

**2023 Certified Professional Guardian and Conservator Annual Recertification Fillable Form**

**GENERAL INSTRUCTIONS**

1. **Please type.** If you must hand write, please print clearly with blue or black ink.
2. Please read the instructions for each section and answer each question carefully.
3. Check or money order must accompany the recertification packet.
4. Mail complete packets to: **Certified Professional Guardianship Board**

**PO Box 41170  
Olympia, WA 98504-1170**

*Only correctly completed forms will be accepted. Forms that are illegible, incomplete, or completed incorrectly will be rejected.*

**Section 1 – General Information. Completed by Certified Professional Guardian and Conservator (CPGC)**

1. This section should be completed by individual CPGCs, ***not*** CPGC Agencies.
2. If you fill out this section, ***do not*** fill out Section 2.
3. An annual recertification fee must be paid by every CPGC. (\$350 for active CPGCs who do not qualify for exemption; \$250 for CPGCs who qualify for exemption; \$250 for CPGCs working for a CPGC Agency; \$175 for inactive CPGCs. See Section 4a for exemption explanation.)

First Name \_\_\_\_\_ Last Name \_\_\_\_\_ CPGC Number \_\_\_\_\_

Mailing Address \_\_\_\_\_ Phone \_\_\_\_\_

City/State/Zip \_\_\_\_\_ Email \_\_\_\_\_

**Section 2 – General Information. Completed *only* by the Certified Professional Guardian and Conservator Agency (CPGCA)**

1. This section should be completed by individual CPGC Agencies, ***not*** CPGCs.
2. If you fill out this section, ***do not*** fill out Section 1.
3. An annual recertification fee must be paid by every CPGC Agency. (\$350 for active CPGC Agencies who do not qualify for exemption; \$250 for CPGC Agencies who qualify for exemption; \$175 for inactive CPGC Agencies. See Section 4a for exemption explanation.)

CPGCA Name \_\_\_\_\_ CPGCA Number \_\_\_\_\_

Mailing Address \_\_\_\_\_ Phone \_\_\_\_\_

City/State/Zip \_\_\_\_\_ Email \_\_\_\_\_

**\*\*Note to agencies regarding recertification\*\***

*You are encouraged to assign a designated guardian for the agency who will:*

- Complete and sign the agency recertification form.
- Collect a completed and signed recertification form from every CPGC working for the agency.
- Submit together, in one packet, all of the items listed in the box to the right.

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| <ol style="list-style-type: none"><li>1. All recertification forms and fees.</li><li>2. A copy of the declaration page from your E&amp;O insurance.</li><li>3. Properly identified official documents explaining any "Yes" answers from Section 3.</li><li>4. Acceptance of Designation Form, if needed.</li></ol> |
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**Section 2 – Continued. Completed only by Certified Professional Guardian and Conservator Agency (CPGCA)**

List the names and CPGC numbers of all certified professional guardians and conservators working at your agency. Submit an additional sheet if needed.

**Designated Guardians:** Each CPGC Agency is required to assign at least two designated guardians with final decision-making authority for individuals subject to guardianship served by that agency. Please indicate at least two designated guardians below and confirm that they are covered by the agency's insurance.

Each Designated Guardian and Conservator must have an Acceptance of Designated CPGC form on file with the AOC. If the Designated Guardians and Conservators within an agency have changed, please provide a copy of the resolution or minutes stating the agency has newly designated CPGCs, and include an Acceptance of Designated CPGC form for each designated CPGC. An Acceptance of Designated CPGC form is attached.

**Please note: Each CPGC must also submit a separate individual CPGC recertification form.**

	<b>Guardian and Conservator Name</b>	<b>CPGC#</b>	<b>Insurance?</b>	<b>Designated?</b>
1.	_____	_____		
2.	_____	_____		
3.	_____	_____		
4.	_____	_____		
5.	_____	_____		
6.	_____	_____		
7.	_____	_____		
8.	_____	_____		
9.	_____	_____		
10.	_____	_____		

**List the names and titles of Agency officers**

<b>Officer Name</b>	<b>Officer Title</b>
_____	_____
_____	_____
_____	_____
_____	_____

**List the names and CPGC numbers of all CPGCs who have left your agency since your last recertification, and explain why they left. Submit an additional sheet if needed.**

	<b>Guardian and Conservator Name</b>	<b>CPGC#</b>	<b>Reason for leaving</b>
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____
4.	_____	_____	_____

**Section 3 – Disclosure GR 23(3). Completed by both CPGC and CPGC Agency.**

*If you answer “Yes” to any of the following questions, please provide official documentation.*

**Since you last reported:**

**Yes No**

1. Has there been a finding by a court that you, an individual guardian and conservator or agency, violated your fiduciary duties, or committed a felony or any crime involving dishonesty, moral turpitude, the use of physical force or other crime relevant to the functions the individual would assume as guardian or conservator?
2. Have you, an individual guardian and conservator or agency, been removed as a guardian by court order?
3. Has a judgment been entered against you, an individual guardian and conservator or agency, arising from your performance of services as a fiduciary?
4. Have you, an individual guardian and conservator or agency, been involved in any type of adjudication specified in RCW 43.43.830 and RCW 43.43.842?
5. Has the Department of Social and Health Services or a judge determined (substantiated) that you, an individual guardian and conservator or agency, or any employee, officer or certified professional guardian and conservator associated with you, abused a vulnerable adult, including abandonment, neglect, abuse, or financial exploitation under RCW 74.34 (RCW 73.34.020 and WAC388-71-01275)?
6. Has the Department of Social and Health Services or a judge determined (substantiated) that you, an individual guardian and conservator or agency, or any employee, officer or certified professional guardian and conservator associated with you, abused or neglected a child under RCW 26.44 (RCWS 26.44.125 and WAC388-15-061 through WAC388-15-141)?
7. Are there any pending licensing or disciplinary actions related to fiduciary responsibilities or final licensing or disciplinary actions resulting in findings of violations?
8. Have you filed bankruptcy in the past 7 years, or since you last reported?
9. Have you had a guardianship bond or E & O insurance cancelled?

**Section 4a – Errors & Omissions (E & O) Insurance Declaration. Completed by both CPGC and CPGCA.**

If the answer to EITHER of the following two questions is “No”, you are **REQUIRED** to have Errors & Omissions (E & O) Insurance.

**Yes    No**

1. Do you, an individual certified professional guardian and conservator or agency, have 25 or fewer guardianship case appointments?
2. Do you, an individual certified professional guardian and conservator or agency, have less than \$500,000 total countable guardianship assets under management?

If you answered yes to BOTH questions above, you are exempt from the E & O Insurance requirement.

*CPGCs and CPGCAs who are exempt from the requirement to have Errors and Omissions (E & O) Insurance are permitted to pay lower annual certification renewal fees. To qualify, a CPGC or CPGCA must have 25 or fewer guardianship case appointments at one time, and with less than \$500,000 total countable guardianship assets under management (CPGC Regulation 704)*

In accordance with Regulation 704.8, you may request a waiver if you are not exempt. If you, an individual certified professional guardian and conservator or agency, requests a waiver to the requirement for E & O Insurance, please attach request.

**Section 4b – Errors & Omissions (E & O) Insurance Information. Completed by both CPGC and CPGCA.**

*Only those CPGCs and CPGCAs that are REQUIRED to carry E & O Insurance must complete this section. A copy of the declaration page from your E & O policy **must be included** with this recertification packet.*

Errors & Omissions Insurance Carrier

Insurance Policy #

\_\_\_\_\_

\_\_\_\_\_

Coverage Dates: From \_\_\_\_\_ To \_\_\_\_\_

Limit of Insurance Liability \_\_\_\_\_

Name of Insurance Agent

Agent’s Telephone Number

\_\_\_\_\_

\_\_\_\_\_

**Section 5 – Completed by CPGC or CPGC Agency.**

I declare as a Certified Professional Guardian and Conservator, under penalty of perjury under the laws of the state of Washington that the following is correct (select one that applies):

I am covered by the E & O Insurance held by a CPGC Agency.

Name of Agency \_\_\_\_\_

I maintain a policy of E & O Insurance of at least \$500,000 as required by Regulation 704.

I qualify for exemption from the requirement to have E & O Insurance as set forth in Regulation 704.8.

I do not qualify for exemption from the requirement to have E & O Insurance as set forth in Regulation 704.8, but I intend to submit a request to waive the E & O requirement.

**-OR-**

I declare on behalf of the Agency, under penalty of perjury under the laws of the state of Washington that the following is correct (select one that applies):

The Agency maintains a policy of E & O Insurance of at least \$500,000 as required by Regulation 704.

The Agency qualifies for exemption from the requirement to have E & O Insurance as set forth in Regulation 704.8.

The Agency does not qualify for exemption from the requirement to have E & O Insurance as set forth in Regulation 704.8, but intends to submit a request to waive the E & O requirement.

***I declare, under penalty of perjury, that all of the information provided in this form is accurate.***

Date Signed: \_\_\_\_\_ Place Signed (City, State): \_\_\_\_\_

Signature:

\_\_\_\_\_

***IMPORTANT: The due date for this packet is August 1, 2022.***

***If any part of the packet (form, fee, E & O Insurance declaration, Acceptance of Designation, Resolution or Minutes, or other supporting documents) is received after August 1, 2022, the submission is considered late.***

***Packets must be postmarked no later than August 1<sup>st</sup>.***

***Packets with postmarks August 2, 2022 and thereafter will incur a \$150 late fee.***

***Anyone who has not submitted a recertification packet by October 1, 2022 may be decertified.***