>96.30 (a)</b>	<ul style="list-style-type: none"> <li>▪ State Licensing and Regulatory Profile</li> </ul>	<ul style="list-style-type: none"> <li>▪ Copies of licenses or other authorization to provide adoption services</li> </ul>	
<b>96.30 (b)</b>	<ul style="list-style-type: none"> <li>▪ Executive Verification</li> </ul>	<ul style="list-style-type: none"> <li>▪ Copies of licensing review reports</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Governing Body Chair</li> <li>b. CEO</li> <li>c. State Licensing officials, as necessary</li> </ol> </li> </ul>
<b>96.30 (c)</b>	<ul style="list-style-type: none"> <li>▪ Collaborative Relationships Profile</li> </ul>	<ul style="list-style-type: none"> <li>▪ Proof that supervised providers are licensed or authorized by State law to provide adoption services in the provider’s State of operation</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Persons responsible for management of agreements</li> <li>b. Collaborating providers, as necessary</li> </ol> </li> </ul>
<b>96.30 (d)</b>	<ul style="list-style-type: none"> <li>▪ State Licensing and Regulatory Profile</li> <li>▪ Executive Verification Form</li> </ul>	<ul style="list-style-type: none"> <li>▪ Copies of licenses or other authorization to provide adoption services</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Adoption Service Provider</li> <li>b. State Licensing officials or other officials, as necessary</li> </ol> </li> </ul>



## HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.31 Corporate Structure</b>			
<b>96.31 (a)</b>		<ul style="list-style-type: none"> <li>▪ Documentation of non-profit status</li> <li>▪ Articles of Incorporation</li> </ul>	
<b>96.30 (b)</b>		<ul style="list-style-type: none"> <li>▪ Articles of Incorporation or other information to confirm the organizational structure (e.g. tax documents, etc.)</li> </ul>	
<b>96.32 Internal Structure and Oversight</b>			
<b>96.32 (a)</b>	<ul style="list-style-type: none"> <li>▪ CEO and Equivalent Official current resume or Individual Practitioner's resume</li> <li>▪ CEO and Equivalent Official's current job description</li> </ul>	<ul style="list-style-type: none"> <li>▪ Review CEO and Equivalent Official's personnel files</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Governing Body Chair</li> <li>b. CEO/Equivalent Official</li> <li>c. Staff</li> </ol> </li> </ul>
<b>96.32 (b)</b>	<ul style="list-style-type: none"> <li>▪ Governing Body Profile</li> <li>▪ Minutes from the last two Governing Body meetings</li> <li>▪ Bylaws (for new applicants only)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Governing Body manual</li> <li>▪ Minutes from Governing Body minutes</li> <li>▪ CEO's Performance Review or other evidence of oversight of the CEO</li> <li>▪ Bylaws (for applicants seeking renewal)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Governing Body members, including member(s) with experience in adoption</li> <li>b. CEO</li> </ol> </li> </ul>
<b>96.32 (c)</b>		<ul style="list-style-type: none"> <li>▪ Governing Body records (e.g., governing body minutes or other documents)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview Governing Body Chair and other members of the Governing Body</li> </ul>



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	<b>Self-Study Documents</b>	<b>On-Site Documents</b>	<b>On-Site Activities</b>
<b>96.32 (d)</b>	<ul style="list-style-type: none"><li>▪ Procedures and standards for the selection, monitoring, and oversight of supervised providers</li></ul>		<ul style="list-style-type: none"><li>▪ Interview persons responsible for management of supervised providers</li></ul>
<b>96.32 (e)</b>	<ul style="list-style-type: none"><li>▪ Collaborative Relationships Profile</li><li>▪ Governing Body Profile</li><li>▪ Employee Profile</li><li>▪ Executive Verification</li></ul>		



# HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

## FINANCIAL AND RISK MANAGEMENT (96.33, 96.34)

*Providers being accredited/approved for the first time: Please provide information for the last year unless otherwise specified.*

*Providers seeking renewal: Please provide information for the period since the last evaluation.*

### EVIDENCE CHART:

	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.33 Budget, Audit, Insurance, and Risk Requirements</b>			
<b>96.33 (a)</b>	<ul style="list-style-type: none"> <li>▪ Budget (operating budget for current and previous fiscal year)</li> <li>▪ Governing Body minutes from the meeting when the current budget was approved</li> </ul>	<ul style="list-style-type: none"> <li>▪ All operating budgets in effect since the last site visit (for applicants seeking renewal only.)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Governing Body</li> <li>b. Treasurer or Finance Committee Members</li> <li>c. CFO/CEO</li> </ol> </li> </ul>
<b>96.33 (b)</b>	<ul style="list-style-type: none"> <li>▪ Most recent audit and management letter (If the agency/person is a first time applicant and the audit is not yet complete, provide a letter from the CEO or the Auditor indicating when the audit is scheduled to occur and when the audit will be provided to the agency/person.)</li> <li>▪ Two most recent annual financial reviews (for ASPs seeking renewal only)</li> </ul>	<ul style="list-style-type: none"> <li>▪ All audits and internal financial reviews that have been completed since the last site visit (for applicants seeking renewal only)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Governing Body</li> <li>b. Treasurer or Finance Committee Members</li> <li>c. CFO/CEO</li> <li>d. Person responsible for internal financial reviews</li> </ol> </li> </ul>
<b>96.33 (c)</b>			



## HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

	Self-Study Documents	On-Site Documents	On-Site Activities
96.33 (d)	<ul style="list-style-type: none"> <li>▪ Executive Verification</li> <li>▪ Two most recent tax returns filed with the IRS</li> <li>▪ A narrative describing how the agency/person keeps apprised of and meets financial reporting requirements</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Governing Body Chair</li> <li>b. CEO/CFO</li> </ol> </li> </ul>
96.33 (e)	<ul style="list-style-type: none"> <li>▪ A narrative describing how the organization maintains on average, sufficient cash reserves, assets, or other financial resources to meet its operating expenses for two months.</li> <li>▪ Evidence documenting current cash reserves, assets, or other financial resources and the agency's current operating budget.</li> <li>▪ Plan for transfer of Convention Cases</li> </ul>	<ul style="list-style-type: none"> <li>▪ Financial reports including: balance sheets, income statements, cash flow statements</li> <li>▪ Documentation of cash reserves, assets or other financial resources that were maintained each year since the agency person was accredited/approved (for applicants seeking renewal only)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Governing Body Chair</li> <li>b. CEO/CFO</li> </ol> </li> </ul>
96.33 (f)	<ul style="list-style-type: none"> <li>▪ Charitable donation policy and procedures or for individuals, a statement certifying charitable donations do not influence placement decisions</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO</li> <li>b. Development Officer or person responsible for charitable donations</li> </ol> </li> </ul>



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	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.33 (g)</b>	<ul style="list-style-type: none"> <li>▪ A narrative describing the agency/person’s approach to risk assessment. Include a description of the steps in the risk assessment process, decision making process and follow up and provide an example of the agency/person’s response to an identified risk.</li> <li>▪ Current risk assessment that specifies risks and insurance needs</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO</li> <li>b. Person responsible for risk assessment</li> </ol> </li> </ul>
<b>96.33 (h)</b>	<ul style="list-style-type: none"> <li>▪ Current Insurance policy.</li> <li>▪ Current verification from insurance broker of continuous coverage since last accreditation review (for applicants seeking renewal only)</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO</li> <li>b. Person responsible for insurance</li> </ol> </li> </ul>
<b>96.33 (i)</b>	<ul style="list-style-type: none"> <li>▪ Proof of bonding</li> <li>▪ Current verification from issuer of the bonding of continuous coverage since last accreditation review (for applicants seeking renewal only)</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO</li> <li>b. Person responsible for bonding</li> </ol> </li> </ul>
<b>96.34 Compensation</b>			



## HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.34 (a)</b>	<ul style="list-style-type: none"> <li>▪ Compensation policy or procedure</li> <li>▪ Executive Verification</li> </ul>	<ul style="list-style-type: none"> <li>▪ Financial records including, but not limited to payroll, contractor invoices, and accounts payable records</li> <li>▪ Agreements with collaborating providers</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO/CFO</li> <li>b. Collaborating providers</li> <li>c. Employees and independent contractors</li> <li>d. Finance personnel, including person responsible for bookkeeping</li> </ol> </li> </ul>
<b>96.34 (b)</b>	<ul style="list-style-type: none"> <li>▪ Compensation policy or procedure that specifies how each type of provider is compensated</li> </ul>	<ul style="list-style-type: none"> <li>▪ Financial records including, but not limited to payroll, contractor invoices, and accounts payable records</li> <li>▪ Agreements with collaborating providers</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO/CFO</li> <li>b. Collaborating providers</li> <li>c. Employees and independent contractors</li> <li>d. Finance personnel, including person responsible for bookkeeping</li> </ol> </li> </ul>
<b>96.34 (c)</b>	<ul style="list-style-type: none"> <li>▪ Compensation policy</li> <li>▪ Records of in-kind or other donations made by the adoption service provider</li> <li>▪ Executive Verification</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview CEO/CFO</li> <li>▪ Interview finance personnel, including person responsible for bookkeeping</li> </ul>
<b>96.34 (d)</b>	<ul style="list-style-type: none"> <li>▪ Current operating budget</li> </ul>	<ul style="list-style-type: none"> <li>▪ Payroll records</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview CEO</li> <li>▪ Interview finance personnel, including person responsible for bookkeeping</li> </ul>



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	<b>Self-Study Documents</b>	<b>On-Site Documents</b>	<b>On-Site Activities</b>
<b>96.34 (e)</b>	<ul style="list-style-type: none"><li>▪ Section of the bylaws or Governing Body Manual that addresses compensation</li></ul>	<ul style="list-style-type: none"><li>▪ Accounts payable records</li></ul>	<ul style="list-style-type: none"><li>▪ Interview:<ol style="list-style-type: none"><li>a. Governing Body Members</li><li>b. CEO/CFO</li><li>c. Person responsible for bookkeeping</li></ol></li></ul>
<b>96.34 (f)</b>	<ul style="list-style-type: none"><li>▪ List of vendors to whom clients are referred for non-adoption services which specifies any corporate or financial arrangements and/or family relationships with vendors</li></ul>		



# HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

## ETHICAL PRACTICES AND RESPONSIBILITIES (96.35, 96.36)

*Providers being accredited/approved for the first time: Please provide information for the last year unless otherwise specified.*

*Providers seeking renewal: Please provide information for the period since the last evaluation.*

### EVIDENCE CHART:

	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.35 Suitability of Agencies and Persons to Provide Adoption Services Consistent with the Convention</b>			
<b>96.35 (a)</b>	<ul style="list-style-type: none"> <li>▪ Ethical Practice Policy</li> <li>▪ A narrative describing the agency/person's approach and processes for ensuring that intercountry adoptions take place in the best interests of children.</li> <li>▪ A narrative describing how the agency/person prevents the abduction, exploitation, sale or trafficking of children. Provide examples of actions taken by the agency.</li> </ul>		
<b>96.35 (b)</b>	<ul style="list-style-type: none"> <li>▪ Executive Verification</li> </ul>		
<b>96.35 (c)</b>	<ul style="list-style-type: none"> <li>▪ Executive Verification</li> <li>▪ Governing Body Profile</li> <li>▪ Employee Profile</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview personnel</li> <li>▪ Review personnel files</li> </ul>
<b>96.35 (d)</b>	<ul style="list-style-type: none"> <li>▪ Certificate(s) of good standing</li> </ul>		<ul style="list-style-type: none"> <li>▪ Review personnel files, as necessary</li> </ul>



## HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

	Self-Study Documents	On-Site Documents	On-Site Activities
96.35 (e)	<ul style="list-style-type: none"> <li>▪ Procedure for reporting changes in suitability information and for submitting Self Reports to COA</li> </ul>		
<b>96.36 Prohibition on Child Buying</b>			
96.36 (a)	<ul style="list-style-type: none"> <li>▪ A narrative describing safeguards to ensure that employees and agents do not provide payment for a child or as an inducement to release a child for adoption</li> </ul>	<ul style="list-style-type: none"> <li>▪ Review available complaint information, as necessary</li> <li>▪ Review financial records, as necessary</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO</li> <li>b. Personnel</li> <li>c. Adoptive parents</li> <li>d. Domestic and Foreign supervised providers, when necessary</li> </ol> </li> </ul>
96.36 (b)	<ul style="list-style-type: none"> <li>▪ Written policy and procedures prohibiting payment for a child or as inducement to release</li> <li>▪ Table of contents of employee training curricula</li> </ul>	<ul style="list-style-type: none"> <li>▪ Review Training Curricula</li> <li>▪ Review training logs</li> </ul>	



# HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

## PROFESSIONAL QUALIFICATIONS AND TRAINING FOR EMPLOYEES (96.37, 96.38)

*Providers being accredited/approved for the first time: Please provide information for the last year unless otherwise specified.*

*Providers seeking renewal: Please provide information for the period since the last evaluation.*

### EVIDENCE CHART:

	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.37 Education and Experience Requirements for Social Service Personnel</b>			
<b>96.37 (a)</b>	<ul style="list-style-type: none"> <li>▪ Personnel Procedures for recruitment, selection, and assignment of staff</li> </ul>		<ul style="list-style-type: none"> <li>▪ Review personnel files</li> </ul>
<b>96.37 (b)</b>	<ul style="list-style-type: none"> <li>▪ Employee Profile</li> </ul>		<ul style="list-style-type: none"> <li>▪ Review personnel files</li> </ul>
<b>96.37 (c)</b>	<ul style="list-style-type: none"> <li>▪ Employee Profile</li> <li>▪ Program staffing chart that includes lines of supervision</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview personnel</li> <li>▪ Review personnel files</li> </ul>
<b>96.37 (d)</b>	<ul style="list-style-type: none"> <li>▪ Employee Profile</li> </ul>	<ul style="list-style-type: none"> <li>▪ Job descriptions for supervisors</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview personnel</li> <li>▪ Review personnel files</li> </ul>
<b>96.37 (e)</b>	<ul style="list-style-type: none"> <li>▪ Employee Profile</li> <li>▪ Program staffing chart that includes lines of supervision</li> </ul>	<ul style="list-style-type: none"> <li>▪ Job descriptions for non-supervisory employees</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview personnel</li> <li>▪ Review personnel files</li> </ul>
<b>96.37 (f)</b>	<ul style="list-style-type: none"> <li>▪ Employee Profile</li> <li>▪ Program staffing chart that includes lines of supervision</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview personnel</li> <li>▪ Review personnel files</li> </ul>



## HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.37 (g)</b>	<ul style="list-style-type: none"> <li>▪ Employee Profile</li> <li>▪ Program staffing chart that includes lines of supervision</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview personnel</li> <li>▪ Review personnel files</li> </ul>
<b>96.38 Training Requirements for Social Service Personnel</b>			
<b>96.38 (a)</b>	<ul style="list-style-type: none"> <li>▪ A narrative describing the agency/person's method for providing orientation</li> <li>▪ Table of contents of orientation curricula for new employees</li> </ul>	<ul style="list-style-type: none"> <li>▪ New employee orientation curricula</li> <li>▪ Training files, database, or personnel files that document attendance at required trainings</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview recently hired employees</li> <li>▪ Interview person responsible for orientation</li> </ul>
<b>96.38 (b)</b>	<ul style="list-style-type: none"> <li>▪ A narrative describing the agency/person's method for providing training</li> <li>▪ Table of contents of training curricula for employees</li> </ul>	<ul style="list-style-type: none"> <li>▪ Training curricula for employees</li> <li>▪ Training files, database, or personnel files that document attendance at required trainings</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview person responsible for training</li> <li>▪ Interview employees</li> </ul>
<b>96.38 (c)</b>	<ul style="list-style-type: none"> <li>▪ A narrative describing seminars, conferences, or other internal and external training resources used</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview person responsible for training</li> <li>▪ Review personnel files or other documentation demonstrating attendance at training</li> </ul>
<b>96.38 (d)</b>	<ul style="list-style-type: none"> <li>▪ A narrative describing training exemption process</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. person responsible for training</li> <li>b. personnel</li> </ol> </li> <li>▪ Review personnel files</li> </ul>



# HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

## INFORMATION DISCLOSURE, FEE PRACTICES, AND QUALITY CONTROL POLICIES AND PRACTICES (96.39, 96.40)

*Providers being accredited/approved for the first time: Please provide information for the last year unless otherwise specified.*

*Providers seeking renewal: Please provide information for the period since the last evaluation.*

### EVIDENCE CHART:

	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.39 Information Disclosure and Quality Control Practices</b>			
<b>96.39 (a)</b>	<ul style="list-style-type: none"> <li>▪ A narrative or procedures detailing how the agency/person provides information to the general public and to prospective clients.</li> <li>▪ A copy of the information provided to prospective clients and the general public</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview               <ul style="list-style-type: none"> <li>a. Employees responsible for public inquiries</li> <li>b. Employees who respond to/meet with prospective clients upon initial contact</li> <li>c. Clients</li> </ul> </li> </ul>
<b>96.39 (b)</b>	<ul style="list-style-type: none"> <li>▪ A copy of the disclosure provided to clients and prospective clients regarding additional information that is available</li> </ul>	<ul style="list-style-type: none"> <li>▪ Sample of the Information provided</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview employees responsible handling for information requests</li> </ul>
<b>96.39 (c)</b>	<ul style="list-style-type: none"> <li>▪ Policy and procedures prohibiting preferential treatment</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview               <ul style="list-style-type: none"> <li>a. Governing Body</li> <li>b. CEO</li> <li>c. Supervisors</li> <li>d. Staff</li> </ul> </li> <li>▪ Review relevant case records, when available</li> </ul>



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	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.39 (d)</b>	<ul style="list-style-type: none"> <li>▪ Waiver forms and/or a copy of and document/contract that includes a waiver of liability</li> <li>▪ A narrative describing how the agency ensures that waivers meet all applicable legal requirements</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview               <ol style="list-style-type: none"> <li>a. CEO</li> <li>b. Supervisors</li> <li>c. Staff</li> <li>d. Adoptive prospective adoptive parents</li> </ol> </li> <li>▪ Review case records</li> </ul>
<b>96.39 (e)</b>	<ul style="list-style-type: none"> <li>▪ Procedure for reviews, inspections, audits and responding to requests for information and records from the accrediting entity or the Secretary</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview               <ol style="list-style-type: none"> <li>a. CEO</li> <li>b. Supervisors</li> <li>c. Staff</li> </ol> </li> </ul>
<b>96.39 (f)</b>	<ul style="list-style-type: none"> <li>▪ Website development and maintenance procedures</li> </ul>	<ul style="list-style-type: none"> <li>▪ View the website</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview CEO</li> <li>▪ Interview person responsible for the website</li> <li>▪ Review case records for Internet cases</li> </ul>
<b>96.40 Fee Policies and Procedures</b>			
<b>96.40 (a)</b>	<ul style="list-style-type: none"> <li>▪ Written schedule of expected total fees and estimated expenses and written explanation of conditions under which fees or expenses may be charged, waived, reduced, or refunded, and how fees and expenses must be paid</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview clients</li> <li>▪ Review case records</li> </ul>
<b>96.40 (b)</b>	<ul style="list-style-type: none"> <li>▪ Itemized fee and estimated expense information</li> </ul>		<ul style="list-style-type: none"> <li>▪ Review case records</li> <li>▪ Interview clients</li> </ul>



## HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.40 (c)</b>	<ul style="list-style-type: none"> <li>▪ Itemized fee and estimated expense information</li> </ul>		<ul style="list-style-type: none"> <li>▪ Review case records</li> </ul>
<b>96.40 (d)</b>	<ul style="list-style-type: none"> <li>▪ Adoption services contract</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview clients</li> <li>▪ Review case records</li> </ul>
<b>96.40 (e)</b>	<ul style="list-style-type: none"> <li>▪ Policy for use of fees for special services</li> <li>▪ Information provided to prospective adoptive parents, as applicable</li> <li>▪ Description of programs supported by funds, as applicable</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview               <ol style="list-style-type: none"> <li>a. CEO/Executive Director</li> <li>b. clients</li> </ol> </li> <li>▪ Review case records</li> </ul>
<b>96.40 (f)</b>			<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO</li> <li>b. CFO</li> </ol> </li> <li>▪ Review case files</li> </ul>
<b>96.40 (g)</b>	<ul style="list-style-type: none"> <li>▪ Policy for charging additional fees and expenses beyond those disclosed in adoption services contract</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Supervisors</li> <li>b. Staff</li> <li>c. Clients</li> </ol> </li> <li>▪ Review case records</li> </ul>
<b>96.40 (h)</b>	<ul style="list-style-type: none"> <li>▪ Refund policy or procedure</li> </ul>		<ul style="list-style-type: none"> <li>▪ Review case records</li> </ul>



# HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

## RESPONDING TO COMPLAINTS AND RECORDS AND REPORTS MANAGEMENT (96.41, 96.42, 96.43)

*Providers being accredited/approved for the first time: Please provide information for the last year unless otherwise specified.*

*Providers seeking renewal: Please provide information for the period since the last evaluation.*

### EVIDENCE CHART:

	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.41 Procedures for Responding to Complaints and Improving Service Delivery</b>			
<b>96.41 (a)</b>	<ul style="list-style-type: none"> <li>▪ Complaint policies and procedures</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Staff</li> <li>b. Clients</li> </ol> </li> <li>▪ Review case records or other documentation verifying client receipt of complaint procedures</li> </ul>
<b>96.41 (b)</b>	<ul style="list-style-type: none"> <li>▪ Complaint policies and procedures</li> </ul>	<ul style="list-style-type: none"> <li>▪ Complaint Records</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Staff</li> <li>b. Clients</li> </ol> </li> </ul>
<b>96.41 (c)</b>	<ul style="list-style-type: none"> <li>▪ Complaint policies and procedures</li> </ul>	<ul style="list-style-type: none"> <li>▪ Complaint Records</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO</li> <li>b. Supervisors</li> </ol> </li> </ul>
<b>96.41 (d)</b>	<ul style="list-style-type: none"> <li>▪ Complaint policies and procedures</li> </ul>	<ul style="list-style-type: none"> <li>▪ Complaint Records</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview employee(s) responsible for complaints</li> </ul>
<b>96.41 (e)</b>	<ul style="list-style-type: none"> <li>▪ Complaint policies and procedures</li> <li>▪ A narrative describing how the agency/ person ensures its employees do not discourage complaints or retaliate against complainants</li> </ul>	<ul style="list-style-type: none"> <li>▪ Complaint Records</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Staff</li> <li>b. Clients</li> <li>c. Former clients</li> </ol> </li> </ul>



## HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.41 (f)</b>	<ul style="list-style-type: none"> <li>▪ Complaint policies and procedures</li> </ul>	<ul style="list-style-type: none"> <li>▪ Complaint Records</li> </ul>	
<b>96.41 (g)</b>	<ul style="list-style-type: none"> <li>▪ Complaint policies and procedures</li> </ul>	<ul style="list-style-type: none"> <li>▪ Complaint Records</li> </ul>	
<b>96.41 (h)</b>	<ul style="list-style-type: none"> <li>▪ Quality improvement program/system description</li> </ul>	<ul style="list-style-type: none"> <li>▪ Quality improvement documents (e.g., meeting minutes, aggregate data and reports)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview employee(s) responsible for overseeing quality improvement</li> </ul>
<b>96.42 Retention, Preservation, and Disclosure of Adoption Records</b>			
<b>96.42 (a)</b>	<ul style="list-style-type: none"> <li>▪ Case record retention procedures</li> </ul>	<ul style="list-style-type: none"> <li>▪ Review applicable state laws, as necessary</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview employee(s)</li> <li>▪ Observe record storage system</li> </ul>
<b>96.42 (b)</b>	<ul style="list-style-type: none"> <li>▪ Policy/procedures for disclosing information</li> </ul>	<ul style="list-style-type: none"> <li>▪ Review documentation of completed requests, if available</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Personnel</li> <li>b. Clients</li> </ol> </li> </ul>
<b>96.42 (c)</b>	<ul style="list-style-type: none"> <li>▪ Policy/procedures for disclosing information</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Supervisors</li> <li>b. Staff</li> <li>c. Clients</li> </ol> </li> </ul>
<b>96.42 (d)</b>	<ul style="list-style-type: none"> <li>▪ Plan for transferring custody of adoption records</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview CEO</li> </ul>
<b>96.42 (e)</b>	<ul style="list-style-type: none"> <li>▪ Procedures for submitting Self Reports to the accrediting entity</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview CEO</li> </ul>
<b>96.43 Case Tracking, Data Management, and Reporting</b>			
<b>96.43 (a)</b>	<ul style="list-style-type: none"> <li>▪ Procedures for data collection, management, and reporting</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview employee(s) responsible for data collection, management, and</li> </ul>



## HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

	<b>Self-Study Documents</b>	<b>On-Site Documents</b>	<b>On-Site Activities reporting</b>
<b>96.43 (b)</b>	<ul style="list-style-type: none"><li>▪ Procedures for data collection, management, and reporting</li></ul>		<ul style="list-style-type: none"><li>▪ Interview employee(s) responsible for data collection</li></ul>
<b>96.43 (c)</b>	<ul style="list-style-type: none"><li>▪ Procedures for data collection, management, and reporting</li></ul>		<ul style="list-style-type: none"><li>▪ Interview employee(s) responsible for data collection</li></ul>
<b>96.43 (d)</b>	<ul style="list-style-type: none"><li>▪ Procedures for data collection, management, and reporting</li></ul>		<ul style="list-style-type: none"><li>▪ Interview employee(s) responsible for data collection</li></ul>



# HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

## SERVICE PLANNING AND DELIVERY (96.44, 96.45, 96.46)

*Providers being accredited/approved for the first time: Please provide information for the last year unless otherwise specified.*

*Providers seeking renewal: Please provide information for the period since the last evaluation.*

### EVIDENCE CHART:

	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.44 Acting as Primary Provider</b>			
<b>96.44 (a)</b>	<ul style="list-style-type: none"> <li>▪ Service planning procedures</li> <li>▪ Executive Verification</li> </ul>	<ul style="list-style-type: none"> <li>▪ Case records (e.g., service plans with supervised providers identified)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Personnel</li> <li>b. Supervised providers, as applicable</li> </ol> </li> </ul>
<b>96.44 (b)</b>	<ul style="list-style-type: none"> <li>▪ Describe the agency's capability to act as primary provider. Describe which services will be provided directly and by supervised providers, other foreign providers, exempted providers or others, if applicable. Describe the agency/person's capability to supervise other providers and verify the work of other foreign providers</li> <li>▪ Organizational Chart and job descriptions illustrating responsibility for performance of primary provider functions</li> <li>▪ Policies and procedures for acting as a primary provider</li> </ul>	<ul style="list-style-type: none"> <li>▪ Budget specifying funds allocated/necessary for supervisory activities or for ASP's who are not currently acting as a primary provider a plan for obtaining additional resources</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO/Executive Director</li> <li>b. Personnel responsible for supervised providers</li> <li>c. Supervised providers, as applicable</li> </ol> </li> </ul>



## HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.45 Using Supervised Providers in the United States</b>			
<b>96.45 (a)</b>	<ul style="list-style-type: none"> <li>▪ Procedures for entering into agreements with supervised providers</li> <li>▪ Procedures for overseeing supervised providers</li> <li>▪ Executive Verification</li> </ul>	<ul style="list-style-type: none"> <li>▪ Documentation demonstrating oversight of all supervised providers the ASP currently oversees including verification of compliance with relevant licensing and legal requirements (e.g. licensing reports, documentation of compliance with standards that apply to supervised providers)</li> <li>▪ Information on relevant state licensing rules</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO/Executive Director or designee</li> <li>b. Personnel responsible for supervised providers</li> <li>c. Interview supervised providers, as applicable</li> </ol> </li> </ul>
<b>96.45 (b)</b>	<ul style="list-style-type: none"> <li>▪ Procedures for entering into agreements with supervised providers</li> <li>▪ Sample written agreement or draft of agreement</li> <li>▪ Collaborative Relationships Profile</li> <li>▪ Executive Verification</li> </ul>	<ul style="list-style-type: none"> <li>▪ Signed written agreements with current supervised providers</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO/Executive Director or designee</li> <li>b. Personnel responsible for supervised providers</li> <li>c. Interview supervised providers, as applicable</li> </ol> </li> </ul>



# HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.46 Using Providers in Convention Countries</b>			
<b>96.46 (a)</b>	<ul style="list-style-type: none"> <li>▪ Procedures for entering into agreements with foreign supervised providers</li> <li>▪ Procedures for overseeing foreign supervised providers</li> <li>▪ Executive Verification</li> </ul>	<ul style="list-style-type: none"> <li>▪ Documentation demonstrating oversight of current foreign supervised providers including verification of compliance with relevant licensing, accreditation and legal requirements</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO/Executive Director or designee</li> <li>b. Personnel responsible for supervising providers in Convention countries</li> <li>c. Foreign supervised provider, as necessary</li> </ol> </li> </ul>
<b>96.46 (b)</b>	<ul style="list-style-type: none"> <li>▪ Procedures for entering into agreements with foreign supervised providers</li> <li>▪ Sample or draft agreement</li> <li>▪ Executive Verification Form</li> </ul>	<ul style="list-style-type: none"> <li>▪ Written agreements with current foreign supervised providers</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO/Executive Director or designee</li> <li>b. Personnel responsible for supervising providers in Convention countries</li> <li>c. Foreign supervised provider, as necessary</li> </ol> </li> </ul>
<b>96.46 (c)</b>	<ul style="list-style-type: none"> <li>▪ Procedures for obtaining and verifying information received from foreign providers who are not supervised providers</li> <li>▪ Executive Verification Form</li> </ul>	<ul style="list-style-type: none"> <li>▪ Documentation demonstrating oversight of current foreign supervised providers including verification of compliance with relevant laws and the Convention</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO/Executive Director or designee</li> <li>b. Personnel responsible for supervising providers in Convention countries</li> <li>c. Foreign supervised provider, as necessary</li> </ol> </li> <li>▪ Review relevant case records, as applicable</li> </ul>



# HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

## INCOMING CASES (96.47, 96.48, 96.49, 96.50, 96.51, 96.52)

*Providers being accredited/approved for the first time: Please provide information for the last year unless otherwise specified.*

*Providers seeking renewal: Please provide information for the period since the last evaluation.*

### EVIDENCE CHART:

	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.47 Preparation of Home Studies in Incoming Cases</b>			
<b>96.47 (a)</b>	<ul style="list-style-type: none"> <li>▪ A narrative describing which states the agency/person conducts homestudies and information about the relevant laws and regulations</li> <li>▪ Home study preparation procedures</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ul style="list-style-type: none"> <li>a. Supervisors</li> <li>b. Staff who conduct homestudies</li> </ul> </li> <li>▪ Review case records</li> </ul>
<b>96.47 (b)</b>	<ul style="list-style-type: none"> <li>▪ Home study preparation procedures</li> </ul>	<ul style="list-style-type: none"> <li>▪ Review applicable state law, as necessary</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ul style="list-style-type: none"> <li>a. Supervisors</li> <li>b. Staff</li> </ul> </li> </ul>
<b>96.47 (c)</b>	<ul style="list-style-type: none"> <li>▪ Procedures for reviewing and approving home studies</li> <li>▪ Checklist, tool, or other documentation used in the review and approval of homestudies</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ul style="list-style-type: none"> <li>a. Supervisors</li> <li>b. Relevant staff</li> </ul> </li> <li>▪ Review case records</li> </ul>
<b>96.47 (d)</b>	<ul style="list-style-type: none"> <li>▪ Home study preparation procedures</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ul style="list-style-type: none"> <li>a. Supervisors</li> <li>b. Staff</li> </ul> </li> </ul>



## HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.48 Preparation and Training of Prospective Adoptive Parent(s)</b>			
<b>96.48 (a)</b>	<ul style="list-style-type: none"> <li>▪ Provide a narrative describing the process for providing training to prospective adoptive parents. Include information about who provides the training and the methods used for training. Describe the process for informing prospective adoptive parents of training requirements.</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Personnel</li> <li>b. adoptive parents</li> </ol> </li> <li>▪ Review documentation of training attendance in case records</li> </ul>
<b>96.48 (b)</b>	<ul style="list-style-type: none"> <li>▪ Table of contents of training curriculum</li> </ul>	<ul style="list-style-type: none"> <li>▪ Training curriculum</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Adoptive parents</li> <li>b. Training/program personnel</li> </ol> </li> </ul>
<b>96.48 (c)</b>	<ul style="list-style-type: none"> <li>▪ Provide a narrative describing the organization's process for informing and counseling prospective adoptive parents on child-specific information in preparation for adoption.</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview               <ol style="list-style-type: none"> <li>a. Adoptive parents</li> <li>b. Supervisors</li> <li>c. Personnel</li> </ol> </li> <li>▪ Review case records; for sample medical reports</li> </ul>
<b>96.48 (d)</b>			<ul style="list-style-type: none"> <li>▪ Interview personnel</li> </ul>
<b>96.48 (e)</b>	<ul style="list-style-type: none"> <li>▪ Provide a narrative describing the organization's process for informing and counseling prospective adoptive parents on child-specific information in preparation for adoption.</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview               <ol style="list-style-type: none"> <li>a. Adoptive parents</li> <li>b. Personnel</li> </ol> </li> <li>▪ Case Records</li> </ul>



## HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

	Self-Study Documents	On-Site Documents	On-Site Activities
96.48 (f)		<ul style="list-style-type: none"> <li>▪ Sample resource information given to prospective adoptive parents</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview               <ol style="list-style-type: none"> <li>a. Adoptive parents</li> <li>b. Personnel</li> </ol> </li> <li>▪ Review case records</li> </ul>
96.48 (g)	<ul style="list-style-type: none"> <li>▪ Procedure and criteria for exempting prospective adoptive parents from training</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview personnel</li> </ul>
96.48 (h)			<ul style="list-style-type: none"> <li>▪ Review case records</li> </ul>
<b>96.49 Provision of Medical and Social Information in Incoming Cases</b>			
96.49 (a)	<ul style="list-style-type: none"> <li>▪ Procedure for obtaining and providing medical and social information</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Prospective adoptive parents</li> <li>b. Personnel</li> </ol> </li> <li>▪ Review case records</li> </ul>
96.49 (b)	<ul style="list-style-type: none"> <li>▪ Procedure for obtaining and providing medical and social information</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Prospective adoptive parents</li> <li>b. Personnel</li> </ol> </li> <li>▪ Review case records</li> </ul>
96.49 (c)	<ul style="list-style-type: none"> <li>▪ Procedure for obtaining and providing medical and social information</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Prospective adoptive parents</li> <li>b. Personnel</li> </ol> </li> </ul>



## HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

	Self-Study Documents	On-Site Documents	On-Site Activities
96.49 (d)		<ul style="list-style-type: none"> <li>▪ Medical information requests, showing types of information requested</li> <li>▪ Copy of written agreement between primary and foreign supervised providers</li> <li>▪ Communications with supervised providers, foreign providers, public foreign authorities, etc., showing types of information requested</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview               <ol style="list-style-type: none"> <li>a. Prospective adoptive parents</li> <li>b. Personnel responsible for agreements with supervised providers</li> <li>c. Personnel</li> </ol> </li> </ul>
96.49 (e)	<ul style="list-style-type: none"> <li>▪ Procedure for obtaining and providing medical and social information</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO</li> <li>b. Personnel</li> <li>c. Prospective adoptive parents</li> </ol> </li> <li>▪ Review case records</li> </ul>
96.49 (f)	<ul style="list-style-type: none"> <li>▪ Procedure for obtaining and providing medical and social information</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Prospective adoptive parents</li> <li>b. Personnel</li> </ol> </li> <li>▪ Review case records</li> </ul>
96.49 (g)	<ul style="list-style-type: none"> <li>▪ Procedure for obtaining and providing medical and social information</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Prospective adoptive parents</li> <li>b. Personnel</li> </ol> </li> <li>▪ Review case records</li> </ul>
96.49 (h)	<ul style="list-style-type: none"> <li>▪ Procedure for obtaining and providing medical and social information</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Prospective adoptive parents</li> <li>b. Personnel</li> </ol> </li> </ul>



## HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

	Self-Study Documents	On-Site Documents	On-Site Activities
96.49 (i)	<ul style="list-style-type: none"> <li>▪ Procedure for obtaining and providing medical and social information</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Prospective adoptive parents</li> <li>b. Personnel</li> </ol> </li> <li>▪ Review case records</li> </ul>
96.49 (j)	<ul style="list-style-type: none"> <li>▪ Procedure for obtaining and providing medical and social information</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Personnel</li> <li>b. Prospective adoptive parents</li> </ol> </li> </ul>
96.49 (k)	<ul style="list-style-type: none"> <li>▪ Policy and procedure regarding withdrawal of a referral</li> <li>▪ Information provided to prospective adoptive parents about the referral process</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Personnel</li> <li>b. Interview adoptive parents</li> </ol> </li> <li>▪ Review case records</li> </ul>
<b>96.50 Placement and Post-Placement Monitoring Until Final Adoption in Incoming Cases</b>			
96.50 (a)	<ul style="list-style-type: none"> <li>▪ A description of the process or procedures for child transfers</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Prospective adoptive parents</li> <li>b. Personnel</li> </ol> </li> </ul>
96.50 (b)	<ul style="list-style-type: none"> <li>▪ Post placement monitoring procedures</li> </ul>	<ul style="list-style-type: none"> <li>▪ Review applicable state law and sending country requirements, when necessary</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview               <ol style="list-style-type: none"> <li>a. Personnel</li> <li>b. Adoptive parents</li> </ol> </li> <li>▪ Review case records</li> </ul>
96.50 (c)			<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Supervisors</li> <li>b. Personnel</li> </ol> </li> <li>▪ Review Case Records</li> </ul>



## HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.50 (d)</b>	<ul style="list-style-type: none"> <li>▪ Procedure for assuming custody and providing temporary care of children whose placement has disrupted</li> <li>▪ Placement procedures for children whose placement has disrupted</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Supervisors</li> <li>b. Personnel</li> </ol> </li> <li>▪ Review case records</li> </ul>
<b>96.50 (e)</b>	<ul style="list-style-type: none"> <li>▪ Procedures for removing a child from a placement</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Supervisors</li> <li>b. Personnel</li> </ol> </li> <li>▪ Review case records</li> </ul>
<b>96.50 (f)</b>	<ul style="list-style-type: none"> <li>▪ Adoption Services Contract</li> </ul>		<ul style="list-style-type: none"> <li>▪ Review case records</li> </ul>
<b>96.50 (g)</b>	<ul style="list-style-type: none"> <li>▪ Adoption Services Contract</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Supervisors</li> <li>b. Personnel</li> </ol> </li> <li>▪ Review case records</li> </ul>
<b>96.50 (h)</b>	<ul style="list-style-type: none"> <li>▪ Procedures for finalizing adoptions</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Supervisors</li> <li>b. Personnel</li> </ol> </li> </ul>
<b>96.51 Post-Adoption Services in Incoming Cases</b>			
<b>96.51 (a)</b>	<ul style="list-style-type: none"> <li>▪ A description of the process of procedures for child transfers</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview personnel</li> </ul>
<b>96.51 (b)</b>	<ul style="list-style-type: none"> <li>▪ Adoption Services Contract</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview personnel</li> <li>▪ Review case records</li> </ul>



## HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.51 (c)</b>	<ul style="list-style-type: none"> <li>▪ Adoption Services Contract</li> </ul>	<ul style="list-style-type: none"> <li>▪ List of all cases with missing post-adoption reports by country of origin.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Supervisors</li> <li>b. Personnel</li> </ol> </li> <li>▪ Review case records</li> </ul>
<b>96.51 (d)</b>	<ul style="list-style-type: none"> <li>▪ Policy and procedure for returning a child to country of origin</li> </ul>	<ul style="list-style-type: none"> <li>▪</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO</li> <li>b. Supervisors</li> <li>c. Review dissolved adoption case records.</li> <li>d. Interview clients</li> </ol> </li> </ul>
<b>96.52 Performance of Convention Communication and Coordination Functions in Incoming Cases</b>			
<b>96.52 (a)</b>	<ul style="list-style-type: none"> <li>▪ Policy and procedures for informing Central Authorities and the Secretary about the adoption process</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview appropriate personnel</li> </ul>
<b>96.52 (b)</b>	<ul style="list-style-type: none"> <li>▪ Procedure for transmitting and receiving information from Central Authorities</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview appropriate personnel</li> </ul>
<b>96.52 (c)</b>	<ul style="list-style-type: none"> <li>▪ Procedure for obtaining permission for child to leave country of origin and enter and reside permanently in the United States</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview appropriate personnel</li> </ul>
<b>96.52 (d)</b>	<ul style="list-style-type: none"> <li>▪ Procedure for returning home studies</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Supervisors</li> <li>b. Personnel</li> </ol> </li> </ul>



## HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

	Self-Study Documents	On-Site Documents	On-Site Activities
96.52 (e)			<ul style="list-style-type: none"><li>▪ Interview:<ul style="list-style-type: none"><li>a. CEO</li><li>b. Supervisors</li><li>c. Personnel</li></ul></li></ul>



# HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

## STANDARDS FOR OUTGOING CASES (96.53, 96.54, 96.55)

### NARRATIVE:

The Outgoing Cases Narrative should provide an overview of key practices that contribute to the performance of your adoption program. The Narrative supports, but should not duplicate, evidence provided elsewhere in your self-study.

Provide responses to the following questions that address your organization’s level of compliance with of the Standards for Cases in Which a Child is Emigrating from the United States. Highlight applicable obstacles and innovations, if any, in each of your responses.

1. Describe any child study requirements specific to each State and each country where the organization provides intercountry adoption services.
2. Describe any state requirements for providing birth parents with legal counsel and providing disclosure that the child will be adopted internationally.
3. Describe the organization's overall approach to preparing children for adoption including the transition to the receiving country. [96.54 g]
4. Describe how the organization ensures that required post-placement supervision and reporting will be conducted. [96.54 i]
5. Provide any additional information that would increase the Evaluator’s understanding of your level of compliance with the standards.

**Providers being accredited/approved for the first time:** Please provide information for the last year unless otherwise specified.

**Providers seeking renewal:** Please provide information for the period since the last evaluation.

### EVIDENCE CHART:

	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.53 Background Studies on the Child and Consents in Outgoing Cases</b>			
<b>96.53 (a)</b>	<ul style="list-style-type: none"> <li>▪ Procedure for performing child background study in outgoing cases</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Supervisors</li> <li>b. Personnel</li> </ol> </li> <li>▪ Review case records</li> </ul>
<b>96.53 (b)</b>	<ul style="list-style-type: none"> <li>▪ Procedures for reviewing and approving child studies</li> <li>▪ Checklist, tool, or other documentation used in the review and approval of child studies</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Supervisors</li> <li>b. Personnel</li> </ol> </li> <li>▪ Review case records or other documentation of the review and approval of child studies.</li> </ul>



## HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

	Self-Study Documents	On-Site Documents	On-Site Activities
<b>96.53 (c)</b>	<ul style="list-style-type: none"> <li>▪ Policy and procedures for obtaining consents</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO</li> <li>b. Supervisors</li> <li>c. Personnel</li> <li>d. Clients</li> </ol> </li> <li>▪ Review case records</li> </ul>
<b>96.53 (d)</b>	<ul style="list-style-type: none"> <li>▪ Policy and procedures for consideration of the wishes of a child over 12 years of age</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO</li> <li>b. Supervisors</li> <li>c. Personnel</li> </ol> </li> <li>▪ Review case records</li> </ul>
<b>96.53 (e)</b>	<ul style="list-style-type: none"> <li>▪ Procedure for transmitting information to appropriate authority of the Convention country</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview Personnel</li> </ul>
<b>96.54 Placement Standards in Outgoing Cases</b>			
<b>96.54 (a)</b>	<ul style="list-style-type: none"> <li>▪ Policy regarding reasonable efforts</li> <li>▪ Procedure for disseminating information about the child, including procedures for posing information on state and national registries</li> <li>▪ adoptive parent recruitment procedures</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO</li> <li>b. Supervisors</li> <li>c. Program staff</li> <li>d. clients</li> </ol> </li> <li>▪ Review case records</li> </ul>
<b>96.54 (b)</b>	<ul style="list-style-type: none"> <li>▪ Policy regarding reasonable efforts</li> </ul>		<ul style="list-style-type: none"> <li>▪ Review case records</li> </ul>
<b>96.54 (c)</b>	<ul style="list-style-type: none"> <li>▪ Placement procedures</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Supervisors</li> <li>b. Personnel</li> <li>c. Clients</li> </ol> </li> </ul>



## HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

	<b>Self-Study Documents</b>	<b>On-Site Documents</b>	<b>On-Site Activities</b>
<b>96.54 (d)</b>	<ul style="list-style-type: none"> <li>▪ Policy regarding legal counsel for birth parents</li> </ul>	<ul style="list-style-type: none"> <li>▪ Review relevant state legal requirements, as necessary</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Supervisors</li> <li>b. Personnel</li> </ol> </li> <li>▪ Review case records</li> </ul>
<b>96.54 (e)</b>	<ul style="list-style-type: none"> <li>▪ Placement procedures</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Supervisors</li> <li>b. Personnel</li> <li>c. Clients</li> </ol> </li> </ul>
<b>96.54 (f)</b>	<ul style="list-style-type: none"> <li>▪ Placement procedures</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. Supervisors</li> <li>b. Personnel</li> </ol> </li> </ul>
<b>96.54 (g)</b>		<ul style="list-style-type: none"> <li>▪ Information about available community resources</li> </ul>	<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO</li> <li>b. Personnel</li> </ol> </li> </ul>
<b>96.54 (h)</b>	<ul style="list-style-type: none"> <li>▪ Procedures for child transfers</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview Personnel</li> </ul>
<b>96.54 (i)</b>			<ul style="list-style-type: none"> <li>▪ Review case records</li> </ul>
<b>96.54 (j)</b>			<ul style="list-style-type: none"> <li>▪ Review case records</li> </ul>
<b>96.54 (k)</b>	<ul style="list-style-type: none"> <li>▪ Policy and procedure for returning a child to country of origin</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO</li> <li>b. Supervisors</li> </ol> </li> </ul>
<b>96.55 Performance of Convention Communication and Coordination Functions in Outgoing Cases</b>			
<b>96.55 (a)</b>	<ul style="list-style-type: none"> <li>▪ Policy and procedures for informing Central Authorities and the Secretary about the adoption process</li> </ul>		<ul style="list-style-type: none"> <li>▪ Interview:               <ol style="list-style-type: none"> <li>a. CEO</li> <li>b. Personnel</li> </ol> </li> </ul>
<b>96.55 (b)</b>	<ul style="list-style-type: none"> <li>▪ Procedure for transmitting information to the Secretary</li> </ul>		<ul style="list-style-type: none"> <li>▪ Review case records</li> </ul>
<b>96.55 (c)</b>	<ul style="list-style-type: none"> <li>▪ Procedure for</li> </ul>		



## HAGUE CONVENTION ACCREDITATION AND APPROVAL TABLES OF EVIDENCE

	<b>Self-Study Documents</b>	<b>On-Site Documents</b>	<b>On-Site Activities</b>
	returning home studies and child background studies		<ul style="list-style-type: none"><li>▪ Interview Personnel</li></ul>
<b>96.55 (d)</b>	<ul style="list-style-type: none"><li>▪ Procedure for providing information to courts</li></ul>		<ul style="list-style-type: none"><li>▪ Review case records</li></ul>
<b>96.55 (e)</b>	<ul style="list-style-type: none"><li>▪ Procedure for providing information to courts</li></ul>		<ul style="list-style-type: none"><li>▪ Review case records</li></ul>
<b>96.55 (f)</b>			<ul style="list-style-type: none"><li>▪ Interview:<ul style="list-style-type: none"><li>a. CEO</li><li>b. Supervisors</li><li>c. Personnel</li></ul></li></ul>