



Certified Professional Guardianship Board

Monday, September 11, 2017

Teleconference

8:00 am – 9:00 am

DRAFT Meeting Minutes

Members Present

Judge James Lawler, Chair
Commissioner Rachelle Anderson
Ms. Rosslyn Bethmann
Dr. Barbara Cochran
Mr. Jerald Fireman
Judge Gayle Harthcock
Mr. William Jaback
Ms. Victoria Kesala
Commissioner Diana Kiesel
Dr. K. Penney Sanders
Ms. Carol Sloan
Ms. Barbara West
Ms. Amanda Witthauer

Staff

Ms. Shirley Bondon
Ms. Kathy Bowman
Ms. Carla Montejo
Ms. Kim Rood
Ms. Eileen Schock

Online Guests

Mr. Tom Goldsmith
Mr. Chester Newman
Ms. Susan Titus

1. Meeting Called to Order, Welcome, Roll Call and Approval of Minutes

Judge James Lawler called the Certified Professional Guardianship Board (CPGB) meeting to order at 8:02 am. Judge Lawler entertained a motion to approve the minutes of the August 14, 2017 CPGB meeting. A motion was made and seconded. None opposed. Abstaining were Judge Harthcock, Commissioner Kiesel, Ms. Sloan and Mr. Jaback. The minutes were approved as written.

Motion: *A motion was made and seconded to approve the August 14, 2017 minutes. Judge Harthcock, Commissioner Kiesel, Ms. Sloan and Mr. Jaback abstained. The minutes were approved as written.*

2. Chair's Report

The chair did not make a report.

3. Updates – Grievance Status Report

Staff reported that during the past month, nine certified professional guardian (CPG) grievances were resolved and five new grievances were received, reducing the total number of grievances needing investigation from 133 to 129. Staff also reported that during the past reporting period, four grievances were dismissed by the Standards of Practice Committee (SOPC), violations were found in four grievances and are before the SOPC for further action. One grievance was

resolved when the CPG agreed to a Voluntary Surrender. Judge Lawler commented that this was a good trend of receiving fewer new grievances and resolving more grievances than in months past.

Judge Lawler asked for an update on the investigation of the CPG with seven grievances. Staff reported that one of the cases was dismissed by the SOPC and the other six cases are still under investigation. A member of the Board asked if the court is notified when a CPG receives multiple grievances. Staff replied it would not be fair to notify courts prior to an investigation just based on the fact that the guardian had prior grievances, unless there were issues of an emergency nature that the court needed to address.

4. Disciplinary Regulation 500

The Washington Association of Professional Guardians (WAPG) made a request for the Board to hold a public hearing in order to address or take comments on the proposed changes to Disciplinary Regulation 500 prior to making changes. There have been multiple opportunities to provide comments including at in-person Board meetings. The Board has solicited comments from the public numerous times. To date, only a few comments have been received, notably from WAPG, Bridge Builders (Mindi Blanchard and Brenda Carpenter), Ms. Lin O'Dell and David Weigelt.

Judge Lawler suggested allotting an hour for public comment at the October 16 in-person board meeting and depending on the number of people attending, allowing greater than the standard three minute time limit for comments. Some board members thought this may be a good time to allow for comments on the grievance procedure only. Speaker should focus on Regulation changes only. Staff was instructed to encourage those making comments to submit written comments.

Staff summarized and commented on the written comments received from CPG Lin O'Dell and WAPG. The comments and staff responses were provided in a table containing all comments received to-date.

5. Executive Session (Closed to Public)

6. Reconvene and Vote on Executive Session Discussion (Open to Public)

On behalf of the Applications Committee, Ms. Barbara West presented the following application for Board approval. Members of the Applications Committee abstained.

Motion: *A motion was made and seconded to approve Carrie Sikorski's application for certification, conditional upon completion of the UW Guardianship Certificate Program. The motion passed.*

7. Wrap Up/Adjourn

Judge Lawler thanked the Board members for their attendance. The next meeting will be held in-person at the SeaTac office on October 16, 2017. The meeting was adjourned at 8:44 am.

Recap of Motions from September 11, 2017 Teleconference

Motion Summary	Status
<i>Motion: A motion was made and seconded to approve the August 14, 2017 minutes. Judge Harthcock, Commissioner Kiesel, Ms. Sloan and Mr. Jaback abstained. The motion passed.</i>	Passed
<i>Motion: A motion was made and seconded to conditionally approve Carrie Sikorski's application for certification, upon completion of UW Certification Program. The motion passed.</i>	Passed

DRAFT

Correspondence



Mindi R. Blanchard, M. Ed., CPG
President

Date: September 2, 2017

To: WINGS
CPG Board

From: Mindi R. Blanchard, M.Ed., CPG
President

RE: House Bill 1402

The passing of House Bill 1402 into law has made the ability for a court-appointed guardian to protect a low income vulnerable adult from the abuse of a family member or acquaintance almost impossible. I have never seen any real data that show *any* numbers of lay or certified professional guardians having a history of “isolating” their clients from friends and family. However, I have heard individuals with an ax to grind complaining about the “isolating” of vulnerable adults under guardianship and using anecdotal stories to support their platform.

Not all categories of guardians are alike. There are lay guardians made up primarily family members, then friends, then concerned third parties who are willing to step up. When there is no one else, there are the certified professional guardians (CPGs). To lump us all together makes for highly inaccurate information. The other day someone asked me if I knew of any case law or grievance where a certified professional guardian was disciplined or their certification revoked for the issues address in House Bill 1402. I told the person that I have never seen any case law that addresses these issues and although I read the CPG grievances, I do not recall ever reading about a CPG who was guilty of any of the issues that this bill addresses. Even the 2016 GAO Report talks about guardians as one group, without clarifying which group of guardians most of the problems are coming from. If anyone reading this can provide Washington State case law or grievances where the CPG was found in error, please do so.

I have been a guardian for fourteen years. I can comfortably say that I have never “isolated” a client from family or friends. Now, it seems that should I need to take steps to protect a client from someone who is abusive, I would not be able to protect my client without getting a court order. In my experience, most of the dysfunctional family/friend systems are with low income clients. There isn’t money to fight over, so they resort to power struggles. If I got paid for all the time I’ve had to take these past fourteen years dealing with dysfunctional family members who are determined to never resolve any issue, I would be rich beyond my wildest dreams.

P.O. Box 610 • Sequim • WA • 98382
Phone: 360-683-8334 • Fax: 360-683-8358 • www.bridgebldrs.com

Where there is no money for hiring an attorney for a restraining order or VAPO, the client will continue to be abused and there is nothing a guardian can do about it. This puts CPGs, in particular, in an untenable position as they are appointed to protect these vulnerable adults but now only vulnerable adults under guardianship who have money can get protection. But yet CPGs stand to get reprimanded for not protecting their clients. The argument could be presented saying that one doesn't need an attorney in order to petition a restraining order or VAPO. That may work for non-professional guardians but that is not the case for professional guardians, especially if their businesses has corporate status. The statute specifically states that an attorney needs to represent the business (guardian agency) as the guardian is an employee of the business and therefore cannot represent the business. Where is the money going to come from? In my county, my business gets paid \$175 per month for clients who are on Medicaid. Pro Bono guardianship clients have no money to pay me or an attorney. For non-professional guardians, trying to navigate the court system as a lay person can be overwhelmingly difficult. I petitioned a VAPO once (not as a guardian) and I learned that I hadn't filled out the paperwork quite right so I wasn't able to get as much protection as I had hoped for the person for whom I petitioned the VAPO to protect. For someone who isn't at all familiar with the legal system, this can be daunting and will discourage them from taking this step. The consequence of this is that vulnerable adults will continue to be abused. If you think that one can go to Northwest Justice, you overestimate what they are able to do. They only tell someone how to do something, they do not represent anyone in these situations; at least not in my experience.

It is my understanding that WINGS was created to help with collaboration of agencies who serve individuals under guardianship; part of which is identifying and stopping guardianship abuse. But this law goes so far as to allow the continued victimization of low income individuals who were appointed a guardian to protect them. Unless someone comes up with a way to fund the legal fees required to get restraining orders and VAPOs when needed, these individuals will continue to be abused.

Until there is hard data that breaks down the individual problem areas and can determine which category of guardians are most likely to conduct themselves in ways that are not in the vulnerable adults' best interests, CPGs as an industry will continue to be vilified without cause. The first step should be to determine in which category the most abuse occurs and what kinds of abuse are occurring. Only then can an effective strategy be developed to ensure the protection of these vulnerable adults.

Respectfully Submitted,

Mindi R. Blanchard

Mindi R. Blanchard, M.Ed., CPG

2018 Certified Professional Guardianship Board Meeting Calendar

Certified Professional Guardianship Board 2018 Meeting Calendar

Monday, January 8, 2018	AOC SeaTac Facility	9:00 am – 3:00 pm
<i>February 2018</i>	<i>No Meeting</i>	
Monday, March 12, 2018	Teleconference	8:00 am – 9:00 am
Monday, April 9, 2018 <i>Annual Planning Meeting</i>	AOC SeaTac Facility	9:00 am – 3:00 pm
Monday, May 14, 2018	Teleconference	8:00 am – 9:00 am
Monday, June 11, 2018	AOC SeaTac Facility	9:00 am – 3:00 pm
<i>July 2018</i>	<i>No Meeting</i>	
Monday, August 13, 2018	Teleconference	8:00 am – 9:00 am
Monday, September 10, 2018	Teleconference	8:00 am – 9:00 am
Monday, October 15, 2018	AOC SeaTac Facility	9:00 am – 3:00 pm
Monday, November 19, 2018	Teleconference	8:00 am – 9:00 am
<i>December 2018</i>	<i>No Meeting</i>	

CPG Board meetings are open to the public.

For information regarding teleconference meetings, please contact Kim Rood at 360.705.5314 or email kim.rood@courts.wa.gov

Confidentiality Agreements

Grievance Status Update

CERTIFIED PROFESSIONAL GUARDIAN GRIEVANCES
September 30, 2017

Investigations	2017	2016	2015	2014	2013	Total
Grievances Needing Investigation: 8/30/2017	47	50	18	11	3	129
Resolved w/o ARD or Hearing	[4]					[4]
Resolved w/ARD						
Resolved w/Hearing						
New Grievances (Opened Since Last Report)	10					10
Re-Opened Grievances						
Grievances Needing Investigation: 8/30/2017	53	50	18	11	3	135

Resolutions	2017	2016	2015	2014	2013	Total
Dismissal – No Jurisdiction	4					4
Dismissal – No Actionable Conduct						
Dismissal – Insufficient Grievance						
Dismissal – Administrative						
Voluntary Surrender						
Admonishment						
Reprimand						
Suspension						
Administrative Decertification						
Decertification						
Closed Since Last Report	4					4

Pending Grievances Involving Guardians with Multiple Grievances
September 30, 2017

CPG ID	Year Certified	Grievances	Year(s) Grievances Received	Status
A	2015	7	2016 (3), 2017 (4)	
B	2011	5	2014 (1), 2016 (3), 2017 (1)	Assigned to Investigator
C	2002	3	2014 (1), 2016 (1), 2017 (1)	
D	2010	2	2016 (1), 2017 (1)	
E	2005	5	2014 (2), 2015 (1), 2016 (1), 2017 (1)	
F	2004	2	2015 (1), 2017 (1)	
G	2014	2	2015 (1), 2017 (1)	
H	2012	3	2016 (2), 2017 (1)	
I	2010	8	2015 (1), 2016 (5), 2017 (2)	Investigation Complete ARD Pending 4 Dismissed; 2 New Complaints
J	2001	3	2014 (1), 2015 (1), 2016 (1)	
K	2011	2	2015 (1), 2016 (1)	
L	2003	2	2015 (2)	
M	2003	3	2015 (1), 2016 (2)	
N	2007	4	2015 (1), 2016 (2), 2017 (1)	
O	2010	3	2014 (1), 2015 (1), 2017 (1)	
P	2003	2	2016 (2)	
Q	2001	4	2013 (1), 2016 (2), 2017 (1)	Assigned to Investigator
R	2001	8	2015 (1) 2016 (7)	Assigned to Investigator
S	2011	6	2015 (1), 2016 (2), 2017 (3)	Assigned to Investigator
T	2001	4	2014 (1), 2016 (1), 2017 (2)	Voluntary Surrender Pending
U	2007	2	2016 (2)	
V	2014	2	2016 (1), 2017 (1)	
W	2001	2	2016 (2)	
X	2011	2	2016 (1), 2017 (1)	
Y	2015	2	2016 (1), 2017 (1)	
Z	2010	3	2015 (1), 2016 (1), 2017 (1)	
Total		91		

Pending Grievances Involving Guardians with Multiple Grievances
September 30, 2017

	Year Certified	# of Guardians
Before UW Certificate Program	2001	5
	2002	1
	2003	3
	2004	1
	2005	1
	2006	
	2007	2
	2008	
	Total	13
UW Certificate Program	2009	
	2010	4
	2011	4
	2012	1
	2013	1
	2014	2
	2015	2
	2016	
	Total	14

Year	Grievance by Year
2013	1
2014	7
2015	14
2016	44
2017	23

UW Guardianship Certificate Program 90 Day Report

Report on UW Guardianship Certificate

September 22, 2017

Submitted by: Kate Lorenzen, UWC2

As documented in the MOA signed on June 23, 2017 by the State of Washington Administrative Office of the Courts (CPG Board) and UW Continuum College (UWC²) this report is being submitted to respond to *Section F. Program Review* that states “In response to a 2014 CPG Board request for program review and suggestions for changes, UWC2 made several revisions to the program, which were completed in June 2017. A final report on those revisions will be presented to the CPG Board within 90 days of signing of this Agreement.”

Malia Morrison the former UW Program Manager delivered a PowerPoint presentation to the CPG Board on May 20th, 2015 where she described the actions taken in response to many of the requirements defined by the CPG Board at the signing of the 2014-2017 MOA. Below are listed the main points from the contract and the actions taken by the UW. As part of this process instructor Leesa Arthur was contracted to make a number changes within the online learning platform CANVAS and she was assisted by UW Instructional Designer Kris Royer-Collins. These changes were implemented between September 2016 and May 2017 and a summary of that work is also included in this document.

Recommendations and responses

Recommendation 1: Student introduction to and basic understanding of the practice of guardianship prior to the first class.

Action 1: Required students to do the Lay Guardian Training prior to class. The requirement is listed on the website for prospective students to see before applying. The link to the training is sent with the acceptance letter and follow-up is sent in their logistics email. It is required and the majority of students have completed it by the first day of class. This excellent training gives students a strong introduction to the main concepts, language and expectations of guardianship. During the first session students noted the difference between lay guardian and professional guardian and said it was a good pre-class activity because it gives people terminology and more awareness about what the job is.

Recommendation 2: Developing a common vocabulary

Action 2: Because of the pre-class training where vocabulary, definitions and terminology are stressed, students are encouraged to build their own list of terms and resources starting with the training and then updating and maintaining it throughout the program.

Recommendation 3: Accuracy of printed/online materials

Action 3: The UW hired former student Jeannie Jones to help identify inconsistencies and correct them. She worked to spell out process of what happens to the forms, not just how to complete them. The instructors added a lesson to the syllabus that connected dots including having an attorney come in and talk about how to go from 90-day report and what happens to them (how attorney gets them to court, what court looks for). The instructors added an accounting lesson in 101 to get students comfortable with excel for accounting. Early on students did accounting, then told them what it should look like if you had followed up with the

Report on UW Guardianship Certificate

September 22, 2017

Submitted by: Kate Lorenzen, UWC2

bank. Very intentional on feedback on 90-day report – helping them understand how all of those pieces fit together.

Recommendation 4. Effectiveness of in-person class time

Action 4: The instructors did a full review of the syllabi looked for what could be done outside of class to make room for deeper discussions, role plays, and small group work. They moved some of the lectures to online videos and focused the class time on guest lecturers, discussion and cohort interaction to keep the in-person sessions engaging and interactive.

Note: Shirley Bondon recently reviewed the syllabi and with the AOC Education committee made suggested changes that has led to a further discussion about a full curriculum review during this academic year.

Recommendation 5: Control of classroom discussions

Action 5: This is something instructors always work hard to manage. As of August 25th there is a new mandatory Instructor training from UWC² that includes classroom management. Both instructors are required to take it before they can be paid.

Recommendation 6: Relevant and timely instructor feedback to students

Action 6: The instructors have committed to get feedback to students before the next assignment is out. There is always the issue of students not able to submit assignments in time because of personal crisis, which creates problems because the instructors can't release next assignment until everything in. They have tightened up deadlines but there are still always 2-3 people that turn assignments in late. Part of the problem is each student receives intense personalized feed-back and there is a culture of constant contact with the instructors regarding assignments and other coursework.

Note: This year we have hired a grader for all three quarters to help with timely responses. And we have suggested that the instructors stop the high frequency individualized communication and use the CANVAS Announcements or Discussion Boards to share answers to questions/concerns/comments with the whole cohort at once.

Recommendation 7: Instruction on court reporting

Action 7: In 2014 they offered an optional field trip to court with a board member to witness court reporting (as one of three choices; including a visit to a care facility, or spending the day shadowing a CPG). Then in 2016 the court visit became mandatory in order to reinforce the lesson about the relationship between the court and the guardian. The instructors added content on 90-day reports to the syllabus and added videos of courtrooms from different counties.

Note: To strengthen this lesson there will in 2017 be there will be an attorney that accompanies the students during their court visit—volunteers are identified in king, Pearce, Kitsap, Spokane and possibly Clark counties.

Report on UW Guardianship Certificate

September 22, 2017

Submitted by: Kate Lorenzen, UWC2

Recommendation 8: Instructions to and follow-up with presenters

Action 8: There was a discussion for instructors to notify all presenters in the quarter before they are scheduled to speak and a month before, the instructors would give them more details and specific information about location and time. Unfortunately that system didn't get established and according to the evaluations this did affect the quality of the presentations and there still appears to be disconnect.

Note: Starting mid-September we are enacting a new process where we remind the instructors to:

- Provide syllabus of the Guardianship course (101, 102 or 103) the speaker is teaching in so they have an understanding of the context.
- Provide the day's class agenda with hourly details so speaker can see where they fit into the schedule.
- Obtain the PowerPoint presentation from the speaker so UW can review it in advance.
- Find out if the speaker needs any assistance with handout copies or other student materials for their presentation.

Report on 2016 Curriculum and Format Revisions

There were a few changes made to the live class lessons, some as a response to speaker availability and schedules, others to respond to current issues in the field. Each in-person class day included some time in which the students interacted with each other or participated in a physical or tangible exercise. The major change made was to move the final in-person class back by two weeks so that students could get live discussion on the final lessons and still have time to revise and complete the final assignments.

For the online sections as preliminary work, Leesa Arthur reviewed every PPT and video for quality, format, and content inconsistencies. Problems were identified as individual slides needing edits or re-recording, or entire presentations to be re-done.

Part of the impetus for this project was that the UW wanted every presentation to be changed to their new branding. So, even if a presentation was mostly okay, it was reviewed again in its new version to be sure the transfer had not created new inconsistencies (those found were fixed). All live link embedded in the slides were removed or deactivated.

As each lesson was completed and uploaded, the Canvas lesson page was reviewed. Edits were made to the titles and introduction paragraphs when necessary to match changes in the lesson content.

Guardianship 101: Overall, many of these presentations had slides with lots of words. Part of the project included removing words from the slides (after confirming the content was included in the audio and notes) and replacing those words with pictures. Seven of the original 11

Report on UW Guardianship Certificate

September 22, 2017

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presentations required some changes and 4 presentations were completely redone. There was also a change in the order of the lessons to allow for better flow in the first two lessons and in the last lesson which was more closely related to the material presented in Course 102. Although much of these were changed for quality and formatting reasons, Lessons 1 (RCW), the new 2 (SOPs), and 11 (Legal Documents) needed updates that reflected changes made at the sources. Other lessons were redone to present the information in a different way.

A couple of the changes impacted the answers on the associated quiz. In these cases, the quiz was edited to match the updated lesson content.

The Canvas page for Lesson 2 was moved to create new Lesson 12 and each subsequent lesson was renumbered to accurately reflect its order in the course.

Guardianship 102: For this group of presentations, only 2 were left mostly unchanged. All of the others were revised to reflect changes in the documents or rules guiding the activity. There was also a significant change in the lesson on managing finances to better build on the revised Course 101 lesson and to remove content better presented in Course 103. The later lessons on completing the 90 day reports were also changed and included creating new videos that covered content previously given to students in a live conference call.

There were a few places where changes in the presentation impacted the assignment to be completed. In those instances, the assignments were altered to match the content.

Also as part of this process, the case study client updates were reviewed to correct fact pattern problems or data discrepancies.

Guardianship 103: There were only 5 lesson presentations in this course to start, but the decision was made to move some sub-lessons from Course 102 over to this course. Those presentations were all edited to correlate to their new position in this course. One of the lessons had several Canvas “pages” that were live content; each was reviewed and substantial edits were made to 2 of them. This course also had a multiple part lesson that covered preparation of annual reports and accountings. That entire segment was redone as videos. A completely new presentation was created for Lessons 1 and 6.

There were changes made to the assignments to better allow for giving the chance to try the work, then get feedback, then redo the assignment for final grading. The case study client updates were reviewed again to fix any data or story problems.

Disciplinary Regulation 500

1. Written Comments Received after August 30, 2017
2. Recommendation to Revise Proposed Reg 510
3. AOC Staff Response to all Comments

From: Mindi Blanchard
To: [Rood, Kim](#)
Subject: Comments re regulation changes
Date: Monday, September 04, 2017 10:43:51 AM

AOC Comment: “These sentences are not new.” These sentences are in the current regulation.” It is my understanding that we are looking at updating the current regulation, so if there are sentences that are commented upon that are in the current regulation and also in the WINGS updated regulation, that doesn’t mean that they don’t need to be re-evaluated and possibly changed.

AOC Comment: “A “neutral third-party” is defined as one who has no financial, or personal interest in a dispute. To our knowledge, no member of the AOC staff has a financial or personal interest in guardianship grievances. AOC staff members are committed to protecting the public from unethical or dangerous practices that can occur in guardianship practice. Any evidence that a member of AOC staff has a financial or personal interest in a guardianship grievance should be shared with the Board. It should be noted that involving an outside party to put grievances in writing would potentially compromise the privacy of both the grievant and the guardian.” The point Bridge Builders is trying to make is that it has been obvious to CPGs that the AOC is not an impartial third-party when it comes to grievances.

AOC Comment: The Board’s regulatory process is modeled after the regulatory process for the Washington State Bar Association and Licensed Practice Officers. Both only allow appeals to the Supreme Court. The Washington Supreme Court has exclusive authority to administer discipline for attorneys, LPOs and professional guardians. The Supreme Court has appointed the CPG Board to regulate professional guardians.

Most CPGs do not make anywhere near as much money as attorneys and Licensed Practice Officers.

AOC Comment on Statute of Limitations: See page 71.

My understand regarding page 71 is that a person with a disability falls under the exception. Many times, it is not a person with a disability who is filing a grievance, it is a person with capacity who has a complaint. My liability insurance company has said that 80% of lawsuits/grievances are frivolous. CPGs are not law enforcement and we are not attorneys.

AOC Comment on recommending the change from two years to three years.

We stand by our comment.

AOC Comment: Guardianship practice requires knowledge in many different areas. Board members are selected for their experience and subject matter expertise in one or more of these areas. Each member brings a perspective that informs the discussion.

We still emphatically say that no one can understand the nuances of guardianship who has not actually practiced as a professional guardian for several guardianships and for several years.

AOC Comment: The current rule does not limit the number of terms a member may serve thus members can currently serve 9, one year terms. Disciplinary members have a learning curve. The longer they serve, the more experience they obtain. Also their ability to serve should only be limited by their ability to serve as a board member.

We still stand by our response. One cannot have substantial experience in the industry unless one has actually worked in the industry.

AOC Comment: In performing its mission, the Board must weigh the need to protect the public from unethical and dangerous practice against the privacy interest of professional guardians. The right to privacy is outweighed by the greater benefit of decreasing the risk to which the public is subject. Just as CPGs must have access to the private and confidential records of the people they serve, the CPG Board must have access to the private and confidential records of CPGs. Private information is handled in a safe and secure manner and is only shared on a need to know basis.

We are not convince that a large number of CPGs are a danger to the public. We request hard data

showing the assertion to be true for CPGs in Washington State. Also, “need to know” needs to be defined as that can be open to much interpretation.

AOC Comment: Virtually all parties working closely with the elderly, persons with developmental disabilities and mental illness have noted that the overwhelming majority of abuse incidents remain unreported, because individuals often fear retaliation. Entities working to protect persons with disabilities, must weigh the value of receiving an anonymous report that could ultimately protect the welfare and safety of an IP against the potential harm to the reputation of the person complained about. Having the name of the complainant, doesn’t change the complaint. The right to face one’s accuser is a criminal law matter that generally refers to face-to-face confrontation with witnesses offering testimonial evidence against the accused in the form of cross-examination during a trial. Please note that the proposed rule would permit the CPG to make a motion to the Disciplinary Committee Chair to reveal the identity of the grievant for good cause. So, what you are saying is the CPGs have to try to defend themselves without knowing who initiated the grievance. I am sure that there are ways to protect an individual under guardianship who initiates the grievance during and after the grievance process and still provide due process to the CPG. If the individual who is a friend of family member filing the grievance finds any retaliation from a CPG, they can notify the grievance committee, who should then act. I would like to see hard data that CPGs are the ones who retaliate against a client or client’s family. I have read stories to this effect but they have been stories from other states. These types of changes need to be made using real data to support this claim.

AOC Comment: Virtually all parties working closely with the elderly, persons with developmental disabilities and mental illness have noted that the overwhelming majority of abuse incidents remain unreported, because individuals often fear retaliation. Entities working to protect persons with disabilities, must weigh the value of receiving an anonymous report that could ultimately protect the welfare and safety of an IP against the potential harm to the reputation of the person complained about. Having the name of the complainant, doesn’t change the complaint. The right to face one’s accuser is a criminal law matter that generally refers to face-to-face confrontation with witnesses offering testimonial evidence against the accused in the form of cross-examination during a trial. Please note that the proposed rule would permit the CPG to make a motion to the Disciplinary Committee Chair to reveal the identity of the grievant for good cause. Again, how are CPGs supposed to defend themselves if they don’t know who has filed the complaint? Again, this is from anecdotal stories and stories from other states. We need data with numbers showing how often this actually happens in Washington State. Not general information from nationwide studies that lump all guardians into one category. I’m not saying that CPGs aren’t guilty at times, I’m saying that no one knows what percentage of CPGs in Washington State are problems and what percentage of lay guardians in Washington State are problems.

AOC Comment: In performing its mission, the Board must weigh the need to protect the public from unethical and dangerous practice against the privacy interest of professional guardians. The right to privacy is outweighed by the greater benefit of decreasing the risk to which the public is subject. Just as CPGs must have access to the records of the people they serve, the CPG Board must have access to the records of CPGs. Private information is handled in a safe and secure manner and is only shared on a need to know basis.

This sounds very much like a witch hunt. When someone becomes a CPG they should not have to give up their right to due process because something MIGHT not be unethical and dangerous. The AOC and CPGB need to provide hard data showing that this is an actual problem with Washington State CPGs.

AOC Comment: If a grievant submits additional evidence that supports a conclusion that the guardian may have violated a Standard of Practice or other rule governing the work as a Certified Professional Guardian, the CPGB’s rules direct an investigation of the grievance. It seems most appropriate to reopen the grievance given that the grievance was not pursued previously for insufficient information, which has been rectified. It is unclear what basis there would be for requiring that a new grievance be opened. There would then be multiple grievances opened for the same matter, skewing Board statistics.

I disagree. I believe that it would make the Board statistics much more clear to open a new grievance when a grievant provides additional evidence after the initial grievance has been closed. On review, the

Board could then determine if they need to change their processes if this is happening frequently.

AOC Comment: Current regulation 510.1.2 is provided below. This regulation does not refer to voluntary surrender.510.1.2 Prior Board disciplinary action against the professional guardian may be set forth in a separate count of the complaint. Prior Board disciplinary action is a factor to be considered in determining any sanction imposed in a disciplinary action.

My comment is unchanged. I still feel with voluntary surrender, it is a waste of taxpayer dollars to continue to pursue the case.

AOC Comment: Both the current and proposed rules include a provision to consider prior disciplinary action. Prior discipline may show a pattern of behavior and can provide evidence of such behavior. In court, evidence may be excluded if the value of the evidence is substantially outweighed by a danger of one or more of the following: unfair prejudice, confusing the issues, misleading the jury, undue delay, wasting time, or needlessly presenting cumulative evidence. This is a decision made on a case-by-case basis.

Only after it is determined that the grievance warrants disciplinary action should prior disciplinary action be added.

Looking at the statistics that are available to me, I count 28 CPGs who have open grievances. I do not know if any of these CPGs have had previous grievances that have been closed, whether those closed grievances were disciplined or they were dismissed, what level of [current] grievances they are (procedural problems where no client was harmed are less egregious than when a client is harmed). According to the CPGB website, there are currently 270 CPGs. That means that just about 10% of all CPGs have open grievances. **90% DO NOT** have open grievances. This does not provide data showing that the Washington State professional guardians as a whole are causing egregious problems.

This means that CPGs in Washington State will have their rights to due process stripped as well as some civil and constitutional rights because a very small percentage of CPGs who may or may not have made mistakes. We are to be treated worse than criminals and the AOC seems to think that is O.K. because, according to the AOC, the grievance process is not a “criminal” process. At least criminals get due process and their civil and constitutional rights are protected.

Until the AOC and the CPGB and provide hard data showing that in Washington State a significant number of CPGs are abusing and exploiting their clients, this is no more than witch-hunting. The hysteria that is being whipped up by innuendo and stories regarding lay guardians or professional guardians from other states that may or may not be accurate is alarming. Most CPGs in Washington State do their best for their clients, sometimes under very difficult circumstances. I know that some have made some serious mistakes but they are the anomalies and that is what the grievance process was developed to address. Using the GAO report or stories from other states who do not have the same checks and balances that Washington State is not accurate information. Not distinguishing between the behaviors of lay guardians and of CPGs in your anecdotal stories also skews the data.

CPGs in Washington State are the guardians of last resort. Since the inception of the CPGB, it is no longer acceptable to solicit guardianships by self-petitioning except in very narrow circumstances set out by the Ethics Opinion that the CPGB posted some years ago. This means that we sometimes get appointed to guardianships where the clients are very difficult and/or there is a highly dysfunctional family/others situation involved. No one in the AOC and very few on the CPGB understand the difficulty of these guardianships because they have never actually been guardians. It’s easy to be on

the outside with opinions on how a CPG might have done things differently but none of you have ever been in the middle of situations where you are supposed to uphold a client's requests and protect the client to the best of your ability but the client (due to cognitive impairment) repeatedly sabotages your efforts and/or family or others do their best to sabotage the your efforts and then complain to the AOC that the CPG isn't doing his/her job correctly when something unpleasant happens.

CPG education and support are the keys for ensuring a high quality program. From the comments that I hear, the Certification Program falls very short of providing the type of education that individuals interested in becoming CPGs need to be successful. The fact that the attrition is so high is very telling. If it was a quality program, individuals would take the entire program whether or not they decide to become certified because much of the information that should be taught would be beneficial to those in other fields. As to support for CPGs, there is none at this time. CPGs are on their own to try to figure out their responsibilities and how to navigate some very tricky situations.

I challenge the AOC and the CPGB to report actual data for Washington State that can be verified showing that egregious guardian abuse by CPGs in Washington State is a real danger. Even if you manage to provide it [which I doubt because no one has done any actual studies regarding Washington State CPGs that I can find], there are procedures that can be put into place to protect the vulnerable adults from retaliation, or perceived retaliation, that do not include stripping CPGs of their rights as citizens of this State and this country.

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Recommendation to Revise Proposed Reg 510

510.2 TRANSCRIPT OF HEARING

Ordering Transcript. AOC must order the entire transcript unless the parties agree that no transcript or only a partial transcript is necessary for review.

Pros for the Revisions

1. Not requiring that an entire transcript be ordered in every disciplinary hearing would save the Board the financial expense of paying a court reporter to create such a transcript.
2. Certain types of cases and hearings may not require a transcript, or, may only require a partial transcript.
3. The parties know their cases, and thus would be the best judge whether an entire transcript is necessary for review.

Cons for the Revisions

1. Historically, there have been very few Board hearings. That trend may not continue, but has been the case in years past. If that trend continues, ordering an entire transcript for just a few hearings per year would likely not be onerous or financially costly.
2. When a case comes before the Board on appeal, depending upon the nature of the case, it may be far better for the Board to have an entire transcript before it so that Board Members can review every witness's actual testimony, if desired, rather than having the parties' respective attorneys *characterizing* that testimony. The same would apply if a case was appealed to the Washington Supreme Court.
3. If a case is ultimately appealed to Washington Supreme Court because a sanction of suspension or decertification was imposed, Regulation 513.2 requires that "[t]he Supreme Court shall review any Board recommendation for suspension or decertification after consideration of the transmitted record." Given that those sanctions are the most severe that can be imposed, it is important to ensure that the record on review is fully developed in all respects. Thus, it would be appropriate to order an entire transcript of a hearing when suspension or decertification is imposed by the Hearing Officer and affirmed by the Board.
4. While the parties may agree that no transcript or a partial transcript is necessary for review, the Washington Supreme Court might differ on that point. See 2 above. If so, it would be preferable for AOC to order an entire transcript at the outset, with the parties respective briefs' referencing that transcript as appropriate, rather than having to belatedly create an entire transcript if the Supreme Court orders that one be filed after the case has already been briefed by the parties. A belated submission of an entire transcript after the parties' briefing was filed would be awkward and highly inefficient, since depending on the issues in the case, the parties' briefing would likely need to reference such a transcript, and so the parties might need to provide a second round or supplemental briefing to the court.
5. Although the parties may agree that only a partial transcript is necessary for review, they may not agree on which parts of the partial transcript are necessary for review. In that situation, an entire transcript may need to be ordered, or, different parts of a partial transcript may need to be ordered.

It might be more appropriate to insert the revision somewhere within Disciplinary Regulation 511, rather than in 510.

Recommendation:

- Adopt New Proposed Revision and move to proposed Reg. 508.10 Hearings

Existing Rule

512.1 Transcript of the Hearing: The Board shall prepare the transcript of the evidentiary hearing held before the Hearing Officer and shall mail a copy to each party.

Current Proposed Revision

510.2 TRANSCRIPT OF HEARING

1. Ordering Transcript. AOC must order the entire transcript unless the parties agree that no transcript or only a partial transcript is necessary for review.
2. Filing and Service. The original of the transcript is filed with the AOC and AOC must serve it on the respondent except if the respondent ordered the transcript.

New Proposed Revision

510.2 TRANSCRIPT OF HEARING

1. Ordering Transcript. AOC must order the entire transcript for an evidentiary hearing held before a Hearing Officer when testimony is heard and suspension or decertification is recommended by the Hearing Officer.
2. Filing and Service. The original of the transcript is filed with the AOC and AOC must serve it on the respondent except if the respondent ordered the transcript.

AOC Staff Response to all Comments

The comments in letter form are attached; however comments are also included in the following table along with responses from AOC staff. When specific language is referenced, the language is underlined. When more than one comment is made about a regulation, the comments are numbered, as is the specific language that is referenced. Comments received after the August 14th board meeting are show in blue ink.

Reg No	Current Regulation	Proposed Regulation
Reg 501.1 PURPOSE OF DISCIPLINARY REGULATIONS	<p>The Standards of Practice are designed to assist professional guardians in performing their duties and to protect the public interest. The standards constitute a system for determining sanctions, permitting flexibility and creativity in assigning sanctions in particular cases of professional guardian misconduct. The standards are designed to promote:</p> <p>Consideration of all factors relevant to imposing the appropriate level of sanction in an individual case;</p> <p>Consideration of the appropriate weight of such factors in light of the stated goals of guardian discipline; and</p> <p>Consistency in the imposition of disciplinary sanctions for the same or similar offenses.</p> <p>The weight given any violation of a standard of practice is set out in the disciplinary regulations.</p>	<p>To assure that Certified Professional Guardians (CPG) meet and maintain minimum professional standards of practice, which are adopted as regulations under General Rule 23 – Rule for Certifying Professional Guardians.</p> <p>To establish a process for the Certified Professional Guardianship Board (Board) to review grievances of alleged violations of statutes, fiduciary duties, standards of practice, rules, regulations, any requirement governing the conduct of professional guardians and any other authority applicable to professional guardians. The disciplinary procedures for failure to comply with certification requirements are included in the Certification Maintenance and Continuing Education Regulations.</p> <p><u>To set out the due process protections and other procedures that allow the professional guardian and the public to be protected.</u></p> <p>To ensure meaningful access to justice services and promote public trust and confidence in the courts.</p>
COMMENTS by Mindi Blanchard and Brenda Carpenter	<p>“To set out the due process protections and other procedures that allow the professional guardian and the public to be protected.”</p> <p>Comment - I looked up the legal definition of “due process” and this is what I’ve found</p> <p>We don’t know where the writer(s) of the proposed regulation got their definition of “due process” but we see a glaring lack of “due process” in the proposed regulation.</p>	

AOC STAFF RESPONSE TO COMMENTS	<ul style="list-style-type: none"> • Due process protections include procedural and substantive due process. Generally speaking, procedural due process refers to a right to notice and an opportunity be heard. These protections are provided throughout Regulation 500 – See 504.1, 504.2, 504.3, 504.4, 504.5, 505.2 etc. and so much more. • Substantive due process prohibits the government from infringing on fundamental constitutional liberties, such as freedom of religion, speech, press, and assembly; guarantee of a speedy jury trial in criminal cases; and protection against excessive bail and cruel and unusual punishment, the right to bear arms etc. Most of these are not applicable.
COMMENT From WAPG	Comment - This regulation is concise and outlines the purpose in a clear and effective manner.
AOC STAFF RESPONSE TO COMMENTS	No response

Reg No	Current Regulation	Proposed Regulation
Reg 501.2	No Equivalent Regulation	501.2 JURISDICTION <u>Any certified professional guardian (CPG) permitted to engage in the provision of guardianship services in this state is subject to these Disciplinary Regulations. Jurisdiction exists regardless of the CPG’s residency.</u>
COMMENT From WAPG	<p>“Any certified professional guardian (CPG) permitted to engage in the provision of guardianship services in this state is subject to these Disciplinary Regulations. Jurisdiction exists regardless of the CPG’s residency”</p> <p>Comment - The regulation applies to all CPGs who are certified by the CPG Board and can be revised to make the regulation more concise and clear. An alternative may be: Any certified professional guardian (CPG) certified by the Washington State CPG Board and appointed by a Superior Court is subject to these Disciplinary Regulations.</p>	
AOC STAFF RESPONSE TO COMMENT	No response.	

Reg No	Current Regulation	Proposed Regulation
<p>Reg 501.3 GROUNDS FOR DISCIPLINARY ACTION</p>	<p>A professional guardian may be subject to disciplinary action for any of the following:</p> <p>(1) <u>Violation of or noncompliance with applicable statutes, court orders, court rules, or other authority.</u></p> <p>Commission of a felony or of a misdemeanor or gross misdemeanor involving moral turpitude,</p> <p>(2) <u>whether or not a conviction results.</u></p> <p>(3)<u>Failure to perform any duty one is obligated to perform as a professional guardian.</u></p> <p>(4)<u>Violation of the oath, duties, or standards of practice of a professional guardian.</u></p> <p>(5) <u>Permitting a professional guardian's name to be used by an uncertified person or agency.</u></p> <p>503.6 Misrepresentation or concealment of a material fact made in the application for certification.</p> <p>(6)<u>503.7 Suspension, decertification, or other disciplinary sanction by competent authority in any state, federal, or foreign jurisdiction when such action was taken in connection with a professional</u></p>	<p>These rules govern the procedure by which a certified professional guardian may be subjected to disciplinary sanctions or actions for violation of the Certified Professional Guardian Standards of Practice or other regulations adopted by the Board.</p> <p>A professional guardian may be subject to disciplinary action for any of the following:</p> <p>Violation of or noncompliance with applicable violations of statutes, fiduciary duties, standards of practice, rules, regulations, any requirement governing the conduct of professional guardians and (1) <u>any other authority applicable to professional guardians.</u></p> <p>Commission of any act that constitutes a felony, a misdemeanor or gross misdemeanor involving moral turpitude, (2) <u>whether or not a conviction results.</u></p> <p>(3) <u>Failure to perform any duty one is obligated to perform as a professional guardian.</u></p> <p>(4)<u>Violation of the oath, duties, or standards of practice of a professional guardian.</u></p> <p>(5) <u>Permitting a professional guardian's name to be used by an uncertified person or agency.</u></p> <p>Misrepresentation or concealment of a material fact made in the application for certification.</p>

	<p><u>guardianship or interaction with an incapacitated or vulnerable person.</u></p> <p><u>(7)503.8 Hiring, maintaining an office with, having on a Certified Agency’s Board of Directors, or working for or together with any person who has been decertified or suspended and who is not eligible for re- certification, if the professional guardian has knowledge of such decertification or suspension. The Board upon application and approval may waive this provision. The Board may set conditions on a waiver.</u></p> <p><u>(8)503.9 Willful disregard of a subpoena or order of a court, review panel, Board committee or the Board.</u></p> <p><u>503.10 Making a false statement under oath.</u></p> <p><u>503.11 Conduct demonstrating unfitness to work as a professional guardian, including but not limited to persistent or repeated violations of rules, standards of practice or regulations, or disciplinary actions.</u></p> <p><u>(9) 503.12 Working as a professional guardian while on inactive status.</u></p> <p><u>503.13 Failing to cooperate during the course of an investigation as required by the Board’s regulations.</u></p>	<p><u>(6) Suspension, decertification, or other disciplinary sanction taken by competent authority in any state, federal, or foreign jurisdiction when such action was taken in connection with a professional guardianship or interaction with an incapacitated or vulnerable person.</u></p> <p><u>(7) Hiring, maintaining an office with, having on a Certified Agency’s Board of Directors, or working for or together with any person whose certification has been revoked or suspended as a disciplinary sanction, if the professional guardian has knowledge of such revocation or suspension. The Board upon application and approval may waive this provision. The Board may set conditions on a waiver.</u></p> <p><u>(8) Willful disregard of a subpoena or order of a court, review panel, Board committee or the Board.</u></p> <p><u>Making a false statement under oath.</u></p> <p><u>Conduct demonstrating unfitness to work as a professional guardian, including but not limited to persistent or repeated violations of rules, standards of practice or regulations, or disciplinary actions.</u></p> <p><u>(9)Working as a professional guardian while on inactive status.</u></p> <p><u>Failing to cooperate during the course of an investigation as required by the Board’s regulations.</u></p> <p><u>Incompetence in the performance of the duties of a guardian.</u></p> <p><u>(10)Failure to appear for a scheduled court proceeding without good cause.</u></p> <p><u>Failure to comply with the terms of a signed Agreement Regarding Discipline.</u></p>
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COMMENT (1) From Mindi Blanchard and Brenda Carpenter	<p>“any other authority applicable to professional guardians”</p> <p>Comment – This phrase makes this change too vague and runs the risk of allowing the AOC and the Disciplinary Committee to overstep its authority and appears that the change is to allow for anything else that could be thought of. This is not a fair process.</p>
STAFF RESPONSE TO COMMENT	The current regulation attempts to provide a list of possible violations; however, the list is not comprehensive and thus can lead someone to believe that if a violation occurs that isn’t listed, investigation and discipline cannot occur. The proposed regulation attempts to make it clear that the Board has broad authority to regulate the conduct of a professional guardian.
COMMENT (2) From Mindi Blanchard and Brenda Carpenter	<p>“whether or not a conviction results”</p> <p>Comment - This violates a professional guardian’s right to be considered innocent until proven guilty. Punishing a professional guardian for an act of which they have not been legally convicted, is beyond the authority of the AOC or the CPG Board and violated due process</p>
AOC STAFF RESPONSE TO COMMENT	The words referenced are part of both the current and proposed regulations. In some cases guardians may not be charged for theft etc. even if it can be proven (difficult to get prosecutor’s to charge). Also if a crime is committed prosecutors may defer a matter, move a case to drug court, veteran’s court, agree to a plea of a lesser matter etc. Although, the guardian may not have been charged, the Board retains the authority to discipline a professional guardian for violating a standard of practice.
COMMENT(3) From WAPG	<p>“Failure to perform any duty one is obligated to perform as a professional guardian.”</p> <p>Comment - The above statement does not define what duties are to be followed. Would this apply to the Standards of Practice, Model Code of Ethics or Court Orders? The sentence does not add any additional authority to the regulation and is redundant.</p>
AOC STAFF RESPONSE TO COMMENT	This sentence is not new. The sentence is in the current regulation. The Board has broad authority to regulate any duty.
COMMENT (4) From WAPG	<p>“Violation of the oath, duties, or standards of practice of a professional guardian.”</p> <p>Comment - The sentence does not add any additional authority to the regulations and is redundant.</p>

AOC STAFF RESPONSE TO COMMENT	This sentence is not new. The sentence is in the current regulation. The sentence provides examples.
COMMENT (5) From WAPG	<p>“Permitting a professional guardian's name to be used by an uncertified person or agency. “</p> <p>Comment - This sentence requires further definition to be more clear and concise. The regulation should not impede on a CPG’s ability to utilize their designation in marketing and other collaborative efforts. An alternative may be: Permitting a Certified Professional Guardian’s name or certification to be utilized by any person or agency that is not CPG Board Certified.</p>
AOC STAFF RESPONSE TO COMMENT	This sentence is not new. The sentence is in the current regulation. This statement could be made clearer. The proposed statement works as does - Permitting a professional guardian's name to be used by an uncertified <u>individual guardian</u> person or <u>guardianship</u> agency. “
COMMENT (6) From WAPG	<p>“Misrepresentation or concealment of a material fact made in the application for certification.</p> <p>Suspension, decertification, or other disciplinary sanction taken by competent authority in any state, federal, or foreign jurisdiction when such action was taken in connection with a professional guardianship or interaction with an incapacitated or vulnerable person.”</p> <p>Comment - The above section is not clear and concise. The following will require a definition if rule is adopted with the current language</p> <ol style="list-style-type: none"> 1. Sanction 2. Competent Authority 3. Foreign Jurisdiction <p>Assuming that this section is for a CPG or CPG Agency that has been suspended and/or decertified in any federal, state or other certifying body will be subject to these regulations. If this is the correct goal this section leaves room for interpretation.</p>
AOC STAFF RESPONSE TO COMMENT	These sentences are not new. These sentences are in the current regulation.
COMMENT (7) From WAPG	“Hiring, maintaining an office with, having on a Certified Agency’s Board of Directors, or working for or together with any person whose certification has been revoked or suspended as a disciplinary sanction, if the professional guardian has

	<p>knowledge of such revocation or suspension. The Board upon application and approval may waive this provision. The Board may set conditions on a waiver.”</p> <p>Comment - This section is not clear and concise. The goal of this section should be further discussed to ensure the CPG and/or CPG Agency can determine what course of action should be elected to ensure compliance.</p>
AOC STAFF RESPONSE TO COMMENT	A professional guardian who wishes to hire, maintain and office with, have on a Certified Agency’s Board of Directors, work for or together with any person whose certification has been revoked or suspended as a disciplinary sanction, should apply for a waiver.
COMMENT (8) From WAPG	<p>“Willful disregard of a subpoena or order of a court, review panel, Board committee or the Board.</p> <p>Making a false statement under oath.</p> <p>Conduct demonstrating unfitness to work as a professional guardian, including but not limited to persistent or repeated violations of rules, standards of practice or regulations, or disciplinary actions”</p> <p>Comment - The sentence does not add any additional authority to the regulations and is redundant. The section is already covered in 501.1</p>
AOC STAFF RESPONSE TO COMMENT	These sentences are not new. These sentences are in the current regulation. These sentences provide examples.
COMMENT (9) From WAPG	<p>“Working as a professional guardian while on inactive status.</p> <p>Failing to cooperate during the course of an investigation as required by the Board’s regulations.</p> <p>Incompetence in the performance of the duties of a guardian.”</p> <p>Comment - A definition of incompetence is suggested. The CPG Board may want to consider how to deal with a CPG who has cognitive deficits and/or substance abuse issues.</p>
AOC STAFF RESPONSE TO COMMENT	<p>Incompetent is defined in Section 501.4 as follow:</p> <p>“Incompetent” means an individual is incapable, inefficient and without the qualities needed to discharge their obligations and duties.”</p>

	Anticipate using Sections 502.5 (3) and 509.6 when a CPG may have cognitive deficits or substance abuse issues.	
COMMENT (10) From WAPG	<p>“Failure to appear for a scheduled court proceeding without good cause. Failure to comply with the terms of a signed Agreement Regarding Discipline.”</p> <p>Comment - An alternative may be: Failure to appear for a scheduled court proceeding without good cause or complying with the terms of an executed and accepted CPG Board Agreement Regarding Discipline.</p>	
AOC STAFF RESPONSE TO COMMENT	A signed Agreement Regarding Discipline has been executed and accepted.	
Reg No	Current Regulation	Proposed Regulation
Reg 501.4 DEFINITIONS		<p>Unless the context clearly indicates otherwise, terms used in these rules have the following meanings:</p> <p>“Advisory Letter” is a non-disciplinary letter to notify a professional that:</p> <p>While there is insufficient evidence to support disciplinary action, the Board believes that continuation of the activities that led to the investigation may result in further Board action against a respondent certified professional guardian; or</p> <p>The violation is a minor or technical violation that is not of sufficient merit to warrant disciplinary action; or</p> <p>While a certified professional guardian has demonstrated substantial compliance through rehabilitation or remediation that has mitigated the need for disciplinary action, the Disciplinary Committee believes that repetition of the activities that led to the investigation may result in further Disciplinary Committee action against a CPG.</p>

		<p>“Agreement Regarding Discipline” (Settlement Agreement) is a written settlement agreement approved by the professional guardian and the Board of a disciplinary matter against a professional guardian. The final agreement, approved by the parties, is a finding of misconduct, is a sanction and is subject to public disclosure.</p> <p>“AOC” means staff of the Administrative Office of the Courts.</p> <p>“Board” means the Certified Professional Guardianship Board.</p> <p>“Chair” when used alone means the Chair of the Certified Professional Guardianship Board.</p> <p><u>(2)"Contempt of Court" means:</u></p> <p><u>Disorderly, contemptuous, or insolent behavior toward a Hearing Officer while conducting a hearing or other proceeding, tending to impair its authority, or to interrupt the due course of a trial or other judicial proceedings;</u></p> <p><u>Disobedience of any lawful judgment, decree, order, or process of the court or tribunal;</u></p> <p><u>Refusal as a witness to appear, be sworn, or, without lawful authority, to answer a question; or</u></p> <p><u>Refusal, without lawful authority, to produce a record, document, or other object.</u></p> <p>“Complaint” means the formal document, as described in DR 508.2, filed by the Board with the AOC to initiate a contested hearing before a Hearing Officer for a factual hearing on the issue of whether the professional guardian’s conduct provides grounds for the imposition of disciplinary sanctions by the Board. In a complaint, the Board describes how the professional guardian allegedly violated an applicable statute, fiduciary duty, standard of practice, rule, regulation, or other authority. The Board must approve the filing of a complaint.</p>
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		<p><u>(3) “Court” unless otherwise specified, means the Supreme Court of Washington.</u></p> <p>“CPG or CPGA” when used alone means a Certified Professional Guardian or Certified Professional Guardian Agency.</p> <p>“Decertification” of a professional guardian or agency occurs when the Board or the Supreme Court revokes the certification of a professional guardian or agency for any reason.</p> <p>“Deliberative Records” are records that contain preliminary or draft opinions or recommendations as part of a deliberative process.</p> <p>“Designated CPG” means the certified professional guardian working for an agency who has the final decision-making authority for incapacitated persons or their estate on behalf of the agency. The designated CPG is responsible for the actions of the agency (ies) for which they serve as designated CPG.</p> <p>“Disciplinary Records” are the records maintained by the Washington State Administrative Office of the Courts (AOC) of any disciplinary review, sanction, or other action imposed by the Board on the professional guardian, which shall include the reason for the Board’s action. The AOC shall maintain such records as defined by records retention schedules of the judicial branch and the AOC.</p> <p>“Disciplinary Action” encompasses the process described by these disciplinary regulations.</p> <p>“Disciplinary Counsel” the Office of the Attorney General serves as disciplinary counsel for complaints, or when otherwise requested by AOC or the Board.</p>
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		<p>“Party” means respondent CPG and the Board.</p> <p>"Punitive Sanction" means a sanction imposed to punish.</p> <p>"Remedial Sanction" means a sanction imposed for the purpose of assurance performance when a failure to perform consists of the omission or refusal to perform an act that is in the person's power to perform.</p> <p>“Resignation” is the act or instance of resigning something, surrendering; the formal notification of resigning.</p> <p>“Respondent” means a CPG or CPG agency and a designated CPG against whom a grievance is filed.</p> <p>“Revoked” or “Revocation” means a professional guardian’s certification is cancelled by the Board or the Washington State Supreme Court pursuant to the procedures set forth in these disciplinary regulations or any other regulations of the Board, as a result of the professional guardian’s failure to comply with any statutes, fiduciary duties, standards of practice, rules, regulations, any requirement governing the conduct of professional guardians and any other authority applicable to professional guardians. The Board must specify whether the CPG is eligible to apply for certification with the AOC guardian program at a future date.</p> <p><u>(4) “Standard of Practice” means a model of established practice that is commonly accepted as correct.</u></p> <p>“Summary Judgment’ is a judgment rendered by the court or Hearing Officer prior to a verdict because no material issue of fact exists and one party or the other is entitled to a judgment ascertained through the use of statutes, rules, court decisions, and interpretation of legal principles.</p> <p>“Suspension” of a professional guardian occurs when the Board or the Supreme Court orders that the certification of a professional guardian or agency be temporarily cancelled for a specified period of time. A suspended professional guardian or agency may not act</p>
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		<p>as a certified professional guardian for any person during the period of suspension.</p> <p>“To File” means submitting a written document, exhibit, or other information to the AOC regarding a grievance which will be included in the disciplinary record.</p> <p>Words of Authority</p> <p>“May” means “has discretion to,” “has a right to,” or “is permitted to”.</p> <p>“</p> <p>Must” and “shall” mean “is required to”. “Should” means recommended but not required.</p> <p>“</p> <p>Voluntary Resign (Surrender)” means a process where a certified professional guardian voluntarily decides to discontinue practice in the profession and surrenders his or her certification pursuant to regulations adopted by the Board.</p> <p>“Voluntary Resign (Surrender) in Lieu of Discipline” means a process where a certified professional guardian surrenders certification with a statement of charges for dismissal.</p>
<p>COMMENT(1) From Mindi Blanchard and Brenda Carpenter</p>		<p>“If the grievant is unable to submit a grievance in written form due to a disability or inability to communicate in written language, it may be communicated orally to AOC staff.”</p> <p>Comment - We object to the AOC staff being nominated as accepting a verbal grievance. The complaint should be communicated to a neutral third party and that third party would put it into writing for the grievant.</p>
<p>AOC STAFF RESPONSE TO COMMENT</p>		<p>A “neutral third-party” is defined as one who has no financial, or personal interest in a dispute. To our knowledge, no member of the AOC staff has a financial or personal interest in guardianship grievances. AOC staff members are committed to protecting the public from unethical or dangerous practices that can occur in guardianship practice. Any evidence that a member of AOC staff has a financial or personal interest in a guardianship grievance should be shared with</p>

	the Board. It should be noted that involving an outside party to put grievances in writing would potentially compromise the privacy of both the grievant and the guardian.
COMMENT (2) From WAPG	<p>"Contempt of Court" means:</p> <p>Disorderly, contemptuous, or insolent behavior toward a Hearing Officer while conducting a hearing or other proceeding, tending to impair its authority, or to interrupt the due course of a trial or other judicial proceedings;</p> <p>Disobedience of any lawful judgment, decree, order, or process of the court or tribunal;</p> <p>Refusal as a witness to appear, be sworn, or, without lawful authority, to answer a question; or</p> <p>Refusal, without lawful authority, to produce a record, document, or other object."</p> <p>Comment - Contempt of Court should be determined by the court and not the CPG Board. The CPG Board should not be substituting its judgment for the court when it comes to a finding of contempt of court. This is a very complicated area involving civil rights and other rights where the court would have jurisdiction.</p>
AOC STAFF RESPONSE TO COMMENT	<p>The Board is not substituting its judgment for the court. This refers to contempt of a proceeding held by the CPG Board. Perhaps, it should read:</p> <p>"Contempt of a <u>Board Proceeding Court</u>" means:</p> <p>Disorderly, contemptuous, or insolent behavior toward a Hearing Officer while conducting a hearing or other proceeding, tending to impair its authority, or to interrupt the due course of a trial or other judicial board proceedings;</p> <p>Disobedience of any lawful judgment, decree, order, or process of the <u>Certified Professional Guardianship Board</u> court or tribunal;</p> <p>Refusal as a witness to appear, be sworn, or, without lawful authority, to answer a question; or</p> <p>Refusal, without lawful authority, to produce a record, document, or other object."</p>
COMMENT (3) From WAPG	"Court" unless otherwise specified, means the Supreme Court of Washington."

	Comment - The current CPG Board regulations does not allow for an appeal process outside of the administrative court process with only an appeal to the WA State Supreme Court. This limits the CPG's options for a resolution. All other state certification governing agencies allow for lower courts to rule on disciplinary and/or sanctions prior to being heard by the State Supreme Court. By not allowing for this process places an undue financial burden on the CPG to dispute any decision made by the CPG Board.
AOC STAFF RESPONSE TO COMMENT	The Board's regulatory process is modeled after the regulatory process for the Washington State Bar Association and Licensed Practice Officers. Both only allow appeals to the Supreme Court. The Washington Supreme Court has exclusive authority to administer discipline for attorneys, LPOs and professional guardians. The Supreme Court has appointed the CPG Board to regulate professional guardians.
COMMENT (4) From WAPG	"Standard of Practice" means a model of established practice that is commonly accepted as correct. Comment - Standard of Practice should mean SOP's as promulgated by the board. The vague definition leaves this term open to interpretation.
AOC STAFF RESPONSE TO COMMENT	No response.

Reg No	Current Regulation	Proposed Regulation
Reg 501.5 STATUTE OF LIMITATIONS		<u>No statute of limitation or other time limitation restricts filing a grievance or bringing a proceeding under these rules, but the passage of time since an act of misconduct occurred may be considered in determining what if any action or sanction is warranted.</u>
COMMENT From Mindi Blanchard and Brenda Carpenter	<p>“No statute of limitation or other time limitation restricts filing a grievance or bringing a proceeding under these rules, but the passage of time since an act of misconduct occurred may be considered in determining what if any action or sanction is warranted.”</p> <p>Comment - Even criminal acts, except for murder, have limitations and time statutes. No professional guardian should have to worry about a complaint being resurrected ten, twenty, thirty or forty years later.</p>	
AOC STAFF RESPONSE TO COMMENT	See Attachment A	
COMMENT From Lin D. O'Dell	See Letter from Lin D. O'Dell	

AOC STAFF RESPONSE TO COMMENT	See Attachment A
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Reg No	Current Regulation	Proposed Regulation
<p>Reg 502.1 RESTRICTION ON REPRESENTING RESPONDENTS</p>	<p>509.1.3 A former member of the Board who is also a licensed attorney in Washington shall not represent a professional guardian in proceedings under the Board’s regulations until after two (2) years have elapsed following expiration of the Board member's term of office</p>	<p>502.1 CERTIFIED PROFESSIONAL GUARDIANSHIP BOARD (CPGB) The Washington State Certified Professional Guardianship Board has responsibility in the state to administer CPG discipline and has inherent power to maintain appropriate standards of practice and to conduct and to dispose of individual cases of CPG discipline. Persons carrying out the functions set forth in these rules act under the Certified Professional Guardianship Board’s authority. Function. The Board: Supervises the general functioning of the Disciplinary Committee. Makes appointments, removes those appointed, and fills vacancies as provided in these rules. Performs other functions and takes other actions provided in these rules, delegated by the Supreme Court in General Rule 23, or as necessary and proper to carry out its duties. Is responsible for hearing appeals of Disciplinary Committee decisions that are made appealable pursuant to these rules. <u>Restriction on Representing Respondents. A former member of the Board shall not represent a certified professional guardian in proceedings under the Board’s regulations for at least three (3) years following expiration of the Board member’s term of office. Former AOC staff shall not represent a certified professional guardian in proceeding under the Board’s regulations for at least three (3) years after separation from AOC. Former members of the Board are also subject to the restrictions on representing respondents in rule 502.2(6).</u></p>
<p>COMMENT From Mindi Blanchard and Brenda Carpenter</p>	<p>“A former member of the Board shall not represent a certified professional guardian in proceedings under the Board’s regulations for at least three (3) years following expiration of the Board member’s term of office. Former AOC staff shall not represent a certified professional guardian in proceeding under the Board’s regulations for at least three (3) years after separation from AOC. Former members of the Board are also subject to the restrictions on representing respondents in rule 502.2(6).”</p> <p>Comment - The change from two years to three years. There is no reason given for the addition of a 3rd year of separation. It is an arbitrary and unnecessary change to the current.</p>	

STAFF RESPONSE TO COMMENT	<p>Members of the Board and AOC staff have access to confidential information during their tenure with the Board. They should not be involved in representing guardians in a process they were originally involved in investigating. Thus a restriction on representation is essential. Some revisions to Reg 500 model the disciplinary rules for Licensed Practice Officers (LPOs). ELPOC 2.11 includes a 3 year restriction on representation http://wsba.org/~media/Files/Licensing_Lawyer%20Conduct/LPO/Rules%20Regs/Rules%20for%20Enforcement%20of%20LPO%20Conduct%20-%20appr%20Jan%206%202016%20eff%20Mar%201%202016.ashx</p> <p>In the only complaint that was appealed, the grievance was received in 2009, A hearing was held in 2012. An appeal was resolved in 2014 and the guardian sought reinstatement in 2016. One can argue that this was an active matter for a minimum of 5 years (2009 -2014) and a maximum of 7 years (2009 to 2016). Staff suggests that the restriction on representation should be more than three years. Five years is recommended.</p>
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Reg No	Current Regulation	Proposed Regulation
<p>Reg 502.2 DISCIPLINARY COMMITTEE</p>	<p>505 Standards of Practice Committee (SOPC) The SOPC shall have three members appointed by the Board Chair. (1)At least one member must be a certified professional guardian and at least one member must be an attorney or judicial officer. The Board Chair shall designate one member as the chair of the committee. (2)All committee members will serve a term of one year. The Board Chair shall also appoint at least three alternate members of the SOPC to assist the SOPC in the performance of its duties as requested by the Chair of the SOPC. At least one alternate member shall be a certified professional guardian and one alternate member shall be a judicial officer or attorney.</p> <p>Members of the SOPC shall perform tasks related to the disciplinary process as set forth in these regulations or as assigned by the Board.</p>	<p>502.2 DISCIPLINARY COMMITTEE</p> <p><u>(3) Function. The Disciplinary Committee performs the functions provided under these rules, delegated by the Board or the Chair, or as necessary and proper to carry out its duties. These functions include, but are not limited to investigation, review, making preliminary findings, approving settlement agreements, officiating over hearings, and imposing disciplinary sanctions. Members should respect and comply with the law and act at all times in a manner that promotes public confidence in the integrity and impartiality of the disciplinary system. Members should not allow family, social, business or other relationships to influence their conduct or judgment.</u></p> <p><u>(4) Membership. The Chair appoints a Disciplinary Committee of three to four members from among the Board members. (1)At least one of the members must have substantial experience in guardianships. The Chair may change the appointment of members to the Disciplinary Committee as necessary for equitable distribution of work or for other reasons. The Chair does not serve on the Disciplinary Committee.</u></p> <p><u>(2) Terms of Office. A board member may serve as a Disciplinary Committee member as long as the member is on the Board or for other shorter terms as determined to be appropriate by the Chair of the Board.</u></p> <p><u>(5) Disciplinary Committee Chair. The Chair of the Board designates one member of the Disciplinary Committee to act as its Chair. The Chair should have experience serving in a judicial or quasi-judicial capacity.</u></p> <p>Meetings. The Disciplinary Committee meets at times and places determined by the Disciplinary Committee Chair. At the Disciplinary Committee Chair’s discretion, the Committee may</p>

		meet and act through electronic, telephonic, written, or other means of communication.
COMMENT (1) From Mindi Blanchard and Brenda Carpenter	Comment - The current rule states “ At least one member must be a certified professional guardian and at least one member must be an attorney or judicial officer. ” No one who has never practiced as a professional guardian understands the challenges and nuances of guardianship. The new rule is not appropriate representation for professional guardian.	
RESPONSE TO COMMENT	Guardianship practice requires knowledge in many different areas. Board members are selected for their experience and subject matter expertise in one or more of these areas. Each member brings a perspective that informs the discussion.	
COMMENT (2) From Mindi Blanchard and Brenda Carpenter	<p>“Terms of Office. A board member may serve as a Disciplinary Committee member as long as the member is on the Board or for other shorter terms as determined to be appropriate by the Chair of the Board.”</p> <p>Comment - That could be as long as nine years. This is far too long. The current rule is that each board member serves one year. We see no reason to change.</p>	
AOC STAFF RESPONSE TO COMMENT	The current rule does not limit the number of terms a member may serve thus members can currently serve 9, one year terms. Disciplinary members have a learning curve. The longer they serve, the more experience they obtain. Also their ability to serve should only be limited by their ability to serve as a board member.	
COMMENT (3) From WAPG	<p>“Function. The Disciplinary Committee performs the functions provided under these rules, delegated by the Board or the Chair, or as necessary and proper to carry out its duties. These functions include, but are not limited to investigation, review, making preliminary findings, approving settlement agreements, officiating over hearings, and imposing disciplinary sanctions.</p> <p>Members should respect and comply with the law and act at all times in a manner that promotes public confidence in the integrity and impartiality of the disciplinary system. Members should not allow family, social, business or other relationships to influence their conduct or judgment.”</p> <p>Comment - It is recommended that should be changed to shall. The CPO Board members should be held to the same standards at the CPG's that they regulate. This would elevate any conflict of interest issues and/or appearance of a conflict of CPG Board Members.</p>	
AOC STAFF RESPONSE TO COMMENT	Agree that it is appropriate to replace “should” with “shall”.	

<p>COMMENT (4) From WAPG</p>	<p>“Membership. The Chair appoints a Disciplinary Committee of three to four members from among the Board members. At least one of the members must have substantial experience in guardianships. The Chair may change the appointment of members to the Disciplinary Committee as necessary for equitable distribution of work or for other reasons. The Chair does not serve on the Disciplinary Committee.”</p> <p>Comment - It is recommended that all CPG Board Members appointed to the CPG Disciplinary Committee have substantial experience in guardianships. In all other national and state certification programs, a certified or licensed fiduciary complaint are reviewed by either other professional fiduciaries and/or individuals well versed in the regulation and process.</p>
<p>AOC STAFF RESPONSE TO COMMENT</p>	<p>Many licensing programs include members of the public and other professionals on their disciplinary committees. For example, see the excerpts below from the LPO Disciplinary Committee, and the Bar Disciplinary Review Committee.</p> <p>ELPOC 2.4 DISCIPLINE COMMITTEE</p> <p>(a) Function. The discipline committee performs the functions provided under these rules, delegated by the Board or the Chair, or necessary and proper to carry out its duties.</p> <p>(b) Membership. The Chair appoints a discipline committee of three members from among the Board members. <u>At least one of the members must have substantial experience in the industry.</u> The Chair may change the appointment of members to the discipline committee as necessary for equitable distribution of work or for other reasons. The Chair does not serve on the discipline committee.</p> <p>ELC 2.4</p> <p style="text-align: center;">REVIEW COMMITTEES</p> <p>(a) Function. A review committee performs the functions provided under these rules, delegated by the Board or the Chair, or necessary and proper to carry out its duties.</p> <p>(b) Membership. The Chair appoints three or more review committees of three members each from among the Board members. Each review committee consists of two lawyers and <u>one nonlawyer</u>. The Chair may reassign members among the several committees on an interim or permanent basis. The Chair does not serve on a review committee.</p>
<p>COMMENT (5) From WAPG</p>	<p>“Disciplinary Committee Chair. The Chair of the Board designates one member of the Disciplinary Committee to act as its Chair. The Chair should have experience serving in a judicial or quasi-judicial capacity.</p> <p>Comment - This section anticipates that the disciplinary committee is a judicial proceeding which in most licensing or certification processes this is not presumed. Further discussion should be held that would identify the purpose of this section, criteria for determining chair and if this section is required.</p>

AOC STAFF RESPONSE TO COMMENT	Neither the WSBA of LPO Board's require the chair of the Disciplinary Committee to have experience serving in a judicial or quasi-judicial capacity. We did not research other disciplinary committees. This is a requirement that was established by the original drafters of the Reg. 500. It is not new.
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Reg No	Current Regulation	Proposed Regulation
Reg 502.3 CONFLICTS REVIEW COMMITTEE	<p>507 Conflicts Review Committee</p> <p>The Conflicts Review Committee (CRC) shall have three members appointed by the Board Chair, who shall also designate the committee chair. CRC members may not be current members of the Board. CRC members shall be familiar with guardianship practice in the state of Washington.</p> <p>The AOC shall transmit any grievance against a Board member to the CRC. The CRC shall perform the duties that would otherwise be performed by the SOPC under these regulations and AOC shall report to the CRC on any such grievance.</p> <p>507.3 The CRC may also recommend to the Board Chair that the Board member under investigation be placed on a leave of absence from the Board during its investigation. The CRC will consider the nature of the allegations against the Board member, the available evidence regarding those allegations and the importance of maintaining public trust and confidence in the Board in making its recommendation to the Board Chair. The CRC may make such a recommendation at any time during Its investigation and review of the grievance. Except as otherwise set forth in these regulations, the Board Chair shall have the sole discretion to decide whether the Board member should take a</p>	<p>502.3 CONFLICTS REVIEW COMMITTEE</p> <p><u>Function. The Conflicts Review Committee (CRC) performs the functions provided under these rules, delegated by the Board or the Chair, or as necessary and proper to carry out its duties. These functions include but are not limited to investigation, review, making preliminary findings, approving settlement agreements, officiating over hearings, and imposing disciplinary sanctions involving a Board member. Members should respect and comply with the law and act at all times in a manner that promotes public confidence in the integrity and impartiality of the disciplinary system. Members should not allow family, social, business, or other relationships to influence their conduct or judgment.</u></p> <p>Membership. The Board Chair shall appoint three members who shall not be current members of the Board. CRC members shall be familiar with guardianship practice in the state of Washington.</p> <p>Chair. The Board Chair shall designate one member of the CRC to serve as Chair. The Chair should have experience serving in a judicial or quasi-judicial capacity.</p> <p>Confidentiality Agreement. All proposed members of a CRC are required to sign a confidentiality agreement prior to serving.</p> <p>CRC Duties. The AOC shall transmit any grievance against a Board member to the CRC. The CRC shall perform the duties that would otherwise be performed by the Disciplinary Committee under these regulations and AOC shall support the CRC in any such grievance.</p>

	<p>leave of absence from the Board and when the Board member may return to the Board.</p> <p>507.4 If the Board files a complaint against a Board member, the Board member shall take a leave of absence from the Board until the conclusion of the disciplinary proceeding.</p> <p>507.5 Consistent with the Office of Financial Management rules, CRC members shall be reimbursed for their actual and necessary expenses incurred in the performance of their duties.</p>	<p>The CRC may recommend to the Board Chair that the Board member under investigation be placed on a leave of absence from the Board during its investigation. The CRC will consider the nature of the allegations against the Board member, the available evidence regarding those allegations and the importance of maintaining public trust and confidence in the Board in making its recommendation to the Board Chair. The CRC may make such a recommendation at any time during its investigation and review of the grievance. Except as otherwise set forth in these regulations, the Board Chair shall have the sole discretion to decide whether the Board member should take a leave of absence from the Board and when the Board member may return to the Board.</p> <p>Reimbursement. Consistent with the AOC policy, CRC members shall be reimbursed for their actual and necessary expenses incurred in the performance of their duties.</p> <p>Access to Disciplinary Information. CRC Members have access to any otherwise confidential disciplinary information necessary to perform the duties required by these rules. CRC Members shall return original files to the AOC promptly upon completion of the duties required by these rules and shall not retain copies.</p> <p>Independence. CRC Members act independently of disciplinary counsel and the Board.</p> <p>Board Member Responsibility. If the Board files a complaint against a Board member, the Board member shall take a leave of absence from the Board until the conclusion of the disciplinary proceeding.</p>
<p>COMMENT From WAPG</p>	<p>“Function. The Conflicts Review Committee (CRC) performs the functions provided under these rules, delegated by the Board or the Chair, or as necessary and proper to carry out its duties. These functions include but are not limited to</p>	

	<p>investigation, review, making preliminary findings, approving settlement agreements, officiating over hearings, and imposing disciplinary sanctions involving a Board member. Members should respect and comply with the law and act at all times in a manner that promotes public confidence in the integrity and impartiality of the disciplinary system. <u>Members should not allow</u> family, social, business, or other relationships to influence their conduct or judgment.”</p> <p>Comment --It is recommended that should be changed to shall. The CPG Board members should be held to the same standards at the CPG's that they regulate. This would elevate any conflict of interest issues and/or appearance of a conflict of CPG Board Members.</p>
<p>AOC STAFF RESPONSE TO COMMENT</p>	<p>Agree that it is appropriate to replace “should” with “shall”.</p>

Reg No	Current Regulation	Proposed Regulation
<p>Reg 502.5 RESPONDENT CERTIFIED PROFESSIONAL GUARDIAN</p>	<p>509.1.1 A professional guardian may be represented by counsel at the professional guardian’s expense at any stage of any investigation or proceeding under the Board’s regulations.</p> <p>509.1.2 Should the professional guardian seek reimbursement or imposition of fees and costs from a guardianship estate during the pendency of any Board or AOC investigation, the matter must be addressed by the superior court with jurisdiction over the case.</p> <p>(1) <u>509.1.3 A former member of the Board who is also a licensed attorney in Washington shall not represent a professional guardian in proceedings under the Board’s regulations until after two (2) years have elapsed following expiration of the Board member's term of office.</u></p>	<p>502.5 RESPONDENT CERTIFIED PROFESSIONAL GUARDIAN Right to Representation. A CPG may be represented by counsel at the CPG’s own expense during any stage of an investigation or proceeding under these rules.</p> <p>(1) <u>Restrictions on Representation of Respondent. A former Board member cannot represent a respondent CPG in any proceeding under these rules until three (3) years after leaving the Board. A former CRC member cannot represent a respondent CPG in any proceeding under these rules until one (1) year after the CRC has completed its work. A former AOC staff person shall not represent a respondent CPG in any proceeding under these rules for at least three (3) years after the date of separation from AOC.</u></p> <p>(2) <u>Restriction on Charging Fee to Respond to Grievance. A respondent CPG may not seek to charge a grievant or an incapacitated person’s estate a fee or recover costs from a grievant or incapacitated person’s estate for responding to the CPG Board regarding a grievance.</u></p> <p>(3) <u>Medical and Psychological Records. A respondent CPG must furnish written releases or authorizations to permit access to medical, psychiatric, or psychological records of the certified professional guardian and the incapacitated person as may be relevant to the investigation or proceeding.</u></p>
<p>COMMENT (1) From Mindi Blanchard and Brenda Carpenter</p>	<p>“Restrictions on Representation of Respondent. A former Board member cannot represent a respondent CPG in any proceeding under these rules until three (3) years after leaving the Board. A former CRC member cannot represent a respondent CPG in any proceeding under these rules until one (1) year after the CRC has completed its work. A former AOC staff person shall not represent a respondent CPG in any proceeding under these rules for at least three (3) years after the date of separation from AOC.”</p> <p>Comment - We feel that the current rule should be kept.</p>	
<p>AOC STAFF RESPONSE TO COMMENT</p>	<p>(Repeating the same response as above). Members of the Board and AOC staff have access to confidential information during their tenure with the Board. They should not be involved in representing guardians in a process they were originally involved in investigating. Thus a restriction on representation is essential. In the only complaint that was appealed, the grievance was received in 2009, A hearing was held in 2012. An appeal was resolved in 2014 and the</p>	

	guardian sought reinstatement in 2016. One can argue that this was an active matter for a minimum of 5 years (2009 - 2014) and a maximum of 7 years (2009 to 2016). Staff suggests that the restriction on representation should be more than three years. Five years is recommended.
COMMENT (2) From Mindi Blanchard and Brenda Carpenter	<p>“Restriction on Charging Fee to Respond to Grievance. A respondent CPG may not seek to charge a grievant or an incapacitated person’s estate a fee or recover costs from a grievant or incapacitated person’s estate for responding to the CPG Board regarding a grievance. “</p> <p>Comment - We feel that a formal hearing should be required to determine if fees can be charged on a grievance. The proposal would allow frivolous grievances to continue unchecked while the professional guardian bears the financial burden of defending him or herself.</p>
AOC STAFF RESPONSE TO COMMENT	The Board discussed this issue at length during its June meeting. In summary, the Board is confident that its process will identify frivolous grievances. No additional process is needed. SOP 410.2 states that all guardian compensation must be incurred for the incapacitated person’s welfare. Case law also states that guardian fees must be for the benefit of the IP (<i>In re Guardianship of Lamb</i> , 153 Wn. App. 1036 (2009).
COMMENT (3) From Mindi Blanchard and Brenda Carpenter	<p>“Medical and Psychological Records. A respondent CPG must furnish written releases or authorizations to permit access to medical, psychiatric, or psychological records of the certified professional guardian and the incapacitated person as may be relevant to the investigation or proceeding.”</p> <p>Comment - We feel that this is a violation of our right to privacy without due process. A hearing needs to be required to determine if this is necessary on a case-by-case basis. The CPG Board and/or AOC should not be allowed to arbitrarily determine that this information is needed</p>
AOC STAFF RESPONSE TO COMMENT	<p>In performing its mission, the Board must weigh the need to protect the public from unethical and dangerous practice against the privacy interest of professional guardians. The right to privacy is outweighed by the greater benefit of decreasing the risk to which the public is subject. Just as CPGs must have access to the private and confidential records of the people they serve, the CPG Board must have access to the private and confidential records of CPGs. Private information is handled in a safe and secure manner and is only shared on a need to know basis.</p> <p>This is not an uncommon rule with regulatory bodies. Click below and see ELC 8.2 (c) (3) for attorneys http://www.courts.wa.gov/court_rules/?fa=court_rules.display&group=ga&set=ELC&ruleid=gaelc0808.02 http://wsba.org/~media/Files/Licensing_Lawyer%20Conduct/LPO/Rules%20Regs/Rules%20for%20Enforcement%20of%20LPO%20Conduct%20-%20appr%20Jan%206%202016%20eff%20Mar%201%202016.ashx ELPIC 8.2 (c) (3)</p>
COMMENT (4) From WAPG	“Right to Representation. A CPG may be represented by counsel at the CPG’s own expense during any stage of an investigation or proceeding under these rules.

“Restrictions on Representation of Respondent. A former Board member cannot represent a respondent CPG in any proceeding under these rules until three (3) years after leaving the Board. A former CRC member cannot represent a respondent CPG in any proceeding under these rules until one (1) year after the CRC has completed its work. A former AOC staff person shall not represent a respondent CPG in any proceeding under these rules for at least three (3) years after the date of separation from AOC.

Restriction on Charging Fee to Respond to Grievance. A respondent CPG may not seek to charge a grievant or an incapacitated person’s estate a fee or recover costs from a grievant or incapacitated person’s estate for responding to the CPG Board regarding a grievance.”

Medical and Psychological Records. A respondent CPG must furnish written releases or authorizations to permit access to medical, psychiatric, or psychological records of the certified professional guardian and the incapacitated person as may be relevant to the investigation or proceeding.”

Comment -It is recommended that there be some standard for filing a grievance, and failing to meet that standard should subject the person filing the grievance to some penalty. While one does not want to produce a chilling effect on individuals who file a legitimate grievance, but a CPG should not be continually defending themselves against frivolous claims and/or grievances. The CPG is appointed for a reason and continually interacts with difficult family members, interested parties and other national guardianship groups. The CPG Board might consider the California Licensing Bureaus protocol in which not all grievances filed are fully vented through the process. In many grievances, the individual filing the grievance has had the issue fully reviewed and a ruling made by the court. The individual filing the grievance is unwilling to accept the court's decision and wants to continue the dispute through the grievance process at no cost to the individual filling the grievance. These grievances and/or issues should be dismissed if a court or other form of judication has resulted in a ruling by the court.

The assumption that only the CPG Board can rule on grievances involving Standards of Practice is no longer valid due to the recent Spokane Superior Court ruling and the Appellate ruling in which findings of fact were made based on the Standards of Practice.

The CPG Board has taken the position that a grievance allows for the review of all clients and procedures of the CPG or CPG Agency instead of reviewing the grievance and deciding based on that sole grievance. This tact as well as not reviewing the merit of the case at the onset of the filing of the grievance is reflected in the CPG Board's backlog of grievances. CPG's grievances have not been investigated or ruled upon for over a two or three-year span from time the grievance was filled and when a decision was made. This lag time between filing of the grievance and a decision being made creates mistrust from the CPG community as well as the public who have filed the grievance. All other regulated

	<p>professions have specific timelines that must be met to ensure the grievance is heard in timely manner. If the CPG Board cannot guarantee grievances are not resolved in a timely manner other options should be pursued and implemented.</p> <p>It is recommended that this provision should allow for the CPG be to obtain consent form the client prior to blanketly giving the CPG Board the authority to access a client's records without limitation. If the client does not agree to the consent a CPG would be requested to obtain direction from the assigned court to proceed with the authorization and/or give limited authority to the CPG Board. This request is an invasion of a client's privacy and may be not warranted if the grievance is not dependent on the information. The CPG's Standard of Practice places this request in directly conflict with blanketly execute the release.</p>
<p>AOC STAFF RESPONSE TO COMMENT</p>	<p>In performing its mission, the Board must weigh the need to protect the public from unethical and dangerous practice against the privacy interest of clients. The right to privacy is outweighed by the greater benefit of decreasing the risk to which the public is subject. Private information is handled in a safe and secure manner and is only shared on a need to know basis. Also see GR 22 Comment to (d) (3)</p> <p>https://www.courts.wa.gov/court_rules/?fa=court_rules.display&group=ga&set=GR&ruleid=gagr22</p>

Reg No	Current Regulation	Proposed Regulation
REG 505.1 FILING A GRIEVANCE	504.1 Any person or entity may file a grievance with the Administrative Office of the Courts (AOC) regarding a professional guardian. The Board may file a grievance in its name if alleged or apparent misconduct comes to the Board's attention without a grievance being filed by a third person.	<p>505.1 GRIEVANTS Filing of Grievance. Any person or entity may file a grievance, as defined in section 501.4.16 against a certified professional guardian.</p> <p>The Disciplinary Committee Chair may open a grievance based on any information obtained by the AOC or the Board.</p> <p>Consent to Disclosure. By filing a grievance, the grievant consents to disclosure of his or her identity, the nature of the allegations of the grievance to the respondent CPG or to any other person contacted during the investigation.</p> <p><u>The identity of the person bringing the grievance is disclosed unless the person submits a written request for confidentiality that explains his or her reasons for not wanting his or her identity disclosed, and which the Disciplinary Committee approves. At the discretion of the Disciplinary Committee Chair, the grievant's identity may be revealed for good cause.</u></p> <p>If the matter goes to a hearing and the grievant's testimony is required, the grievant's identity as a witness is not confidential, the fact that he/she brought the grievance may remain confidential.</p> <p>Grievant Rights. A grievant has the following rights: To be advised promptly of the receipt of the grievance, and of the name, address, and office phone number of the person assigned to its investigation if such an assignment is made;</p> <p>To have a reasonable opportunity to speak with the person assigned to the grievance, by telephone or in person, about the substance of the grievance or its status;</p>

		<p>To submit additional supplemental written information or documentation at any time;</p> <p>To attend any hearing conducted into the grievance;</p> <p>To provide testimony at any hearing conducted into the grievance, if such testimony is determined by AOC to be appropriate and relevant to the proceeding;</p> <p>To be advised of the disposition of the grievance;</p> <p>To be advised when his or her identity will no longer be confidential; and after supplying additional information in reference to the grievance, to request reconsideration of a dismissal of the grievance as provided in DR 506.2.</p> <p>Grievant Duties. A grievant has the duty to do the following:</p> <p>At the time of filing the grievance or when requested, give the person assigned to the grievance documents or other evidence in his or her possession, and witnesses' names and addresses;</p> <p>Assist in securing relevant evidence, which may include signing releases of information; and</p> <p>Appear and testify at any hearing resulting from the grievance when such testimony is requested by AOC, through disciplinary counsel.</p> <p>If the grievant fails to do any of the duties above, a grievance may be dismissed.</p>
<p>COMMENT From Mindi Blanchard and Brenda Carpenter</p>	<p>“The identity of the person bringing the grievance is disclosed unless the person submits a written request for confidentiality that explains his or her reasons for not wanting his or her identity disclosed, and which the Disciplinary Committee approves. At the discretion of the Disciplinary Committee Chair, the grievant’s identity may be revealed for good cause. “</p>	

	<p>Comment - Where is the due process in this? Under no circumstances should a grievant have their identity protected. A CPG should have all relevant knowledge regarding a grievance so that they can prepare and respond to a grievance with all available resources. Not knowing who the grievant is would undermine the CPGs' ability to put the complaint into context and would hamper the CPG's ability to defend him/herself.</p>
<p>STAFF RESPONSE TO COMMENT</p>	<p>Virtually all parties working closely with the elderly, persons with developmental disabilities and mental illness have noted that the overwhelming majority of abuse incidents remain unreported, because individuals often fear retaliation. Entities working to protect persons with disabilities, must weigh the value of receiving an anonymous report that could ultimately protect the welfare and safety of an IP against the potential harm to the reputation of the person complained about. Having the name of the complainant, doesn't change the complaint. The right to face one's accuser is a criminal law matter that generally refers to face-to-face confrontation with witnesses offering testimonial evidence against the accused in the form of cross-examination during a trial. Please note that the proposed rule would permit the CPG to make a motion to the Disciplinary Committee Chair to reveal the identity of the grievant for good cause.</p>

Reg No	Current Regulation	Proposed Regulation
<p>REG 502.2 INVESTIGATION OF GRIEVANCES</p>	<p>504.3 The AOC will review each complaint and may follow up in writing or through other means to obtain all necessary information for the grievance to proceed. This follow-up may include the AOC returning incomplete or unclear grievances to the submitting person or body with an explanation of why the grievance is incomplete and what additional information is necessary.</p> <p>504.4 Unless the Standards of Practice Committee (SOPC) has dismissed the grievance, the AOC shall send a grievance regarding an active guardianship case to the appropriate superior court with a request that the court review the grievance, take any action the court deems necessary, and report back to the AOC.</p> <p>504.5 Unless the SOPC has dismissed the grievance, AOC will send a copy of the grievance to the professional guardian, provide information to the professional guardian about the website location of the Board’s disciplinary regulations and request that the professional guardian respond to the grievance in writing.</p> <p>504.6 AOC may perform other necessary investigation of the grievance, which may include any of the following: interviewing the grievant, interviewing the professional guardian and obtaining relevant records or documentation from any person or entity.</p> <p>504.7 AOC will report the results of its investigation to the SOPC unless the grievance is</p>	<p>505.2 INVESTIGATION OF GRIEVANCE Review and Investigation. The AOC must review any alleged or apparent misconduct by a CPG. AOC shall conduct an initial investigation to ensure that any grievances received are complete, meet jurisdictional requirements as defined in DR 501.3, and provide sufficient factual information to warrant further consideration. When appropriate the initial investigation should include the following:</p> <p>Provide a copy of the grievance to the respondent certified professional guardian and request a response pursuant to DR 506.3.</p> <p>Provide a copy of the respondent certified professional guardian’s response to the grievant and request a response.</p> <p>Interview persons believed to possess relevant information or documents. Request and review relevant documents.</p> <p>Initial Dismissal. AOC may dismiss a grievance that fails to provide sufficient factual information, fails to meet jurisdictional requirements, or fails to identify an action which would result in sanctions. AOC is not required to seek the approval of the Disciplinary Committee or the Board for such dismissals.</p> <p>(1) <u>Dismissal of Grievance Not Required. None of the following alone requires dismissal of a grievance:</u></p> <p><u>The unwillingness of a grievant to continue the grievance;</u></p> <p><u>The withdrawal of the grievance, a compromise between the grievant and the respondent; or</u></p> <p><u>Restitution by the respondent.</u></p>

	<p>against a Board member, in which case the AOC will report the results of its investigation to the Conflicts Review Committee (CRC) which shall act on the grievance in accord with these regulations.</p>	<p>Deferral.</p> <p>(2) <u>An investigation into alleged acts of misconduct by a CPG may be deferred by the Chair of the Disciplinary Committee or AOC staff with the approval of the Disciplinary Chair, if it appears that the deferral will not endanger the public, and; The allegations are related to pending civil or criminal litigation; The respondent CPG is physically or mentally unable to respond to the investigation; or For other good cause shown.</u></p> <p>The AOC must inform the grievant and respondent of a decision to defer or a denial of a request to defer and of the procedure for requesting review. A grievant or respondent may request review of a decision on deferral. If review is requested, the AOC refers the matter to the Disciplinary Committee for reconsideration of the decision on deferral. To request review, the grievant or respondent must deliver or deposit in the mail a request for review to the Board no later than thirty (30) days after the AOC mails the notice regarding deferral.</p> <p>(3) <u>Duty to Furnish Prompt Response. The respondent CPG must promptly respond to any inquiry or request made under these rules for information relevant to grievances or matters under investigation.</u> Upon inquiry or request, the respondent CPG must:</p> <p>(4) <u>Furnish in writing, or orally if requested, a full and complete response to inquiries and questions;</u></p> <p>(5) <u>Permit inspection and copying of the CPG’s business records, files, and accounts;</u></p>
<p>COMMENT (1) From Mindi Blanchard and Brenda Carpenter</p>	<p>“Dismissal of Grievance Not Required. None of the following alone requires dismissal of a grievance:</p> <p>The unwillingness of a grievant to continue the grievance;</p>	

	<p>The withdrawal of the grievance, a compromise between the grievant and the respondent; or</p> <p>Restitution by the respondent.”</p> <p>Comment - Where is the due process in this? This is treating CPGs as though they are guilty even when the issue is resolved. The CPG Board and the AOC should not have this power.</p>
STAFF RESPONSE TO COMMENT	<p>At the core of all rules and regulations is the protection of persons subject to guardianship. The Board must consider the ability of someone to exercise undue influence and coerce another to withdraw a grievance. The Board must also consider that the fear of retaliation may cause one to withdraw a grievance. The inability to withdraw a complaint once filed is recognized in any area where the person served is extremely vulnerable, including domestic violence, child and elder abuse. The fact that the grievance proceeds and an investigation occurs does not indicate any predisposition on the merits. It simply ensures Board review of any grievance.</p>
COMMENT (2) From Mindi Blanchard and Brenda Carpenter	<p>“An investigation into alleged acts of misconduct by a CPG may be deferred by the Chair of the Disciplinary Committee or AOC staff with the approval of the Disciplinary Chair, if it appears that the deferral will not endanger the public, and; The allegations are related to pending civil or criminal litigation; The respondent CPG is physically or mentally unable to respond to the investigation; or For other good cause shown.”</p> <p>Comment - When is the CPG Board in this section? Are they deferring their responsibilities to the Disciplinary Committee and AOC Staff? Nothing should be decided without CPG approval.</p>
STAFF RESPONSE TO COMMENT	<p>The Board has determined when it must review and approve the decisions of others. The disciplinary process includes many checks and balances. Requiring the full volunteer Board, which meets no more than once a month, to review and approve every action/decision would significantly limit the Board’s ability to function as a regulatory body, thus, reducing its ability to accomplish its mission.</p>
COMMENT (3) From Mindi Blanchard and Brenda Carpenter	<p>“Duty to Furnish Prompt Response. The respondent CPG must promptly respond to any inquiry or request made under these rules for information relevant to grievances or matters under investigation.”</p> <p>Comment - This needs to be defined It is too vague. How long is “promptly”?</p>
STAFF RESPONSE TO COMMENT	<p>Webster defines “promptly” as “with little or no delay; immediately”. If in doubt, conventional wisdom would suggest contacting AOC and explaining when a response will be provided.</p>
COMMENT (4) From Mindi Blanchard and Brenda Carpenter	<p>“Furnish in writing, or orally if requested, a full and complete response to inquiries and questions;</p> <p>Comment - Everything needs to be in writing. Orally is not acceptable</p>

STAFF RESPONSE TO COMMENT	No response.
COMMENT (5) From Mindi Blanchard and Brenda Carpenter	<p>“Permit inspection and copying of the CPG’s business records, files, and accounts;”</p> <p>Comment - Again, this is a privacy violation and should require a hearing to determine the necessity of this information being provided.</p>
STAFF RESPONSE TO COMMENT	In performing its mission, the Board must weigh the need to protect the public from unethical and dangerous practice against the privacy interest of professional guardians. The right to privacy is outweighed by the greater benefit of decreasing the risk to which the public is subject. Just as CPGs must have access to the records of the people they serve, the CPG Board must have access to the records of CPGs. Private information is handled in a safe and secure manner and is only shared on a need to know basis.

Reg No	Current Regulation	Proposed Regulation
REG 505.3 PRIVILEGES	It shall be the duty and the obligation of a professional guardian or agency subject to a disciplinary investigation to cooperate with the SOPC, Board, or the AOC staff as requested, subject only to the proper exercise of the professional guardian's privilege against self-incrimination.	<p>Privilege Against Self-Incrimination. A CPG's duty to cooperate is subject to the CPG's privilege against self-incrimination, where applicable.</p> <p><u>Confidential Information. A CPG may not assert confidentiality under the Standards of Professional Conduct or other prohibitions on revealing client confidences or secrets as a basis for refusing to provide information during the course of an investigation, but information obtained during an investigation involving client confidences or secrets must be kept confidential to the extent possible under these rules unless the client otherwise consents.</u></p>
COMMENT From Mindi Blanchard and Brenda Carpenter	<p>“Confidential Information. A CPG may not assert confidentiality under the Standards of Professional Conduct or other prohibitions on revealing client confidences or secrets as a basis for refusing to provide information during the course of an investigation, but information obtained during an investigation involving client confidences or secrets must be kept confidential to the extent possible under these rules unless the client otherwise consents.”</p> <p>Comment - We interpret this as stripping CPGs and possibly their clients of important rights and should not be allowed</p>	
RESPONSE TO COMMENT	<p>In performing its mission, the Board must weigh the need to protect the public from unethical and dangerous practice against the privacy interest of clients. The right to privacy is outweighed by the greater benefit of decreasing the risk to which the public is subject. Private information is handled in a safe and secure manner and is only shared on a need to know basis. Also see GR 22 Comment to (d) (3)</p> <p>https://www.courts.wa.gov/court_rules/?fa=court_rules.display&group=ga&set=GR&ruleid=gagr22</p>	

Reg No	Current Regulation	Proposed Regulation
<p>REG 506.2 DISMISSAL OF GRIEVANCE BY DISCIPLINARY COMMITTEE</p>	<p>506.2 The SOPC will dismiss the grievance if it determines that the Board has no jurisdiction over the grievance or if the allegations and other information available to the SOPC, do not provide grounds for disciplinary action by the Board. The AOC will notify the grievant in writing that the grievance has been dismissed and the reason for the dismissal.</p>	<p>506.2 DISMISSAL OF GRIEVANCE BY DISCIPLINARY COMMITTEE Dismissal. The Chair of the Disciplinary Committee or AOC (pursuant to DR 505.2) may dismiss grievances. On dismissal by either the Chair of the Disciplinary Committee or AOC, AOC must notify: The respondent of the allegations and dismissal of the grievance; and The grievant of the outcome and the procedure for review in this rule.</p> <p><u>Review of Dismissal. A grievant may request review of dismissal of the grievance, if additional evidence has been obtained since the filing of the grievance.</u> The request for review and the additional evidence to the AOC must be received by AOC no later than thirty (30) days after the date of the dismissal of the grievance. If review is requested, the Chair of the Disciplinary Committee may either reopen the matter on his/her authority for investigation or refer it to the Disciplinary Committee for a decision regarding re-opening. Authority on Review. In reviewing a request to re-open a grievance under this rule, the Disciplinary Committee may:</p> <p>Affirm the dismissal;</p> <p>Order further investigation as appropriate.</p>
<p>COMMENT From Mindi Blanchard and Brenda Carpenter</p>	<p>“Review of Dismissal. A grievant may request review of dismissal of the grievance, if additional evidence has been obtained since the filing of the grievance.”</p> <p>Comment - If a grievance has been dismissed, it should not be allowed to be re-opened at the request of the grievant or anyone else. If a grievant provides enough additional information for a new grievance, then a new grievance should be opened. A grievance should not be re-opened and certainly not by the Chair of the Disciplinary Committee. It should be the CPG Board’s responsibility to review the evidence.</p>	
<p>STAFF RESPONSE TO COMMENT</p>	<p>If a grievant submits additional evidence that supports a conclusion that the guardian may have violated a Standard of Practice or other rule governing the work as a Certified Professional Guardian, the CPGB’s rules direct an investigation of the grievance. It seems most appropriate to reopen the grievance given that the grievance was not pursued previously for</p>	

	insufficient information, which has been rectified. It is unclear what basis there would be for requiring that a new grievance be opened. There would then be multiple grievances opened for the same matter, skewing Board statistics.
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Reg No	Current Regulation	Proposed Regulation
REG 506.3 RESPONSE TO GRIEVANCES	510.6 Time to Respond: The professional guardian shall be allowed thirty (30) days from the date of service, exclusive of the date of service, to respond to the complaint.	506.3 RESPONSE TO GRIEVANCE The certified professional guardian shall have thirty (30) days to respond to the allegations and provide any mitigating information. This response and information shall be sent to the AOC. Should the CPG require more time to adequately respond, the CPG shall make a request in writing to AOC stating the reasons for such an extension of time. <u>The Disciplinary Committee Chair or AOC shall make a determination regarding whether to grant the request for extension within five (5) days of receiving the request.</u>
COMMENT From Mindi Blanchard and Brenda Carpenter	<p data-bbox="512 532 1850 597">“The Disciplinary Committee Chair or AOC shall make a determination regarding whether to grant the request for extension within five (5) days of receiving the request.”</p> <p data-bbox="512 634 1205 664">Comment - This should be the CPG Board’s responsibility.</p>	
STAFF RESPONSE TO COMMENT	<p data-bbox="512 667 1944 828">The Board has determined when it must review and approve the decisions of others. The disciplinary process includes many checks and balances. Requiring the full volunteer Board, which meets no more than once a month, to review and approve every action/decision would significantly limit the Board’s ability to function as a regulatory body, thus, reducing its ability to accomplish its mission. Some decisions must be made in the normal course of business, those decisions are delegated to staff.</p>	

Reg No	Current Regulation	Proposed Regulation
REG 507 RESOLUTION WITHOUT COMPLAINT	The SOPC may conditionally settle and dispose of grievances without a hearing, provided a complete report of the conditional disposition of each grievance shall go to the Board for approval. Upon review of the SOPC report, the Board shall take action and make a record of the Board's decision which shall appear in the meeting minutes.	<u>Grievances not dismissed can be resolved without the filing of a complaint, through the following non-exhaustive methods: An advisory letter (DR 507.1), a Settlement Agreement (DR 507.2), or voluntary resignation (surrender) in lieu of discipline (DR 507.3).</u>
COMMENT From Mindi Blanchard and Brenda Carpenter	<p>“Grievances not dismissed can be resolved without the filing of a complaint, through the following non-exhaustive methods: An advisory letter (DR 507.1), a Settlement Agreement (DR 507.2), or voluntary resignation (surrender) in lieu of discipline (DR 507.3).”</p> <p>Comment - The CPG Board should provide approval as it currently stands in 506.5.</p>	
STAFF RESPONSE TO COMMENT	Similar to the current regulation, the new regulation requires Board approval of Settlement Agreements.	

Reg No	Current Regulation	Proposed Regulation
<p>REG 507.2 SETTLEMENT AGREEMENTS</p>	<p>514 Agreements Regarding Discipline Requirements: Any disciplinary matter may be resolved by an Agreement Regarding Discipline entered into at any time by the professional guardian and by the Board.</p> <p>An Agreement Regarding Discipline shall: State the material facts relating to the particular acts or omissions of the professional guardian. Set forth the guardian's prior record of discipline or any absence of such record.</p> <p><u>514.2.3 State that the Agreement Regarding Discipline is binding as a statement of all known facts relating to the conduct of the professional guardian, but that any additional existing acts may be proven in any subsequent disciplinary proceedings.</u></p> <p>514.2.4 Fix any costs, restitution, and expenses to be paid by any party.</p> <p>514.3 Notice 514.3.1 The Agreement Regarding Discipline shall be retained by the AOC in the professional guardian's disciplinary file.</p> <p>514.3.2 The Agreement Regarding Discipline shall be open to public access and disclosure. Notice of the discipline imposed in such Agreements shall be sent to all superior courts.</p>	<p>507.2 SETTLEMENT AGREEMENTS Requirements. Any disciplinary matter or proceeding may be resolved by a Settlement Agreement (Agreement Regarding Discipline) at any time. The Settlement Agreement must be signed by the respondent CPG and AOC, and approved by the Disciplinary Committee and the Board. A Settlement Agreement is a finding of misconduct, is a sanction and is subject to public disclosure.</p> <p>Form. A Settlement Agreement:</p> <p>Must provide sufficient detail regarding the particular acts or omissions of the respondent to permit the Disciplinary Committee to form an opinion as to the propriety of the proposed resolution, including aggravating and mitigating factors considered, so as to make the Settlement Agreement useful in any subsequent disciplinary proceeding against the respondent CPG; Must set forth the respondent's prior disciplinary record;</p> <p><u>Must state that the Settlement Agreement is not binding on the Disciplinary Committee as a final statement of facts about the respondent's conduct, and that additional facts may be proved in a subsequent disciplinary proceeding;</u></p> <p>Must fix the amount of costs and expenses, if any, to be paid by the respondent;</p> <p>May impose terms and conditions and any other appropriate provisions.</p> <p>Conditional Approval. The Disciplinary Committee's approval is conditional, as all Settlement Agreements must be submitted to the Board for their final approval. The Board's decision on whether to</p>

	514.4 Failure to Comply: Failure of a professional guardian to comply with the terms of an Agreement Regarding Discipline may constitute additional grounds for discipline	<p>approve a Settlement Agreement shall be reflected in board minutes.</p> <p>Response. Upon receipt of a proposed Settlement Agreement, the respondent CPG must respond in writing within thirty (30) days to the proposed Settlement Agreement.</p> <p>The CPG may: Agree to and sign the Settlement Agreement; Propose changes to the Settlement Agreement; Reject the Settlement Agreement and request a hearing; Voluntarily resign in lieu of further disciplinary proceedings.</p>
COMMENT From Mindi Blanchard and Brenda Carpenter	<p>“Must state that the Settlement Agreement is not binding on the Disciplinary Committee as a final statement of facts about the respondent’s conduct, and that additional facts may be proved in a subsequent disciplinary proceeding;”</p> <p>Comment - Any agreement should be binding on both parties.</p>	
STAFF RESPONSE TO COMMENT	The language in the current and the new regulation attempts to explain that if new facts are discovered the agreement can be revised.	

Reg No	Current Regulation	Proposed Regulation
507.3 VOLUNTARY RESIGNATION (SURRENDER), IN LIEU of FURTHER DISCIPLINARY PROCEEDINGS	No equivalent regulation	<p>Grounds. A respondent CPG who desires not to contest or defend against allegations of misconduct may, at any time, voluntarily resign his or her certification as a CPG in lieu of further disciplinary proceedings.</p> <p>Process. The respondent first notifies the AOC that the respondent intends to submit a voluntary resignation request and asks AOC, to prepare a statement of alleged misconduct and a declaration of costs. After receiving the statement and the declaration of costs, if any, the respondent may resign by submitting to AOC a signed voluntary resignation, sworn to or affirmed under oath and notarized. The signed voluntary resignation must include the following to be accepted for filing:</p> <p>AOC’s statement of the alleged misconduct, and either: 1) an admission of that misconduct; or 2) a statement that while not admitting the misconduct the respondent agrees not to contest the facts on which the misconduct is based;</p> <p>(1) <u>An acknowledgement that the voluntary resignation may be permanent, including the statement, “I understand that my voluntary resignation may be permanent and that any future application by me for reinstatement as a CPG will consider the circumstances around the voluntary resignation including resolution of the pending disciplinary action.”</u></p> <p>A list of all guardian and standby guardian appointments; A statement that when applying for any employment as a fiduciary, the respondent agrees to disclose the voluntary resignation in response to any question regarding disciplinary action or the status of the respondent’s certification; A statement that the respondent agrees to pay any restitution or additional costs and expenses as may be requested by the Disciplinary Committee, and attaches payment for costs as described in DR 507.3.5; and</p>

		<p>A statement that when the voluntary resignation becomes effective, the respondent will be subject to all restrictions that apply to a CPG whose certification has been revoked.</p> <p>Public Filing. Upon receipt of a voluntary resignation in lieu of discipline meeting the requirements set forth above, AOC shall file it as a public record of the Disciplinary Committee. AOC will also notify the superior courts and all other agencies from which the CPG receives appointments of the voluntary resignation.</p> <p>(2) <u>Effect. A voluntary resignation in lieu of discipline meeting the requirements set forth above, under this rule is effective upon its filing with the AOC. All disciplinary proceedings against the respondent terminate, except the AOC has the discretion to continue any investigations deemed appropriate under the circumstances to create a sufficient record of the respondent's actions for consideration in the event the respondent seeks certification at a later time.</u></p> <p>Costs and Expenses.</p> <p>A. With the voluntary resignation, the respondent must may be required to pay all actual costs for which AOC provides documentation.</p> <p>B. If additional proceedings are pending at the time respondent serves the notice of intent to voluntarily resign, AOC, through disciplinary counsel, may also file a claim under DR 509.13 for costs and expenses for that proceeding.</p> <p>Review of Costs, Expenses. Any claims for costs and expenses not resolved by agreement between the AOC and the respondent may be submitted at any time including after the voluntary resignation, to the Disciplinary Committee in writing, for the determination of appropriate costs and expenses.</p>
COMMENT (1) From Mindi Blanchard and Brenda Carpenter	<p>“An acknowledgement that the voluntary resignation may be permanent, including the statement, “I understand that my voluntary resignation may be permanent and that any future application by me for reinstatement as a CPG will consider the circumstances around the voluntary resignation including resolution of the pending disciplinary action.”</p>	

	<p>Comment - A CPG may voluntarily resign at any time for any reason. A voluntary resignation is not an admission of guilt. However, the statement proposed assumes guilt.</p>
STAFF RESPONSE TO COMMENT	<p>The ability to voluntarily resign as not changes. The new regulation includes a Voluntary Surrender in lieu of discipline when grievances have not been resolved.</p>
COMMENT (2) From Mindi Blanchard and Brenda Carpenter	<p>“Effect. A voluntary resignation in lieu of discipline meeting the requirements set forth above, under this rule is effective upon its filing with the AOC. All disciplinary proceedings against the respondent terminate, except the AOC has the discretion to continue any investigations deemed appropriate under the circumstances to create a sufficient record of the respondent’s actions for consideration in the event the respondent seeks certification at a later time.”</p> <p>Comment - The filed grievances should be sufficient. We see no reason to sue taxpayer dollars to continue to pay AOC staff to investigate something that has become a non-issue at the point of voluntary decertification. We feel that the current 510.1.2 is adequate</p>
STAFF RESPONSE TO COMMENT	<p>Current regulation 510.1.2 is provided below. This regulation does not refer to voluntary surrender.</p> <p>510.1.2 Prior Board disciplinary action against the professional guardian may be set forth in a separate count of the complaint. Prior Board disciplinary action is a factor to be considered in determining any sanction imposed in a disciplinary action.</p>

Reg No	Current Regulation	Proposed Regulation
<p>508.2 COMMENCEMENT OF PROCEEDINGS</p>	<p>506.3 The SOPC may request that a complaint be filed if the Board has jurisdiction over the grievance and the grievance and other information available to the SOPC provide grounds for disciplinary action by the Board.</p> <p>510.1 Complaint</p> <p>510.1.1 Upon the SOPC’s request that a complaint be filed, and upon approval of the Board, the AOC shall sign such a complaint that shall set forth the allegations regarding particular acts or omissions of the professional guardian in such detail as to enable the professional guardian to be informed of the allegations. The complaint shall be filed with the AOC.</p> <p>510.1.2 Prior Board disciplinary action against the professional guardian may be set forth in a separate count of the complaint. <u>(1)Prior Board disciplinary action is a factor to be considered in determining any sanction imposed in a disciplinary action.</u></p>	<p>Complaint.</p> <p>Filing. After a preliminary finding of misconduct by the Disciplinary Committee pursuant to DR 506, a Complaint may be filed by the Board with AOC.</p> <p>Service. After the Complaint is filed, AOC must serve the Complaint, with a Notice to Answer, on the respondent CPG. Content. The Complaint must state the respondent CPG’s acts or omissions in sufficient detail to inform the respondent of the nature of the allegations of misconduct and the sanction sought. AOC must sign the Complaint.</p> <p><u>(1)Prior Discipline. Prior disciplinary action against the respondent may be described in the Complaint.</u></p> <p><u>(2) Amendment of Complaint. AOC may amend a Complaint at any time to add facts or charges. AOC shall serve an Amended Complaint on the respondent as provided in DR 508.3.1(B) with a Notice to Answer. A Respondent must answer the amendments to the complaint as described in DR 508.4.</u></p> <p>Joinder. The Disciplinary Committee may, in its discretion, consolidate alleged violations relating to two or more grievances against the same respondent in one Complaint, or may consolidate alleged violations against two or more respondents in one Complaint that relate to the same grievance or grievances</p>
<p>COMMENT (1) From Mindi Blanchard and Brenda Carpenter</p>	<p>“Prior Discipline. Prior disciplinary action against the respondent may be described in the Complaint.”</p> <p>Comment - The complaint should only address the current complaint on its own merit. Describing prior disciplinary action prejudices the investigation.</p>	
<p>STAFF RESPONSE TO COMMENT</p>	<p>Both the current and proposed rules include a provision to consider prior disciplinary action. Prior discipline may show a pattern of behavior and can provide evidence of such behavior. In court, evidence may be excluded if the value of the evidence is substantially outweighed by a danger of one or more of the following: unfair prejudice, confusing the issues,</p>	

	misleading the jury, undue delay, wasting time, or needlessly presenting cumulative evidence. This is a decision made on a case-by-case basis.
COMMENT (2) From Mindi Blanchard and Brenda Carpenter	<p>“Amendment of Complaint. AOC may amend a Complaint at any time to add facts or charges. AOC shall serve an Amended Complaint on the respondent as provided in DR 508.3.1(B) with a Notice to Answer. A Respondent must answer the amendments to the complaint as described in DR 508.4”</p> <p>Comment - AOC should not have this authority. The complaint should stand on its own merits. Each grievance should be processed and completed as submitted by the grievant.</p>
STAFF RESPONSE TO COMMENT	Investigations and complaints must be performed and processed in the “interest of justice” – what is fair and equitable to the public good. If new information, concerns, grievances, and evidence is uncovered during an investigation, investigators and the Board are obligated to include this information. A failure to do so could endanger other persons. Not including the information and failing to amend a complaint could be reckless and irresponsible.

Reg No	Current Regulation	Proposed Regulation
508.3 NOTICE TO ANSWER	<p>510.4.1 A copy of the complaint with notice to answer, notice of the location of the Board’s disciplinary regulations on the AOC website, and any pleadings, notices, or other documents shall be served on the professional guardian by registered or certified mail at the address on file with the AOC</p> <p>510.4.2 By applying to be certified, all professional guardians agree to accept personal service by registered or certified mail at the address provided by the professional guardian.</p> <p>510.4.3 Service on the Board of any pleadings, notices, or other documents may be made by delivery or mailing to the Administrative.</p> <p>510.4.4 Proof of service by affidavit or certificate of service, or mailing, sheriff’s return of service, or a signed acknowledgment of service, shall be filed in the office of the AOC</p>	<p>The above named CPG: AND TO: Respondent Attorney</p> <p>1. You are hereby notified that a Complaint Regarding Disciplinary Action (hereinafter, “Complaint”) has been filed against you with the Administrative Office of the Courts, a copy of which is served upon you with this Notice. Pursuant to DR 504.1, service is made by registered or certified mail to your address on file with the Administrative Office of the Courts. Service shall be deemed complete on the third day after mailing in accordance with Civil Rule 5(b) (2).</p> <p>2. <u>You must deliver or mail an original and one copy of your Answer to the Disciplinary Action within 30 days of service (exclusive of the date of service) to the Certified Professional Guardianship Board, Administrative Office of the Courts, P.O. Box 41170, Olympia, WA</u></p> <p>98504-1170. Electronic service or filing is not accepted without prior</p>
COMMENT From Mindi Blanchard and Brenda Carpenter	<p>“You must deliver or mail an original and one copy of your.”</p> <p>Comment - The AOC can make their own copies. The CPG shouldn’t have to supply them.</p>	
STAFF RESPONSE TO COMMENT	<p>No response.</p>	

Reg No	Current Regulation	Proposed Regulation
<p>508.8 DISCOVERY AND PREHEARING PROCEDURE</p>	<p>511.10 Discovery: The parties shall have the following discovery rights, limited only to the extent the Hearing Officer deems just:</p> <p>511.10.1 Admissions from a party under Superior Court Civil Rule (CR) 36.</p> <p>511.10.2 Depositions of another party or witness under Superior Court Civil Rule (CR) 30.</p> <p>511.10.3 Other discovery under the Superior Court Civil Rules, only on motion and under terms and limitations the Hearing Officer deems just or on the parties' stipulation.</p> <p><u>511.12 Exchange of Materials: The parties shall exchange witness lists and exhibits prior to the hearing, as directed by the Hearing Officer. Failure to comply with the case scheduling requirements as directed by the Hearing Officer may result in the exclusion of witnesses and evidence not timely identified.</u></p>	<p>508.8 DISCOVERY AND PREHEARING PROCEDURES General. The parties should cooperate in mutual informal exchange of relevant non-privileged information to facilitate expeditious, economical, and fair resolution of the case.</p> <p>Requests for Admission. After a Complaint is filed, the parties may request admissions under Civil Rule 36.</p> <p>Other Discovery. After a Complaint is filed, the parties may obtain other discovery under the Superior Court Civil Rules only on motion and under terms and limitations the Hearing Officer deems just or on the parties' Settlement Agreement.</p>
<p>COMMENT From Mindi Blanchard and Brenda Carpenter</p>	<p>Should keep 511.12 of the current rule.</p>	
<p>STAFF RESPONSE TO COMMENT</p>	<p>No response.</p>	

Reg No	Current Regulation	Proposed Regulation
<p>508.9 PARTICIPATION AT DISCIPLINARY HEARING</p>	<p>511.13 Cooperation: It shall be the duty of the professional guardian and the Board's counsel to timely respond to all requests or directions of the Hearing Officer. Upon a party's failure to do so, the Hearing Officer may recommend to the Board that the professional guardian be decertified for non-compliance with the disciplinary process. Such failure may constitute a separate violation of these regulations. The Hearing Officer may dismiss the complaint with prejudice upon failure of the Board's counsel to timely respond to requests or directions of the Hearing Officer.</p> <p><u>511.11 Testimony: Testimony may be live or taken electronically via telephone, video, or other means at the discretion of the Hearing Officer. Hearings shall be electronically recorded and testimony may be presented through depositions. Witnesses shall testify under oath administered by the Hearing Officer.</u></p> <p>511.9 Subpoenas: Any party may issue a subpoena to compel the attendance of witnesses or to produce documents at a hearings or deposition. The subpoena shall be issued in the name of the Board and shall be signed and subscribed to by the party or the party's attorney of record. Subpoenas shall be served in the same manner as in civil cases in superior court. A failure to attend or produce as required by the subpoena shall be considered contempt of the Supreme Court. A motion to quash or modify the subpoena, on the grounds of unreasonableness or oppression, shall be decided by the Hearing Officer.</p>	<p>508.9 PARTICIPATION AT DISCIPLINARY HEARING Respondent CPG Must Attend. A respondent CPG given notice of a hearing must attend the hearing. If, after proper notice, the respondent fails to attend the hearing, the Hearing Officer: May draw an adverse inference from the respondent's failure to attend as to any questions that might have been asked the respondent at the hearing; and Must admit testimony by deposition regardless of the deponent's availability. An affidavit or declaration is also admissible, if: The facts stated are within the witness's personal knowledge; The facts are set forth with particularity; and It shows affirmatively that the witness could testify competently to the stated facts.</p> <p>Witnesses. Witnesses must testify under oath. Testimony may also be submitted by deposition as permitted by Civil Rule 32. Testimony must be recorded by a court reporter or, if allowed by the Disciplinary Committee, by digital or tape recording. The parties have the right to cross-examine witnesses who testify and to submit rebuttal evidence.</p> <p>Subpoenas. Any party may issue a subpoena to compel the attendance of witnesses or to produce documents at a hearing or deposition. The subpoena shall be issued in the name of the Board and shall be signed and subscribed to by the party or the party's attorney of record. Subpoenas shall be served in the same manner as in civil cases in superior court. A failure to attend or produce as required by the subpoena shall be considered contempt of the Supreme Court. A motion to quash or modify the subpoena, on the grounds of unreasonableness or oppression, shall be decided by the Hearing Officer.</p>

COMMENT From Mindi Blanchard and Brenda Carpenter	Should keep 511.11 of the current rule.
STAFF RESPONSE TO COMMENT	No response.

Reg No	Current Regulation	Proposed Regulation
509.3 REVOCATION OF CERTIFICATION	<p>515.2 Imposition of Sanctions: Generally, the following sanctions are available.</p> <p>515.2.1 Decertification is generally appropriate when a professional guardian engages in:</p> <p>515.2.1.1 Professional misconduct incompatible with the Standards of Practice with the intent to benefit the professional guardian or another; or deceive the court; or cause serious or potentially serious injury to a party, the public, or the legal system or causes serious or potentially serious interference with a legal proceeding;</p> <p>515.2.1.2 Felonious criminal conduct,</p> <p>515.2.1.3 Any other intentional misconduct involving dishonesty, fraud, deceit, or misrepresentation that seriously, adversely reflects on the professional guardian's fitness to practice, or</p> <p>515.2.1.4 Gross incompetence as demonstrated by a pattern or practice of late filings, accounting errors, case tracking, or other violations of the same Standards of Practice, and where the guardian has not corrected the behavior despite previous attempts by the courts or the Board to correct the behavior. (Adopted 1-9-12)</p>	<p>509.3 REVOCATION OF CERTIFICATION</p> <p>1. Applicability of Revocation: Revocation may be imposed when a professional guardian:</p> <p>Fails to comply with the duties, requirements or prohibitions in the Standards of Practice, or Guardianship Program rules or regulations, or Washington statutes, or the guardian's fiduciary duty; and was previously disciplined with a sanction, remedy or other remedial action by the Board, a court, or a judicial officer; or Engages in any act of dishonesty, fraud, deception, conflict of interest, selfishness or misrepresentation that adversely reflects on the guardian's fitness to practice; or</p> <p>Engages in gross incompetence, including but not limited to, case tracking, a pattern of late filings, accounting errors, delinquent or late payments of an incapacitated person's or estate's financial obligations; or</p> <p>Engages in conduct or misconduct that adversely impacts an incapacitated person in a highly significant manner. "Highly significant" in this context, means, but is not limited to, a financial loss to an incapacitated person or their estate that is greater than \$ 750.00, or results in any kind of direct physical harm, infirmity or adverse medical condition to an incapacitated person; or Engages in conduct that occurs either while performing duties as a guardian or outside those duties, that constitutes any Washington felony.</p> <p>2. Duties of CPG upon revocation of certification. Upon receipt of the Supreme Court's order revoking the CPG's certification, the CPG will submit a complete list of all active guardianships in which the CPG serves as the court-appointed guardian or standby</p>

		guardian to AOC, and must immediately notify the superior court with authority over any of the CPG’s cases of the revocation. The CPG shall ensure the timely transfer of any active guardianship cases to a new CPG and cooperate with the court in this process. <u>The CPG shall turn over all client records and provide access to client accounts in a timely manner to the newly appointed CPG.</u> The CPG shall immediately cease holding him or herself out to the public as a professional CPG. If requirements aren’t met the Board may file a motion for contempt of court with the Supreme Court.
COMMENT From Mindi Blanchard and Brenda Carpenter	“The CPG shall turn over all client records and provide access to client accounts in a timely manner to the newly appointed CPG.”	Comment - Should be “pertinent copies of client records.” Guardians need to keep their records in case a grievance is reopened.
STAFF RESPONSE TO COMMENT	The CPG should turn over ALL client records to the new CPG to facilitate that CPG having all information he or she may need to handle the client’s affairs. The CPG should make copies of any documents that he or she believes might be needed in any further legal matter involving the client.	

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August 20, 2017

Honorable Judge Lawler
CPG Board Chair

Dear Judge Lawler and CPG Board Members,

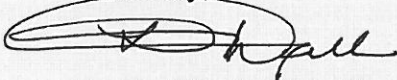
I reviewed the WAPG and Bridge Builders letters of concern. I concur the grievance process needs to be reviewed. Many of the attorney/guardians in my county have retired or are going to retire because of the unreasonable and broad interpretation of the grievance process. I have recently had a CPG grievance filed by the CPGB on their own complaint for a man who has been dead for two years. The court had finalized and dismissed the guardianship.

There needs to be a statute of limitations. The Board closes and reopens grievances no matter how old they are. They file on complaints 3 – 4 years old. What good does that do? I never recommend that anyone become a CPG solely because of the Board's handling of grievances. If you do take a case the AIP needs to have an uncomplicated scenario with no perpetrators. You can bet a perpetrator will file a grievance and the CPGB will take their word as gospel truth. The CPG of course is a consummate liar. I believe the local county court guardianship monitoring programs are fair abet inconsistent.

I have never dealt directly with the AOC until recently. I had appealed a court ruling on due process grounds. The appellate court determined I had to ask for a full evidentiary hearing and I had not. A fair decision – I should have made sure my request was on the record. The AOC has blacked-balled my participation as a guardian or a 11.88 GAL in all agency cases even though I am a licensed attorney and a licensed CPG. It would seem CPGs lose their civil rights if they appeal or maybe we just don't have any to begin with.

Guardians work for \$175.00 per month. The Board complaints are coming fast and furious based partially on the Board's own initiative. I believe the superior court would do a better job. They understand evidence and due process.

Sincerely,



Lin D. O'Dell, RN, JD, CPG



WASHINGTON
COURTS

December 19, 2011

TO: CPGB Regulations Committee
FROM: Court Access Programs
RE: Statute of Limitations

West's Encyclopedia of American defines Statute of Limitation in pertinent part:

These statutes are designed to prevent fraudulent and stale claims from arising after all evidence has been lost or after the facts have become obscure through the passage of time or the defective memory, death, or disappearance witnesses.

The statute of limitations is a defense that is ordinarily asserted by the defendant to defeat an action brought against him after the appropriate time has elapsed. Statutes of limitations are enacted by the legislature, which may either extend or reduce the time limits, subject to certain restrictions. A court cannot extend the time period unless the statute provides such authority. With respect to civil lawsuits, a statute must afford a reasonable period in which an action can be brought. A statute of limitations is unconstitutional if it immediately curtails an existing remedy or provides so little time that it deprives an individual of a reasonable opportunity to start her lawsuit. Depending upon the state statute, the parties themselves may either shorten or extend the prescribed time period by agreement, such as a provision in a contract.

Statutes of limitations are designed to aid defendants. A plaintiff, however, can prevent the dismissal of his action for untimeliness by seeking to *toll* the statute. When the statute is tolled, the running of the time period is suspended until some event specified by law takes place. Tolling provisions benefit a plaintiff by extending the time within which he is permitted to bring suit.

Various events or circumstances will toll a statute of limitations. It is tolled when one of the parties is under a legal disability—the lack of legal capacity to do an act—at the time the cause of action accrues. A child or a person with a mental illness is regarded as being incapable of initiating a legal action on her own behalf. Therefore, the time limit will be tolled until some fixed time after the disability has been removed. For example, once a child reaches the age of majority the counting of time will be resumed. A personal disability that postpones the operation of the statute against an individual may

be asserted only by that individual. If a party is under more than one disability, the statute of limitations does not begin to run until all the disabilities are removed. Once the statute begins to run, it will not be suspended by the subsequent disability of any of the parties unless specified by statute.

The unexcused failure to start an action within the statutory period bars the action. Mere ignorance of the existence of a cause of action generally does not toll the statute of limitations, particularly when the facts could have been learned by inquiry or diligence. In cases where a cause of action has been fraudulently concealed, the statute of limitations is tolled until the action is, or could have been, discovered through the exercise of due diligence. Ordinarily, silence or failure to disclose the existence of a cause of action does not toll the statute. The absence of the plaintiff or defendant from the jurisdiction does not suspend the running of the statute of limitations, unless the statute so provides.

Legislatures have created special exceptions to the statute of limitations in circumstances where victims are unable to disclose or communicate the harm, i.e. persons with disabilities, child abuse and guardianships.

RCW 4.16.190 states:

Statute tolled by personal disability

- (1) Unless otherwise provided in this section, if a person entitled to bring an action mentioned in this chapter, except for a penalty or forfeiture, or against a sheriff or other officer, for an escape, be at the time the cause of action accrued either under the age of eighteen years, or incompetent or disabled to such a degree that he or she cannot understand the nature of the proceedings, such incompetency or disability as determined according to chapter 11.88 RCW, or imprisoned on a criminal charge prior to sentencing, the time of such disability shall not be a part of the time limited for the commencement of action.

Statute of Limitations in other Professions

Healthcare

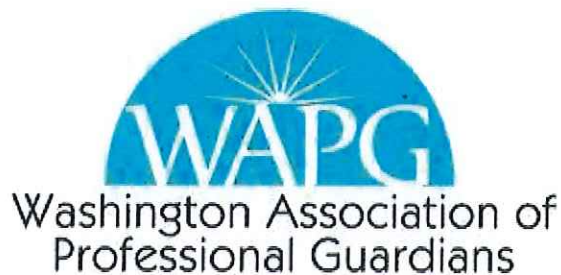
There is no statutory time limit in which to file a complaint; however, it is possible that a case cannot be acted upon because the information needed to make a decision is no longer available. It is best to report as soon as possible so the records can be obtained and potential witnesses can be located. It is a good idea to make a written note of the circumstances soon after the experience so facts are not forgotten. When submitting a complaint, be as specific as you can with the facts and dates.

WSBA

ELC 1.4 NO STATUTE OF LIMITATION

No statute of limitation or other time limitation restricts filing a grievance or bringing a proceeding under these rules, but the passage of time since an act of misconduct occurred may be considered in determining what if any action or sanction is warranted.

All Comments Received Previously not included
elsewhere in this Meeting Packet



August 15, 2017

Honorable Judge Lawler
CPG Board Chair

Dear Judge Lawler and CPG Board Members,

I would like to thank you for the opportunity for the Washington Association of Professional Guardians (WAPG) 120 members to comment on Regulation 500 which is before the CPG Board. As WAPG President and Past CPG Board Member I realize the challenges facing both the CPG and Board.

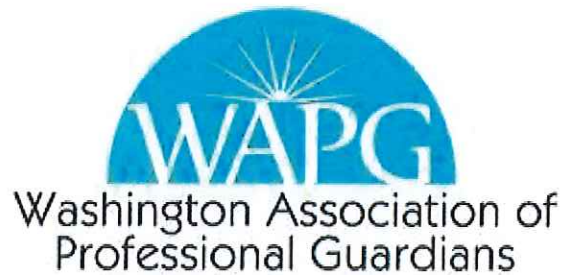
WAPG members are concerned that the CPG Board may be forcing CPG's to elect not to serve as guardians of the person or estate. This is based on the perception that the grievance process is cumbersome and ineffective as well as other factors. CPG's grievances have not been investigated or ruled upon for over a two or three-year span from time the grievance was filed and when a decision is made. This lag time between filing of the grievance and a decision being made creates mistrust from the CPG community as well as the public who have filed the grievance.

All other regulated professions have specific timelines that must be met to ensure the grievance is heard in timely manner. If the CPG Board cannot guarantee grievances are not resolved in a timely manner other options should be pursued and implemented. The CPG Board may want to consider moving the grievance process to another state agency that is well versed and grounded in the grievance process that can provide Washington CPG's the same due process and timelines as other professions practicing in Washington State.

WAPG would request that the CPG Board take in person testimony as in the legislative process before the adoption of Regulation 500 revisions.

Thank you,

Gary Beagle, NMG, CPG, OCPF
Washington Association of Profession Guardians
President



Certified Professional Guardianship Board
Regulation 500 Comments

501.1 – Purpose of Disciplinary Regulations

Comment - This regulation is concise and outlines the purpose in a clear and effective manner.

501.2 – Jurisdiction

Any certified professional guardian (CPG) permitted to engage in the provision of guardianship services in this state is subject to these Disciplinary Regulations. Jurisdiction exists regardless of the CPG's residency.

Comment – The regulation applies to all CPG's who are certified by the CPG Board and can be revised to make the regulation more concise and clear. An alternative may be: Any certified professional guardian (CPG) certified by the Washington State CPG Board and appointed by a Superior Court is subject to these Disciplinary Regulations.

501.3 – Grounds for Disciplinary Action

These rules govern the procedure by which a certified professional guardian may be subjected to disciplinary sanctions or actions for violation of the Certified Professional Guardian Standards of Practice or other regulations adopted by the Board.

A professional guardian may be subject to disciplinary action for any of the following:

Violation of or noncompliance with applicable violations of statutes, fiduciary duties, standards of practice, rules, regulations, any requirement governing the conduct of professional guardians and any other authority applicable to professional guardians.

Commission of any act that constitutes a felony, a misdemeanor or gross misdemeanor involving moral turpitude, whether or not a conviction results.

Failure to perform any duty one is obligated to perform as a professional guardian.

Comment – The above statement does not define what duties are to be followed. Would this apply to the Standards of Practice, Model Code of Ethics or Court Orders. The sentence does not add any additional authority to the regulations and is redundant.

Violation of the oath, duties, or standards of practice of a professional guardian.

Comment – The sentence does not add any additional authority to the regulations and is redundant.

Permitting a professional guardian's name to be used by an uncertified person or agency.

Comment -This sentence requires further definition to be more clear and concise. The regulation should not impede on a CPG's ability to utilize their designation in marketing and other collaborative efforts. An alternative may be: Permitting a Certified Professional Guardian's name or certification to be utilized by any person or agency that is not CPG Board Certified.

Misrepresentation or concealment of a material fact made in the application for certification.

Suspension, decertification, or other disciplinary sanction taken by competent authority in any state, federal, or foreign jurisdiction when such action was taken in connection with a professional guardianship or interaction with an incapacitated or vulnerable person.

Comment – The above section is not clear and concise. The following will require a definition if rule is adopted with the current language.

- 1.) Sanction
- 2.) Competent Authority
- 3.) Foreign Jurisdiction

Assuming the goal of this section is for a CPG or CPG Agency that has been suspended and/or decertified in any federal, state or other certifying body will be subject to these regulations. If this is the correct goal this section leaves room for in interpretation.

Hiring, maintaining an office with, having on a Certified Agency's Board of Directors, or working for or together with any person who has been certification has been revoked or suspended as a disciplinary sanction, if the professional guardian has knowledge of such revocation or suspension. The Board upon application and approval may waive this provision. The Board may set conditions on a waiver.

Comment – This section is not clear and concise. The goal of this section should be further discussed to ensure the CPG and/or CPG Agency can determine what course of action should be elected to ensure compliance.

Willful disregard of a subpoena or order of a court, review panel, Board committee or the Board.

Making a false statement under oath.

Conduct demonstrating unfitness to work as a professional guardian, including but not limited to persistent or repeated violations of rules, standards of practice or regulations, or disciplinary actions.

Comment - The sentence does not add any additional authority to the regulations and is redundant. This section is already covered in section 501.1.

Working as a professional guardian while on inactive status.

Failing to cooperate during the course of an investigation as required by the Board's regulations.

Incompetence in the performance of the duties of a guardian.

Comment - A definition of incompetence is suggested. The CPG Board may want to consider how to deal with a CPG who has cognitive deficits and/or substance abuse issues.

Failure to appear for a scheduled court proceeding without good cause. Failure to comply with the terms of a signed Agreement Regarding Discipline.

Comment - An alternative may be: Failure to appear for a scheduled court proceeding without good cause or complying with the terms of an executed and accepted CPG Board Agreement Regarding Discipline.

501.4 - Definitions

"Contempt of Court" means:

Disorderly, contemptuous, or insolent behavior toward a Hearing Officer while conducting a hearing or other proceeding, tending to impair its authority, or to interrupt the due course of a trial or other judicial proceedings;

Disobedience of any lawful judgment, decree, order, or process of the court or tribunal;

Refusal as a witness to appear, be sworn, or, without lawful authority, to answer a question; or

Refusal, without lawful authority, to produce a record, document, or other object.

Comment - Contempt of Court should be determined by the court and not the CPG board. The CPG board should not be substituting its judgment for the court when it comes to a finding of contempt of court. This is a very complicated area involving civil rights and other rights where the court would have jurisdiction.

"Court" unless otherwise specified, means the Supreme Court of Washington.

Comment - The current CPG Board regulations does not allow for an appeal process outside of the administrative court process with only an appeal to the WA State Supreme Court. This limits the CPG's options for a resolution. All other state certification governing agencies allow for lower courts to rule on disciplinary and/or sanctions prior to being heard by the State Supreme Court. By not allowing for this process places an undue financial burden on the CPG to dispute any decision made by the CPG Board.

“Standard of Practice” means a model of established practice that is commonly accepted as correct.

Comment – Standard of Practice should mean SOP’s as promulgated by the board. The vague definition leaves this term open to interpretation.

502.2 DISCIPLINARY COMMITTEE

Function. The Disciplinary Committee performs the functions provided under these rules, delegated by the Board or the Chair, or as necessary and proper to carry out its duties. These functions include, but are not limited to investigation, review, making preliminary findings, approving settlement agreements, officiating over hearings, and imposing disciplinary sanctions.

Members should respect and comply with the law and act at all times in a manner that promotes public confidence in the integrity and impartiality of the disciplinary system. Members should not allow family, social, business or other relationships to influence their conduct or judgment.

Comment – It is recommended that should be changed to shall. The CPG Board members should be held to the same standards at the CPG’s that they regulate. This would elevate any conflict of interest issues and/or appearance of a conflict of CPG Board Members.

Membership. The Chair appoints a Disciplinary Committee of three to four members from among the Board members. At least one of the members must have substantial experience in guardianships. The Chair may change the appointment of members to the Disciplinary Committee as necessary for equitable distribution of work or for other reasons. The Chair does not serve on the Disciplinary Committee.

Comment – It is recommended that all CPG Board Members appointed to the CPG Disciplinary Committee have substantial experience in guardianships. In all other national and state certification programs, a certified or licensed fiduciary complaint are reviewed by either other professional fiduciaries and/or individuals well versed in the regulation and process

Disciplinary Committee Chair. The Chair of the Board designates one member of the Disciplinary Committee to act as its Chair. The Chair should have experience serving in a judicial or quasi-judicial capacity.

Comment – This section anticipates that the disciplinary committee is a judicial proceeding which in most licensing or certification processes this is not presumed. Further discussion should be held that would identify the purpose of this section, criteria for degerming the chair and if this section is required.

502.3 CONFLICTS REVIEW COMMITTEE

Function. The Conflicts Review Committee (CRC) performs the functions provided under these rules, delegated by the Board or the Chair, or as necessary and proper to carry out its duties. These functions include but are not limited to investigation, review, making preliminary

findings, approving settlement agreements, officiating over hearings, and imposing disciplinary sanctions involving a Board member. Members should respect and comply with the law and act at all times in a manner that promotes public confidence in the integrity and impartiality of the disciplinary system. Members should not

Comment – – It is recommended that should be changed to shall. The CPG Board members should be held to the same standards at the CPG's that they regulate. This would elevate any conflict of interest issues and/or appearance of a conflict of CPG Board Members.

502.5 RESPONDENT CERTIFIED PROFESSIONAL GUARDIAN

Right to Representation. A CPG may be represented by counsel at the CPG's own expense during any stage of an investigation or proceeding under these rules.

Restrictions on Representation of Respondent. A former Board member cannot represent a respondent CPG in any proceeding under these rules until three (3) years after leaving the Board. A former CRC member cannot represent a respondent CPG in any proceeding under these rules until one (1) year after the CRC has completed its work. A former AOC staff person shall not represent a respondent CPG in any proceeding under these rules for at least three (3) years after the date of separation from AOC.

Restriction on Charging Fee To Respond to Grievance. A respondent CPG may not seek to charge a grievant or an incapacitated person's estate a fee or recover costs from a grievant or incapacitated person's estate for responding to a grievance.

Medical and Psychological Records. A respondent CPG must furnish written releases or authorizations to permit access to medical, psychiatric, or psychological records of the certified professional guardian and the incapacitated person as may be relevant to the investigation or proceeding.

Comment – It is recommended that there be some standard for filing a grievance, and failing to meet that standard should subject the person filing the grievance to some penalty. While one does not want to produce a chilling effect on individuals who file a legitimate grievance, but a CPG should not be continually defending themselves against frivolous claims and/or grievances. The CPG is appointed for a reason and continually interacts with difficult family members, interested parties and other national guardianship groups. The CPG Board might consider the California Licensing Bureaus protocol in which not all grievances filed are fully vented through the process. In many grievances, the individual filing the grievance has had the issue fully reviewed and a ruling made by the court. The individual filing the grievance is unwilling to accept the court's decision and wants to continue the dispute through the grievance process at no cost to the individual filling the grievance. These grievances and/or issues should be dismissed if a court or other form of judication has resulted in a ruling by the court.

The assumption that only the CPG Board can rule on grievances involving Standards of Practice is no longer valid due to the recent Spokane Superior Court ruling and the Appellate ruling in which findings of fact were made based on the Standards of Practice.

The CPG Board has taken the position that a grievance allows for the review of all clients and procedures of the CPG or CPG Agency instead of reviewing the grievance and deciding based on that sole grievance. This tact as well as not reviewing the merit of the case at the onset of the filing of the grievance is reflected in the CPG Board's backlog of grievances. CPG's grievances have not been investigated or ruled upon for over a two or three-year span from time the grievance was filled and when a decision was made. This lag time between filing of the grievance and a decision being made creates mistrust from the CPG community as well as the public who have filed the grievance. All other regulated professions have specific timelines that must be met to ensure the grievance is heard in timely manner. If the CPG Board cannot guarantee grievances are not resolved in a timely manner other options should be pursued and implemented.

Release of Medical Records

Comment – It is recommended that this provision should allow for the CPG be to obtain consent form the client prior to blanketly giving the CPG Board the authority to access a client's records without limitation. If the client does not agree to the consent a CPG would be requested to obtain direction from the assigned court to proceed with the authorization and/or give limited authority to the CPG Board. This request is an invasion of a client's privacy and may be not warranted if the grievance is not dependent on the information. The CPG's Standard of Practice places this request in directly conflict with blanketly execute the release.

Gary Beagle, NMG, CPG, OCPF

President

Jaimee Lombino

Executive Director

Washington Association of Professional Guardians

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Mindi R. Blanchard, M. Ed., CPG
President

Date: July 24, 2017

To: Certified Professional Guardian Board

From: Mindi R. Blanchard, M.Ed., CPG
Brenda Carpenter, CPG

RE: Proposed Revision of Disciplinary Regulation 500

The change that stands out the most to us is the lack of CPG Board involvement in the disciplinary process. It is as though the responsibility for disciplinary action has been taken away from the CPG Board and shifted to the AOC. It is our understanding that the CPG Board is responsible for oversight and discipline, not the AOC. This is of great concern to us; especially since in recent years the AOC has shown what we feel to be a bias against guardians. As far as we are aware, no one in the AOC has ever practiced as a professional guardian. At least a few of the CPG Board members are practicing guardians and can provide a view that those who have never actually practiced as professional guardians cannot know. When the CPG Board makes a decision, it has been discussed and there is a vote. When the AOC staff makes a decision, it is unilateral and not subject to any kind of scrutiny.

We are requesting that the CPG Board be as involved in the new regulation as it was in the old regulation.

The following is what we are commenting on:

In 501.1 of the proposed Regulation it states, "To set out the due process protections and other procedures that allow the professional guarding and the public to be protected." I looked up the legal definition of "due process" and this is what I've found:

"A fundamental, constitutional guarantee that all legal proceedings will be fair and that one will be given notice of the proceedings and an opportunity to be heard before the government acts to take away one's life, liberty, or property. Also, a constitutional guarantee that a law shall not be unreasonable, Arbitrary, or capricious.

The constitutional guarantee of due process of law, found in the Fifth and Fourteenth Amendments to the U.S. Constitution, prohibits all levels of government from arbitrarily or unfairly depriving individuals of their basic constitutional rights to life, liberty, and property. The DUE PROCESS CLAUSE of the Fifth Amendment, ratified in 1791, asserts that no person shall "be deprived of life, liberty, or property, without due process of law." This amendment restricts the powers of the federal government and applies only to actions by it. The Due Process Clause of the Fourteenth Amendment, ratified in 1868, declares,"[N]or shall any

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State deprive any person of life, liberty, or property, without due process of law" (§ 1). This clause limits the powers of the states, rather than those of the federal government.

The Due Process Clause of the Fourteenth Amendment has also been interpreted by the U.S. Supreme Court in the twentieth century to incorporate protections of the Bill of Rights, so that those protections apply to the states as well as to the federal government. Thus, the Due Process Clause serves as the means whereby the Bill of Rights has become binding on state governments as well as on the federal government.”

We don't know where the writer(s) of the proposed regulation got their definition of “due process” but we see a glaring *lack* of “due process” in the proposed regulation.

501.3 Grounds for Disciplinary Action

At issue: “Violation of or noncompliance with applicable violations of statutes, fiduciary duties, standards of practice, rules, regulations, any requirement governing the conduct of professional guardians **and any other authority applicable to professional guardians.**”

Response: This phrase makes this change too vague and runs the risk of allowing the AOC and Disciplinary Committee to overstep its authority and appears that the change is to allow for anything else that could be thought of. This is not a fair process.

At issue: Commission of any act that constitutes a felony, a misdemeanor or gross misdemeanor involving moral turpitude, **whether or not a conviction results.**

Response: This violates a professional guardian's right to be considered innocent until proven guilty. Punishing a professional guardian for an act of which they have not been legally convicted, is beyond the authority of the AOC or the CPG Board and violates due process.

501.5 Definitions

At issue: “Grievance” ... If the grievant is unable to submit a grievance in written form due to a disability or inability to communicate in written language, **it may be communicated orally to AOC Staff.**

Response: We object to the AOC staff being nominated as accepting a verbal grievance. The complaint should be communicated to a neutral third party and that third party would put it into writing for the grievant.

At issue: **No statute of limitation or other time limitation restricts** filing a grievance of bringing a proceeding under these rules...

Response: Even criminal acts, except for murder, have limitations and time statutes. No professional guardian should have to worry about a complaint being resurrected ten, twenty, thirty or forty years later.

502.1 Restriction on Representing Respondents

At issue: The change from two years to three years.

Response: There is no reason given for the addition of a 3rd year of separation. It is an arbitrary and unnecessary change to the current rule.

502.2 Disciplinary Committee

At issue: Membership. The Chair appoints a Disciplinary committee of three to four members from among the Board members. **At least one of the members must have substantial experience in guardianship.**

Response: The current rule states "At least one member must be a certified professional guardian and at least one member must be an attorney or judicial officer." No one who has never practiced as a professional guardian understands the challenges and nuances of guardianship. This new rule is not appropriate representation for professional guardians.

At issue: **A board member may serve as a Disciplinary Committee member as long as the member is on the board.**

Response: That could be as long as nine years. That is far too long. The current rule is that each board member serves one year. We see no reason to change this rule.

502.5 Respondent Certified Professional Guardian

At issue: Again, the new rule has extended the amount of time a prior board member or AOC staff has to wait before representing a professional guardian.

Response: We feel that the current rule should be kept.

At issue: **Restriction on Charging Fee to respond to a Grievance. A respondent CPG may not seek to charge a grievant or an incapacitated person's estate a fee or recover costs from a grievant or incapacitated person's estate for responding to the CPG Board regarding a grievance.**

Response. We feel that a formal hearing should be required to determine if fees can be charged on a grievance. The proposal would allow frivolous grievances to continue unchecked while the professional guardian bears the financial burden of defending him/herself.

At Issue: **Medical and Psychological Records. A respondent CPG must furnish written releases or authorization to permit access to medical, psychiatric, or psychological records of the CPG and the incapacitated person as may be relevant to the investigation or proceeding."**

Response: We feel that this is a violation of our right to privacy without due process. A hearing needs to be required to determine if this is necessary on a case-by-case basis. The CPG Board and/or the AOC should not be allowed to arbitrarily determine that this information is needed.

505.1 Filing of Grievance

At issue: **The identity of the person bringing the grievance is disclosed unless the person submits a written request for confidentiality that explains his or her reasons for not wanting his or her identity disclosed, and which the Disciplinary Committee approves. At the discretion of the Disciplinary Committee Chair, the grievant's identity may be revealed for good cause.**

Response: Where is the due process in this? Under no circumstances should a grievant have their identity protected. A CPG should have all relevant knowledge regarding a grievance so that they can prepare and respond to a grievance with all available resources. Not knowing who the grievant is would undermine the CPG's ability to put the complaint into context and would hamper the CPG's ability to defend him/herself.

502.2 Investigation of Grievance

At issue: **Dismissal of Grievance Not Required. None of the following alone requires dismissal of a grievance. The unwillingness of a grievant to continue the grievance; the withdrawal of the grievance, a compromise between the grievant and the respondent; or restitution by the respondent.**

Response: Where is the due process in this? This is treating CPGs as though they are guilty even when the issue is resolved. The CPG Board and the AOC should not have this power.

At issue: The section regarding investigation into alleged acts of misconduct by a CPG deferred by the **Chair of the Disciplinary Committee or AOC staff** with the approval of the Disciplinary Chair...

Response: Where is the CPG Board in this section? Are they deferring their responsibilities to the Disciplinary Committee and AOC Staff? Nothing should be decided without CPG Board approval.

At issue: The respondent **CPG must promptly respond** to any inquiry or request made under these rules for information...

Response: This needs to be defined. It is too vague. How long is "promptly?"

At issue: Furnish in writing, **or orally if requested**, a full and complete response to inquiries and questions.

Response: Everything needs to be in writing. Orally is not acceptable.

At issue: **Permit inspection and copying of the CPG's business records, files and accounts; furnish copies of requested records, files and accounts; and furnish written releases or authorization if needed to obtain document of information from third parties.**

Response: Again, this is a privacy violation and should require a hearing to determine the necessity of this information being provided.

505.3 Privileges

At issue: Confidential Information. **A CPG may not assert Confidentiality under the Standards of Professional Conduct or other prohibition on revealing client confidences or secrets as a basis for refusing to provide information dur the course of an investigation...**

Response: We interpret this as stripping CPGs and possibly their clients of important rights and should not be allowed.

506.2 Dismissal of grievance by Disciplinary Committee

At issue: **Review of Dismissal. A grievant may request review of dismissal of the grievance if additional evidence has been obtained since the filing of the grievance.**

Response: If a grievance has been dismissed, it should not be allowed to be re-opened at the request of the grievant or anyone else. If a grievant provides enough additional information for a new grievance, then a new grievance should be opened. A grievance should not be re-opened and certainly not by the Chair of the Disciplinary Committee. It should be the CPG Board's responsibility to review the evidence.

506.3 Response to Grievance

At issue: **The Disciplinary Committee Chair or AOC shall make a determination regarding whether to grant the request for extension...**

Response: This should be the CPG Board's responsibility.

507 Resolution without complaint

At issue: No CPG Board involvement.

Response: The CPG Board should provide approval as it currently stands under 506.5

507.2 Settlement Agreements

At issue: **Must state that the Settlement Agreement is not binding on the Disciplinary Committee as a final Statement of facts about the respondent's conduct...**

Response: Any agreement should be binding on both parties.

At issue: **An acknowledgement that the voluntary resignation may be permanent, including the statement, "I understand that my voluntary resignation may be permanent and that any future application by me for reinstatement as a CPG will consider the circumstances around the voluntary resignation including resolution of the pending disciplinary action."**

Response: A CPG may voluntarily resign at any time for any reason. A voluntary resignation is not an admission of guilt. However, the statement proposed assumes guilt.

At issue: **...except the AOC has the discretion to continue any investigations deemed appropriate under the circumstances to create a sufficient record of the respondent's actions for consideration in the event the respondent seeks certification at a later time.**

Response: The filed grievance should be sufficient. We see no reason to use taxpayer dollars to continue to pay AOC staff to investigate something that has become a non-issue at the point of voluntary decertification. We feel that the current 510.1.2 is adequate.

508.2 Commencement of Proceedings

At issue: **Prior discipline. Prior disciplinary action against the respondent may be described in the Complaint.**

Response: The complaint should only address the current complaint on its own merit. Describing prior disciplinary action prejudices the investigation.

At issue: **Amendment of Complaint. AOC may amend a Complaint at any time to add facts or charges.**

Response: The AOC should not have this authority. The complaint should stand on its own merits. Each grievance should be processed and completed as submitted by the grievant.

508.3 Notice to Answer

At issue: #2 - ... original **and one copy**...

Response: The AOC can make their own copies. The CPG shouldn't have to supply them.

508.8 Discovery and Prehearing Procedures

Response: Should keep 511.12 of the current rule.

508.9 Participation at Disciplinary Hearing

Response: Should keep 511.11 of the current rule.

509.3 Revocation of Certification

At issue: The CPG shall **turn over all client records** and provide access to client accounts in a timely manner...

Response: Should be "pertinent copies of client records." Guardians need to keep their records in case a grievance is reopened.

Where is the AOC's accountability in all of this? This reads as though the AOC has uninhibited powers. The CPG Board is barely mentioned in this proposed rule. What recourse does a CPG have when an AOC staff is overstepping his/her authority? This needs to be brought into this rule as well. The CPG Board should be instructing the AOC, not the other way around.

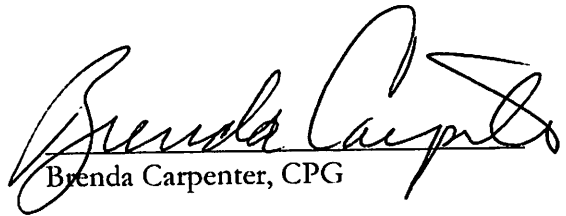
CPGs have an extremely difficult job. CPGs are expected to be experts in everything from the care of their clients, to experts in the law. If a CPG has a problem and gets advice from a professional only to learn that the professional gave poor advice, the CPG is still held accountable. This proposed rule treats CPGs as though they are guilty unless they can prove innocence. Anyone in the legal profession knows that it is far more difficult to prove innocence. Our country's laws don't work that way but it seems to us that the AOC wants to make CPGs the exception.

Where would vulnerable adults be without CPGs? It is no secret that there aren't enough guardians to fill the need. The costs and liability of be a CPG is climbing. How does the CPG Board expect to fill the need for low-income guardianships? We believe in being held accountable but the current proposal would make being a CPG too risky for most. There has to be appropriate accountability.

Respectfully Submitted:



Mindi R. Blanchard, M.Ed., CPG



Brenda Carpenter, CPG

From: Weigelt, David B
To: [AOC DL - Guardianship Program](#)
Cc: dontsayuncle1@yahoo.com
Subject: Comment on 501
Date: Monday, May 01, 2017 9:40:22 AM

501.3

#2. The wording of this violation has been changed from the original wording and as a result is now inconsistent with other sections of the regulations including; 509.3.1 (e) and (f), 509.5.2. As re-written the commission of "any" felony no longer qualifies for disciplinary action. Suggest reverting back to old language "503.2 Commission of a felony or of a misdemeanor or gross misdemeanor involving moral turpitude, whether or not a conviction results."

#8) Typo in the paragraph

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