



2011 ANNUAL REPORT

Message from the President



Dear Friends of CGC:

As I reflect upon CGC's accomplishments in 2011, I have come to realize this past year was one of contemplation and growth for both the organization and certified guardians. The growth did not come without the proverbial "growing pains" of any young organization, and CGC and the profession of guardianship is all the better for it.

The Board spent most of 2011 talking about moving the organization forward and improving guardianship examination services. The result of these discussions would be implemented in 2012, but the research and discussion about each of them took place during 2011. A synopsis of those items follows:

- The move from paper to electronic examinations occurred in 2010 and it was decided that, while electronic examinations were a step in the right direction, CGC continued to experience issues with individuals using their own laptop computers and proctors having to serve as IT specialists on-site at examinations.
- The U.S. Government Accountability Office (GAO) Special Committee on Aging issued a report in 2010 which pointed out some deficiencies in the CGC application process. Namely, CGC was not conducting criminal background checks on applicants, was not verifying the identity of the person applying to take the examination prior to their appearing to take the exam, and was not verifying proof of either the education or experience required to sit for the examination. It was decided CGC needed to study the issues outlined in the report and determine whether and how to address them.
- The minimum requirements for an applicant to sit for the examination did not include specific licensures or certifications related to guardianship in the Rules & Regulations. The NCG Committee decided CGC needed to look at those minimum requirements and make recommendations to the Board to change them.

These three major areas resulted in CGC assigning specific tasks to committees and task forces to conduct research on how the organization should address the issues raised. While implementation would occur in 2012, the following decisions were made and approved by the Board during the last quarter of 2011:

1. CGC would begin requiring applicants to take examinations at testing sites provided by ACT Test Centers. ACT is affiliated with ExamSoft, the organization contracted to provide electronic examinations on behalf of CGC. The natural tie between those two organizations made it a perfect fit for CGC to contract with ExamSoft for this service.
2. CGC's Board discussed whether the organization should conduct criminal background checks on applicants, whether applicants from states where criminal background checks were already provided would be exempt from CGC conducting those checks, what the parameters would be for allowing an applicant to sit for the exam based on the results of the background checks, and how CGC would logistically run and pay for those background checks. The result of the conversation was CGC would run criminal background checks on every applicant, whether they had been conducted by their

individual state or not, anyone with a felony on their record would not be permitted to sit for the examination, and applicants would have to pay for the background checks directly with the company chosen by CGC. Certiphi, a nationally recognized background check company, received the CGC contract to provide criminal background checks on behalf of the organization. In addition to new applicants, the Board decided those seeking recertification through CGC would have to undergo a criminal background check every other recertification period.

3. It was decided Certiphi would also verify the social security number with the applicant's personal information supplied on the application, and would verify the educational background of the applicant.
4. CGC staff was directed to verify the experience requirement of each applicant by having an independent third party supply proof of the applicant's experience by completing a form supplied to them by CGC or the applicant.
5. CGC changed the minimum educational requirements for applicants to include licensure or certification in a field related to guardianship.
6. In order for CGC to pay for increased staff time to conduct and track Criminal Background Check results, educational verification, and employment verification, sitting fees required by ACT Test Centers, and an increase in the ExamSoft fee for online examinations, the Board voted to increase the fees for examinations and recertification applicants.

After looking at all CGC accomplished in 2011, I am deeply appreciative of the dedication and commitment of our Board and staff. The tasks outlined above did not happen overnight and we will continue to hone our processes. Because of the efforts put forth, certification of guardians will truly represent the gold standard of our profession and those we ultimately serve, the people who are in need of guardians, will be better for it.

We will continue to look at how to grow the organization to improve our profession, and we will rely on the support and dedication of our constituents to help us do so. Thank you for your continued support of CGC!

Sincerely,

A handwritten signature in black ink, appearing to read 'M. Krahn'.

Jean Krahn, NMG
President

Background

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

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

Vision Statement

Every professional guardian will obtain and maintain CGC certification.

Mission Statement

The mission of the Center for Guardianship Certification is to enhance the quality of guardianship services by providing examination and certification of guardians and fiduciaries.

Purpose

The purpose of the Center for Guardianship Certification includes:

- Developing and administering a credentialing process for guardians and guardianship agencies;
- Addressing issues related to renewal, suspension and revocation of credentials for guardians and guardianship agencies;
- Maintaining and up-dating rules and regulations for certification of guardians;
- Encouraging, supporting and fostering the work of the National Guardianship Association.

2011 CGC Board of Trustees

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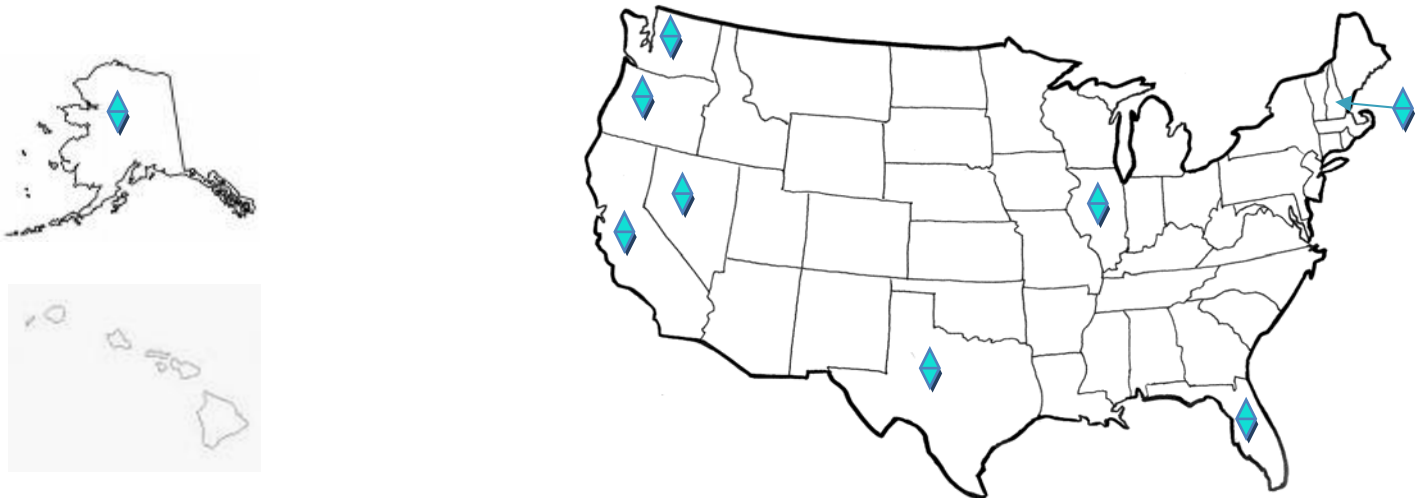
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Certified Guardians 3-Year Statistical Overview

	<u>2009</u>	<u>2010</u>	<u>2011</u>
National Certified Guardians			
Applications Received	506	418	426
Retests Administered *	83	30	17
Certification Renewals	485	577	566
NCGs at end of fiscal year	1,955	1,865	1,833
National Master Guardians			
Applications Received	6	10	5
Retests Administered	3	1	3
Certification Renewals	17	10	14
NMGs at end of fiscal year	54	59	64
State-Specific Certification			
California Applicants	114	110	128
Florida Applicants	166	118	104
Oregon Applicants	1	5	5
Texas Applicants	70	89	51

* Inclusive of NCG exams and state-specific exams



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

Certified Guardian Complaints

2011

7 complaints were filed against certified guardians in 2011

1 complaint was deferred to the authority of the appropriate court of law

3 complaints were reviewed and were determined that a Professional Review Board was not warranted

1 Professional Review Board was called with discipline resulting in a letter of concern being placed in CGC files

1 Professional Review Board was called with no disciplinary action recommended. This decision was appealed to the Board of Trustees where it upheld the original decision.

1 complaint was reviewed where it was determined that a Professional Review Board was not warranted. This decision was appealed to the Executive Committee, which upheld the decision.

2010

7 complaints were filed against certified guardians in 2010

6 complainants did not follow-up with required documentation

1 individual submitted documentation, with the following results:

1 Professional Review Board was held –
No discipline action taken

2009

10 complaints were filed against certified guardians in 2009

6 complainants did not follow-up with required documentation

4 individuals submitted documentation with the following results:

2 guardians lost their certification status
1 guardian was placed under review
1 guardian was reprimanded and a note placed in the file

2011 Accomplishments

Strategic Planning Implementation: The Board of Trustees continued to work on the organizational goals that were set forth in the strategic planning session in January 2009. These goal areas include: national respect, recognition, and utilization; fiscal sustainability; influence public policy regarding quality guardians; improve the certification process; board governance and internal organizational sustainability. The current strategic plan runs through 2014.

Certification Application Improvement: During 2011, the GAO Report Task Force reviewed the current application and examination process established for individuals to become certified through the CGC. Several changes were suggested and adopted by the Board, for implementation in 2012. These changes include: mandatory criminal background checks for all applicants, except those taking the Texas-only certification examination; mandatory criminal background checks for all recertificants (every other recertification year); third-party verification of employment and/or experience requirements; and a move to only offering the examination at testing centers through the ACT network.



Website Improvement: The CGC website (www.guardianshipcert.org) continued to receive an overhaul with the addition of new applications and documents to address the application process improvement. In addition, the public policy committee updated the content on their page of the website, providing a collection of informational documents to assist public policy makers in understanding the important role guardian certification plays in the protection of vulnerable adults and how mandatory certification can become public policy at the state and/or local level.

NGN Summit Involvement: On October 13 – 15, the ten National Guardianship Network (NGN) sponsoring organizations, (which includes CGC), convened the Third National Guardianship Summit at the University of Utah S.J. Quinney College of Law in Salt Lake City. With 92 delegates, observers, authors, funders and facilitators participating, the Summit was a consensus conference on post-appointment guardian performance and decision-making for adults. The Summit delegates adopted a far-reaching set of recommendations for Guardian Standards, as well as additional Recommendations for action by courts, legislatures and other entities. These documents from the Summit offer the groundwork for nationally recognized standards for guardians of adults. The Standards and Recommendations were adopted by vote of the plenary session based on recommendations of the Summit’s seven interdisciplinary working groups and can be found on the CGC website in the resources/website links section.



Honors and Awards:

NMG Star Award – Greg Mallowney, NMG, was awarded the 2011 NMG Star Award by CGC. Greg has been involved in guardianship for more than 20 years. Greg works in a state where his agency is the only resource for guardianship services in the non-profit arena. He is committed to certification for guardians. He not only obtained his certification as an NMG, he ensures that each of his staff becomes certified as an NCG, and he has obtained a line item in his state budget to send his staff to national conferences, because there is no local training available for the CGC

required continuing education units they need. He travels miles and miles in his work and is not only a great director, but he has a keen understanding of the issues of his clients because he works with many of them directly in the trenches. In the face of disaster when Hurricane Katrina hit, Greg had to move both himself and the operations of the Louisiana Guardianship Services out of New Orleans, and continue to operate with very little in the way of supportive systems to help. Wards of the agency were scattered across the South, as were the staff. In a sense he operated a “virtual” agency for many months as the area recovered from the devastation. Mallowney was nominated by Julia Nack, NMG.

Fred Kretz Cornerstone Award – Erica Wood received the 2011 Fred Kretz Cornerstone Award. Erica’s achievements demonstrate her knowledge of and dedication to the promotion of the rights of all older adults, especially those with diminished capacity. She has devoted her three-decade career to promoting elder rights at every level, working in her local county, serving as a volunteer on multiple statewide stakeholder groups and task forces, and advocating for vulnerable adults at the national level through her work at the ABA Commission on Law and Aging. Erica is recognized as perhaps the nation’s leading advocate on guardianship issues, having written prolifically on the topic. She has contributed significantly to guardianship scholarship on courting monitoring, public guardianship, health care decision-making for the unbefriended elderly, as well as mediation and dispute resolution in nursing homes. She successfully combined her expertise at the national level with her contacts at the state level to achieve a major rewrite of Virginia’s guardianship statute in 1997. Erica was nominated by Sally Balche Hurme.



State-Specific Certification – CGC continued to provide state-specific examination services for California, Florida, Oregon and Texas through 2011. The Texas contract is up for renewal in 2012. Job and item analyses were being planned for late 2011 and early 2012 as new examination questions were developed and utilized in the certification examinations.

Financial Statements

January through December 2011 Financial Statement

	<u>Jan - Dec 11</u>
Ordinary Income/Expense	
Income	
4045 · Certification Renewals	99,490.00
4046 · Certification Applicants	99,115.00
4047 · Certification Retests	6,365.00
4250 · Investment Income	<u>889.01</u>
Total Income	<u>205,859.01</u>
Gross Profit	205,859.01
Expense	
7020 · Award & Scholarship Expense	350.98
7030 · Bank Fees	126.05
7040 · Board Expense	7,599.98
7041 · Committee Expense	9,305.06
7080 · Copying Costs	2,466.87
7090 · Credit Card Fees	6,160.05
7200 · Dues & Contributions	5,200.00
7240 · Insurance and Tax Expense	2,058.00
7290 · Management Services	94,340.04
7350 · Office Expense	738.05
7370 · Postage, Shipping & Mailing	937.14
7400 · Printing	1,984.56
7410 · Proctor Expense	1,346.21
7420 · Professional Fees	6,939.38
7480 · Telephone & Fax	3,546.36
7485 · Testing Site Expense	23,240.00
7500 · Travel Expense	4,550.41
7590 · Vol Support Exp (BOD Mbrs)	12,855.53
7600 · Website & Internet Fees	<u>4,270.12</u>
Total Expense	<u>188,014.79</u>
Net Ordinary Income	<u>17,844.22</u>
Net Income	<u><u>17,844.22</u></u>

January through December Financial Statements – 3-year Comparison

Center for Guardianship Certification

<u>Account</u>	Actual 2009	Actual 2010	Actual 2011
INCOME			
Certification Renewals	\$83,990.00	\$91,305.00	\$99,490.00
Certification Applicants	\$125,970.00	\$106,200.00	\$99,115.00
Certification Retests	\$10,270.00	\$9,710.00	\$6,365.00
Investment Income	\$1,217.13	\$1,110.47	\$889.01
Miscellaneous Income	\$50.00		
TOTALS	\$221,497.13	\$208,325.47	\$205,859.01
EXPENSES			
Award & Scholarship Expense	\$733.51	\$0.00	\$350.98
Bank Fees	\$80.00	\$50.00	\$126.05
Board Expense	\$6,066.85	\$3,473.20	\$7,599.98
Committee Expense	\$3,920.29	\$3,109.59	\$9,305.06
Copying Costs	\$2,134.90	\$1,538.55	\$2,466.87
Credit Card Fees	\$2,932.82	\$4,039.00	\$6,160.05
Dues & Contributions	\$650.00	\$500.00	\$5,200.00
Exhibitor Costs	\$1,474.10	\$0.00	\$0.00
Insurance & Taxes Expense	\$2,046.00	\$2,045.00	\$2,058.00
Management Services	\$94,340.00	\$96,440.04	\$94,340.04
Miscellaneous Expense	\$0.00	\$0.00	\$0.00
Office Expense	\$921.78	\$1,631.39	\$738.05
Postage, Shipping & Mailing	\$4,790.04	\$1,442.74	\$937.14
Printing	\$1,695.09	\$1,679.99	\$1,984.56
Proctor Expense	\$4,534.92	\$0.00	\$1,346.21
Professional Fees	\$7,614.92	\$18,914.81	\$6,939.38
Travel	\$2,915.46	\$3,022.79	\$4,550.41
Telephone & Fax	\$3,464.34	\$2,548.74	\$3,546.36
Testing Site Expenses	\$0.00	\$0.00	\$23,240.00
Volunteer Support Expenses	\$13,191.80	\$9,942.95	\$12,855.53
Website & Internet Fees	\$5,023.78	\$5,127.20	\$4,270.12
TOTAL	\$158,530.60	\$155,505.99	\$188,014.79
NET INCOME/(EXPENSE)	\$62,966.53	\$52,819.48	\$17,844.22