



Licensing and Corporate Governance

Table of Evidence

Self-Study Evidence

No Self-Study Evidence

On-Site Evidence

No On-Site Evidence

On-Site Activities

No On-Site Activities



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LCG 96.30: State Licensing

State Licensing

Table of Evidence

Self-Study Evidence

- State Licensing and Regulatory Profile **96.30 (a), 96.30 (d)**
- Executive Verification **96.30 (b), 96.30 (d)**
- Collaborative Relationships Profile **96.30 (c)**

On-Site Evidence

- Copies of licenses or other authorization to provide adoption services **96.30 (a), 96.30 (d)**
- Copies of licensing review reports **96.30 (b)**
- Proof that supervised providers are licensed or authorized by State law to provide adoption services in the provider's State of operation **96.30 (c)**

On-Site Activities

- Interview:
 - a. Governing Body Chair **96.30 (b)**
 - b. CEO **96.30 (b)**
 - c. State Licensing officials, as necessary **96.30 (b)**
 - d. Persons responsible for management of agreements **96.30 (c)**
 - e. Collaborating providers, as necessary **96.30 (c)**
 - f. Adoption Service Provider **96.30 (d)**
 - g. State Licensing officials or other officials, as necessary **96.30 (d)**

(M) LCG 96.30.a

The agency or person is properly licensed or otherwise authorized by State law to provide adoption services in at least one State.

(M) LCG 96.30.b

The agency or person follows applicable State licensing and regulatory requirements in all jurisdictions in which it provides adoption services.



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(M) LCG 96.30.c

If it provides adoption services in a State in which it is not itself licensed or authorized to provide such services, the agency or person does so only:

- (1) through agencies or persons that are licensed or authorized by State law to provide adoption services in that State and that are exempted providers or acting as supervised providers; or
- (2) through public domestic authorities.

(M) LCG 96.30.d

In the case of a person, the individual or for-profit entity is not prohibited by State law from providing adoption services in any State where it is providing adoption services, and does not provide adoption services in foreign countries that prohibit individuals or for-profit entities from providing adoption services.



Licensing and Corporate Governance

LCG 96.31: Corporate Structure

Corporate Structure

Table of Evidence

Self-Study Evidence

No Self-Study Evidence

On-Site Evidence

- Documentation of non-profit status **96.31 (a)**
- Articles of Incorporation **96.31 (a)**
- Articles of Incorporation or other information to confirm the organizational structure (e.g. tax documents, etc) **96.31 (b)**

On-Site Activities

No On-Site Activities

(M) LCG 96.31.a

The agency qualifies for nonprofit tax treatment under section 501(c)(3) of the Internal Revenue Code of 1986, as amended, or qualifies for nonprofit status under the laws of any State.

(M) LCG 96.31.b

The person is an individual or is a for-profit entity organized as a corporation, company, association, firm, partnership, society, or joint stock company, or other legal entity under the laws of any State.



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LCG 96.32: Internal Structure and Oversight

Internal Structure and Oversight

Table of Evidence

Self-Study Evidence

- CEO and Equivalent Official current resume or Individual Practitioner's resume **96.32 (a)**
- CEO and Equivalent Official's current job description **96.32 (a)**
- Governing Body Profile **96.32 (b), 96.32 (e)**
- Minutes from the last two Governing Body meetings **96.32 (b)**
- Bylaws **96.32 (b)**
- Procedures and standards for the selection, monitoring, and oversight of supervised providers **96.32 (d)**
- Collaborative Relationships Profile **96.32 (e)**
- Employee Profile **96.32 (e)**
- Executive Verification **96.32 (e)**

On-Site Evidence

- Updated resume of CEO provided to Evaluator team on site
- Review CEO and Equivalent Official's personnel files **96.32 (a)**
- Governing Body manual **96.32 (b)**
- Minutes from Governing Body minutes **96.32 (b)**
- CEO's Performance Review or other evidence of oversight of the CEO **96.32 (b)**
- Bylaws (for applicants seeking renewal) **96.32 (b)**
- Governing Body records (e.g., governing body minutes or other documents) **96.32 (c)**

On-Site Activities

- Interview:
 - a. Governing Body Chair **96.32 (a)**
 - b. CEO/Equivalent Official **96.32 (a)**
 - c. Employees **96.32 (a)**
 - d. Governing Body members, including member(s) with experience in adoption **96.32 (b)**
 - e. CEO **96.32 (b)**
 - f. Governing Body Chair and other members of the Governing Body **96.32 (c)**
 - g. Persons responsible for management of supervised providers **96.32 (d)**



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(C) LCG 96.32.a

The agency or person has (or, in the case of an individual, is) a chief executive officer or equivalent official who is qualified by education, adoption service experience, and management credentials to ensure effective use of resources and coordinated delivery of the services provided by the agency or person, and has authority and responsibility for management and oversight of the staff and any supervised providers in carrying out the adoption-related functions of the organization.

(C) LCG 96.32.b

The agency or person has a board of directors or a similar governing body that establishes and approves its mission, policies, budget, and programs; provides leadership to secure the resources needed to support its programs; includes one or more individuals with experience in adoption, including but not limited to, adoptees, birth parents, prospective adoptive parent(s), and adoptive parents; and appoints and oversees the performance of its chief executive officer or equivalent official. This standard does not apply where the person is an individual practitioner.

*Additional technical guidance provided by the Department of State. - A.1
Conflicts of interest in oversight of CEO by board. 96.32(b)*

*Additional technical guidance provided by the Department of State. - A.2
Policy Governance Model®, oversight by board of directors. 96.32(b)*

*Additional technical guidance provided by the Department of State. - A.3
Individual practitioner exemption from 32(b) of board of directors/governing
body requirements. 96.32(b)*

*Additional technical guidance provided by the Department of State. - A.4
Who can be a board member? 96.32(b)*

*Additional technical guidance provided by the Department of State. - A.5
Meaning of "similar governing body" for persons. 96.32(b)*

*Additional technical guidance provided by the Department of State. - A.3a
Understanding the term individual practitioner and related issues 96.32(b)*



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(F) LCG 96.32.c

The agency or person keeps permanent records of the meetings and deliberations of its governing body and of its major decisions affecting the delivery of adoption services.

Additional technical guidance provided by the Department of State. - A.6
Applying governing body recordkeeping provisions to individuals. 96.32(c)

(C) LCG 96.32.d

The agency or person has in place procedures and standards, pursuant to Sections 96.45 and 96.46, for the selection, monitoring, and oversight of supervised providers.

Additional technical guidance provided by the Department of State. - A.7
Meaning of "oversee" and "monitor." 96.32(d)

(C) LCG 96.32.e

The agency or person discloses to the accrediting entity the following information:

- (1) any other names by which the agency or person is or has been known, under either its current or any former form of organization, and the addresses and phone numbers used when such names were used;
- (2) the name, address, and phone number of each current director, manager, and employee of the agency or person, and, for any such individual who previously served as a director, manager, or employee of another provider of adoption services, the name, address, and phone number of such other provider; and
- (3) the name, address, and phone number of any entity it uses or intends to use as a supervised provider.

Additional technical guidance provided by the Department of State. - A.8
Scope of disclosure requirements to include non-adoption employees.
96.32(e)