



2013

ANNUAL REPORT

Background

The Center for Guardianship Certification (CGC) was created in 1994 as an allied organization of the National Guardianship Association (NGA) to enhance the quality of guardianship services through national certification. CGC views certification not as the end, but as a means to demonstrate to the public, clients, and the courts that the certified guardian has sufficient skill, knowledge and understanding of the universal guardianship principles to be worthy of the responsibility entrusted to him or her.

Certification entitles the guardian to represent to the courts and the public that he or she is eligible to be appointed, is not disqualified by prior conduct, agrees to abide by universal ethical standards governing a person with fiduciary responsibilities, submits to a disciplinary process, and can demonstrate through a written test an understanding of basic guardianship principles and laws.

Vision Statement

Every professional guardian will obtain and maintain CGC certification.

Mission Statement

The mission of the Center for Guardianship Certification is to provide a comprehensive guardianship certification program.

Purpose

The purpose of the Center for Guardianship Certification is:

- A. To develop and administer a credentialing process for guardians.
- B. To address issues related to renewal, suspension and revocation of credentials for guardians.
- C. To encourage, support and foster best practices in the provision of quality guardianship services.

2013 CGC Board of Trustees

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Viable Alternatives, Inc.
Sarasota, FL

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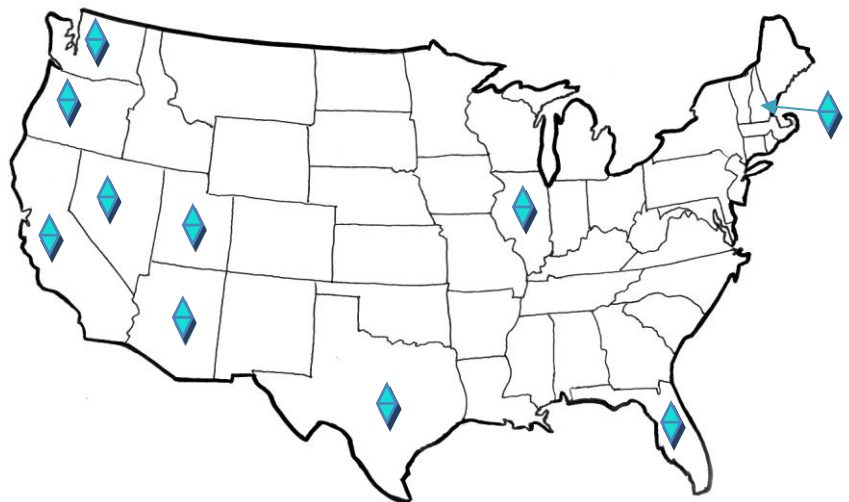
Clifford Walker, NMG
Austin, TX


*NGA Representative –
ex-officio member*
Michelle Hollister, Esq.
Solkoff Legal
Delray Beach, FL

Certified Guardians 3-Year Statistical Overview

	<u>2011</u>	<u>2012</u>	<u>2013</u>
National Certified Guardians			
Applications Received	426	277	370
Retests Administered *	17	68	68
Certification Renewals	566	555	519
NCGs at end of fiscal year	1,833	1,632	1,543
National Master Guardians			
Applications Received	5	2	4
Retests Administered	3	0	2
Certification Renewals	14	21	15
NMGs at end of fiscal year	64	64	66
State-Specific Certification			
California Applicants	128	102	138
Florida Applicants	104	62	49
Oregon Applicants	5	2	0
Texas Applicants	51	33	0

* Inclusive of NCG exams and state-specific exams



 Indicates states with state-specific certification and/or states requiring some type of examination through CGC, including Alaska, Arizona, California, Florida, Illinois, Nevada, New Hampshire, Oregon, Texas, Utah and Washington.

Certified Guardian Complaints

2013

8 complaints were received in 2013.

- 3 complainants did not follow-up with required documentation.
- 1 Professional Review Board was called with no disciplinary action recommended.
- 1 Professional Review Board was called and the discipline resulted in revocation of the certification.
- 2 investigations were initiated with no further action being taken.
- 1 complaint received about a guardian who was not certified through CGC.

2012

8 complaints were filed against certified guardians in 2012

- 1 complainant did not follow-up with required documentation
- 1 Professional Review Board was called with discipline resulting in an advisory letter being placed in CGC files
- 2 complaints were reviewed and deferred to the authority of the appropriate court of law
- 1 complaint was reviewed and determined that a Professional Review Board was not warranted
- 2 Professional Review Boards were called with no disciplinary action recommended. Both decisions were appealed to the Board of Trustees, which upheld the original decisions.
- 1 Professional Review Board was called and the discipline resulted in revocation of the certification.

2011

7 complaints were filed against certified guardians in 2011

- 1 complaint was deferred to the authority of the appropriate court of law
- 3 complaints were reviewed and were determined that a Professional Review Board was not warranted
- 1 Professional Review Board was called with discipline resulting in a letter of concern being placed in CGC files
- 1 Professional Review Board was called with no disciplinary action recommended. This decision was appealed to the Board of Trustees where it upheld the original decision.
- 1 complaint was reviewed where it was determined that a Professional Review Board was not warranted. This decision was appealed to the Executive Committee, which upheld the decision.

2013 Accomplishments

Honors and Awards:



NCG Excellence Award –The 2013 NCG Excellence Award was presented to **Debra Gwin, NCG**. Debra has been an employee in the Office of Clay County Public Administrator since June 1988 and served as Deputy Financial Auditor for 10 years. She also served as Assistant Deputy Public Administrator for six years in that office.

In 2005, Debra established the first Restoration Program in Missouri for Clay County for individuals under the care of the Public Administrator’s Office. She worked with a local public administrator and a past co-worker to establish the Missouri Guardianship Alliance. This organization promotes awareness of and support for an association of individuals serving as guardian or having interest in becoming a guardian in Missouri. The Alliance has provided seminars explaining the process and responsibilities of serving as a guardian/conservator for loved ones. Debra was nominated for the NCG Excellence Award by Marilyn Schmutzler.



NMG Star Award – The 2013 NMG Star Award was presented to **Shay Jacobson, RN, MA, NMG**. She is the founder and President of Lifecare Innovations and its related companies, Lifecare Home Solutions and Lifecare Guardianship. All three companies are designed to serve the needs of older adults and individuals with disabilities. Lifecare Guardianship has served as a guardian for hundreds of clients since its inception in 2000. These clients have had a wide array of disabilities, family situations and living arrangements. However, the core purpose remains constant: treat the clients with respect and afford them as much autonomy as possible.

Shay is routinely called upon to testify and create comprehensive care plans for older adults and individuals with disabilities. She was instrumental in the planning of the 2013 National Guardianship Colloquium and participated in a panel presentation on guardianship restoration. Restoration has always been a pivotal goal in her practice, and she has been involved in many cases where she has assisted with restoring a client’s rights. She was nominated by Lauren Sherman, LCSW, NMG.

Fred Kretz Cornerstone Award – **Donna M.C. Keddy, NMG**, was nominated and chosen to receive the 2013 Fred Kretz Cornerstone Award. Donna, who was nominated by Jayne McCabe, NMG, has been the Director of Tri-County CAP, Inc., Guardianship Services since 2003. From 1988 to 2003, she served the program in a variety of capacities including that of Estate Guardian and Staff Guardian. Under her leadership, the program has expanded to serve 388 individuals as Guardian Over the Person, 40 individuals as Guardian Over Estate or Trustee and an additional 173 individuals as protective payee.

In 2010, she undertook an initiative to assist family guardians to remain actively involved in their loved one's life, even if their own needs necessitated that they be separated from their loved one for a long period of time. The program's goal was to reduce the number of individuals who might require the service of a state-funded guardian if family members could not be supported to remain involved. Donna is a staunch advocate for the certification of guardians. An established goal for her program is the certification of staff as national certified guardians. It is her expectation that all staff working in a decision-making capacity, whether designated as guardians or not, will be certified by CGC.

CGC continued to work on its due diligence obligations and ran background checks on all applicants and currently-certified individuals who were due for recertification in 2013. A Task Force was established to review the perceived duplicative nature of various states conducting background checks and CGC doing the same. It was decided CGC has an obligation to ensure all of its certificants have successfully passed a CGC-based background check. Once certified, an individual does not have to go through CGC's background check again, unless they allow their recertification to expire.



State contracts with both California and Florida were due for renewal in 2013. California decided to continue utilizing the examination services provided by CGC and a new 3-year contract was signed. Despite an in-person meeting with representatives from the State Public Guardian Office, Florida decided to contract with the University of Florida for its examination services and discontinued its association with CGC effective

December 31, 2013. A Bill signed in Oregon resulted in mandatory CGC-certification for all public guardians. In the spirit of cooperation, CGC representatives met with a delegation of professionals from the government guardianship offices located in Singapore. Discussion started concerning CGC examination services for individuals in that country.



The Board undertook a strategic planning session in May 2013. The following goals and strategies were developed and adopted:

Goal 1: Pursue mandatory CGC certification in at least 5 states within the next 12 months and achieve mandatory certification in 3 states within 3 years.

- Strategy 1: Identify a volunteer structure (such as a committee or working group) to develop and implement initiatives to support goal.
- Strategy 2: Identify key ambassadors in each state.
- Strategy 3: Educate new volunteers on the working group about CGC's process to promote mandatory certification in states.
- Strategy 4: Develop educational / PR materials that communicate the value of CGC's certification program to use with states.
- Strategy 5: Develop a recommendation for board consideration regarding duplicative background checks in key states.

Goal 2: In anticipation that the number of complaints will increase, update the policies within the next 12 months to ensure the disciplinary process (complaints, scope, investigation procedures, decisions, available sanctions, appeals) continues to limit CGC's liability, protects the public, and ensures fairness and consistency.

- Strategy 1: Evaluate CGC's disciplinary policy and process against other NCCA accredited certification programs.
- Strategy 2: Determine the need for including investigations in the decertification (revocation) process.
- Strategy 3: Evaluate resources for an increased workload to handle disciplinary actions.
- Strategy 4: Evaluate the public notification policy regarding disciplinary decisions.

Goal 3: Increase the rate of initial applications by 15% each year beginning in 2014 and increase the retention rate to 80% by 2015.

- Strategy 1: Develop marketing/communications plan for the NCG and NMG programs
- Strategy 2: Implement marketing/communications plan

Goal 4: Increase the credibility and defensibility of the certification process.

- Strategy 1: Earn NCCA accreditation for the NCG program by 2014 and maintain accredited status.
- Strategy 2: Develop marketing and communication tactics (as part of the overall marketing and communications plan) to promote accreditation to all relevant stakeholders.
- Strategy 3: Send CGC representative(s) to the ICE conference.
- Strategy 4: Identify and incorporate best practices from other accredited certification programs into the CGC certification programs.
- Strategy 5: Provide a recommendation to the Board regarding the use of NGA's Standards of Practice vs. Code of Ethics within CGC's certification structure.
- Strategy 6: Actively participate in the Third World Congress by submitting a proposal to address participants.

Goal 5: Enhance governance effectiveness by evaluating the board and committee structure and increasing the number of qualified volunteers by the end of 2015.

- Strategy 1: Develop a succession plan for Board members and key committee positions.
- Strategy 2: Re-structure the Board and committees to create expanded volunteer opportunities, transition committees to task-focused and time-limited working groups, and reduce the workload on individual volunteers while increasing the organization's working capacity.
- Strategy 3: Update the current Board evaluation tool and incorporate recommendations from the evaluation into the Board's strategies.
- Strategy 4: Develop and/or update a reporting tool to provide updates to the Board and identify next steps.

Goal 6: Expand revenue streams by identifying and evaluating new opportunities within the next 3 years.

- Strategy 1: Evaluate the existing NMG program (including its structure, requirements, examination process, marketing, etc).
- Strategy 2: Review pricing for initial certification and recertification for both existing programs.
- Strategy 3: Identify potential new programs and determine the interest in and feasibility of those programs.

Financial Statements

January through December 2013 Financial Statement

	<u>Dec 31, 13</u>
ASSETS	
Current Assets	
Checking/Savings	
3000 - Susquehanna Checking	35,737.19
1003 - Money Market Susquehanna	<u>145,828.04</u>
Total Checking/Savings	<u>181,565.23</u>
Total Current Assets	<u>181,565.23</u>
TOTAL ASSETS	<u><u>181,565.23</u></u>
LIABILITIES & EQUITY	
Liabilities	
Current Liabilities	
Other Current Liabilities	
2400 - Deferred Revenue-Recerts	<u>8,500.00</u>
Total Other Current Liabilities	<u>8,500.00</u>
Total Current Liabilities	<u>8,500.00</u>
Total Liabilities	8,500.00
Equity	
3001 - Temp Restr Fund NMG Star	825.01
3002 - Temp Restr Fund NCG Award	946.00
3900 - Fund Balance	187,053.01
Net Income	<u>-15,758.79</u>
Total Equity	<u>173,065.23</u>
TOTAL LIABILITIES & EQUITY	<u><u>181,565.23</u></u>

CENTER FOR GUARDIANSHIP CERTIFICATION 2013 ANNUAL REPORT

January through December Financial Statements – 3-year Comparison

<u>Account</u>	Actual 2011	Actual 2012	Actual 2013
INCOME			
Certification Renewals	\$99,490.00	\$113,295.00	\$100,210.00
Certification Applicants	\$99,115.00	\$67,360.00	\$83,772.50
Certification Retests	\$6,365.00	\$5,950.00	\$13,950.00
Investment Income	\$889.01	\$709.92	\$572.10
Miscellaneous Income			\$49.00
TOTALS	\$205,859.01	\$187,314.92	\$198,553.60
EXPENSES			
Award & Scholarship Expense	\$350.98	\$0.00	\$537.82
Bank Fees	\$126.05	\$0.00	\$82.50
Board Expense	\$7,599.98	\$1,795.78	\$4,617.53
Committee Expense	\$9,305.06	\$7,823.80	\$2,788.71
Copying Costs	\$2,466.87	\$2,822.22	\$3,430.93
Credit Card Fees	\$6,160.05	\$7,372.01	\$6,773.36
Dues & Contributions	\$5,200.00	\$0.00	\$5,805.00
Insurance & Taxes Expense	\$2,058.00	\$2,068.00	\$2,190.00
Management Services	\$94,340.04	\$120,500.04	\$128,556.00
Office Expense	\$738.05	\$726.04	\$690.60
Postage, Shipping & Mailing	\$937.14	\$842.58	\$695.22
Printing	\$1,984.56	\$233.44	\$509.03
Proctor Expense	\$1,346.21	\$45.51	\$0.00
Professional Fees	\$6,939.38	\$5,865.00	\$5,526.25
Travel	\$4,550.41	\$4,395.18	\$7,419.75
Telephone & Fax	\$3,546.36	\$3,099.91	\$2,571.05
Testing Site Expenses	\$23,240.00	\$19,548.00	\$26,239.00
Volunteer Support Expenses	\$12,855.53	\$11,383.40	\$8,225.46
Website & Internet Fees	\$4,270.12	\$5,282.69	\$7,643.18
TOTAL	\$188,014.79	\$193,803.60	\$214,312.39
NET INCOME/(EXPENSE)	\$17,844.22	(\$6,488.68)	(\$15,758.79)