



**BY-LAWS
OF
CENTER FOR GUARDIANSHIP
CERTIFICATION, INC.**



**ARTICLE I
NAME**

The Name of this Corporation is the CENTER FOR GUARDIANSHIP CERTIFICATION, INC.

**ARTICLE II
OFFICES**

The Corporation shall have and continuously maintain an office and a statutory agent whose office is identical with such office, and may have such other offices as the Board of Trustees may from time to time determine.

**ARTICLE III
PURPOSES**

The purpose of the Center for Guardianship Certification is:

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

**ARTICLE IV
STRUCTURE**

- A. The Corporation shall consist of a ten (10) to fourteen (14) member Board of Trustees.
- B. The Board of Trustees shall consist of those individuals as hereinafter defined in Article V, entitled "Board of Trustees".

**ARTICLE V
BOARD OF TRUSTEES**

SECTION 1. MANAGEMENT.

The management, direction and control of the properties, operations and activities of the Corporation shall be vested in the Board of Trustees and may be delegated to professional staff.

SECTION 2. COMPOSITION AND TERM.

- A. The Number of voting Trustees shall be nine (9) to thirteen (13).
- B. The President of the Board of Directors of the National Guardianship Association, or their designee, will serve as an Ex-Officio, non-voting member of the Board of Trustees.
- C. The term of office of a Trustee shall be three (3) years, except for the offices of President-Elect, President, and Immediate Past President. Except for the Immediate Past President, no Trustee may serve for a term or terms of more than six (6) consecutive years, except that a person appointed to fill a Trusteeship vacancy of less than eighteen (18) months shall be eligible to serve six (6) consecutive years thereafter. If the currently-sitting President is unable to ascend to the Immediate Past President position the following year, the Nominating Committee may choose to nominate the current Immediate Past President to serve an additional one year term following the expiration of their position. Furthermore, regardless of time or election, a person shall be eligible for additional term(s) after being off the Board for a period of one (1) year.
- D. Each Trustee shall hold office for the term for which elected and until a successor shall have been elected and qualified.



**BY-LAWS
OF
CENTER FOR GUARDIANSHIP
CERTIFICATION, INC.**



SECTION 3. QUALIFICATIONS AND NOMINATIONS.

- A. All Trustees must be committed to the purposes of the Corporation.
- B. The Nominating Committee shall ensure there are nine (9) to thirteen (13) voting members of the Board of Trustees in accordance with the procedures established by that Committee and approved by the Board of Trustees.
- C. At least one Trustee shall be a Public Representative, defined as follows: An individual who is not certified by the Corporation.
- D. All Trustees shall hold the interests of the CGC as their primary concern, regardless of their other affiliations and interests.

SECTION 4. VACANCIES

- A. Any Trustee who is absent from two (2) meetings during any 12 month period shall be presumed to have resigned from the Board of Trustees and a vacancy shall be declared in relation to the seat occupied by said Trustee. Upon a request by the Trustee the Board may choose to waive the presumption.
- B. Any vacancy occurring in the Board of Trustees caused by the death, resignation, or appointment of any of the Trustees, except an elected President and Immediate Past President, shall be directed to the Nominating Committee to be filled. The Nominating Committee, with the approval of the Trustees, will fill the position vacated, taking into consideration the representation being fulfilled by that position.
- C. When a vacancy occurs in the office of the President during the term of office, the President-Elect shall ascend to the office of President and serve the remainder of that term.
- D. When a vacancy occurs in the office of the President-Elect, Secretary, or Treasurer during the term of office, the Nominating Committee, with the approval of the Board, shall appoint a successor within 30 days who shall serve the remainder of that term.
- E. When a vacancy occurs in the office of the Immediate Past President during the term of office, the position shall remain unfilled during the remainder of the term.

SECTION 5. POWERS.

- A. The Board of Trustees shall determine the general policies for the operation and control of the Corporation and its various activities.
- B. The Board of Trustees shall have direction of all funds of whatever character held for the benefit of the Corporation; shall have full and complete power, in the name of the Corporation, to convey, sell, assign, transfer, lease, mortgage, pledge, exchange, or otherwise dispose of any real or personal property of the Corporation, and to borrow money for its corporate purposes at such rates of interest as said Board may determine; and shall have the power and right to authorize the Officers of Corporation to execute, acknowledge, and deliver conveyances, deeds, leases, notes, trust deeds, mortgages, contracts and other instruments for the purpose of effectuating said purpose, of any of them. No contracts of the Corporation shall be valid unless authorized or approved by the Board of Trustees.



**BY-LAWS
OF
CENTER FOR GUARDIANSHIP
CERTIFICATION, INC.**



SECTION 6. DUTIES.

- A. The Board of Trustees shall consider and adopt an annual budget and control the revenue and expenditures not covered by the annual budget.
- B. The Board of Trustees shall conduct fund-raising activities, including but not limited to grant writing and development of a credentialing program.
- C. The Board of Trustees shall endeavor to acquire funds for the conduct of the activities of the corporation.
- D. The Board of Trustees shall at all times endeavor to work in a cooperative manner with any organization that furthers the purposes of the Corporation.

SECTION 7. MEETINGS AND QUORUM

- A. Regular meetings of the Board of Trustees shall occur no less than three times per year. Special meetings may be called by the President of the Board, or by any three (3) members of the Board. The Secretary or designee shall give not less than ten (10) days notice of any regular meeting or special meeting, and, if mailed, such notice shall be deemed to be delivered when deposited in the US mail, postage pre-paid and addressed to the last known address of the member of the Board.
- B. The Trustees may participate in and act at any meeting through the use of a conference telephone or other communication equipment, including e-mail, by means of which all persons participating in the meeting are able to communicate with each other. Participation in such meeting shall constitute attendance and presence in person.
- C. Sixty percent (60%) of the members of the Board of Trustees shall constitute a quorum.
- D. The annual meeting of the Board of Trustees shall be held at the last meeting of each fiscal year or as soon thereafter as the Board may direct by resolution.

**ARTICLE VI
OFFICERS**

SECTION 1. OFFICERS.

- A. The Officers of the Corporation shall be President, President-Elect, Secretary, Treasurer, and Immediate Past President. The Board of Trustees, by resolution, may create such additional offices from time to time as it may consider advisable. No two (2) offices may be held by the same person. No Officer may serve simultaneously as a National Guardianship Association Officer.
- B. The Officers of the Corporation shall be put forth by the Nominating Committee and elected annually by the Board of Trustees at the annual meeting, except the offices of President and Immediate Past President.
- C. The President-Elect shall automatically ascend to the office of President, unless appointed to that position. The President shall automatically ascend to the office of Immediate Past President.
- D. The term of office for the President-Elect, President, and Immediate Past President is one year.
- E. The Secretary and Treasurer positions will be chosen from among the current Board of Trustees by the Nominating Committee and brought forth to the Board of Trustees for consideration at the annual meeting each year.
- F. Any Officer elected by the Board of Trustees may be removed from that office by the Board of Trustees whenever, in its judgment, the best interests of the Corporation would be served thereby. Such procedure shall comply with Robert's Rules of Order.



**BY-LAWS
OF
CENTER FOR GUARDIANSHIP
CERTIFICATION, INC.**



SECTION 2. DUTIES OF OFFICERS.

- A. The President shall preside at the meetings of the Board of Trustees, and shall also perform such other duties as the Board of Trustees may from time to time assign. The President may sign on behalf of the Corporation all instruments which the Board of Trustees has authorized to be executed.
- B. The President-Elect, in the absence of the President or in the event of his inability or refusal to act, shall perform the duties of the President, and when so acting, shall have all the powers of and be subject to all the restrictions upon the President. The President-Elect shall perform such other duties as from time to time may be assigned by the President or by the Board of Trustees.
- C. The Secretary shall be responsible for ensuring that a true and accurate record is kept of all proceedings at meetings of the Board of Trustees. In addition, the Secretary shall see that all notices are duly given in accordance with the provisions of these Bylaws, or as required by law. The Secretary, or designee, shall act as custodian of the Corporate Records. When authorized by the Board of Trustees or the President, the Secretary shall sign any instrument on behalf of the Corporation. In the absence of the President or the President-Elect or in the event of their inability or refusal to act, the Secretary shall preside at meetings of the Board of Trustees.
- D. The Treasurer shall report on all financial matters and transactions of the Corporation as kept for the Center by bonded staff. The Treasurer shall require that all moneys of the Corporation be deposited in the name of the Corporation. The Treasurer shall require that the Corporation's books of account be audited and/or reviewed at the discretion of the Board of Trustees by an independent Certified Public Accountant selected by the Board of Trustees.
- E. The Immediate Past President shall provide counsel and historical perspective to the Board of Trustees and the Executive Committee, as needed.

**ARTICLE VII
EXECUTIVE DIRECTOR**

The Board of Trustees may appoint an individual to act as the Executive Director of the Center. Said Executive Director shall not be a member of the Board of Trustees. The Executive Director shall be subject to the direction of the Board and President of the Center and shall be responsible for the day-to-day management, direction and control of the Center. The Executive Director shall have the authority and power to deal with any and all matters of the Corporation including its interrelationship with all other entities.

**ARTICLE VIII
COMMITTEES**

SECTION 1. EXECUTIVE COMMITTEE.

- A. The Executive Committee shall consist of the President, President-Elect, Secretary, Treasurer, and Immediate Past President.
- B. The Executive Director is a non-voting member of the Executive Committee, and attends the meetings.
- C. The Executive Committee shall have and exercise the authority of the Board of Trustees in the management of the Corporation between meetings of the Board of Trustees and until such time as the Board of Trustees can ratify those decisions; provided, however, that the Executive Committee shall not have the authority of the Board of Trustees in reference to amending, altering or repealing the Bylaws; electing, appointing or removing any member of the Executive Committee or any director or officer of the Corporation; amending the Articles of Incorporation;



**BY-LAWS
OF
CENTER FOR GUARDIANSHIP
CERTIFICATION, INC.**



adopting a plan of merger or adopting a plan of consolidation with another corporation; authorizing the sale, lease, exchange or mortgage of all or substantially all of the property and assets of the Corporation; authorizing the voluntary dissolution of the Corporation or revoking proceedings there for; or adopting a plan for the distribution of the assets for the Corporation.

SECTION 2. SPECIAL COMMITTEES.

The President, with the approval of the Board of Trustees, shall have the power to establish and appoint special or ad hoc committees, including the Chair thereof, as may be deemed necessary or expedient for properly conducting the affairs of the corporation, and may vest such committees with such powers as the Board may deem advisable. Special committees shall serve until the purpose for which they were created has been accomplished. The President shall be an ex officio member of each special committee. Each such special or ad hoc committee shall be Chaired by a member of the Board of Trustees or a past member of the Board of Trustees. Examples of special committees could be National Certified Guardian Committee, National Master Guardian Committee, etc.

SECTION 3. STANDING COMMITTEES AND MEMBERSHIP.

The standing committees of the organization are as follows: Executive Committee, Nominating Committee, Finance Committee, and Bylaws and Procedures Committee. With the approval of the Board of Trustees, individuals, not otherwise involved in the Corporation, may be appointed as members of any standing, special or ad hoc committee by the Chair of the Committee.

SECTION 4. COMMITTEE MEETINGS AND PROCEDURES.

Each Committee shall establish its own rules of organization and procedure and otherwise conduct its affairs so long as no action by a Committee conflicts or otherwise violates the Articles of Incorporation, By-Laws of the Center or the laws of the State in which CGC is incorporated. Committees will follow Robert's Rules of Order.

SECTION 5. CONTROL BY BOARD OF TRUSTEES.

All Committees, standing or otherwise, shall be subject to the control and direction of the Board of Trustees and shall make such reports from time to time as the Board of Trustees or President may request.

**ARTICLE IX
FISCAL YEAR**

The Fiscal year of the Corporation shall begin the first day of January and shall end on the thirty-first day of December.

**ARTICLE X
AMENDMENTS**

These By-Laws may be altered, amended, or repealed at any time by vote of not less than two-thirds of the Board of Trustees present provided there is a quorum at any regular or special meeting thereof; provided, however, that no alteration, amendment or repeal of any of these By-Laws shall be valid unless written notice of the subject of the proposed amendment shall be mailed to each member of the Board not less than twenty-one (21) days prior to the date of the meeting.



**BY-LAWS
OF
CENTER FOR GUARDIANSHIP
CERTIFICATION, INC.**



**ARTICLE XI
DISSOLUTION**

In the event of dissolution of the Corporation, the funds and assets of the Corporation, after payment of all obligations, shall be distributed to an organization which is qualified under Sections 501 (c) (3) and 509 (a) (1) or (2) which has purposes and objectives similar to the Center for Guardianship Certification as the Board of Trustees shall determine.

**ARTICLE XII
INDEMNIFICATION OF OFFICERS, TRUSTEES AND EMPLOYEES**

The Corporation shall indemnify its Directors and Officers and hold them harmless to the maximum extent permitted by law and to the maximum extent of available insurance coverage held by the Center. Adequate insurance will be purchased by the Corporation to cover the Directors and Officers.

**ARTICLE XIII
EFFECTIVE DATE**

These By-Laws shall become effective as of the 1st day of August, 1999.

Adopted: August 1, 1999
Amended: November 2003
Amended: December 2006
Amended: August 2007
Amended: January 2009
Amended: August 2011
Amended: February 2013
Amended: May 2013
Amended: August 2015

Center for Guardianship Certification

Policies and Procedures Manual

CGC POLICIES AND PROCEDURES - TABLE OF CONTENTS

Board Policies

Board Member Reimbursement Policy	4
Trustee Disclosure Statement	5
Trustee Ethics Statement	6
Policy on Due Diligence	7-8
Complaint Handling Policy.....	9
Inquiry Handling Policy.....	10
Grievance against Board Trustee	11
Inactive/Emeritus Status Policies	12
Website Policy and Procedures	13-14
Public Policy on Certification	15

Leadership and Management

Nominating Procedures.....	17
Trustee Application	18-19
Insurance Coverage	20
Document and File Retention Policy	21
Statement on Problem Resolution	22
Corporate Opportunities Doctrine/Conflict of Interest Policy	23

Financial Management

Financial Procedures	25-26
Budgeted Expenses – Definitions	27
Chart of Accounts	28

Committee Policies

Committee Member Ethics Statement.....	30
Committee Member Disclosure Statement.....	31
Committee Member Reimbursement Policy.....	32

Certification & Decertification Policies

NCG Rules & Regulations.....	34 – 42
NMG Rules & Regulations	43 – 51
Writing Exams.....	52
Negotiating State Contracts	53
Non-Discrimination and Accommodation Policies and Procedures	54
ADA Request Form	55
Document and File Retention Policy	56
Grandfather Policy.....	57

NCG Certification

Committee Job Description	59
NCG/NMG Exam Fact Sheet	60-61
Confidentiality Policy.....	62

NMG Certification

Committee Job Description	64
Orientation Packet.....	65
Determining Pass/Fail on Essay Portion	66
Feedback on Failed Exams to NMG Candidates	67 – 68

Recertification and CEUs

CEU Requirements and Policy	70 – 71
Multiple Recertifications	72
Certification Renewal Guidelines	73

Awards

NMG Star Award.....	75
Fred Kretz Cornerstone Award	76
NCG Excellence Award	77 – 78

BOARD POLICIES

Board Member Reimbursement Policy

1. Each CGC Board member is allotted a specific amount of money to draw upon each year, dependent upon approval of the line item in the budget by the Board of Trustees. Once that amount is reimbursed, no additional monies are available to the Board member. Board members cannot give their unallocated monies to another Board member, nor will the unallocated monies be held over for the following fiscal year.
2. Board members must remit reimbursement requests on the CGC reimbursement form provided within the same fiscal year as the expenses were incurred, and receipts must be attached to the form for reimbursement to be approved.
3. Acceptable reimbursements for stand-alone Board meetings include the following items:
 - a. Overnight accommodations for the previous evening and the evening of the meeting at the hotel chosen by CGC. If a Board member chooses to stay at another hotel that is more expensive, CGC will only reimburse that portion that is equivalent to the hotel block reserved by CGC. If a Board member chooses to stay at another hotel that is less expensive, CGC will only reimburse the expense paid by the Board member. All other expenses such as telephone calls, movies or room service will not be reimbursed.
 - b. Breakfast and lunch for the day of the meeting (provided CGC or hotel does not provide these meals).
 - c. Dinner the evening prior to the Board meeting and the evening of the Board meeting. (Travel expenses to and from restaurants, and bar items, are not reimbursable.)
 - d. Reimbursement for transportation to and from the Board meeting may include any of the following.
 - i. Mileage reimbursed at the IRS rate.
 - ii. Airfare.
 - iii. Bus or train fare.
 - iv. Travel to and from the Airport to the meeting
 - e. Reimbursement for auto rentals will be the responsibility of the board member. If a shuttle is not provided from the airport to the hotel reimbursement for a taxi or other accommodations may be approved.
 - f. CGC Board members who serve on other boards that meet in conjunction with the CGC Board will have any travel expenses paid by any other source deducted before the CGC reimbursement is made.



CGC TRUSTEES DISCLOSURE STATEMENT

It is the policy of the Trustees of the Center for Guardianship Certification (CGC) to assure that members of the board are free from any negative influences caused by a conflict of interest.

I recognize the duty to avoid self-dealing or conflicts of interest where, by reason of my position, I allow transactions to occur, which might not benefit the Center, and which give the appearance of or have the potential for conferring a benefit, monetary or otherwise, upon myself or my relatives, friends, or business associates.

I have agreed to fully disclose any area of ongoing, potential or appearance of a conflict of interest. The following is a list of all areas of potential conflict of interest of which I am currently aware:

If I become aware of any additional area of conflict of interest I will immediately disclose that a conflict exists and remove myself from all discussions and decisions on matters in which there is a conflict.

Signed: _____ Date: _____

Printed Name: _____

Center for Guardianship Certification
PO Box 5704
Harrisburg, PA 17110
www.guardianshipcert.org
(717) 238-4689 – phone ♦ (717) 238-9985 - fax



TRUSTEES ETHICS STATEMENT

It is the policy of the Board of Trustees of the Center for Guardianship Certification to ensure that the activities of the Center are of the highest degree possible and to ensure that members of the board are free from any negative influences caused by a conflict of interest.

I understand and respect the responsibilities inherent in membership on the Center Board of Trustees or a committee of the board. I recognize the necessity for making a commitment to be a trained and well informed member and to committing the time necessary to meet these responsibilities.

I recognize the value of open and full discussion of issues within meetings of the Center trustees and its committees as an essential part of the decision making process.

I recognize the responsibility that members of the Center trustees have for publicly supporting the decisions of the Center trustees and for refraining from making any negative statements in a public manner regarding the Center.

I recognize the duty to avoid self-dealing or conflicts of interest where, by reason of my position, I allow transactions to occur, which might not benefit the Center, and which give the appearance of or have the potential for conferring a benefit, monetary or otherwise, upon myself or my relatives, friends, or business associates.

I agree to fully disclose, in writing, to the Center trustees any area of ongoing, potential, or appearance of a conflict of interest.

I further agree that when I become aware of an area of conflict of interest during the course of a meeting, I will immediately disclose that a conflict exists and remove myself from all discussions and decisions on matters in which I have a conflict.

I am aware that violation of this policy may result in a request for my resignation from my position on the board of trustees or a committee of the board.

I respectfully agree to sign below, and promise to abide by the above regulations.

Signed: _____ Date: _____

Printed Name: _____

*Center for Guardianship Certification
PO Box 5704
Harrisburg, PA 17110
(717) 238-4689 – Phone • (717) 238-9985 – fax
www.guardianshipcert.org*

POLICY ON DUE DILIGENCE

Those in positions of responsibility and authority in the governance structure of the Center, have a fiduciary duty -- including duties of care and loyalty - to the organization. This means that they are required to act reasonably and in the best interests of the Center, to avoid negligence and fraud, and to avoid conflicts of interest. All volunteers who play a role in governance of the Center or any of its segments, and all employees of the Center, owe duties of care and loyalty to the Center and are potentially liable to the Center should they fail to act consistently with those duties.

A. The duty to act in the best interest of the Center

This duty is very broad, requiring volunteers and employees to exercise ordinary and reasonable care in the performance of their duties, exhibiting honesty and good faith. A Center volunteer or employee has the duty to exercise due care when acting on behalf of the Center, and to attempt to further the Center's interest rather than the individual's own interests or the interests of another party. The duty also imposes the obligation to protect any confidential information obtained while serving in a fiduciary role with the Center.

B. The duty to respect confidentiality

Center volunteers and employees are occasionally required to have access to confidential information or data. The need for confidentiality may arise because confidentiality is in the best interest of the Center or because disclosure of information or data could injure individuals or organizations. In some cases, confidentiality is required by law. In others, disclosure could risk liability for defamation.

Examples of confidential information may include:

- ◆ information generated by confidential self-regulatory processes such as standards setting, certification and accreditation, or business or professional code enforcement;
- ◆ opinions and other privileged information received from inside or outside counsel or other consultants;
- ◆ tax information and detailed financial statistics and information;
- ◆ employment and compensation information and data that will be unduly invasive of personal privacy;
- ◆ trade secrets or confidential commercial information generated through the business endeavors of the Center or shared with the Center by outside business concerns on the condition of maintenance of confidentiality.

C. The Corporate Opportunities Doctrine

The duty of loyalty specifically prohibits competition by a Center volunteer or employee with the Center itself. Those individuals may generally engage in the same line of business or areas of endeavor as the Center, provided it is done in good faith and without injury to the Center. One form of competition that is not permitted is appropriating corporate opportunities. A corporate opportunity is a business prospect, idea or investment that is related to the activities or programs of the Center and that the individual knows, or should know, may be in the interests of the Center to accept or pursue. A Center's volunteer or employed representatives may take advantage of such corporate opportunity independently of the Center only after it has been offered to, and rejected by, the Center.

Approved April 26, 1998

COMPLAINT HANDLING POLICY

Complaints about a guardian may come to the Center for Guardianship Certification's Board of Trustees, volunteers, certified guardians, or staff from a variety of sources: the ward, a family member, friend, care provider, or other individual concerned about the performance of a guardian or the well-being of an incapacitated person. The guardian complained about may or may not be a National Certified Guardian or National Master Guardian. The communication may be a request for information or a demand that an NCG or NMG be decertified.

Because anything that a Trustee or staff does or says can reflect back on the entire organization, we must be very careful in handling such communications. We simultaneously must recognize that any complaint may range between a well founded concern about the well-being of a ward to a petty grievance, and from a threat to the reputation of our profession and the certification process to the slander of a competent professional.

Any person (Trustee, volunteer or staff) who initially receives a complaint should keep in mind the following:

1. No individual should ever act independently or portray they are acting on behalf of the Board of Trustees, unless directed to do so by the Board or if the Executive Committee is authorized to make that decision on behalf of the Board.
2. The Center is not a grievance handling, mediating or investigating body.
3. The Center has specific policies and procedures on addressing requests to decertify a certified guardian.

To promote consistent responses to complaints, all communications of complaints should be referred to the Executive Director of CGC, or a designated staff member. The staff will make an attempt to secure factual information any time a complaint is received. Staff will alert the CGC President in all matters that cannot be resolved by information and referral or to the CGC President-Elect if the President determines that he/she should not be involved in this decision based upon personal knowledge or a relationship with the guardian in question.

10/29/00

INQUIRY HANDLING POLICY FOR TRUSTEES

As leaders of the Center for Guardianship Certification, members of the Board of Trustees may, from time to time, receive feedback – both positive and negative – from others about decisions made by the Board, policies and procedures, and other items related to CGC.

Because anything that a Trustee does or says can reflect back on the entire organization, we must be very careful in handling such communications. We simultaneously must recognize that any complaint may range between well-founded concerns to an unfounded grievance.

Any Trustee who is approached with a complaint or issue related to CGC should keep in mind the following:

1. No individual should ever act independently or portray they are acting on behalf of the Board of Trustees, unless directed to do so by the Board or if the Executive Committee is authorized to make that decision on behalf of the Board. No promises should be made to an individual that a particular issue will be handled, directed to a committee, or brought before the Board without first speaking with the Executive Committee and Executive Director about the issue.
2. The Center has specific policies and procedures in place to address everything the organization does and those policies and procedures are in place to protect the integrity of the organization and the certification process.
3. Decisions made by CGC are thoroughly discussed, debated, and decided upon by committees, work groups, task forces, and the Board prior to being implemented. There are many factors to consider when CGC makes decisions; most importantly that the organization must keep the best interests and integrity of the organization and the certification process in mind when decisions are made. Some decisions will not be popular or favored by an individual or a group of individuals who feel that decision affects them negatively, but they must be made aware that the decisions made are based upon the facts and information available at the time the decision was made.
4. All Trustees should respect the decisions made by the full Board, whether they agree with that final decision or not, and should publicly support all decisions and policies of the organization.
5. It is recognized that decisions can be changed over the course of time and nothing is unable to be discussed and debated further.

To promote consistent responses to issues brought to Trustees, all communication of complaints and/or issues should be referred to the Executive Director of CGC. The Executive Director will make an attempt to secure factual information any time a complaint is received and will alert the CGC Executive Committee in all matters that cannot be resolved by information and referral.

Presented to Executive Committee - November 2013

Approved by Board of Trustees – January 2014

Grievance against Board Trustee

In the event a complaint is filed with CGC against a Board trustee, the disciplinary procedures outlined in the Rules & Regulations will be followed, with the following exceptions:

- The Professional Review Board (PRB) will be made up of three currently certified guardians who are non-Board Trustees and who do not have professional or personal ties to the Trustee against whom the complaint is filed;
- One of the three guardians on the PRB will be a past Board Trustee and the CGC President will designate that individual to act as Chair;
- During the investigation process, the Board President may recommend that the Trustee under investigation be placed on a leave of absence from the board. The Board Chair shall have the sole discretion to decide whether the board member should take a leave of absence and when the board member may return to the board. The President may solicit legal counsel in making this determination;
- If an appeal against the decision of the PRB is filed by the Trustee, the remaining Trustees shall vote on that appeal by secret ballot. The Executive Director will count the ballots and announce the results. The ballots will not be shared with any individual on the Board, but will be retained in the Trustee's file at CGC headquarters;
- In the event the certification of the Trustee is suspended, the Trustee's term on the Board will be suspended during that same period. If the certification of the Trustee is revoked, the Trustee will be asked to vacate his/her position on the Board and the vacancy will be filled in accordance with the nominating procedures of the organization.

Center for Guardianship Certification Policy on Inactive and Emeritus status

Inactive status for National Certified Guardians and National Master Guardians

Any National Certified Guardian (NCG) or National Master Guardian (NMG) who is not currently working as a guardian, but wants to preserve their NCG or NMG status, may apply for **Inactive** status. This designation is appropriate for those who anticipate they will return to the guardian profession.

The fee is one-half of the two-year renewal rate for a two year period for NCGs and one-half of the three-year renewal rate for a three year period for NMGs. To return to active status, the NCG or NMG must submit an application and provide evidence of appropriate Continuing Education Units (CEUs) -- 20 hours per two-year period for NCGs and 30 hours per three-year period for NMGs -- for the period of inactivity.

The maximum period of inactivity is four years for NCGs and three years for NMGs. The NCG or NMG is responsible for requesting and maintaining the Inactive status. The NCG or NMG **will not** receive notice the Inactive status is about to expire. Failure to reactivate status before the maximum extension will require a new appropriate application and exam. The certified guardian who is approved for Inactive status may not utilize the CGC certification marks on any material.

Emeritus status for NCGs and NMGs

Retired guardians who wish to retain NCG or NMG status while no longer actively practicing as a guardian may apply for **Emeritus** status. This designation is appropriate for those who do not expect to ever again serve as a professional guardian.

In order to be designated as an Emeritus NCG or NMG, the following requirements must be met:

1. A minimum of six years as an active NCG or NMG;
2. Payment of a \$300 fee for lifetime designation; and
3. Completion of an application which includes:
 - a. Name, address, telephone and e-mail;
 - b. Agreement to notify the CGC of any change in contact information.

An Emeritus NCG or NMG who returns to professional guardianship practice **may not** continue to use the Emeritus designation. In such a situation, the certified guardian is encouraged to make application to return to active status by completing the renewal application with affirmations, CEU documentation, and the current applicable renewal fee. If the date of the Emeritus designation is more than two years prior to the date of the application to return to active status, the Emeritus NCG or NMG must re-take the appropriate examinations.

Inactive NCGs or NMGs who want to become Emeritus NCGs or NMGs must go through the same application process. Years as an inactive NCG or NMG do not count toward the required six-years of active guardianship practice.

Inactive and Emeritus NCGs and NMGs are still subject to the Rules and Regulations of the CGC.

Center for Guardianship Certification Website Policy and Procedure

Background

The Center for Guardianship Certification (CGC) website serves as a communications tool to reach various CGC audiences. The purpose of this document is to establish procedures and guidelines for operating and maintaining a high quality web presence, including a coordinated presentation of accurate and important information directed to a wide variety of constituents.

Identification and Ownership of Website

The Universal Resource Locator (url) for the website of the CGC is www.guardianshipcert.org. The website is owned by CGC and ownership is not transferrable or saleable by any one individual or entity without the express written permission of the Board of Trustees.

Ongoing Maintenance and Content Management

The CGC website is overseen by the National Respect, Recognition and Utilization (NRRU) Committee Chair and CGC staff. Content on the website can only be changed by those individuals or by direction of the Board of Trustees. The NRRU Committee Chair and staff will regularly visit the website to make updates to the information being provided. Board members and committee chairs may make recommendations on site maintenance; however, all updates will be conducted by the NRRU Committee Chair and staff.

All requests for changes to content on the website must be submitted to the Communications Director via e-mail to communications@guardianshipcert.org in a timely manner. Priority will be given to content that meets one or more of CGC's Board-approved strategic goals, including any content required to be posted or made public to comply with the most current Standards for the Accreditation of Certification Programs of the National Commission for Certifying Agencies. Content placement on the website is at the sole discretion of the NRRU Committee Chair and staff unless otherwise directed by the Board of Trustees.

If the information being requested requires a redesign, expenditure of funds that are unbudgeted or a significant change to the design and/or function of the front or back-end of the website, including the database, the request will be shared with the NRRU Committee Chair. All requests for significant modifications or additions to the website must be made by August 1 to ensure inclusion in the following year's request for budget funds. This does not guarantee that the items requested will receive board approval. The NRRU Committee Chair will include the request on the next agenda of the NRRU Committee for that group of volunteers to make a determination about adding new content to the website. Any recommendations of the NRRU Committee that would result in significant policy change, major content modification, or have an unbudgeted financial impact must be forwarded to the Board of Trustees for approval.

Monitoring and Sharing of Website Statistics

CGC staff will monitor website statistics utilizing Google Analytics and will share that information with the NRRU Committee Chair on a monthly basis. The NRRU Committee Chair will make reports to the Board of Trustees based on the data collected.

Linking Policy

It is recognized that linking is an inherent part of all websites and that appropriate links to and from the CGC website are encouraged to promote website optimization. All external links from the website shall be subject to the approval of the NRRU Committee or by direction of the Board of Trustees. Links from the CGC website should include the following types of entities:

- (a) Links to websites of federal political agencies, offices, departments, or commissions of the executive, legislative, or judicial branches of government;
- (b) Links to websites of related international and national trade associations;
- (d) Links to websites of guardianship journals, magazines, and other related publications;
- (e) Links to CGC sponsor websites;
- (f) Links to other websites that contain information that further the goals of CGC;
- (g) Links to other websites that are consistent with the goals of CGC.

Additionally, any organization that CGC includes as a Resource on its website should be encouraged to have a reciprocal link on their website.

If the CGC website maintains links to another entity's website, the CGC website should include the following disclaimer: "The inclusion of a link to another organization's website should not be interpreted as CGC's endorsement of the organization nor is CGC responsible for the accuracy of any information on that organization's website."

Hosting

CGC reserves the right to host the site at the location of its choice. The provider host must have the server space to accommodate the site and provide a daily back-up, as well as firewalls to ensure security. If any financial transactions are handled through the host server, they must be conducted on a secure server.

Approved by Board of Trustees - 5/20/11



Public Policy Statement on Certification



Statement of the Issue

The state has the duty to protect individuals who are unable to make decisions on their own. Under certain circumstances, states utilize court-appointed guardians to fulfill this duty. Guardianship can remove fundamental rights from the individual and bestow significant authority upon a guardian. Even after a guardian is appointed, the state has a continuing duty to ensure the individual's well-being. The potential for harm through the use of unqualified guardians should not be underestimated. The quality of guardianship services is enhanced by the certification of guardians and fiduciaries.

Certification is a means for an individual to demonstrate to the public, clients and the courts that he or she has sufficient knowledge and understanding of the universal guardianship principles to be worthy of the responsibility entrusted to him or her. A credible certification process determines the core competencies a guardian must know, establishes standards for conduct, and imposes consequences for failing to meet those standards.

The Center for Guardianship Certification's mission is to enhance the quality of guardianship services by providing examination and certification of guardians and fiduciaries. A person with the CGC credential has acquired a basic floor of necessary knowledge, demonstrated proficiency in core competencies, continues to enhance his or her skills and understanding, agrees to abide by a code of ethical conduct, and is subject to disciplinary proceedings including de-certification.

CGC stands ready to partner with appropriate state entities to establish voluntary or mandatory certification programs for professional guardians or to incorporate CGC certification into required state policy. Improving protection of the public through certification of guardians should supplement but not supplant other state and court monitoring and oversight processes.

Policy Position

The Center for Guardianship Certification believes:

- Every state must ensure guardians are qualified and exercise the highest degree of trust, loyalty and fidelity.
- The protection of persons with disabilities is enhanced by requiring certification of guardians through a credible credentialing process which includes criteria for initial eligibility and recertification, an examination, continuing education, a code of conduct, and disciplinary proceedings for malfeasance.
- All states should require professional guardians to obtain and maintain CGC certification.
- All guardians should voluntarily obtain and maintain CGC certification.

Center for Guardianship Certification
PO Box 5704, Harrisburg, PA 17110
(717) 238-4689 www.guardianshipcert.org

LEADERSHIP AND MANAGEMENT

CENTER FOR GUARDIANSHIP CERTIFICATION (CGC) POLICY ON BOARD OF TRUSTEE NOMINATING PROCEDURES

Summary: The CGC Board of Trustees actively seeks a diverse, capable, committed group of individuals to manage the affairs of the corporation as defined in the CGC Bylaws.

Purpose: The purpose of the Nominating Committee is to elicit from the National Certified and Master Guardians of CGC, and the current Board of Trustees, suggestions of qualified individuals to serve on the Board, to develop a proposed slate of Board Members, and to present this slate to the Board of Trustees for vote.

Description: The Nominating Committee ensures that ability and continuity are pre-eminent features of those who are asked to serve on the Board of Trustees.

Membership: The Chair of the Nominating Committee is the Immediate Past President of the CGC Board of Trustees. The committee members consist of the President Elect of CGC, and not more than two other board members chosen by the current President of CGC.

Timeline:

- No later than August 1st, the Nominating Committee shall determine the interests of the Trustees in serving as Officers, and develop a slate of officers for the following year to present to the Board of Trustees.
- No later than August 15th, the Nominating Committee shall determine the number of available seats on the Board of Trustees as of January 1st of the following year, and issue a Call for Nominations for Trustees to certified individuals, NGA members, and other stakeholders, as determined.
- All nominations must be submitted to CGC no later than October 1st. The Nominating Committee may choose to extend this deadline for good cause.
- The Nominating Committee shall speak with each nominee by November 1st about the necessary time, financial, and work commitments expected from each trustee.
- All candidates shall be notified personally by the Nominating Committee Chairperson, or a designee of the Chairperson, of their selection for the Board of Trustees prior to the results being made public.

Procedure: A general notice is sent to the all active National Certified and Master Guardians calling for nominations. The committee also solicits input from the current members of the Board of Trustees, the Executive Director and Staff, Committee Chairs, other active CGC National Certified or Master Guardians, and other allied professionals. Prospective nominees are asked to complete the Board Nomination Form and are interviewed by members of the Nominating Committee as to their willingness to serve, their availability, and their qualifications. The committee will further discuss the nomination applications received with other interested parties in making their decision. The committee seeks to balance the slate geographically, racially, by gender, and by profession while seeking the most qualified candidates. It is recognized that at least one individual serving on the Board of Trustees be a public member, as defined in the CGC Bylaws.

Once the slate is compiled by the Nominating Committee and reviewed by the Executive Committee it is presented to the CGC Board of Trustees for ratification at the last Board meeting of the current fiscal year. New candidates are invited to attend the Board Training Session.

Approved: 2/08

Revised: 8/12

Approved: 2/13



CGC Application – Board of Trustee Position

The Center for Guardianship Certification (CGC) Nominating Committee is soliciting board members for open positions, commencing January 1. The CGC needs experienced and interested individuals to help the organization continue to be the leader in Guardianship Certification. The Nominating Committee will review your information and contact you regarding your status. Self-nominations are accepted and encouraged. All information provided will be kept confidential. Please complete the information requested and return it **by August 31** to: Center for Guardianship Certification, PO Box 5704, Harrisburg, PA 17110, (717) 238-9985 (fax), e-mail: info@guardianshipcert.org.

Please type or print. You may use additional paper, if needed.

Name: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Phone #: _____ Fax #: _____

email: _____ Website: _____

Number of years Certified by CGC, if applicable: _____ Year certified: _____

Type of business: ☐ sole practitioner ☐ agency ☐ other _____

Size of Agency: _____ Number of employees _____

If you are affiliated with an allied profession, please note your affiliation below:

☐ Law Academic ☐ Government ☐ Aging Network
☐ Disability Network ☐ Protective Services ☐ Court

Please note your work experience related to Guardianship. _____

On which CGC committees have you served? _____

In what other ways have you been involved in CGC? _____

Can you give examples of how you have promoted Certification to your peers? _____

List other boards on which you are currently serving and positions held:

List other boards on which you have served in the past and positions held:

What leadership positions have you held?

What licensures or certifications do you currently hold?

Is there anything else you would like us to consider in your application?

Please describe your view of the ideal board, what makes a successful board, why you would like to serve and what expertise you would bring to the CGC Board?

What is your primary interest in serving on the CGC Board?

Thank you for your interest in CGC!

CGC Insurance Coverage

As a non-profit organization, CGC requires and encourages the use of volunteers in decision-making processes. To this end, it is the intent of the organization to protect those individuals in the event of legal action being taken against the organization or any individual serving in a volunteer-capacity on behalf of the organization.

CGC will budget for and carry Directors and Officers (D&O) liability insurance each year. The insurance policy will carry \$1,000,000 in coverage per year and will cover all volunteers working on behalf of the organization.

CGC will also budget for and carry General Liability (GL) insurance as well as Errors & Omissions (E&O) insurance on behalf of the organization.

CGC asks all volunteers to adhere to the policies developed regarding grievances filed, complaint handling, and speaking on behalf of the organization to limit the amount of exposure to the individual and the organization.

Document and File Retention Policy

The Center for Guardianship Certification (CGC) retains hard copy files and electronic information on each individual who applies for certification, becomes certified, and renews their certification status through the organization.

The hard copy files contain the initial application received (if available), the two most recent recertification applications with supporting documentation, and, if a complaint has been received, copy of that complaint, the response from the guardian, and the decision letter of a PRB, if one was called. The electronic files contain the individuals name, address, email, phone number, fax number, employer name, date, status of application/recertification requirements, exam date and results, current status of individual with CGC, whether a PRB or issue exists with the individual, and internal financial information.

The hard copy file and all information contained within is discarded via a shredding company two years after an individual either fails the examination or fails to recertify with CGC. The purge occurs each year in January. The electronic files are kept indefinitely so the organization has record of previous certificants and is able to track those who return and those who have been decertified or disciplined, as well.

Pursuant to the Rules & Regulations, CGC may publicize the nature, existence, or preliminary or final result of any disciplinary proceeding or action at any stage, if deemed by CGC to be in the interests of CGC, the Certification Program, or any segment of the general public. Any disciplinary action taken, including censure, suspension or revocation will be published on the CGC website. The discretion to release information will be determined by CGC Executive Committee, with the advice of CGC legal counsel

In order to protect the anonymity of CGC volunteers when asking them to serve on a Professional Review Board (PRB), email correspondence related to a complaint is purged after all appeal opportunities have been exhausted. Prior to the purge, pertinent email correspondence is printed and placed in the individuals hard copy file for reference purposes. Volunteers serving on the PRB are instructed to delete all email correspondence related to the complaint once a decision is rendered.

All electronic copies of exam assessments (item and job analyses) are kept on file for 10 years. As we perform analyses every other year for items and every five years for the job analysis, this gives us back-up from previous analyses. The results of those assessments are kept on our password-protected server and backed-up daily.

This policy dictates that under no circumstances are examination questions, assessment results, examination scores or hard copy files, as defined in paragraph 2 of this policy, shared with a candidate or any other third party. If any of the documents listed are requested to be released, , CGC Executive Committee must confer with legal counsel to determine the appropriateness of the request and CGC's response. Only pass/fail results are listed on the CGC website for candidates to check the status of their effort. Those results are listed by the individual's examination number, which is only ever shared with the examinee and the testing company.

Statement on Problem Resolution

In order to facilitate an orderly process for issues that might occur within the Center for Guardianship Certification, the following problem resolution statement has been developed. All individuals involved within the organization are asked to follow these processes to ensure accurate and timely response to issues.

Management Issues

- Any complaints or problems regarding staff individuals, other than the Executive Director, should be directed to the Executive Director in writing.
- The Executive Director will address the complaint or problem and inform the complainant of the action taken regarding the complaint in writing.
- If the action taken is not satisfactory to that individual, he/she should then direct the complaint to the President of the Board.
- Any complaints about the Executive Director should be directed to the President of the Board for action.
- The President will address the issue and take any necessary actions.
- That information will then be communicated with the complainant.

Complaints against Guardians

- Any complaints or problems received regarding a national certified guardian will be addressed by sending the generic letter asking the complaining party to file a formal complaint, in accordance with the rules and regulations. This document, along with the Code of Ethics and Standards of Practice, will be sent to the complainant.
- Any complaints or problems received regarding a national non-certified guardian will be answered by noting that CGC has no prevailing power over national non-certified guardians and is unable to take action. The individual making the complaint will be asked to take further action privately.
- If the complaining party chooses not to file a formal complaint, or continues to call headquarters to complain about a national non-certified guardian, the matter will be referred to the Executive Committee to look at the issue and send a formal letter asking the individual to cease and desist contacting staff about the matter at hand.
- Staff will place calls from persistent callers into a special voice mail box, which will be deleted periodically.

Corporate Opportunities Doctrine and Conflict of Interest Policy

The Corporate Opportunities Doctrine

The duty of loyalty specifically prohibits competition by a volunteer or employee with the Center for Guardianship Certification itself. Those individuals may generally engage in the same line of business or areas of endeavor as the organization, provided it is done in good faith and without injury to the organization. One form of competition that is not permitted is appropriating corporate opportunities. A corporate opportunity is a business prospect, idea or investment that is related to the activities or programs of the organization and that the individual knows, or should know, may be in the interests of the organization to accept or pursue. A volunteer or employed representative may take advantage of such corporate opportunity independently of the organization only after it has been offered to, and rejected by, the organization.

Examples of corporate opportunities would be as follows:

- A Board member decides to develop a promotional campaign targeted to certified guardians allowing them to promote themselves to the general public.
- A volunteer sees the potential of making money by developing an online exam for certifying guardians, develops the program, then tries to sell it to various states and to CGC.

Approved April 26, 1998

Conflict of Interest Policy

A conflict of interest may exist where a Trustee is directly or indirectly a party to a transaction and the other party to the transaction is an entity in which the Trustee has a material financial interest or of which the Trustee is a director, officer or general partner.

Where possible conflict of interest exists relative to any matter presented to the Board of Trustees for consideration, the Trustee thereby affected shall ensure that the materials of the transaction are known or disclosed to the Trustees who authorize, approve or ratify the transaction. Where the Board finds that a conflict of interest exists, the affected Trustee will not vote on the matter. Participation in discussions on the matter is at the discretion of the Board of Trustees.

The presence of a Trustee who is directly or indirectly a party to a transaction, or a Trustee who is otherwise not disinterested, shall be counted in determining whether a quorum is present, but shall not be counted when the Board of Trustees takes action on the transaction.

Examples of Conflict of Interest would be:

- A Board member has part ownership in a website development company and asks the Board to allow that company to develop the website for CGC.
- A Board member's child has an educational background and the Board is looking to contract with someone for guardianship training. The Board member asks the Board to consider hiring his/her child.

FINANCIAL MANAGEMENT

FINANCIAL PROCEDURES

GENERAL INFORMATION:

1. The Treasurer chairs the Finance Committee and reports on the financial condition of the CGC to the Board of Trustees and the Executive Committee.
2. The Treasurer assures that proper record keeping practices and Board approved financial management policies and procedures are being followed.
3. The Treasurer appoints the Finance Committee. It is suggested that appointees be professionals with expertise in various fields beneficial to the financial management of the CGC.
4. The Treasurer shall call meetings of the Finance Committee as necessary and/or as requested by the President. Meetings will ordinarily be conducted by phone conference.
5. Changes to financial policy/procedures enacted by the Finance Committee must first be approved by the CGC Board of Trustees.
6. The CGC's fiscal year runs from January 1 to December 31 of each year and the accounting is to be on a cash basis.
7. The Treasurer or his/her designee will be reimbursed travel expenses related to an annual review of the CGC accounts payable files, with approval by the Board of Trustees through the budgeting process.

FINANCIAL REPORTING:

1. The following financial reports will be prepared by staff of the management company and sent to the Treasurer as outlined below:
 - a. Annually:
 1. The upcoming fiscal year's annual plan and defined operating budget rationales for income and expenses.
 - b. Monthly:
 1. Banking Reconciliation Detail, Balance Sheet and Profit & Loss Statement.
2. The Treasurer is to have unrestricted access to all CGC financial records and is to be set up by staff to go on-line to monitor CGC's banking activity.
3. The Treasurer reports to the CGC Board of Trustees and Executive Committee at each meeting.
4. Annually, prior to the last meeting of the current fiscal year of the Board of Trustees, the Treasurer and/or his/her designee reviews the accounts payable files to assure that all items of expense have been posted to the proper categories.

BANK AND OTHER INVESTMENT ACCOUNTS:

1. CGC operating revenue and expenses will be deposited and withdrawn through a bank account. Any bank account shall be insured by and within FDIC limits.
2. Approved signators on bank accounts include the Executive Director, President and Treasurer.
3. Checks will require one signature, except checks to the management company, which will require a signature by the President or Treasurer. Bank transfers from the account may be approved by the Treasurer for monthly payments to the management company, in accordance with the amount agreed upon in the written contract.
4. CGC funds may be invested as directed by the Board of Trustees. Bank, brokerage or other investment accounts are not to be opened without the prior approval of the Board of Trustees.
5. Reserve Fund – beginning with the budget year, 2008, the goal is to begin establishing a Cash Reserve Fund equal to 50% of the CGC operating budget (with a Board review each year to accommodate fluctuating budgets). The Board is to allocate 40% of its cash revenue from operations each year to the Cash Reserve Fund beginning with \$16,534.00 for the 2008 fiscal year. A 2/3 vote of the current Board would be required to spend this amount for any activities.
6. Excess Funds in Bank Account –The Board of Trustees may decide to place excess funds into a CD or other interest-bearing account at any time. At the time of maturity for any CD, staff may add any additional amounts over \$25,000.00 in the checking account to the maturing certificate. Board action would be required in case of the necessity to cash a CD prior to its maturity.

RECORD KEEPING:

1. All financial reports, invoices, backup material for invoices, bank statements and canceled checks, if available, shall be retained in the CGC office for a period of not less than 7 years.
2. Record keeping procedures and retention policies shall be in accordance with IRS guidelines.

REVIEWS/GOVERNMENT MANDATED FILINGS:

1. The Executive Director and Treasurer shall be responsible for the filing of all governmentally required reports and tax returns.
2. The Form 990 will be copied and distributed to the Board of Trustees each year.
3. The Executive Director is authorized to make decisions committing CGC funds to expenses for duly approved CGC operations. The Executive Director may not make commitments to exceed the CGC budget for specific expense items without prior approval of the Executive Committee.

CONTENTS IDENTIFICATION OF BUDGETED EXPENSES

EXPENSES: (Note: Some line items are self-explanatory)

- Award & Scholarship Expense – M.G. Star Achievement Award; outgoing Board recognition
- Bank Fees
- Board Expense – travel to meetings; room rental; refreshments
- Committee Expense - NCG Committee meetings, state specific certification projects
- Copying Costs
- Credit Card Fees
- Dues & Contributions – NGN
- Exhibitor Costs – trade show promotion (booth rental at State Affiliate conventions)
- Insurance & Taxes
- Management Services – fixed per contract
- Miscellaneous Expense
- Office Expense
- Postage, Shipping & Mailing – besides routine, includes shipping materials to trade shows and exams to testing sites
- Printing –letterhead & envelopes, exams, new logo
- Proctor Expense – proctor travel expenses to California, Florida, Oregon, Texas, NMG & NCG sites
- Professional Fees – legal consultation; tax preparation; logo development; brand identity; E-newsletter; on-line testing and statistical analysis
- Staff Travel – board meetings; Florida test project; NCG exam sites
- Telephone & Fax – includes committee conference calls
- Testing Site Expense – room rental & audiovisual expenses
- Volunteer Support Expenses – volunteer Board travel (BOT meetings, trade shows, NGN meetings and to California Supreme Court to lobby re. consistent guardianship practices)
- Website & Internet Fees

CGC Chart of Accounts**Type of Account****Description**

4045 - Certification Renewals	Income	Current National Certified or Master Guardians renewing their certification
4046 - Certification Applicants	Income	New applicants to the National Certified or Master Guardian certification; includes those that have failed the exam previously and are applying at the \$100 retake level.
4100 - CEU Approval	Income	For institutions or individuals applying to have CEU's approved.
4250 - Investment Income	Income	Interest earned.
7020 - Award & Scholarship Expense	Expense	Awards given to retiring board members for their service.
7030 - Bank Fees	Expense	Bank Fees.
7040 - Board Expense	Expense	Board meeting expenses, i.e. room rental, lunch, dinner, A/V.
7041 - Committee Expense	Expense	Committee meeting room rental, travel, food.
7080 - Copying Costs	Expense	Copying.
7090 - Credit Card Fees	Expense	Fees that CGC is charged for processing credit cards.
7200 - Dues & Contributions	Expense	Dues that CGC pays to belong to professional organizations.
7220 - Exhibitor Costs	Expense	Covers booth rental, decorations, electricity.
7240 - Insurance & Tax Expense	Expense	Directors & Officers and General Liability Insurance policies.
7290 - Management Services	Expense	Management Contract of CGC.
7305 - Miscellaneous Expense	Expense	An expense that wouldn't fit anywhere else.
7350 - Office Expense	Expense	Storage, Exam Supplies.
7370 - Postage, Shipping & Mailing	Expense	All postage, UPS charges for shipping exams.
7400 - Printing	Expense	Printing of stationary, certificates, exam postcards.
7410 - Proctor Expense	Expense	Fee provided to proctors for administering exams.
7420 - Professional Fees	Expense	Legal fees, Logo development, Tax preparation.
7480 - Telephone & Fax	Expense	Telephone, Fax, Conference calls.
7485 - Testing Site Expense	Expense	Room rental for exam testing.
7500 - Staff Travel Expense	Expense	Staff flights/mileage, hotel rooms to attend board meetings.
7590 - Volunteer Support Expenses	Expense	Board member reimbursement, Volunteer reimbursement when manning CGC booth.
7600 - Website & Internet Fees	Expense	Website hosting, Domain name, Website updates.

COMMITTEE POLICIES



COMMITTEE MEMBER ETHICS STATEMENT

It is the policy of the Board of Trustees of the Center for Guardianship Certification to ensure that the activities of the Center are of the highest degree possible and to assure that members of any Committee or Ad Hoc Task Force are free from any negative influences caused by a conflict of interest.

I understand and respect the responsibilities inherent in membership on a CGC Committee or Ad Hoc Task Force. I recognize the necessity for making a commitment to be a trained and well-informed member and to committing the time necessary to meet these responsibilities.

I recognize the value of open and full discussion of issues within committee meetings and as an essential part of the decision making process.

I recognize the responsibility that members of the CGC Committees or Ad Hoc Task Forces have for publicly supporting the decisions of the Committee or Task Force and for refraining from making any negative statements in a public manner regarding the Center.

I recognize the duty to avoid self-dealing or conflicts of interest where, by reason of my position, I allow transactions to occur, which might not benefit the Center, and which give the appearance of or have the potential for conferring a benefit, monetary or otherwise, upon myself or my relatives, friends, or business associates.

I agree to fully disclose, in writing, to the Committee or Task Force Chair, any area of ongoing potential, or appearance of a conflict of interest.

I further agree that when I become aware of an area of conflict of interest during the course of a meeting, I will immediately disclose that a conflict exists and remove myself from all discussions and decisions on matters in which I have a conflict.

I fully understand and recognize that the members of a CGC Committee or Ad Hoc Task Force are acting volunteers who, as professionals, are contributing time and expertise to the Center for Guardianship Certification. It is further understood that no member of a CGC Committee or Ad Hoc Task Force shall be compensated for work completed or time spent on behalf of the Center, unless approved by the Finance Committee and Board.

I am aware that violation of this policy may result in a request for my resignation from my position on the committee or task force.

I respectfully agree to sign below, and promise to abide by the above regulations.

Signed: _____ Date: _____

Printed Name: _____

Center for Guardianship Certification
PO Box 5704
Harrisburg, PA 17110
(717) 238-4689 – Phone ♦ (717) 238-9985 – fax
www.guardianshipcert.org



COMMITTEE MEMBER DISCLOSURE STATEMENT

It is the policy of the Board of Trustees of the Center for Guardianship Certification to assure that members of any CGC Standing Committee or Ad Hoc Task Forces are free from any negative influences caused by a conflict of interest.

I recognize the duty to avoid self-dealing or conflicts of interest where, by reason of my position, I allow transactions to occur, which might not benefit the Center, and which give the appearance of or have the potential for conferring a benefit, monetary or otherwise, upon myself or my relatives, friends, or business associates.

I have agreed to fully disclose any area of ongoing, potential or appearance of a conflict of interest. The following is a list of all areas of potential conflict of interest of which I am currently aware:

If I become aware of any additional area of conflict of interest, I will immediately disclose that a conflict exists and remove myself from all discussions and decisions on matters in which there is a conflict.

Signed: _____ Date: _____

Printed Name: _____

Center for Guardianship Certification
PO Box 5704
Harrisburg, PA 17110
(717) 238-4689 – Phone ♦ (717) 238-9985 – fax
www.guardianshipcert.org

Committee Member Reimbursement Policy

1. Each CGC committee member is allotted a specific amount of money to draw upon each year, dependent upon approval of the line item in the budget by the CGC Board of Trustees. Once that amount is reimbursed, no additional monies are available to the committee member. Committee members cannot give their unallocated monies to another committee member, nor will the unallocated monies be held over for the following fiscal year. The CGC board or executive committee may reallocate additional or unused budgeted amounts within the fiscal year.
2. Committee members must remit reimbursement requests on the CGC reimbursement form provided within the same fiscal year as the expenses were incurred, and receipts must be attached to the form for reimbursement to be approved.
3. Acceptable reimbursements for stand-alone committee meetings include the following items:
 - a. Overnight accommodations for the previous evening and the evening of the meeting at the hotel chosen by CGC. If a committee member chooses to stay at another hotel that is more expensive, CGC will only reimburse that portion that is equivalent to the hotel block reserved by CGC. If a committee member chooses to stay at another hotel that is less expensive, CGC will only reimburse the expense paid by the committee member. All other expenses such as telephone calls, movies or room service will not be reimbursed.
 - b. Breakfast and lunch for the day of the meeting (provided CGC or hotel does not provide these meals).
 - c. Dinner the evening prior to the committee meeting and the evening of the committee meeting. (Travel expenses to and from restaurants, as well as bar items, are not reimbursable.)
 - d. Reimbursement for transportation to and from the committee meeting may include any of the following.
 - i. Mileage reimbursed at the IRS rate.
 - ii. Airfare.
 - iii. Bus or train fare.
 - iv. Travel to and from the airport to the meeting
 - e. Reimbursement for auto rentals will be the responsibility of the committee member. If a shuttle is not provided from the airport to the hotel reimbursement for a taxi or other accommodations may be approved.
 - f. CGC committee members who serve on other committees that meet in conjunction with the CGC committee will have any travel expenses paid by any other source deducted before the CGC reimbursement is made.

CERTIFICATION & DECERTIFICATION POLICIES



Rules and Regulations
Regarding Certification and Recertification of
National Certified Guardians (NCG)
Board Approved – October 23, 2015



I. ADMINISTRATION

A. Certification Purpose

The purpose of the Center for Guardianship Certification (CGC) National Certified Guardian certification program is to identify those individuals who are involved in guardianship issues, who meet minimum qualifications, and who have the minimum level of knowledge and experience in guardianship services to be identified to the public as a National Certified Guardian.

B. Definition of Guardian

National Guardianship Association Standards of Practice define guardian as an individual or corporation named by order of the court to exercise any or all powers and rights of the person and/or the estate of an individual. The term includes conservators and certified private or public fiduciaries.

C. Certification is Voluntary

Certification is individual and voluntary, except where required by state regulations. CGC certified guardians are expected to act in compliance with the CGC Rules and Regulations in any fiduciary capacity, whether court-appointed, non-court appointed, or any position of trust. Application with the appropriate fee shall be made to the CGC on the forms it shall supply.

D. Non-Discrimination. No individual shall be excluded from the opportunity to participate in the CGC certification or recertification program on the basis of ethnic origin, national origin, color, religion, sex, age, disability, physical ability, marital status or sexual orientation.

E. Confidentiality

All applications and other information submitted to the CGC as part of the certification and recertification process shall be privileged and confidential except that the CGC may reveal that an application has been made for the purpose of verifying (a) information submitted by the applicant, or (b) whether an individual is a National Certified Guardian.

CGC is committed to protecting privacy in the certification and recertification process including privacy of examination results. If a person applies or recertifies to be a National Certified Guardian (NCG) or recertifies, CGC will collect personal information including but not limited to name, home and/or business address, email address, phone number, fax number, credit/debit card information, place of employment, and position title. We may also collect or receive the following additional information at registration or in the testing process, as necessary or appropriate: date of birth, employment and education history, and previous CGC examination history. CGC may also collect information about any disability for purposes of providing accommodations under the Americans with Disabilities Act (ADA). For verification and identification purposes, we may collect all or part of a government-issued identification number. When a computer based certification test is administered, we may collect and score test responses and then derive a test score and generate a report about certification test results. Depending upon the test sponsor and/or test security requirements, we may collect signature, photographic image, fingerprint, and/or palm vein image digitally at a test center and may audio and video tape test takers during the examination. When existing demographic information in our database is incorrect or incomplete, that information will be updated.

CGC may statistically aggregate in non-person-specific form test responses and other information collected in the certification process. Such aggregated non-person-specific information may be used for quality control, operations management, security and marketing purposes and to enhance, develop or improve certification, and recertification, testing services, examinations and certification related products and services. By registering for a test through CGC, consent is given to this non-person-specific data aggregation and the use and transmission of this aggregated statistical data as outlined above.



Rules and Regulations
Regarding Certification and Recertification of
National Certified Guardians (NCG)
Board Approved – October 23, 2015



F. Certification Administration

The certification and recertification of National Certified Guardians shall be administered by the CGC. The CGC shall certify all individuals in accordance with these rules and regulations. The CGC shall develop and oversee the following:

1. Approval of the application process used in certification and recertification.
2. Approval of training and continuing education courses related to meeting certification or recertification requirements.
3. Establishment of criteria relative to denial, suspension or revocation of certification.
4. Approval of all examination questions.
5. Preparation and administration of certification examinations.
6. Provision of accommodations in accordance with the ADA.
7. Development of the procedure for reviewing any applicant's examination that receives a failing grade.
8. Verification of employment and education background.
9. Verification of lack of criminal background.
10. Determination as to whether particular applicants have met the minimum eligibility requirements for certification or recertification.
11. Issuance of a certificate via e-mail.
12. Distribution of a new certificate upon satisfactory completion of the recertification process by e-mail.
13. Determination of all requests for reconsideration of denial, suspension or revocation, of certification.
14. Maintenance of all appropriate records relative to certification.

II. NATIONAL CERTIFIED GUARDIAN ELIGIBILITY REQUIREMENTS AND PROCEDURES

A. Minimum Eligibility Requirements for Certification

To qualify for certification the applicant shall pay all required fees, comply with the application procedures, follow the instructions provided in the CGC Examination Handbook, and meet the following minimum eligibility requirements, except as otherwise provided by state certification law:

1. Must be at least 21 years of age.
2. Must be a high school graduate or possess the GED equivalent.
3. Must have one year of relevant work experience related to guardianship or the following educational requirements:
 - a. a degree, certification or licensure in a field related to guardianship or,
 - b. completion of a course curriculum specifically related to guardianship approved by the CGC.
4. Must submit to third-party verification and send proof of educational requirements.
5. Must ensure proof of work experience is sent to CGC on approved affidavit form(s).
6. Must attest to not having been convicted or pled guilty or no contest to a felony, or admit to having a felony on record.
7. Must submit to a criminal background check.
8. Must attest to complying with the NGA Model Code of Ethics and the NGA Standards of Practice.
9. Must attest that he or she has not been civilly liable in an action that involved fraud, misrepresentation, material omission, misappropriation, moral turpitude, theft, or conversion.
10. Must attest that he or she has not been relieved of responsibilities as a guardian by a court, employer, or client for actions involving fraud, misrepresentation, material omission, misappropriation, theft, or conversion.
11. Must attest that he or she is bonded or will obtain appropriate bonding insurance after certification in accordance with state statutes and local practice.
12. Must attest that he or she has not been found liable in a subrogation action by an insurance or bonding agent.
13. Must attest that he or she has not been disciplined by a state or national certification or licensing organization in any profession.



Rules and Regulations
Regarding Certification and Recertification of
National Certified Guardians (NCG)
Board Approved – October 23, 2015



B. Passing Certification Examination

The applicant shall make a satisfactory showing of competency in guardianship by successfully passing an examination administered by the CGC. Notification of examination results shall be emailed to the applicant within thirty (30) days.

C. Application Procedure

Detailed information on the application procedures required can be found in the CGC Examination Handbook which is incorporated by reference into the NCG Rules and Regulations available on the CGC website. Applicants are encouraged to download the Handbook for step-by-step instructions.

1. Fees.

All fees connected with certification shall be set by the CGC and are subject to change at any time.

a. Application Fee.

Each applicant shall submit a non-refundable application fee along with the completed application form. No application will be processed until the application fee has been paid.

b. Examination Fee.

Each applicant shall pay an examination fee before taking the certification examination. The fee shall be submitted with the completed examination application to the CGC. If the required verification process identifies that the applicant is not eligible for certification, this fee will be refunded to the applicant.

c. Criminal Background Check Fee.

Each applicant will be required to submit a fee to a third-party company chosen by CGC to conduct a criminal background check. The amount may vary, based upon the applicant's state of residence.

d. Test Center Cancellation Fee.

If a candidate fails to appear for their scheduled examination or cancels their appointment less than three (3) business days in advance of their scheduled appointment, a cancellation fee will be assessed by CGC.

e. Retest Fee.

CGC requires those who fail the exam to submit a retest fee along with their new application, in order to retake the examination.

2. Application Protocol.

a. Application Forms. Applications for certification shall be made on forms provided by the CGC.

b. Upon receipt of a completed application, the CGC staff shall review the application to determine:

- i.** the application and all required forms have been properly completed and submitted,
- ii.** the applicant meets the minimum eligibility requirements, and
- iii.** the appropriate fees have been paid.

Upon successful completion of the criminal background, education, and employment verifications, the applicant will be notified of his or her eligibility to sit for the examination. CGC requires forty-five (45) business days to process an application before an applicant is approved to sit for an examination.

3. Scheduling the Exam

Applicants are required to make an appointment to take the certification examination at an approved testing site provided by CGC. Upon CGC notification of eligibility to sit for the examination, the applicant has sixty (60) business days to schedule an appointment and take the examination.

4. Examination Failure

In the event the applicant does not pass the certification examination, the applicant may retake the examination within one year from the date of the original examination. In order to retake the examination, the applicant must submit a new examination application and relevant retake fees. Fees



Rules and Regulations
Regarding Certification and Recertification of
National Certified Guardians (NCG)
Board Approved – October 23, 2015



required for re-testing include test center/proctoring fees and the retest fee. For unsuccessful applicants taking the examination after the one-year time period, all fees required for new applicants apply.

5. Discretion to Request Additional Information

If after reviewing the information submitted by the applicant the CGC determines that the applicant does not meet the requirements established by these rules and regulations, the CGC may conduct further investigation or require additional information from the applicant or other sources. The CGC may deny certification based on the information it receives.

6. Denial And Disciplinary Criteria The CGC may deny, suspend or revoke a certification, or impose other disciplinary action on a National Certified Guardian, who as the guardian of the person or estate, or who in any other court appointed or non-court appointed fiduciary capacity, or position of trust, if it is determined that they have violated any of the following criteria:

- a. Failed to abide by the Rules and Regulations promulgated by the CGC to govern the certification program.
- b. Failed to pay any applicable fee established by the CGC.
- c. Failed to meet the Minimum Eligibility Requirements for Certification established by the CGC as set forth in Section II.
- d. Failed to notify CGC of a violation as set forth in Section II A.
- e. Violated the NGA Model Code of Ethics.
- f. Violated the NGA Standards of Practice.
- g. CGC may also discipline a National Certified Guardian, including by suspension or revocation of certification if: (1) the certificate was granted contrary to CGC Rules and Regulations; or (2) the certificate was granted to an individual who is not eligible to acquire a certificate or who has made any false representations or misstatement of material fact to the CGC.

III. RECERTIFICATION MINIMUM ELIGIBILITY REQUIREMENTS AND PROCEDURES

The period of certification is two years. Certification shall expire two years after the date it is issued. A National Certified Guardian who desires continued certification shall apply for recertification within the time limits prescribed in Section III C. 1. To be eligible for recertification, the certified individual shall meet the following minimum eligibility requirements:

A. Minimum Eligibility Requirements for Recertification

To qualify for recertification the applicant shall pay all required fees, comply with the application procedures, follow the instructions, and meet the following minimum eligibility requirements, except as otherwise provided by state certification law:

1. Must attest to not having been convicted or pled guilty or no contest to a felony, or admit to having a felony on record
2. Must attest that he or she has not been civilly liable in an action that involved fraud, misrepresentation material omission, misappropriation, moral turpitude, theft, or conversion.
3. Must attest that he or she has not been relieved of responsibilities as a guardian by a court, employer, or client for actions involving fraud, misrepresentation, material omission, misappropriation, theft, or conversion.
4. Must attest that he or she is bonded or will obtain appropriate bonding insurance after certification in accordance with state statutes and local practice.
5. Must attest that he or she has not been found liable in a subrogation action by an insurance or bonding agent.
6. Must attest to complying with the NGA Model Code of Ethics and the NGA Standards of Practice.



Rules and Regulations
Regarding Certification and Recertification of
National Certified Guardians (NCG)
Board Approved – October 23, 2015



B. Continuing Education Units.

1. The National Certified Guardian shall, during the period since certification or most recent recertification, have participated in at least twenty (20) hours of continuing education and guardianship training.
2. The National Certified Guardian shall provide a listing of the dates, locations, sponsors, and number of credits earned for all continuing education courses to satisfy this requirement.
3. The National Certified Guardian must adhere to the CEU policy requirements.
4. CGC may conduct random audits of attendance or course completion certificates for continuing education approval.

C. Recertification Procedures

1. Recertification Time Line

- a. CGC must receive a properly completed application for recertification and appropriate fees no less than thirty (30) days prior to the date the certification expires.
- b. Individuals filing recertification applications more than forty-five (45) days after their certification expires shall be denied recertification. In such cases, the individual must begin the certification process again, including sitting for the exam. When the 45 day period has expired, the CGC website will be updated to remove the individual from the listing of certified guardians.

2. Fees

a. Recertification Fee.

Each application for recertification shall be accompanied by a recertification fee, a portion of which will be a nonrefundable processing fee. No recertification application may be processed until the recertification fee has been paid.

3. Application Protocol

a. Application Forms

Application for recertification shall be made on forms provided by the CGC.

b. Upon receipt of a completed application form, the CGC staff shall review the application to determine:

1. the application and all required forms have been properly completed and submitted,
2. the applicant meets the minimum eligibility requirements, and
3. the appropriate fees have been paid.

4. Discretion to Request Additional Information

If after reviewing the information submitted by the applicant the CGC determines that the applicant does not meet the requirements established by these rules and regulations, the CGC may conduct further investigation or require additional information from the applicant or other sources. The CGC may deny recertification based on the information it receives.

5. Notification of Recertification

Upon meeting the minimum eligibility requirements for recertification, the applicant shall be e-mailed an approval letter, new certificate, and a recertification CEU form within two weeks of successful completion.

IV. DISCIPLINARY PROCEDURE FOR NATIONAL CERTIFIED GUARDIAN

A. Initiation of Process.

1. Who May Petition

Any person ("Petitioner") may Petition CGC to initiate disciplinary procedures against a National Certified Guardian ("Respondent").



Rules and Regulations
Regarding Certification and Recertification of
National Certified Guardians (NCG)
Board Approved – October 23, 2015



2. If information or allegations come to the attention of CGC that a National Certified Guardian has violated one or more of the disciplinary criteria set forth in Section II C.6 herein, and no complaint is forthcoming from any person, then the CGC President may appoint an agent or agents to conduct an inquiry and fact finding to determine whether there is a reasonable basis to file a formal complaint.
 - a. If the agent or agents file a formal complaint, then this complaint shall be processed in accordance with the disciplinary procedures set forth herein. The person or persons who initiated/participated in the inquiry should not be part of the final appeal decision and would be asked to recuse themselves, if an appeal was made. Those same individuals will also not be asked to serve on the Professional Review Board (PRB) convened for the specific inquiry in which they were involved.

B. Content of the Petition.

A Petition, which is to be submitted to the CGC Executive Director, must be in writing and must include: the name and pertinent contact information of the Petitioner and the Respondent; an allegation of the existence of one or more of the disciplinary criteria set forth in Section II C.6; an adequate factual basis for the allegation(s); and any necessary documentation or other supporting materials or information.

C. Initial Review of Petition.

The CGC Executive Director, in consultation with the CGC President and CGC General Counsel, will review the Petition to determine if it includes the necessary elements identified in paragraph B herein. If the Executive Director determines that the Petition does not conform to paragraph B herein, then, citing the specific deficiency or deficiencies, the Executive Director shall notify the Petitioner that the Petition will not be considered. The Petitioner may re-file an amended Petition, or may seek a review of the Executive Director's decision by the CGC Executive Committee by so notifying the CGC Executive Director within fifteen (15) days of the date of the rejection letter. In addition, if a complaint includes allegations of criminal conduct by a guardian or conduct that is actionable against a guardian in a court of law, the CGC Executive Director, in consultation with the CGC President and CGC General Counsel, may decline consideration and instead defer to the authority of an appropriate court of law, law enforcement agency, or other governmental investigatory or adjudicatory body. An outcome of such legal proceedings adverse to a guardian may form the basis of a subsequent complaint.

D. Professional Review Board (PRB).

Once a Petition is determined to conform to the requirements of paragraph B herein, the Executive Director will notify the CGC President, who will appoint three individuals to a Professional Review Board (PRB) to address the Petition. At least one appointee shall be a member of the CGC Board of Trustees at the time of appointment. The CGC President shall also designate one of the PRB members to be PRB Chair. The PRB will act by majority vote.

E. Notice and Response.

Concurrent with notification of the President, the Executive Director will also inform the Respondent in writing that a Petition has been submitted; provide the Respondent with a copy of the Petition, including all supporting materials, as well as a copy of these Rules and Regulations; send a form indicating the Respondent's election to request or waive a Hearing; request a listing of participants (legal counsel, witnesses, and others) who will be present at the Hearing, and ask for a written Answer to the Petition. The Answer, Hearing request or waiver, and participant list must be received by CGC within fifteen (15) business days from the date of the letter. Failure to respond in the timeframe noted may be deemed an admission to the allegations in the complaint.

F. Suspension Pending Decision.

The CGC Executive Committee may, in its discretion, suspend the certification of the Respondent pending the decision of the PRB, and/or pending final disposition of any appeal.



Rules and Regulations
Regarding Certification and Recertification of
National Certified Guardians (NCG)
Board Approved – October 23, 2015



G. Handling of Complaint and Response.

1. Paper Review by PRB.

The PRB Chair will schedule at least one meeting, in person or via conference call, to review the Petition and Answer, if any. Additional meetings may be held as deemed necessary by the PRB. If a Hearing is requested, the PRB may hold a preliminary meeting, but no decision will be rendered until such time as the Hearing takes place, unless the decision is to summarily dismiss the Petition.

While the PRB may seek additional information in its discretion; it has no obligation to do so. The PRB is not an investigatory body and will generally render its decision based on the submissions of the Petitioner and Respondent and testimony at any Hearing.

2. Hearing.

The Respondent has the right to request or waive his/her right to a hearing. The hearing may either be by conference call or in-person, at the discretion of the PRB. The PRB will determine the time and date of the hearing as well as the location of any in-person hearing. The Respondent is responsible to bear all costs to participate in the hearing, including, but not limited to, the transcription of the hearing and the cost of witnesses for the Respondent. At this proceeding, the Respondent will be permitted to testify; present evidence; respond to questions from the PRB; and examine and cross-examine witnesses who are also present. The Respondent may be represented by legal counsel at the hearing. No hearing need be held if the PRB decides to summarily dismiss the Petition. The PRB may establish rules for the conduct of the hearing, though formal rules of evidence will not apply.

H. Decision of PRB.

The PRB shall strive to render a decision on the Petition within ninety (90) days of the submission of all documents by the Petitioner and Respondent or any hearing herein, and shall notify the Petitioner and Respondent in writing of that decision. The written notification shall include an explanation of the basis for the decision. In most cases a decision of the PRB will be one of the following: the Respondent has engaged in prohibited conduct; the Respondent has not engaged in prohibited conduct; or there is insufficient evidence to determine whether or not the Respondent has engaged in prohibited conduct. A finding of a prohibited conduct must include the PRB's decision as to any disciplinary action to be imposed including, but not limited to censure, suspension, and revocation. The PRB shall use the preponderance of the evidence standard of proof in all its decisions made pursuant to Section II C.6 herein. Preponderance of the Evidence is defined as "evidence which is of greater weight or more convincing than the evidence which is offered in opposition to it; that is, evidence which as a whole shows that the fact sought to be proved is more probable than not". The PRB may issue an Advisory Letter or Letter of Concern to the Respondent even though there is no finding of prohibited conduct.

I. Definitions

The following represent definitions of terms associated with the decision herein of the PRB:

1. Non-Disciplinary Action

- a. Advisory Letter** means written communication from the PRB notifying the Respondent that the conduct, while not warranting discipline or a finding of prohibited conduct, may result in future disciplinary action if not modified or eliminated. An Advisory Letter is not disciplinary action and there is no appeal of an Advisory Letter by the Respondent. The Advisory Letter will be placed in the permanent file of the Respondent. The Respondent may respond in writing to the Advisory Letter. Any such correspondence will be included in the permanent file.
- b. Letter of Concern** means written communication from the PRB notifying the Respondent that, while there is insufficient evidence to support disciplinary action, the PRB believes the Respondent should modify or eliminate certain practices that led to the Complaint. A Letter of Concern is not a disciplinary action and there is no appeal of a Letter of Concern by the Respondent. The Letter of Concern will be placed in the permanent file of the Respondent. The Respondent may respond in writing to the Letter of Concern. Any such correspondence will be included in the permanent file.



Rules and Regulations
Regarding Certification and Recertification of
National Certified Guardians (NCG)
Board Approved – October 23, 2015



2. Disciplinary Action

- a. **Censure** means written disciplinary action from the PRB finding the Respondent has engaged in prohibited conduct and violated one or more disciplinary criteria contained in Section II C.6 of the Rules and Regulations herein.
- b. **Suspension** means written disciplinary action finding the Respondent has engaged in prohibited conduct and violated one or more disciplinary criteria contained in Section II C.6 of the Rules and Regulations herein, resulting in not permitting the Respondent to exercise the privileges of a National Certified Guardian for the period of time set by the PRB, not to exceed five (5) years. The CGC Executive Committee may suspend a certification pending a decision by the PRB and/or pending the final decision of any appeal. Upon completion of the suspension period, the Respondent must make a written request to CGC to be reinstated as an NCG within 45 days after the end of the suspension period. If the Respondent's recertification period has expired during suspension, the Respondent shall apply for recertification within the 45-day period, pay the applicable fees, and comply with continuing education hours and all requirements of the recertification process. Failure to request reinstatement and complete any required recertification requirements within 45 days from the end of the suspension period will require Respondent to complete a new certification application and take the examination to be certified.
- c. **Revocation** means written disciplinary action from the PRB finding the Respondent has engaged in prohibited conduct and violated one or more criteria contained in Section II C.6 of the Rules and Regulations herein, resulting in removal by the PRB of the Respondent's Certification as a National Certified Guardian.

J. Appeal.

Except as otherwise provided in this Section, the Respondent may appeal the decision of the PRB by submitting a written notice with the CGC Executive Director within thirty (30) days of the date of the PRB's decision. Either the PRB or the CGC Board of Trustees may postpone implementation of the disciplinary action, if any, imposed by the PRB until after disposition of the appeal. The Respondent shall include with the notice of appeal a Petition for Appeal that shall state clearly and concisely the reasons upon which the Respondent seeks a dismissal, modification or remand of the decision of the PRB. The allegations of the Petition for Appeal shall be limited to the record before the PRB. There will be no consideration of new evidence or a right to a hearing or testimony of any witnesses in the Appeal. The Appeals Board, consisting of 3 members of the CGC Board of Trustees appointed by the CGC President, will determine the Petition for Appeal. The Appeals Board shall affirm the decision and discipline imposed by the PRB, unless the Respondent establishes that the decision and/or discipline is clearly erroneous. The decision of the Appeals Board may be to affirm the PRB decision, dismiss the Complaint, modify the PRB decision or discipline or remand the case back to the PRB. The Appeals Board shall seek to issue its ruling within ninety (90) days of receipt of the Petition for Appeal. The decision of the Appeals Board shall be final and binding on CGC and the Respondent.

K. Publication.

CGC may publicize the nature, existence, or preliminary or final result of any disciplinary proceeding or action at any stage, if deemed by CGC to be in the interests of CGC, the Certification Program, or any segment of the general public. Any disciplinary action taken, including censure, suspension or revocation will be published on the CGC website.

L. Correspondence.

All correspondence and notices herein between the petitioner and respondent should be made by e-mail, or certified mail and courier service.



Rules and Regulations
Regarding Certification and Recertification of
National Certified Guardians (NCG)
Board Approved – October 23, 2015



V. THE OFFICIAL ADDRESS FOR ALL CORRESPONDENCE

The official address for all correspondence to the Center for Guardianship Certification is PO Box 5704, Harrisburg, PA 17110.

VI. OFFICIAL LANGUAGE

Except as restricted by applicable law, an individual holding a current certification from CGC shall use the following language to disclose the certification in written communications: "certified as a National Certified Guardian" and/or the designation of "NCG."

VII. AMENDMENTS PROCEDURES

These rules and regulations may be amended as provided in the Bylaws of the Center for Guardianship Certification.



Rules and Regulations
Regarding Certification and Recertification of
National Master Guardians (NMG)
Board Approved: October 23, 2015



I. ADMINISTRATION

A. Certification Purpose

The purpose of the Center for Guardianship Certification (CGC) National Master Guardian certification program is to identify those individuals who are involved in guardianship issues, who meet enhanced qualifications, and who have the sufficient level of knowledge and experience in guardianship services to be identified to the public as a National Master Guardian.

B. Definition of Guardian

National Guardianship Association Standards of Practice define guardian as an individual or corporation named by order of the court to exercise any or all powers and rights of the person and/or the estate of an individual. The term includes conservators and certified private or public fiduciaries.

C. Certification is Voluntary

Certification is individual and voluntary, except where required by state regulations. CGC certified guardians are expected to act in compliance with the CGC Rules and Regulations in any fiduciary capacity, whether court-appointed, non-court appointed, or any position of trust. Application with the appropriate fee shall be made to the CGC on the forms it shall supply.

- D. Non-Discrimination.** No individual shall be excluded from the opportunity to participate in the CGC certification or recertification program on the basis of ethnic origin, national origin, color, religion, sex, age, disability, physical ability, marital status or sexual orientation.

E. Confidentiality

All applications and other information submitted to the CGC as part of the certification and recertification process shall be privileged and confidential except that the CGC may reveal that an application has been made for the purpose of verifying (a) information submitted by the applicant, or (b) whether an individual is a National Certified Guardian.

CGC is committed to protecting privacy in the certification and recertification process including privacy of examination results. If a person applies or recertifies to be a National Certified Guardian (NCG) or recertifies, CGC will collect personal information including but not limited to name, home and/or business address, email address, phone number, fax number, credit/debit card information, place of employment, and position title. We may also collect or receive the following additional information at registration or in the testing process, as necessary or appropriate: date of birth, employment and education history, and previous CGC examination history. CGC may also collect information about any disability for purposes of providing accommodations under the Americans with Disabilities Act (ADA). For verification and identification purposes, we may collect all or part of a government-issued identification number. When a computer based certification test is administered, we may collect and score test responses and then derive a test score and generate a report about certification test results. Depending upon the test sponsor and/or test security requirements, we may collect signature, photographic image, fingerprint, and/or palm vein image digitally at a test center and may audio and video tape test takers during the examination. When existing demographic information in our database is incorrect or incomplete, that information will be updated.

CGC may statistically aggregate in non-person-specific form test responses and other information collected in the certification process. Such aggregated non-person-specific information may be used for quality control, operations management, security and marketing purposes and to enhance, develop or improve certification, and recertification, testing services, examinations and certification related products and services. By registering for a test through CGC, consent is given to this non-person-specific data aggregation and the use and transmission of this aggregated statistical data as outlined above.



Rules and Regulations
Regarding Certification and Recertification of
National Master Guardians (NMG)
Board Approved: October 23, 2015



F. Certification Administration

The certification and recertification of National Master Guardians shall be administered by the CGC. The CGC shall certify all individuals in accordance with these rules and regulations. The CGC shall develop and oversee the following:

1. Approval of the application process used in certification and recertification.
2. Approval of training and continuing education courses related to meeting certification or recertification requirements.
3. Establishment of criteria relative to denial, suspension or revocation of certification.
4. Approval of all examination questions.
5. Preparation and administration of certification examinations.
6. Provision of accommodations in accordance with the ADA.
7. Development of the procedure for reviewing any applicant's examination that receives a failing grade.
8. Verification of employment and education background.
9. Attestation of lack of criminal background.
10. Determination as to whether particular applicants have met the minimum eligibility requirements for certification or recertification.
11. Issuance of a certificate via e-mail.
12. Distribution of a new certificate upon satisfactory completion of the recertification process by e-mail.
13. Determination of all requests for reconsideration of denial, suspension or revocation, of certification.
14. Maintenance of all appropriate records relative to certification.

II. NATIONAL MASTER GUARDIAN ELIGIBILITY REQUIREMENTS AND PROCEDURES

A. Minimum Eligibility Requirements for Certification

To qualify for certification the applicant shall pay all required fees, comply with the application procedures, follow the instructions provided in the CGC Examination Handbook, and meet the following minimum eligibility requirements:

1. A National Master Guardian is expected to have comprehensive understanding of issues pertaining to both guardianships of the person and of the estate. The prerequisites for the National Master Guardian certification include current National Certified Guardian (NCG) status from the CGC, professional guardianship experience, submission of a complete application, attestation to complying with the NGA Model Code of Ethics and the NGA Standards of Practice, and a passing score on a qualifying examination, as defined below.
 - a) National Certified Guardian in good standing at time of submission of application. (An NCG in good standing is defined as an individual who currently holds the NCG certification and has met the minimum eligibility requirements for certification, as defined in Section II A of the NCG Rules and Regulations.)
 - b) Graduate degree from an accredited college or university with:
 - i. three (3) years of full-time professional guardianship experience OR
 - ii. Bachelor's degree (to include a Registered Nurse) from an accredited college or university with five (5) years of full-time professional guardianship experience OR
 - iii. twelve (12) years full-time experience in the field of guardianship as defined below.
 - c) Professional guardianship experience is defined to include all of the following:
 - i. Serving in a position of making decisions
 - (a) as a court-appointed guardian,
 - (b) as agent for a court-appointed guardian, or
 - (c) in a supervisory capacity over a court-appointed guardian.
 - ii. Serving two or more wards unrelated to each other;



Rules and Regulations
Regarding Certification and Recertification of
National Master Guardians (NMG)
Board Approved: October 23, 2015



- iii. Spending an average of at least 16 hours per week making decisions as set forth in (c)(i) during at least three (3) of the last five (5) years including the most recent year.
- iv. Demonstrating experience in at least six of following, including #1, through a written narrative:
 - 1. High degree of competence in managing complex issues.
 - 2. Manage significant financial estates.
 - 3. Conduct or arrange for comprehensive assessment of ward's needs.
 - 4. Provide consultation on a wide range of guardianship issues.
 - 5. Provide supervision and case oversight to less experienced guardians or staff in a guardianship program.
 - 6. Plan, implement, control, direct, fund a professional guardianship program.
 - 7. Have experience with more than one disability group.
 - 8. Provide training and mentoring to less experienced guardians.
 - 9. Provide educational opportunities by presenting topics related to guardianship.
 - 10. Provide consultation regarding medical procedures including use of psychotropic medications and evaluation of behavioral programs.
 - 11. Advance the profession through policy development, legislative action, advocacy or community outreach.
 - 12. Provide consultation or make decisions on end of life issues and other complex or controversial issues.
 - 13. Actively advocate for limited guardianship, alternatives to guardianship and restoration of wards.

B. Certification Examination

The applicant shall make a satisfactory showing of competency in guardianship by successfully passing an examination administered by the CGC. Notification of examination results shall be emailed to the applicant within sixty (60) days.

C. Application Procedure

Detailed information on the application procedures required can be found in the CGC Examination Handbook which is incorporated by reference into the NMG Rules and Regulations and is available on the CGC website at www.guardianshipcert.org. Applicants are encouraged to download the Handbook for step-by-step instructions.

1. Fees.

All fees connected with certification shall be set by the CGC and are subject to change at any time.

a. Application Fee.

Each applicant shall submit a non-refundable application fee along with the initial application form. No application will be processed until the application fee has been paid.

b. Examination Fee.

Each applicant shall pay an examination fee before taking the certification examination. The fee shall be submitted with the initial application to the CGC. If the required verification process identifies that the applicant is not eligible for certification, this fee will be refunded to the applicant.

c. Test Center Cancellation Fee.

If a candidate fails to appear for a scheduled examination or cancels an appointment less than three (3) business days in advance of the scheduled appointment, CGC will assess a cancellation fee.

d. Retest Fee.

CGC requires applicants who fail the exam to submit a retest fee along with a new application to retake the examination.



Rules and Regulations
Regarding Certification and Recertification of
National Master Guardians (NMG)
Board Approved: October 23, 2015



2. Application Protocol.

- a. Applications for certification shall be made on forms provided by the CGC and available at www.guardianshipcert.org.
- b. Upon receipt of the initial application, the CGC will send a Confidential Statement of Recommendation form to each of the four individuals provided on the application. The parties completing the Confidential Statements of Recommendation must send the forms directly to CGC.
- c. The applicant is responsible to obtain affidavits from employers, or in the case of self-employment from professionals in the community, who can affirm the applicant's relevant guardianship experience. The affiants must send any Affidavits of Employment or Affidavits of Experience directly to CGC.
- d. The applicant must submit a narrative of experience as set forth in Section II A.1.C.iv. The National Master Guardian Committee will review the narrative to determine that the applicant meets the minimum experience requirement.
- e. A completed application includes:
 1. Initial application
 2. Four positive recommendations
 3. Requisite Affidavits of Employment or Affidavits of Experience
 4. Successful verification of education
 5. Approved narrative of experience
 6. Payment of all fees
- f. Upon successful completion of the application, the applicant will be notified of his or her eligibility to sit for the examination. CGC requires forty-five (45) business days to process an application before an applicant is approved to sit for an examination.

3. Examination Scheduling

Applicants are required to make an appointment to take the certification examination at an approved testing site provided by CGC. Upon CGC notification of eligibility to sit for the examination, the applicant has sixty (60) business days to schedule an appointment and take the examination.

4. Examination Failure

In the event the applicant does not pass the certification examination, the applicant may retake that portion of the exam (multiple choice or essay) that was failed twice each year in the two years after the date of the first exam.

Submission of an additional examination fee and a new examination registration form for each examination date is required. If the applicant does not pass the examination by the second anniversary of the date of the first exam failure, the application for certification shall be denied. If an applicant whose application is so denied subsequently seeks to become certified, the application process must start again.

5. Discretion to Request Additional Information

If after reviewing the information submitted by the applicant the CGC determines that the applicant does not meet the requirements established by these rules and regulations, the CGC may conduct further investigation or require additional information from the applicant or other sources. The CGC may deny certification based on the information it receives.

6. Denial and Disciplinary Criteria

The CGC may deny, suspend or revoke a certification, or impose other disciplinary action on a National Master Guardian, who as the guardian of the person or estate, or who in any other court appointed or non-court appointed fiduciary capacity, or position of trust, if it is determined that they have violated any of the following criteria:



Rules and Regulations
Regarding Certification and Recertification of
National Master Guardians (NMG)
Board Approved: October 23, 2015



- a. Failed to abide by the Rules and Regulations promulgated by the CGC to govern the certification program.
- b. Failed to pay any applicable fee established by the CGC.
- c. Failed to meet the Minimum Eligibility Requirements for Certification established by the CGC as set forth in Sections II.A above.
- d. Failed to notify CGC of a violation as set forth in Section II. A.
- e. Violated the NGA Model Code of Ethics.
- f. Violated the NGA Standards of Practice.
- f. CGC may also discipline a National Master Guardian, including by suspension or revocation of certification if: (1) the certificate was granted contrary to CGC Rules and Regulations; or (2) the certificate was granted to an individual who is not eligible to acquire a certificate or who has made any false representations or misstatement of material fact to the CGC.

III. RECERTIFICATION MINIMUM ELIGIBILITY REQUIREMENTS AND PROCEDURES

The period of certification is three years. Certification shall expire three years after the date it is issued. A National Master Guardian who desires continued certification shall apply for recertification within the time limits prescribed in Section III C. 1. To be eligible for recertification, the certified individual shall meet the following minimum eligibility requirements:

A. Minimum Eligibility Requirements for Recertification

To qualify for recertification the applicant shall pay all required fees, comply with the application procedures, follow the instructions and meet the following minimum eligibility requirements, except as otherwise provided by state certification law:

1. Must attest to not having been convicted or pled guilty or no contest to a felony, or admit to having a felony on record.
2. Must attest that he or she has not been civilly liable in an action that involved fraud, misrepresentation material omission, misappropriation, moral turpitude, theft, or conversion.
3. Must attest that he or she has not been relieved of responsibilities as a guardian by a court, employer, or client for actions involving fraud, misrepresentation, material omission, misappropriation, theft, or conversion.
4. Must attest that he or she is bonded or will obtain appropriate bonding insurance after certification in accordance with state statutes and local practice.
5. Must attest that he or she has not been found liable in a subrogation action by an insurance or bonding agent.
6. Must attest that he or she has not been disciplined by a state or national certification or licensing organization in any profession.
7. Must attest to complying with the NGA Model Code of Ethics and the NGA Standards of Practice.

B. Continuing Education Units.

1. The National Master Guardian shall, during the period since certification or most recent recertification, have participated in at least thirty (30) hours of continuing education and guardianship training.
2. The National Master Guardian shall provide a listing of the dates, locations, sponsors, and number of credits earned for all continuing education courses to satisfy this requirement.
3. The National Master Guardian must adhere to the CEU policy requirements.
4. CGC may conduct random audits of attendance or course completion certificates for continuing education approval.

C. Recertification Procedures

1. Recertification Time Line

- a. CGC must receive a properly completed application for recertification and appropriate fees no less than thirty (30) days prior to the date the certification expires.



Rules and Regulations
Regarding Certification and Recertification of
National Master Guardians (NMG)
Board Approved: October 23, 2015



- b. Individuals filing recertification applications more than forty-five (45) days after their certification expires shall be denied recertification. In such cases, the individual must begin the certification process again, including sitting for the exam. When the 45 day period has expired, the CGC website will be updated to remove the individual from the listing of certified guardians.

2. Fees

a. Recertification Fee.

Each application for recertification shall be accompanied by a recertification fee, a portion of which will be a nonrefundable processing fee. No recertification application may be processed until the recertification fee has been paid.

3. Application Protocol

a. Application Forms

Application for recertification shall be made on forms provided by the CGC.

b. Upon receipt of a completed application form, the CGC staff shall review the application to determine:

- 1. the application and all required forms have been properly completed and submitted,
- 2. the applicant meets the minimum eligibility requirements, and
- 3. the appropriate fees have been paid.

4. Discretion to Request Additional Information

If after reviewing the information submitted by the applicant the CGC determines that the applicant does not meet the requirements established by these rules and regulations, the CGC may conduct further investigation or require additional information from the applicant or other sources. The CGC may deny recertification based on the information it receives.

5. Notification of Recertification

Upon meeting the minimum eligibility requirements for recertification, the applicant shall be emailed an approval letter, new certificate, and a recertification CEU form within two weeks of successful completion.

IV. DISCIPLINARY PROCEDURE FOR NATIONAL CERTIFIED GUARDIAN

A. Initiation of Process.

1. Who May Petition

Any person ("Petitioner") may Petition CGC to initiate disciplinary procedures against a National Certified Guardian ("Respondent").

- 2. If information or allegations come to the attention of CGC that a National Certified Guardian has violated one or more of the disciplinary criteria set forth in Section II C.6. herein, and no complaint is forthcoming from any person, then the CGC President may appoint an agent or agents to conduct an inquiry and fact finding to determine whether there is a reasonable basis to file a formal complaint.

- a. If the agent or agents file a formal complaint, then this complaint shall be processed in accordance with the disciplinary procedures set forth herein. The person or persons who initiated/participated in the inquiry should not be part of the final appeal decision and would be asked to recuse themselves, if an appeal was made. Those same individuals will also not be asked to serve on the Professional Review Board (PRB) convened for the specific inquiry in which they were involved.

B. Content of the Petition.

A Petition, which is to be submitted to the CGC Executive Director, must be in writing and must include: the name and pertinent contact information of the Petitioner and the Respondent; an allegation of the existence of one or more of the disciplinary criteria set forth in Section II C.6.; an adequate factual basis for the allegation(s); and any necessary documentation or other supporting materials or information.



Rules and Regulations
Regarding Certification and Recertification of
National Master Guardians (NMG)
Board Approved: October 23, 2015



C. Initial Review of Petition.

The CGC Executive Director, in consultation with the CGC President and CGC General Counsel, will review the Petition to determine if it includes the necessary elements identified in Paragraph B herein. If the Executive Director determines that the Petition does not conform to Paragraph B herein, then, citing the specific deficiency or deficiencies, the Executive Director shall notify the Petitioner that the Petition will not be considered. The Petitioner may re-file an amended Petition, or may seek a review of the Executive Director's decision by the CGC Executive Committee by so notifying the CGC Executive Director within fifteen (15) days of the date of the rejection letter. In addition, if a complaint includes allegations of criminal conduct by a guardian or conduct that is actionable against a guardian in a court of law, the CGC Executive Director, in consultation with the CGC President and CGC General Counsel, may decline consideration and instead defer to the authority of an appropriate court of law, law enforcement agency, or other governmental investigatory or adjudicatory body. An outcome of such legal proceedings adverse to a guardian may form the basis of a subsequent complaint.

D. Professional Review Board (PRB).

Once a Petition is determined to conform to the requirements of Paragraph B herein, the Executive Director will notify the CGC President, who will appoint three individuals to a Professional Review Board (PRB) to address the Petition. At least one appointee shall be a member of the CGC Board of Trustees at the time of appointment. The CGC President shall also designate one of the PRB members to be PRB Chair. The PRB will act by majority vote.

E. Notice and Response.

Concurrent with notification of the President, the Executive Director will also inform the Respondent in writing that a Petition has been submitted; provide the Respondent with a copy of the Petition, including all supporting materials, as well as a copy of these Rules and Regulations; send a form indicating the Respondent's election to request or waive a Hearing; request a listing of participants (legal counsel, witnesses, and others) who will be present at the Hearing, and ask for a written Answer to the Petition. The Answer, Hearing request or waiver, and participant list must be received by CGC within fifteen (15) business days from the date of the letter. Failure to respond in the timeframe noted may be deemed an admission to the allegations in the complaint.

F. Suspension Pending Decision.

The CGC Executive Committee may, in its discretion, suspend the certification of the Respondent pending the decision of the PRB, and/or pending final disposition of any appeal.

G. Handling of Complaint and Response.

1. Paper Review by PRB.

The PRB Chair will schedule at least one meeting, in person or via conference call, to review the Petition and Answer, if any. Additional meetings may be held as deemed necessary by the PRB. If a Hearing is requested, the PRB may hold a preliminary meeting, but no decision will be rendered until such time as the Hearing takes place, unless the decision is to summarily dismiss the Petition.

While the PRB may seek additional information in its discretion; it has no obligation to do so. The PRB is not an investigatory body and will generally render its decision based on the submissions of the Petitioner and Respondent and testimony at any Hearing.

2. Hearing.

The Respondent has the right to request or waive his/her right to a hearing. The hearing may either be by conference call or in-person, at the discretion of the PRB. The PRB will determine the time and date of the hearing as well as the location of any in-person hearing. The Respondent is responsible to bear all costs to participate in the hearing, including, but not limited to, the transcription of the hearing and the cost of witnesses for the Respondent. At this proceeding, the Respondent will be permitted to testify; present



Rules and Regulations
Regarding Certification and Recertification of
National Master Guardians (NMG)
Board Approved: October 23, 2015



evidence; respond to questions from the PRB; and examine and cross-examine witnesses who are also present. The Respondent may be represented by legal counsel at the hearing. No hearing need be held if the PRB decides to summarily dismiss the Petition. The PRB may establish rules for the conduct of the hearing, though formal rules of evidence will not apply.

H. Decision of PRB.

The PRB shall strive to render a decision on the Petition within ninety (90) days of the submission of all documents by the Petitioner and Respondent or any hearing herein, and shall notify the Petitioner and Respondent in writing of that decision. The written notification shall include an explanation of the basis for the decision. In most cases a decision of the PRB will be one of the following: the Respondent has engaged in prohibited conduct; the Respondent has not engaged in prohibited conduct; or there is insufficient evidence to determine whether or not the Respondent has engaged in prohibited conduct. A finding of a prohibited conduct must include the PRB's decision as to any disciplinary action to be imposed including, but not limited to censure, suspension, and revocation. The PRB shall use the preponderance of the evidence standard of proof in all its decisions made pursuant to Section II C.6 herein. Preponderance of the Evidence is defined as "evidence which is of greater weight or more convincing than the evidence which is offered in opposition to it; that is, evidence which as a whole shows that the fact sought to be proved is more probable than not". The PRB may issue an Advisory Letter or Letter of Concern to the Respondent even though there is no finding of prohibited conduct.

J. Definitions

The following represent definitions of terms associated with the decision herein of the PRB:

1. Non-Disciplinary Action

- a. Advisory Letter** means written communication from the PRB notifying the Respondent that the conduct, while not warranting discipline or a finding of prohibited conduct, may result in future disciplinary action if not modified or eliminated. An Advisory Letter is not disciplinary action and there is no appeal of an Advisory Letter by the Respondent. The Advisory Letter will be placed in the permanent file of the Respondent. The Respondent may respond in writing to the Advisory Letter. Any such correspondence will be included in the permanent file.
- b. Letter of Concern** means written communication from the PRB notifying the Respondent that, while there is insufficient evidence to support disciplinary action, the PRB believes the Respondent should modify or eliminate certain practices that led to the Complaint. A Letter of Concern is not a disciplinary action and there is no appeal of a Letter of Concern by the Respondent. The Letter of Concern will be placed in the permanent file of the Respondent. The Respondent may respond in writing to the Letter of Concern. Any such correspondence will be included in the permanent file.

2. Disciplinary Action

- a. Censure** means written disciplinary action from the PRB finding the Respondent has engaged in prohibited conduct and violated one or more disciplinary criteria contained in Section II C.6. of the Rules and Regulations herein.
- b. Suspension** means written disciplinary action finding the Respondent has engaged in prohibited conduct and violated one or more disciplinary criteria contained in Section II C.6 of the Rules and Regulations herein, resulting in not permitting the Respondent to exercise the privileges of a National Certified Guardian for the period of time set by the PRB, not to exceed five (5) years. The CGC Executive Committee may suspend a certification pending a decision by the PRB and/or pending the final decision of any appeal. Upon completion of the suspension period, the Respondent must make a written request to CGC to be reinstated as an NCG within 45 days after the end of the suspension period. If the Respondent's recertification period has expired during suspension, the Respondent shall apply for recertification within the 45-day period, pay the applicable fees, and



Rules and Regulations
Regarding Certification and Recertification of
National Master Guardians (NMG)
Board Approved: October 23, 2015



comply with continuing education hours and all requirements of the recertification process. Failure to request reinstatement and complete any required recertification requirements within 45 days from the end of the suspension period will require Respondent to complete a new certification application and take the examination to be certified.

- c. **Revocation** means written disciplinary action from the PRB finding the Respondent has engaged in prohibited conduct and violated one or more criteria contained in Section II C.6. of the Rules and Regulations herein, resulting in removal by the PRB of the Respondent's Certification as a National Certified Guardian.

J. Appeal.

Except as otherwise provided in this Section, the Respondent may appeal the decision of the PRB to the CGC Board of Trustees by submitting a written notice with the CGC Executive Director within thirty (30) days of the date of the PRB's decision. Either the PRB or the CGC Board of Trustees may postpone implementation of the disciplinary action, if any, imposed by the PRB until after disposition of the appeal. The Respondent shall include with the notice of appeal a Petition for Appeal that shall state clearly and concisely the reasons upon which the Respondent seeks a dismissal, modification or remand of the decision of the PRB. The allegations of the Petition for Appeal shall be limited to the record before the PRB. There will be no consideration of new evidence or a right to a hearing or testimony of any witnesses in the Appeal. The Appeals Board, consisting of 3 members of the CGC Board of Trustees appointed by the CGC President, will determine the Petition for Appeal. The Appeals Board shall affirm the decision and discipline imposed by the PRB, unless the Respondent establishes that the decision and/or discipline is clearly erroneous. The decision of the Appeals Board may be to affirm the PRB decision, dismiss the Complaint, modify the PRB decision or discipline or remand the case back to the PRB. The Appeals Board shall seek to issue its ruling within ninety (90) days of receipt of the Petition for Appeal. The decision of the Appeals Board shall be final and binding on CGC and the Respondent.

K. Publication.

CGC may publicize the nature, existence, or preliminary or final result of any disciplinary proceeding or action at any stage, if deemed by CGC to be in the interests of CGC, the Certification Program, or any segment of the general public. Any disciplinary action taken, including censure, suspension or revocation will be published on the CGC website.

L. Correspondence.

All correspondence and notices herein between the petitioner and respondent should be made by e-mail, or certified mail and courier service.

V. THE OFFICIAL ADDRESS FOR ALL CORRESPONDENCE

The official address for all correspondence to the Center for Guardianship Certification is PO Box 5704, Harrisburg, PA 17110.

VI. OFFICIAL LANGUAGE

Except as restricted by applicable law, an individual holding a current certification from CGC shall use the following language to disclose the certification in written communications: "certified as a National Certified Guardian" and/or the designation of "NCG."

VII. AMENDMENTS PROCEDURES

These rules and regulations may be amended as provided in the Bylaws of the Center for Guardianship Certification.

Writing Exams

Three NCG and three NMG exams are composed from an exam pool consisting of 120 questions (NMG) or 100 questions (NCG) so that all NCG or NMG exams are similar. All exams are designed so that a person answering one set of questions would obtain the same score regardless of which exam he/she receives. No exam is to be more difficult or easier than another.

- Each exam question is based on a core competency related to guardianship.
- Use each response option (A, B, C, or D) as the correct answer an equivalent number of times. Randomize the position of the correct responses.
- No question from the exam pool needs to appear on more than one exam.
- Use an equivalent number of questions related to each core competency in each exam. Randomize the position of questions related to a core competency throughout each exam.



Policy on Negotiating State Contracts

CGC believes strongly in the concept of mandatory certification for guardians in all states and in the organization's ability to provide certification services.

During negotiations with any state, or other entity, the following items will not be negotiated and CGC will not provide certification services if these items are not agreed upon by the representatives from the state:

All applicants will be tested on and receive National CGC Certification

All applicants must agree to adhere to the NGA Code of Ethics

The state must agree to and follow the disciplinary procedures of CGC

Examinations will only be provided via CGC online testing at testing centers contracted through CGC
Background checks will be conducted based on CGC's policies (this includes educational and identity verification)

CGC will retain ownership of the examination and questions

Recertification of the CGC certification is required

A favorable cost-benefit analysis must be conducted

Approved by Board of Trustees: 5.19.12

NOTE: At its meeting on August 16, 2013, the Board of Trustees made the following motion:

Motion made and seconded to allow for flexibility when negotiating the California and Florida state contracts to deviate from the current Policy on Negotiating State Contracts. Motion passed.

CGC Non-Discrimination Policy

The Center for Guardianship Certification (CGC) prohibits discrimination on the basis of race, color, religion, creed, sex, age, marital status, national origin, mental or physical disability, political belief or affiliation, veteran status, or sexual orientation and any other class of individuals protected from discrimination under state or federal law in any aspect of the access to, admission, or treatment of examinees, volunteers, wards, or anybody having legitimate business with CGC. Furthermore, CGC policy includes prohibitions of harassment of Trustees and contractors, i.e., racial harassment, sexual harassment, and retaliation for filing complaints of discrimination.

CGC Accommodation Procedures

In compliance with The Americans with Disabilities Act (ADA), Public Law 101-336, the Center for Guardianship Certification (CGC) determines and approves "reasonable accommodations" for applicants with disabilities that may affect their ability to take required examinations. It is the applicant's responsibility to notify CGC of alternative arrangements needed. CGC is not required by the ADA to provide special accommodations if they are unaware of an applicant's needs. The information provided to CGC, including any documentation regarding the individual's disability and their need for accommodation in testing will be considered strictly confidential and will not be shared with any outside source without that individual's express written permission.



Center for Guardianship Certification
PO Box 5704, Harrisburg, PA 17110-5704
(717) 238-4689
www.guardianshipcert.org



Special Accommodation Request for Examination

In compliance with The Americans with Disabilities Act (ADA), Public Law 110-325, the Center for Guardianship Certification (CGC) determines and approves "reasonable accommodations" for applicants with disabilities that may affect their ability to take required examinations. It is the applicant's responsibility to notify CGC of alternative arrangements needed. CGC is not required by the ADA to provide special accommodations if they are unaware of your needs. The information required below and any documentation regarding your disability and your need for accommodation in testing will be considered strictly confidential and will not be shared with any outside source without your express written permission.

Name: _____

Address: _____

Daytime Telephone: _____ E-mail: _____

Disability: _____

Accommodations Requested: _____

I certify under penalty of perjury that the foregoing is true and correct.

Signature: _____ Date: _____

Requirements for Special Accommodations Request:

If your disability is observable and your request does not involve modifying examination procedures, but is limited to wheelchair space, special seating or equipment needs, it may not be necessary to obtain professional verification.

You are required to submit documents from the medical authority or learning institution that rendered a diagnosis. Verification must be submitted to CGC on the letterhead stationary of the authority or specialist and must include the following:

- Description of the disability and limitations related to testing
- Recommended accommodation/modification
- Name, title, and telephone number of the medical authority or specialist
- Original signature of the medical authority or specialist
- Professional license or certification number of the medical authority or specialist.

If you have previously been granted special testing accommodations by an organization that required documentation to verify your disability, CGC may accept a copy of the verification, provided that you submit the name, address, and telephone number of the medical authority, specialist, or learning institution that prepared the documentation.

Document and File Retention Policy

The Center for Guardianship Certification (CGC) retains hard copy files and electronic information on each individual who applies for certification, becomes certified, and renews their certification status through the organization.

The hard copy files contain the initial application received (if available), the two most recent recertification applications with supporting documentation, and, if a complaint has been received, copy of that complaint, the response from the guardian, and the decision letter of a PRB, if one was called. The electronic files contain the individuals name, address, email, phone number, fax number, employer name, date, status of application/recertification requirements, exam date and results, current status of individual with CGC, whether a PRB or issue exists with the individual, and internal financial information.

The hard copy file and all information contained within is discarded via a shredding company two years after an individual either fails the examination or fails to recertify with CGC. The purge occurs each year in January. The electronic files are kept indefinitely so the organization has record of previous certificants and is able to track those who return and those who have been decertified or disciplined, as well.

Pursuant to the Rules & Regulations, CGC may publicize the nature, existence, or preliminary or final result of any disciplinary proceeding or action at any stage, if deemed by CGC to be in the interests of CGC, the Certification Program, or any segment of the general public. Any disciplinary action taken, including censure, suspension or revocation will be published on the CGC website. The discretion to release information will be determined by CGC Executive Committee, with the advice of CGC legal counsel

In order to protect the anonymity of CGC volunteers when asking them to serve on a Professional Review Board (PRB), email correspondence related to a complaint is purged after all appeal opportunities have been exhausted. Prior to the purge, pertinent email correspondence is printed and placed in the individuals hard copy file for reference purposes. Volunteers serving on the PRB are instructed to delete all email correspondence related to the complaint once a decision is rendered.

All electronic copies of exam assessments (item and job analyses) are kept on file for 10 years. As we perform analyses every other year for items and every five years for the job analysis, this gives us back-up from previous analyses. The results of those assessments are kept on our password-protected server and backed-up daily.

This policy dictates that under no circumstances are examination questions, assessment results, examination scores or hard copy files, as defined in paragraph 2 of this policy, shared with a candidate or any other third party. If any of the documents listed are requested to be released, CGC Executive Committee must confer with legal counsel to determine the appropriateness of the request and CGC's response. Only pass/fail results are listed on the CGC website for candidates to check the status of their effort. Those results are listed by the individual's examination number, which is only ever shared with the examinee and the testing company.

CGC Grandfather Policy

The Center for Guardianship Certification (CGC) recognizes that, when the organization was founded in 1997, there were individuals who were responsible for writing the articles of incorporation, developing the Bylaws of the organization, voting on those organizational documents, and taking part in decision-making about guardianship certification examinations including writing exam questions and assisting with both application and examination policies and procedures. Those individuals, some of whom were practicing guardians at the time, were granted certification through a grandfathering clause. They had to provide proof of continuing education and pay the required fees to maintain their certification through CGC.

There is currently only one individual who is still an active participant with CGC who was granted certification through the grandfathering clause. That individual continues to provide proof of continuing education as well as pay the required fees to maintain their certified status with CGC.

The only situation in which grandfathering would be considered would be in the individual participated in the development of the examination and was approved by the Board of Trustees.

NCG CERTIFICATION

**Center Guardianship Certification
National Certified Guardian Committee**

JOB DESCRIPTION

Purpose: To oversee the National Certified Guardian certification process and policies.

Membership:

The National Certified Guardian Committee Chair will, in consultation with the CGC President, invite persons to serve on this committee. The number of Committee members should be at least 4 and no more than 8, including the chair. This number does not include the President of CGC who is an ex-officio member of the committee.

Eligibility for Committee Membership: In order to be a member of the National Certified Guardian Committee an individual must be:

- Certified as a National Certified Guardian (NCG) or willing to waive the right to seek certification;
- Willing to participate in teleconference calls and make at least one trip annually to a central location for committee meetings;
- Have an historical perspective related to the certification process;
- Have some exam writing and/or guardianship experience; and
- Willing to sign the Committee Member Ethics and Disclosure Statement.

Chief Responsibilities:

- Promote the NCG Certification among guardians and allied professionals;
- Assist in writing and editing the multiple choice examination questions;
- Review results of item and job analysis and assist in remapping examinations;
- Review CEU guidelines and make recommended changes to that process;
- Review renewal and retention of certified individuals;
- Provide reviews to those who are unsuccessful in passing the examination;
- Review any issues related to applications received that are questionable or need clarification by staff to move forward;
- Review and make recommended revisions to the NCG Rules and Regulations to the Board of Trustees, as needed; and
- Develop policies and procedures related to National Certified Guardian certification and recertification for presentation to the CGC Board.

Reimbursement:

Serving on this committee is a volunteer (unpaid) position. Expenses for in-person meetings will be reimbursed under CGC Guidelines.



NCG and NMG Exam Fact Sheet



The Center for Guardianship Certification (CGC) CGC has moved to an electronic format for the administration of most exams to make the examination process more convenient and efficient. Exams are offered through ACT testing centers. Individuals approved to sit for an exam may contact an ACT testing center near them to schedule their exam.

Additional Information may be found on the CGC website www.guardianshipcert.org.

When and where is the next exam?

Approved applicants contact the ACT testing center near them to schedule their exam time.

How do I apply to take an exam?

To apply to take an exam, look in the "**Exam Application**" section of the CGC website for the exam you wish to take. The "Rules and Regulation" section outlines the requirements for the application.

How much does an NCG exam cost?

The exam fee is \$275 which includes a \$50 non-refundable application fee. All fees are located at the top of each application form.

How much does an NMG exam cost?

The exam fee is \$525 which includes a \$150 non-refundable application fee.

How do I appeal a determination of non-eligibility to sit for the examination?

If CGC determines you are ineligible to sit for the examination, you may send a letter to CGC's Executive Director to request reconsideration. The Executive Director will share the request with the appropriate Committee for a determination and will reply to the request within 20 business days.

Who do I pay?

Payments are made directly to the Center for Guardianship Certification through the website on a secure server at the time the application is submitted using a credit card (Visa, MasterCard, and Discover only).

What kind of questions are on the NCG exam?

The NCG exam consists of 100 multiple choice questions. The questions test for knowledge and application of core competencies identified by professional guardians as being essential for carrying out the duties of a guardian. These competencies are listed on the CGC website under the heading for each particular exam. Candidates are allowed 2 hours to take the exam.

What kind of questions are on the NMG exam?

The NMG exam consists of two sections - 120 multiple choice questions and an essay exam. The questions test for knowledge and application of core competencies identified by experienced guardians as being essential for carrying out the duties of a master guardian. Candidates must answer 5 of 7 essay questions offered. Three hours are allowed for each section of the exam.

Where can I obtain review materials for the NCG exam?

Review materials for the National Certified Guardian (NCG) exam are available for purchase through the



NCG and NMG Exam Fact Sheet



National Guardianship Association (NGA). The NGA also provides an online review course. You may order materials and/or sign up for the review course through their website at www.guardianship.org. Review materials and courses do not cover specific questions on the test. Like certification of other professions, the purpose of the exam is to test ability to apply standards of practice rather than the ability to retain information.

Where can I obtain review materials for the NMG exam?

The content of the National Master Guardian exam does not lend itself well to a single course or study guide. We suggest you review the **core competency requirements** listed on our website and look for material related to those areas. Sources for materials include NGA and state association conference materials, articles on the Internet, handbooks through government agencies, and books related to ethics, business practices, etc.

This document is available in the exam section of the CGC website at www.guardianshipcert.org and is regularly updated. We strongly advise that you check the website periodically for an updated copy. This document was last updated on 1/13/12.

Confidentiality Policy

CGC policy is to not disclose the candidate's application status, except under the following circumstances:

- A. Court Subpoena;
- B. When necessary to implement the application and/or examination process;
- C. When requested by the applicant.

The pass/fail status of examination results will be provided to the applicant in a confidential manner. The raw score will not be released, except when required by court subpoena.

NMG CERTIFICATION

Center Guardianship Certification National Master Guardian Committee

JOB DESCRIPTION

Purpose: To oversee the National Master Guardian certification process and policies.

Membership:

The National Master Guardian Committee Chair will, in consultation with the CGC President, invite persons to serve on this committee. The number of Committee members should be at least 4 and no more than 7, including the chair. This number does not include the President of CGC who is an ex-officio member of the committee.

Eligibility for Committee Membership:

In order to be a member of the National Master Guardian Committee an individual must be:

- . • A member in good standing of the National Guardianship Association;
- . • Certified as a National Master Guardian or willing to waive the right to seek certification;
- . • Willing to participate in teleconference calls and make at least one trip annually to a central location for committee meetings; and
- . • Willing to sign the Committee Member Ethics and Disclosure Statement.

Chief Responsibilities:

- . • Promote the NMG Certification among guardians and allied professionals;
- . • Write the multiple choice and essay portions of the test;
- . • Screen applicants to sit for the exam by comparing their applications with NMG Rules and Regulations;
- . • Recommend revisions of the NMG Rules and Regulations to the Board of Directors as needed;
- . • Develop policies and procedures related to National Master Guardian certification and recertification for presentation to the CGC Board; and
- . • Grade the essay portion of the exams in a timely manner.

Reimbursement:

Serving on this committee is a volunteer (unpaid) position. Expenses for in-person meetings will be reimbursed under CGC Guidelines.

NMG COMMITTEE FOR CGC Orientation Packet for New Members

1. Committee Job Description
2. Committee Members Ethics and Disclosure Statement
3. NMG Application Packet
4. NMG Re-Certification Packet
5. Applicant Screening Process
6. NMG Essay Instructions
7. Essay Questions and Answer Sheets
8. NMG Multiple Choice Instructions
9. Multiple Choice questions
10. Letter to Proctors with Instructions
11. Procedures for Grading Essay Part of Exams
12. Procedures for Determining Pass/Fail on Essays
13. Procedures for Giving Feedback on Failed Exams to Candidates
14. Expense Reimbursement Form

INSTRUCTIONS FOR DETERMINING PASS OR FAIL ON NMG ESSAY QUESTIONS

- 1 Use attach grid pattern to create a grading grid for the essay tests.
- 2 Record scores from each person grading the test and tally the scores.
- 3 If total score is 300 or above, the candidate passed the essay portion of the test. (See Candidate Dexter on other sheet.)
- 4 If total score and the total differences in the scores given by the two graders, does not equal 300 or above, the candidate failed the essay portion of the test. (See Candidate Euphonia.)
- 5 If the differences between the two persons grading each question indicates that a reconciliation of the two scores could result in passing score of 300 or more, contact the graders and ask them to reconcile their scores. (See Candidates Foster and Granville.)

FEEDBACK ON FAILED EXAMS TO NMG CANDIDATES

A failed National Master Guardian candidate may request feedback regarding the failed exam by calling the Center for Guardianship Certification. Staff will request a volunteer from the NMG Committee talk with the candidate. Access to a call to give feedback on an exam is not guaranteed and depends on the availability of a volunteer member of the National Master Guardian Committee.

Candidates will be e-mailed or mailed a copy of this policy prior to the conversation so that they know what to expect.

Premise:

The mission of the Center for Guardianship Certification is to enhance the quality of guardianship services through national certification. In regard to certification, the responsibility of CGC is to develop, administer, and grade the certification examinations. Education in preparing for the examination is the responsibility of our sister organization, the National Guardianship Association. Separation of these two responsibilities is critical to the validity of the certification process. The Center for Guardianship Certification must be absolutely sure that no candidate has an advantage over other candidates. However, CGC is mindful that candidates who are not successful in passing the examination are desirous of learning how they could improve their performance on subsequent examinations.

General Information which may be shared:

1. Information about the grading process, including:
 - a. that the essay portion of the examination was graded only by committee members,
 - b. that two committee members separately graded each exam question, and
 - c. that each question was graded by a different set of committee members
2. Reassurance that you have reviewed their answers again and that you have confirmed there was not a mistake in grading.
3. General trends that you have observed might cause people to fail.

Multiple Choice:

Information that may be discussed includes:

1. Trends in particular types of questions missed. For example, missed questions had to do with finances or client rights or health.
2. Definition and explanation of the best right answer.
3. Tips for taking a multiple choice test.
 - o Read the questions carefully.
 - o Take your time and read the question again if necessary
 - o Do the questions you are sure of first
 - o Go back to the questions you skipped

Essay Exam

Information that may be discussed includes:

1. Information on which essay subjects (or core competencies) the candidate made a low score.
2. Information about how the essay questions are graded.
3. Tips for doing a better job of taking an essay test:
 - a. Balance covering a lot of different aspects or issues of the case scenario with discussing each aspect or issue fully enough
 - b. Notice the points assigned to each subpart as a guide to the detail we are expecting.
 - c. The “no less than x” language in the question is a very direct clue as to how many specific topics we are looking for in assigning points.

Conversations will not include information on whether the candidate came close to getting the required 75% on either part of the exam.

RECERTIFICATION AND CEUS

CONTINUING EDUCATION REQUIREMENTS AND POLICY

Criteria for CGC CEUs

In order to improve their skills as guardians, CGC requires that certified guardians earn CEUs for recertification. Before submitting courses for recertification, guardians should ask themselves whether the knowledge acquired by attending a lecture, workshop, seminar or conference will make them better guardians.

Certification renewal requires a minimum of 20 hours of documented continuing education spread over the two (2) year period for National Certified Guardians (NCGs) and 30 hours of documented continuing education spread over the three (3) period for National Master Guardians (NMGs) for recertification. These years encompass the years previous to and the year in which the recertification is due. Continuing education hours can be obtained either by being a participant or by being a presenter of a program meeting CGC criteria. Certified guardians are encouraged to acquire more than the minimum CEUs required so that they can still be recertified even if some of the CEUs submitted are not accepted.

Continuing education content provided to certified guardians must:

- Be related to the CGC core competencies
(see http://www.guardianshipcert.org/become_certified_ncg_2012.cfm)
- Be presented by certified guardians or other professionals, such as physicians, attorneys, social workers, nurses, psychologists, researchers, etc.
- Be targeted to a professional audience.
- Be at least one hour (60 minutes) in length.
- Be offered in the context of a professional level course, institute, seminar, workshop, conference or in-service training.

Assigning CEUs for Online and Home Study Courses

This policy recognizes the fact that many of our certified guardians are not able to attend colloquia, conferences and/or lectures due to distance, time constraints or disability. This policy is written for the benefit of certified guardians needing to take an online or home study course to earn CEUs to maintain their certified status. Appropriate online and home study classes may be assigned CEUs if they meet certain requirements. The first requirement is that the classes are meant for certified guardians and are not basic guardianship classes. The second requirement is that the contact hours for online and home study courses may not exceed one half (1/2) of the CEUs during the recertification period. Third, the guardian must be able to provide Proof of Attendance from the educational provider directly. The subject areas currently included in the criteria for CGC CEUs will apply to CEUs earned through online and home study courses.

Assigning CEUs for Teaching

This policy recognizes the fact that many of our certified guardians spend a large percentage of their time working to become better guardians through the hours spent preparing for and teaching guardianship classes at institutes, seminars, workshops and conferences. The professional growth gained through teaching occurs in preparation for classes (incorporating new information) and in the classroom through discourse with their students.

Verification of the content, and length (time) of the presentation must be provided by the entity sponsoring the program. (e.g. The certified guardian presents a one hour session at an Alzheimer's conference; the certified guardian must submit a letter from that agency stating that certified guardian presented Topic A on this date for this amount of time).

The following types of presentations do not meet the CE requirements stated above: marketing presentations, informational exchanges or networking activities.

A presentation or course cannot be submitted more than once per year.

This activity cannot entirely replace the value of attending colloquia, conferences, and lectures with one's peers, but certainly has a value of its own. CEUs earned through teaching may account for up to one quarter (1/4) of the CEUs for NCGs and up to one third (1/3) for NMGs over the recertification period. Teaching your employees, contractors or volunteers as part of your job or work responsibilities are not accepted for recertification. The subject areas currently included in the criteria for CGC CEUs will apply to CEUs earned for teaching.

Assigning CEUs for Curriculum Development

Certified guardians may accrue continuing education credits for curriculum development activity, provided:

1. The course content is guardianship specific; and
2. Verification is provided by the academic institution of the course content and hours spent in preparation. Such verification must be signed by a faculty member.

The curriculum development and course cannot be submitted for the same year and not more than once per year.

This activity cannot entirely replace the value of attending colloquia, conferences, and lectures with one's peers, but certainly has a value of its own. CEUs earned through curriculum development may account for up to one quarter (1/4) of the CEUs for NCGs and up to one third (1/3) for NMGs over the recertification period. The subject areas currently included in the criteria for CGC CEUs will apply to CEUs earned for curriculum development.

Calculating Contact Hours

In calculating the 20 contact hours of continuing education, the following guidelines apply:

1 contact hour = 60 minutes of classroom time

Introductory and closing remarks, business meetings, exhibits, networking meetings, support groups, breaks, meals, receptions, etc. cannot to be included in the computation of contact hours.

Proof of Attendance

The following are accepted forms of proof of attendance at or participation in an educational activity:

- An official continuing education certificate or certificate of attendance which includes the certified guardian's name, the name, location and date of the program, the number of contact hours earned, and the presenter or sponsoring organization signature.
- The program agenda, with the presenter's signature and credentials, the content or course objectives, location, dates, total number of hours attended, and the certified guardian's name.
- A letter on the sponsoring organization's letterhead, giving the name of the program, presenter's name and credentials, content, location, dates, total number of hours attended, and the certified guardian's name.
- A formal course transcript from an educational institution, including certified guardian's name and passing grade(s).
- A letter documenting teaching or curriculum activities on the sponsor's letterhead, giving the certified guardian's name, program location, dates, subject taught and total number of hours of instruction or curriculum development.

Multiple Recertifications

The Board of Trustees of the Center for Guardianship Certification understand that, give financial constraints of some governmental entities, it is sometimes necessary to review the renewal date of certified individuals employed by the same organization or governmental agency. For the sake of consistency and ease of payment for recertification of these individuals, the CGC Board gives approval for staff, upon request by an organization or governmental agency, to change the recertification date of those individuals employed by that same entity to one consistent date, and bill that organization or governmental agency for all those certified individuals for their recertification at one time.

CGC Certification Renewal Guidelines

CGC must receive a properly completed application for re-certification not more than 45 days after the certification expires. The re-certification application shall be accompanied by the appropriate fee or it shall be denied.

Individuals filing re-certification applications more than 45 days after their certification expires shall be denied re-certification. In such case, the certification process must begin again. At that time, the CGC website will be updated to remove the individual from the listing of certified guardians.

All communications regarding the certification and recertification process is by e-mail. If a certified guardian does not receive verification within a certain time, then it is their obligation to follow-up with CGC. Electronic notification will be as follows:

60 days prior to expiration	First Notice
30 days prior to expiration	Second Notice
45 days after expiration	Letter noting re-certification denied and can reapply, guardian is not permitted to use the "national certified guardian" or "national master guardian" designation, the guardian's name will be removed from listing on website, and asking them to let CGC know if an error has occurred.

The NCG and NMG recertification application forms are on the website as a mandatory fillable form with required payment online. There is an exception for the governmental organizations that do not allow online payment.

As CGC removed the notary requirement effective 2/5/10, and removed it from all recertification forms, individuals are swearing under oath by possible penalty of perjury that their statements are true and correct on the application.

Continuing education certificates are not required to be submitted, but the guardian is advised to retain their certificates as there would be possible audits in the future. CGC staff will conduct random audits.

Certificates are sent as a PDF file with the individuals name already printed on the certificate and sent when the guardian receives the e-mail verifying their certification.

Revised by Board Motion - February 5, 2010

AWARDS

NMG Star Award Policies and Procedures

The purpose of the NMG Star Award is to recognize an outstanding Master Guardian who demonstrates knowledge of advanced guardianship concepts and ethics, and displays a significant contribution to both the guardianship community and their community-at-large.

Criteria

1. All current NCGs, NMGs, and members of the National Guardianship Association (NGA) are eligible to nominate a Master Guardian for the NMG Star Award.
2. Nominees must meet the following criteria:
 - a. Must be a Master Guardian, but no self-nominations will be permitted.
 - b. The nominee must be a member of NGA, which demonstrates significant contribution to the guardianship community.
 - c. The nominee should have some affiliation with his/her state association, if one exists.
 - d. The nominee must not have received the NMG Star Award in the past.
3. Nominations must include the following information:
 - a. The nominee's name, organization/firm, address, telephone number and email address.
 - b. Specific examples demonstrating the nominee's leadership within the guardianship community.
 - c. Specific examples on how the nominee exemplifies the NGA Standards of Practice and Model Code of Ethics.
 - d. A description of how the nominee contributes to the larger community.
4. Nominations will be accepted and reviewed annually; however, the committee reserves the right to not present this award in any one year.

Procedures

- A nomination form will be developed and sent by CGC Staff at least three months prior to presentation to those eligible to nominate an award recipient.
- Nominations are due to CGC Staff at least 60 days prior to the NGA Conference.
- Nominations received but not chosen from the previous three years will be placed for consideration.
- All nomination forms and supporting documentation will be presented to the NMG Star Award Committee for review. (The NMG Star Award Committee will be comprised of up to five previous recipients. The immediate past award winner will serve as Chairperson.)
- A decision will be made by the NMG Star Award Committee at least 30 days prior to the NGA Conference.
- The selection of the recipient is to be kept confidential.
- CGC Staff will order an individual award recognizing the NMG Star Award recipient.
- CGC Staff will determine if the individual receiving the award will be in attendance at the NGA conference.
- If the recipient will be in attendance, the award is shipped to the conference location for presentation by the CGC President and the immediate past NMG Star Award recipient, if in attendance.
- If it is determined that the recipient is not to be in attendance one week prior to the date of the conference, staff will contact the recipient to inform them of their honor and the award will be sent to the recipient along with a letter of congratulations and notification that their honor will be announced at the NGA conference.
- Staff will ensure that nomination forms will be kept on file for three years and those nominations no longer eligible for selection will be destroyed.

CGC Fred Kretz Cornerstone Award Policies and Procedures

The purpose of the Fred Kretz Cornerstone Award is to recognize an outstanding Individual who demonstrates and promotes guardianship certification, concepts and ethics, and displays a significant contribution to both the guardianship community and their community-at-large.

Criteria

1. All current CGC and NGA board members and CGC certified guardians are eligible to nominate an individual for the CGC Fred Kretz Cornerstone Award.
2. Nominees must meet the following criteria:
 - a. The nominee should have some affiliation with the Center for Guardianship Certification.
 - b. The nominee must demonstrate significant contribution to the guardianship community and promote guardianship certification at both a local and national level.
 - c. The nominee must not have received the CGC Fred Kretz Cornerstone Award in the past.
3. Nominations must include the following information:
 - a. The nominee's name, organization/firm, address, telephone number and email address.
 - b. Specific examples demonstrating the nominee's leadership within the guardianship community.
 - c. Specific examples of how the nominee's promotes certification within the guardianship community.
 - d. A description of how the nominee contributes to the larger guardianship community.
4. Nominations will be accepted and reviewed annually; however, the committee reserves the right to not present this award in any one year.

Procedures

- A nomination form will be developed and sent by CGC Staff at least three months prior to presentation to those eligible to nominate an award recipient.
- Nominations are due to CGC Staff at least 60 days prior to the NGA Conference.
- Nominations received but not chosen from the previous three years will be placed for consideration.
- All nomination forms and supporting documentation will be presented to the CGC Award Committee for review. (The CGC Award Committee will be comprised of up to five previous recipients of the NMG Star Achievement Award. The immediate past award winner will serve as Chairperson.)
- A decision will be made by the CGC Award Committee at least 30 days prior to the NGA Conference.
- The selection of the recipient is to be kept confidential.
- CGC Staff will order an individual award recognizing the CGC Fred Kretz Cornerstone Award recipient, as well as add the recipient's name to the traveling award.
- CGC Staff will determine if the individual receiving the award will be in attendance at the NGA conference.
- If the recipient will be in attendance, the awards are shipped to the conference location for presentation by the CGC President.
- If it is determined that the recipient is not to be in attendance one week prior to the date of the conference, staff will contact the recipient to inform them of their honor and the award will be sent to the recipient along with a letter of congratulations and notification that their honor will be announced at the NGA conference.
- Staff will ensure that nomination forms will be kept on file for three years and those nominations no longer eligible for selection will be destroyed.



National Certified Guardian Excellence Award

Criteria and Procedures



The purpose of the NCG Excellence Award is to recognize an outstanding National Certified Guardian who demonstrates exemplary commitment to NGA Standards of Practice and Model Code of Ethics in client services; and displays a significant contribution to both the guardianship community and their community-at-large.

NCG Excellence Award Policies and Procedures

Criteria

1. All current NCGs, NMGs, and members of the National Guardianship Association (NGA) are eligible to nominate a National Certified Guardian for the NCG Excellence Award. No self-nominations will be permitted.
2. Nominees must meet the following criteria:
 - a. Current National Certified Guardian.
 - b. Member of NGA or member of their state association, if one exists.
 - c. Demonstrates significant leadership contributions to the guardianship community.
 - d. Not received the NCG Excellence Award in the past.
 - e. Active in making positive contributions in other community organizations.
3. Nominations must include the following information:
 - a. The nominee's name, organization/firm, address, telephone number and email address.
 - b. Specific examples on how the nominee advances the NGA Standards of Practice and Model Code of Ethics in his or her own work and the work of others.
 - c. Specific examples demonstrating the nominee's leadership within the guardianship community.
 - d. A description of how the nominee contributes to the larger community.
4. Nominations will be accepted and reviewed annually; however, the committee reserves the right to not present this award in any one year.

Procedures

1. A nomination form will be developed and posted on the CGC website by CGC Staff at least three months prior to NGA Conference.
2. Nominations are due to CGC Staff at least 60 days prior to the NGA Conference.
3. Nominations received but not chosen from the previous three years will be retained for reconsideration.
4. All nomination forms and supporting documentation will be presented to the Awards Committee for review.

5. A decision will be made by the Awards Committee at least 30 days prior to the NGA Conference.
6. The selection of the recipient is to be kept confidential.
7. CGC Staff will order an individual award recognizing the NCG Excellence Award recipient.
8. CGC Staff will determine if the individual receiving the award will be in attendance at the NGA conference.
9. If the recipient will be in attendance, the award is shipped to the conference location for presentation by the CGC President and the immediate past NCG Excellence Award recipient, if in attendance.
10. If it is determined that the recipient is not to be in attendance one week prior to the date of the conference, staff will contact the recipient to inform them of their honor and the award will be sent to the recipient along with a letter of congratulations and notification that their honor will be announced at the NGA conference.
11. Staff will ensure that nomination forms will be kept on file for three years and those nominations no longer eligible for selection will be destroyed.



Mission Statement

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

Core Value

Excellence in Certification

Purpose

The purpose of the Center for Guardianship Certification is:

- A. To develop and administer a national 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.

Vision Statement

Every guardian will obtain and maintain CGC certification.

Developed: October 2005

Vision added: January 2009

Proposed: March 2009

Approved: April 2009

Revised: August 2011

Revised: May 2013

Revised and approved: August 2013

Revised: May 2016

Revised: April 2017