





***A message from our President...***

I believe that the majority of those who serve as CGC certified guardians do so with the best intentions of serving the people in their care and ensuring the wishes of those people are followed. It is disconcerting when someone in our profession breaks their promise and commitment to those who depend on them.

One of the many responsibilities of the CGC President is to review complaints received and help make a determination about moving that complaint to a Professional Review Board (PRB), assigning a fact-finder to the complaint, allowing the complaint to move through the appropriate court of law, asking for more information, or dismissing the complaint.

This year, we saw the same number of complaints as we received in 2016...eight. Eight too many. Eight people who did not adhere to the NGA Standards of Practice or did not serve the individuals under their care to the level expected of a certified guardian. And these are just the complaints received by CGC. What can be done about this issue?

We took time to study the number of complaints received over a nine year period (from 2008 to 2017) and made the following observations. Of the complaints received in this period of time, 23 were referred to a Professional Review Board (PRB). Of those 23, sanctions were imposed in 15 of the cases and no action was taken in 8. The sanctions that were imposed resulted in one advisory letter, two censures, four suspensions and eight revocations. The majority of acts that caused revocation were related to mishandling or co-mingling of funds, fraudulent fee petitions, embezzlement or other mismanagement of client funds.

We are like every other profession....doctors, attorneys, judges, dentists, etc. We have certificants who meet the minimum requirements to apply for certification, pass our examination, and obtain the appropriate continuing education. And like those other professions, we have certificants who make bad decisions or decide to enter this profession with ill-will intended. Can we test for unethical or illegal behavior? Is there some way for CGC to weed out the "bad eggs"? We haven't figured out how to do that and neither have other professions. But, our commitment is that we will follow our rules and regulations when a complaint is received and take appropriate action, when needed.

Maintaining certification integrity and upholding best practices for certification programs is key to our work. CGC is committed to promoting excellence in guardianship practice. Hats off to those individuals who invest the time, effort and financial resources in themselves and in our profession to make solid decisions for the people under their guardianship.

We will continue to monitor our certificants and uphold our commitment to certification integrity. And we will continue to provide a robust disciplinary process for those certificants who we find do not make decisions that are in the best interest of the people they are representing. We encourage everyone to utilize CGC's disciplinary process, if needed, so the public can have confidence in the services provided by CGC certified guardians.

*Jeff Ohlson, NCG*

## Background

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

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

## Vision Statement

Every guardian will obtain and maintain CGC certification.

## Mission Statement

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

## 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.

## 2017 CGC Board of Trustees

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## Certified Guardians 3-Year Statistical Overview

	<u>2015</u>	<u>2016</u>	<u>2017</u>
<b>National Certified Guardians</b>			
Applications Received	262	125	96
Retests Administered *	93	60	108
Certification Renewals	515	474	487
NCGs at end of fiscal year	1,400	1,350	1,301
NCGs at end of fiscal year for Emeritus Status	9	12	14
NCGs at end of fiscal year for Inactive Status	17	5	16
NCG percentage rate for recertification	64%	71%	75%
<b>National Master Guardians</b>			
Applications Received	0	1	3
Retests Administered	2	0	1
Certification Renewals	18	18	19
NMGs at end of fiscal year	64	19	57
NMGs at end of fiscal year for Emeritus Status	5	7	8
NMGs at end of fiscal year for Inactive Status	1	1	1
NMG percentage rate for recertification	82%	95%	82%
<b>State-Specific Certification</b>			
California Applicants	148	133	81

\* Inclusive of NCG exams and state-specific exams

## Certified Guardian Complaints

### **8 complaints were filed against certified guardians in 2017**

- 1 complaint was deferred to the appropriate court of law
- 1 complaint resulted in a suspension
- 2 complainant did not follow-up with required documentation
- 4 complaints resulted in an interim suspension

### **8 complaints were filed against certified guardians in 2016**

- 1 complaint was deferred to the appropriate court of law
- 1 complaint resulted in a suspension
- 1 complaint resulted in a revocation
- 1 complainant did not follow-up with required documentation
- 4 complaints resulted in censorship

### **10 complaints were filed against certified guardians in 2015**

- 1 complaint resulted in a hearing being held and the revocation of that guardian's status.
- 3 complainants did not follow-up with required documentation.
- 1 complaint resulted in a hearing being scheduled in 2016.
- 3 complaints were against non-certificants; complainants were referred to the state department.
- 1 complaint resulted in CGC conducting an independent review and asking the certificant to update information on their website for clarity.
- 1 complaint resulted in a censure for violation of NGA Standards of Practice.

### **5 complaints were filed against certified guardians in 2014**

- 2 complainants did not follow-up with required documentation.
- 2 Professional Review Boards were called with no disciplinary action recommended.
- 1 complaint was reviewed and deferred to the authority of the appropriate court of law

## Financial Statements

January through December 2017 Financial Statement

	<u>Dec 31, 17</u>
<b>ASSETS</b>	
<b>Current Assets</b>	
<b>Checking/Savings</b>	
BB&T Checking	35,377.71
Money Market BB&T	147,039.70
<b>Total Checking/Savings</b>	<u>182,417.41</u>
<b>Total Current Assets</b>	<u>182,417.41</u>
<b>TOTAL ASSETS</b>	<u><b>182,417.41</b></u>
<b>LIABILITIES &amp; EQUITY</b>	
<b>Equity</b>	
Temp Restr Fund NMG Star	493.31
Temp Restr Fund NCG Award	607.48
Fund Balance	185,805.99
Net Income	-4,489.37
<b>Total Equity</b>	<u>182,417.41</u>
<b>TOTAL LIABILITIES &amp; EQUITY</b>	<u><b>182,417.41</b></u>

## CENTER FOR GUARDIANSHIP CERTIFICATION – 2017 ANNUAL REPORT

### January through December Financial Statements – 3-year Comparison

<b>Account</b>	<b>Actual 2015</b>	<b>Actual 2016</b>	<b>Actual 2017</b>
<b>INCOME</b>			
Certification Renewals	\$ 90,450.00	\$98,187.50	\$90,312.50
Certification Applicants	76,870.00	73,560.00	61,805.00
Certification Retests	19,075.00	17,700.00	29,525.00
Investment Income	547.89	523.77	469.41
Miscellaneous Income	4,100.00	7,080.39	260.00
<b>TOTALS</b>	<b>\$ 191,042.89</b>	<b>\$197,051.66</b>	<b>182,371.91</b>
<b>EXPENSES</b>			
Award & Scholarship Expense	\$627.53	\$418.44	\$445.25
Bank Fees	90.00	90.00	146.52
Board Expense	1,471.76	2,953.18	2,397.38
Committee Expense	5,332.51	4,019.03	5,859.63
Copying Costs	3,286.38	3,046.88	1,691.34
Credit Card Fees	6,105.76	6,161.08	5,784.68
Dues & Contributions	520.40	567.00	522.67
Insurance & Taxes Expense	7,429.00	7,452.00	6,147.00
Management Services	103,159.00	110,000.00	113,300.04
Office Expense	600.00	625.63	613.59
Postage, Shipping & Mailing	1,267.64	1,538.82	1,977.45
Printing	0.00	0.00	172.25
Professional Fees	9,205.05	17,554.00	13,284.92
Travel	5,695.60	5,002.96	2,819.76
Telephone & Fax	2,499.87	2,403.61	2,207.26
Testing Site Expenses	17,893.84	17,966.21	11,547.50
Volunteer Support Expenses	9,818.28	7,482.38	9,456.34
Website & Internet Fees	7,461.42	8,666.75	8,397.70
<b>TOTAL</b>	<b>\$182,464.04</b>	<b>195,947.97</b>	<b>\$186,861.28</b>
<b>NET INCOME/(EXPENSE)</b>	<b>\$8,578.85</b>	<b>1,103.69</b>	<b>(\$4,489.37)</b>