Sanction Matrix - WORKING DRAFT													
	Type of violation:	Minor 1st	Minor 2nd	Minor 3rd	Material 1st	Material 2nd	Material 3rd	Significant 1st	Significant 2nd	Significant 3rd	Severe 1st	Severe 2nd	Severe 3rd
National Registry (includes Information Sharing)	Policy Statement 3	1	1-11-		,	1-32	1	1-44		12:2	1	1	
Does not transmit a roster listing individuals who have received a State certification or license at least monthly.	3.A, 3.D							Warning - Training with staff if appropriate				Training for Staff - Consultation with state authorities	Interim derecognition - No new credentials issued
Places non-AQB compliant appraisers on the Registry.	3.A							Warning - Training with staff if appropriate				Training for Staff - Consultation with state authorities	Interim suspension of credential
For appraisers who choose not to be on the Registry, fails to place a notice on the pocket card.	3.A	Warning	Warning	Warning									
Does not have or enforce a policy to restrict access to submit information to the National Registry.	3.A				Warning - Training with staff if appropriate	Expedited review - Continuous monitoring						Consultation with state authorities	
Does not remit Registry fees in a timely fashion.	3.B							Warning				Consultation with state authorities	Interim suspension of credential
Has not designated an Authorized Registry Official.	3.C	Warning	Training with staff	Consultation with state authorities								_	
Does not report the most serious disciplinary actions (i.e., voluntary surrenders, suspensions and revocations, or any action that interrupts a credential holder's ability to practice) within 5 business days after the action is final.	3.D										Consultation with state authorities	Meeting with affected parties	Interim derecognition - No new credentials issued
Does not use the extranet program to report disciplinary action.	3.D				Warning	Training with staff	Consultation with state authorities						
Must report all disciplinary actions to the National Registry in 30 days.	3.D							Training with staff	Consultation with state authorities				Interim derecognition
Potential Actions:													
Warning													
Training - Board members													
Training - State Staff members													
Consultation with State authorities													
Meeting with affected parties													
<u> </u>					1	İ		İ		İ		İ	
Expedited review 6 mos - every year					1								
Continuous Monitoring													
State use of matrix													
Interim suspension of credential													
Revocation of credential - individual													
appraiser					1					1		1	
Interim derecognition of State appraisal program													
Derecognition of State appraisal program													

Sanction Definitions

Warning: A letter that informs the State that its program is not conducting its business in compliance with Title XI and ASC Policy Statements.

Training for Board Members: Requiring all sitting Board members to attend a workshop regarding a specific topic, usually the role of a State appraiser regulatory agency. May also include training in another topic such as USPAP.

Training for State staff: Requiring some or all State Board staff to attend a workshop regarding a specific topic, such as investigator training or USPAP.

Consultation with State authorities: ASC staff and possibly agency members contacting State officials such as the Governor's office or State legislative members. Contact may be in writing or in person.

Meeting with affected parties: ASC staff and possibly State agency members contacting parties such as State Banking Commissions and real estate broker/appraiser trade organizations.

Expedited Review: Scheduling a Compliance Review or Follow-up Review before the usual two-year period. May be electronic.

Continuous Monitoring: Requiring reports on required or agreed-upon corrective actions on a monthly or quarterly basis. Additional monitoring may include on site monitoring as well as off-site monitoring.

Require State use of Voluntary Disciplinary Sanction Matrix: Requiring the State to use the Matrix in determining sanctions for enforcement of appraiser complaints

Interim suspension of credential: May be an individual credential or group of credentials within a State.

Revocation of credential: May be an individual credential or group of credentials within a State.

Interim derecognition: Derecognizing some or all of the credentials issued by the State. Also, no new credentials will be issued; no upgrades will be issued to specific credential(s); and no temporary practice permits will be issued.

Derecognition: Removal of credentials from the National Registry issued by a State and not accepting any new credentials from that State. As a result, there would be no appraisals of property within that State that could be used for federally related transactions.