Activities for Appointing and/or serving as a Professional Executor Checklist

This document is intended to be of assistance to registrants with respect to their preparation of information for their appointed professional executor as well as information that one should expect if serving as a professional executor for another registrant.

Providing information and specifying any expectations to your professional executor will make it easier and less stressful for your family, colleagues and executor to handle matters in the event of your death or incapacitation. Clarifying such information and expectations with registrants for whom you have agreed to serve as a professional executor will also go a long way to preventing problems and later misunderstanding. Most important, engaging in this process as a professional executor for another registrant and ensuring that you have properly informed your own professional executor ensures compliance with the *Code of Conduct* and is a demonstration that you care about your clients' welfare, and want them to receive an appropriate standard of care. Your professional executor should be a registrant who you respect and trust. Including this person in the planning process will familiarize him or her with your concerns and your practice.

A. Information to be provided to a Professional Executor:

- ☐ I have designated a professional executor and I regularly confirm, on an annual basis, that this person remains prepared and able to serve this function. **(5.17, 14.6)**

    - ☐ I have prepared a document that specifies the range of information the professional executor will need in the event they are called to serve in this role. This information includes:
    - ☐ the location of my current and past practice records. **(14.1, 14.2, 14.3, 14.4)**
    - ☐ the location of any test materials (e.g., WISC-V, MMPI-2) for the purpose of safeguarding test security. **(11.14, 11.16)**.
    - ☐ If I have specific requests regarding the distribution of my tests/test materials (e.g., to another registrant), I've identified the intended recipient(s) of these materials, and any financial arrangements I have made for the purchase of the materials by the recipient(s). **(11.14, 11.16)**.
    - ☐ the location of their billing and financial records so that my professional executor can check on the status of any outstanding billing and financial transactions and delegate any actions in this regard. **(5.17, 13.10, 14.1, 14.6)**
    - ☐ the location of my appointment book or appointment booking computer calendar and client phone numbers. **(5.17, 14.1, 14.6)**
    - ☐ email and voicemail passwords to ensure access to my voicemail and my email. (**5.17, 14.6**)
    - ☐ the location of keys to my office, filing cabinets, storage facility, etc. and have labeled the keys. **(5.17, 14.1, 14.16)**
    - ☐ a list of anyone who might be helpful in locating or accessing my client, billing and financial records, my appointment book, telephone numbers, etc. such as a spouse or relative, secretary, friend or colleague. **(5.17, 13.10, 14.1, 14.6)**

- ☐ I keep my records up to date. **(13.6, 13.7, 13.8, 13.9)**

- ☐ I have separated my files into two groups, 'current' and 'past', and have arranged the files alphabetically **(13.1, 13.2,**

13.3).

- ☐ On the outside of each file, I have specified the date first seen and, if applicable, when the case was closed. I have included a face sheet in the file with the client's name, phone number and current address (or last known address in the case of closed files). **(13.1, 13.2, 13.3, 13.6, 13.7)**.
- ☐ [For registrants working in institutions where records are kept and managed by a central records office] I have provided my professional executor the location of institutional records and have included any additional information as appropriate. **(14.6)**

- ☐ I have communicated to my professional executor any preferences and people I wish to be notified about my death and any planned memorial service.

- ☐ I have a copy of the information provided to my professional executor and have also included a copy of this information along with my personal will, and have given copies to my lawyer. I will update this information to ensure that the information is current. **(5.17, 14.6)**

B. Information you should expect from a Registrant for whom you have agreed to serve as a professional executor.

- ☐ I know the registrant(s) for whom I have been designated their professional executor and I will inform them promptly if I am no longer willing to serve this function. **(5.17, 14.6)**

- ☐ I have received a document from each registrant specifying the range of information I would need in the event I am called upon to serve in this role. This information includes:
  - ☐ the location of their current and past practice records. **(14.1, 14.2, 14.3, 14.4)**
  - ☐ the location of any test materials (e.g., WISC-V, MMPI-2) for the purpose of safeguarding test security. **(11.14, 11.16).**
  - ☐ any specific requests regarding the distribution of tests/test materials (e.g., to another registrant), the intended recipient(s) of these materials, and any financial arrangements made for the purchase of the materials by the recipient(s). **(11.14, 11.16)**
  - ☐ the location of their billing and financial records so that I could check on the status of any outstanding billing and financial transactions and delegate any actions in this regard. **(5.17, 13.10, 14.1, 14.6)**
  - ☐ the location of appointment book or appointment booking computer calendar and client phone numbers. **(5.17, 14.1, 14.6)**
  - ☐ email and voicemail passwords to ensure access to their voicemail and email. **(5.17, 14.6)**
  - ☐ the location of keys to office, filing cabinets, storage facility, etc. and the keys are labelled. **(5.17, 14.1, 14.16)**
  - ☐ a list of anyone who might be helpful in locating or accessing client, billing and financial records, appointment book, telephone numbers, etc. such as a spouse or relative, secretary, friend or colleague. **(5.17, 13.10, 14.1, 14.6)**

- ☐ [For registrants working in institutions where records are kept and managed by a central records office] I have been provided with the location of institutional records and any additional information as appropriate. **(14.6)**

- ☐ I have information about any preferences and people to be notified about the registrant's death and any planned memorial service.

- ☐ I have a document which contains the information provided to me by the person for whom I'm serving as a professional executor and receive annual updates. **(5.17, 14.6)**