



Rules and Regulations
Finance Certificate Program
Board Approved – August 6, 2020



I. ADMINISTRATION

A. Certificate Purpose

The purpose of the Center for Guardianship Certification (CGC) Finance Certificate program is to identify those individuals who are involved in guardianship fiduciary responsibilities and offer those individuals the opportunity to assess their knowledge of best practices regarding fiduciary responsibilities.

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

C. Confidentiality

All applications and other information submitted to the CGC or its third party vendor as part of the Finance Certificate program shall be privileged and confidential. The CGC is committed to protecting privacy in the Finance Certificate program including privacy of examination results. The CGC or its third party vendor will collect an applicant's personal information including but not limited to name, home and/or business address, email address, phone number, credit/debit card information, place of employment, and position title. The CGC or its third party vendor may also collect information about any disability for purposes of providing accommodations under the Americans with Disabilities Act (ADA). For verification and identification purposes, we may collect all or part of a government-issued identification number.

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

D. Certificate Administration

The Finance Certificate program offered shall be administered by the CGC in accordance with these rules and regulations. The CGC shall develop and oversee the following:

1. Implementation of the application process.
2. Establishment of criteria relevant to the disciplinary process outlined in this document.
3. Approval of all examination questions.
4. Preparation and administration of certificate examinations.
5. Provision of accommodations in accordance with the ADA.
6. Issuance of a certificate.
7. Maintenance of all appropriate records relative to the certificate.

E. Certificate Expiration

The Finance Certificate will expire three years from the date of issuance. To retain the Finance Certificate, applicants must apply for and successfully pass the examination prior to the expiration date of their certificate.

II. ELIGIBILITY REQUIREMENTS AND PROCEDURES

A. Minimum Eligibility Requirements for Certificate

To qualify for the Finance Certificate program the applicant shall pay all required fees, comply with the application procedures, and adhere to all the CGC requirements specified in the application and other documents. Applicants must also meet the minimum eligibility requirements, except as otherwise provided by state law.



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All applicants must:

1. Be at least 18 years of age.
2. Affirm to not having been convicted of, or pled guilty or no contest to, a felony. The only exception to this requirement will be court or state agency documentation of expungement of the felony conviction.
3. Affirm to not having been civilly liable or criminally convicted in an action that involved fraud, misrepresentation, material omission, misappropriation, moral turpitude, theft, exploitation, abuse or conversion.
4. Affirm to not having been relieved of responsibilities as a guardian or fiduciary by a court, employer, or client for actions involving fraud, misrepresentation, material omission, misappropriation, theft, exploitation, abuse or conversion.
5. Affirm to not having been disciplined by a state or national certification or licensing organization in any profession. To be excepted from this requirement, a letter from the certification or licensing organization which details the infraction and outlines the disciplinary action taken must be received.
6. Agree to comply with the CGC policies, requirements, and rules & regulations.
7. Agree to notify CGC of any changes to the affirmations listed in this section while the certificate is active.
8. Not have had any CGC certification revoked.
9. Not have provided any false information through the application process.

The CGC may conduct further inquiries or require additional information from the applicant or other sources. The CGC may reject any application based on the information it receives.

B. Passing Certificate Examination

The applicant shall make a satisfactory showing of basic competencies related to financial management by successfully passing an examination. Notification of examination results shall be available to the applicant after successfully passing the exam. Certificates shall be printed by the successful applicants and will not be made available by CGC.

C. Application Procedure

1. Fees.

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

a. Examination Fee.

Each applicant shall submit a non-refundable examination fee when they apply for the certificate. Applications will not be processed unless fees are submitted at the time of application. The applicant must take the examination within 30 days of submitting their application.

2. Application and Examination Protocol.

- a. Applications shall be made on online forms.
- b. The applicant will receive the necessary information to take the self-administered examination.
- c. The online examination is not proctored or monitored.
- d. The applicant must secure adequate and stable internet access to take the examination.

3. Examination Failure

In the event the applicant does not complete the certificate examination within 30 days from the application date, the applicant must submit a new examination application and relevant fees. After failing the exam, applicants must wait 7 days to re-test.



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III. DISCIPLINARY PROCEDURE

In order to protect the CGC brand and maintain credibility, the CGC reserves the right to revoke a certificate from a certificate holder prior to the date of expiration.

1. Disciplinary Criteria

The CGC Board of Trustees, or its designee, may revoke a certificate if it is determined that the individual holding the certificate has violated any of the following criteria:

- a. Failed to abide by the Rules & Regulations governing the certificate program;
- b. Falsified information in the application;
- c. Exhibited conduct that could harm the CGC and its program(s).

2. If information or allegations come to the attention of the CGC that a Finance Certificate holder may have violated one or more of the disciplinary criteria in Section II.A., the following procedures will take place:

- a. CGC will receive written documentation which shall not be anonymous;
- b. The Finance Certificate Committee will review the documentation;
- c. The Finance Certificate Committee may request more information related to the documentation received;
- d. The Finance Certificate Committee will, based upon the available information, either dismiss the complaint or recommend the Board of Trustees revoke the certificate;
- e. All parties involved will be notified of the decision of the Board of Trustees;
- f. There is no ability to appeal the decision of the Board of Trustees.

V. THE OFFICIAL ADDRESS FOR ALL CORRESPONDENCE

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

VI. OFFICIAL LANGUAGE

An individual holding a current certificate from the CGC **may not** indicate they are certified by the CGC. Certificate holders may indicate they hold a "CGC Finance Program Certificate". This information may not be used after the certificate expires or is revoked by the CGC.

VII. AMENDMENT PROCEDURES

These rules and regulations may be amended at any time by the CGC Board of Trustees.