Colorado Department of Human Services

INCIDENT, SIGNIFICANT OCCURRENCE or CHANGE SELF-REPORT FORM

(For adoption service providers with Hague Accreditation or Approval)

(***Complete a form for each incident, occurrence or change***)

Agency Name:		**State:**	
License #		**Zip Code:**	
Hague Contact Person:		**Phone Number:**	
Title:		**Fax Number:**	
Address:		**Email Address:**	
City:		**Date of Incident/ Occurrence/Change:**	

Instructions: Please complete a form within 48 hours for each incident, occurrence or change, placing a check in the appropriate box below. Consult the Self Reporting instruction chart for definitions, descriptions and explanation of time frames for each category of incident, occurrence, or change that accredited adoption service providers must report to CDHS. Please read instructions carefully on what information and documents must be provided for each self-reporting requirement.

Categories are deliberately broad to cover any and all incidents, occurrences and changes that *could possibly* come within the description of the self-reporting requirement. If after consulting the instruction sheet, the agency has any questions about whether to report a particular incident, occurrence or change, please contact the Division of Child Care Hague Team Lead.

You may provide the self-report to the Division of Child Care by **one** of the following methods:

BY FAX:
303-866-4453
Attn: Lori Roxbury

BY MAIL:
Lori Roxbury
Division of Child Care
1575 Sherman Street, 1st Floor
Denver, CO 80203

CATEGORY OF INCIDENT/OCCURRENCE/CHANGE

(See *instruction sheet* for full descriptions of each category and corresponding self-reporting requirements).

☐ **Revocation of Domestic License or Authorization** (see 22 CFR 96.30(a)-(d) and 96.35(b)).

☐ **Action(s) by Licensing, Regulatory, Other Governmental Authority (*local, state, or federal*) or Other Investigative Entity** (see 22 CFR 96.30(a)-(d) and 96.35(b)-(d)):

- ☐ ① Suspension of license
- ☐ ② Change to: ☐a. provisional, ☐b. probationary, or ☐c. other compromised status
- ☐ ③ Application of financial or other sanctions or penalties
- ☐ ④ Placement of a hold on referrals/new applicants for adoption services
- ☐ ⑤ Initiation of investigation
- ☐ ⑥ Request for corrective action resulting from investigation due to *(check all that apply):*

☐① *financial malfeasance / irregularities*

☐②*quality of service delivery*

☐③*safety / health*

☐④*business ethics / regulatory compliance*

☐⑤substantiated complaints

☐ ⑥*other (provide description)*:

☐ **Initiation of Legal Action by Third Parties:** 1. **Filing of Legal Action Related to Child Welfare or Adoption Related Services, or 2. Filing of Criminal Charges Related to Child Welfare or Adoption Related Services, or 3. Filing of Child Abuse Charges** (see 22 CFR 96.35(b)(6)).

☐ **Judgments, Violations or Convictions** (see 22 CFR 96.35(b)(7)).

☐ **Loss of Authorization to Provide Adoption Services in a Convention Country** (see 22 CFR 96.35(b)). ☐ **Bankruptcy or Significant Reduction in Revenue** (see 22 CFR 96.33(a)-(e) and 96.35(b)).

☐ **Closure of the Agency** (see 22 CFR 96.33(e) and 22 CFR 96.42(d)).

☐ **Discontinuation by the Agency of All or Any Hague Convention Services** (see 22 CFR 96.47-96.52 and 96.53-96.55)..

☐ **Request to Seek Accreditation or Approval for the Addition of Incoming or Outgoing Cases** (see 22 CFR 96.47-96.52 and 96.53-96.55)..

☐ **Opening of an Additional Office(s) (i.e., expanding into another state(s)** (see 22 CFR 96.25).

☐ **Change in Corporate Structure** (see 22 CFR 96.31)).

☐ **Change in Compensation** (see 22 CFR 96.34(b)).

☐ **Change in the Agency's Schedule of Adoption Fees** (see 22 CFR 96.40).

☐ **Merger or Acquisition** (see 22 CFR 96.32(e)).

Change in the Agency's:

☐ **CEO or Executive Director**
☐ **Contact Person, or**
☐ **Address** (see 22 CFR 96.32(a)).

☐ **Adoption Disruption or Dissolution** (see 22 CFR 96.50(c)-(f)).

☐ **Child Buying by an Employee or Associate of the Adoption Service Provider** (see 22 CFR 96.36(a)).
☐ **Death of Child** (see 22 CFR 96.50(a)-(f)).

☐ **Serious Injury to Child** (see 22 CFR 96.50(a)-(f)).