

ASC Staff's Suggested Complaint Log Data for State Appraiser Regulatory Agencies

States should track complaints of appraiser misconduct or wrongdoing using a complaint log (log). The log should reflect all complaints, regardless of their current status in the investigation and/or resolution process. Therefore, the log should, for example, contain all complaints pending before the Board, the Attorneys General Offices, other law enforcement agencies and Offices of Administrative Hearings.

The log should include the following information in an electronic, sortable spreadsheet format such as Microsoft Access or Excel:

1. Case number;
2. Name of respondent;
3. Name of complainant;
4. Actual date the complaint was received by the State;
5. Source of complaint (consumer, lender, bank regulator, appraiser, hotline, other);
6. Current status of the complaint;
7. A historical record of the actions including the last action taken and date action was taken (i.e. 1/1/10 spoke to AG and scheduled an informal conference with the Respondent to discuss settlement; 1/12/10 Spoke to the Administrative Hearing Commission and scheduled a hearing date; 2/27/10 Filed objection to continuance) ;
8. Date the complaint was closed (final disposition by the State Appraiser Regulatory Agency or court of appeals); and
9. Method of disposition (i.e. dismissed, letter of warning, consent order, final order).

Definitions:

Complaint: For the purposes of the ASC Compliance Reviews, a complaint is any document filed with, received by, or serving as the basis for a possible inquiry by the State Appraiser Regulatory Agency regarding alleged violations of the State laws, regulations and/or USPAP by a credentialed appraiser, appraiser applicant, or of alleged unlicensed appraisal activity.

Receipt date: The date the State first receives the complaint, for example, the date a central intake unit receives the documents.

Closed Case: The date the State Appraiser Regulatory Agency has officially resolved the case in accordance with their administrative procedures.