

# Department of Financial Institutions, Real Estate Appraisal Division

## Guidelines for Complaint Resolution

Pursuant to A.A.C. R4-46-301, the Real Estate Division may resolve complaints using the following Complaint Resolution Chart:

### COMPLAINT RESOLUTION CHART

All complaint resolutions are public record. If no errors or violations are found, the complaint is dismissed. The following are guidelines representing the resolution options available to the Division for violations found against regulated appraisers under A.R.S. Title 32, Chapter 36 and A.A.C. Title 4, Chapter 46. The Division is not limited by these guidelines and may select any combination of resolutions found in this chart pointing out general guidelines of infractions and suggested resolutions. **IN THE EVENT OF A CONFLICT BETWEEN THIS DOCUMENT AND THE ACTION BY THE DIVISION, THE ACTION IMPOSED BY THE DIVISION SHALL PREVAIL.**

Letters of concern and letters of remedial action are non-disciplinary. All other resolutions listed below are disciplinary actions which must be concluded through a consent or hearing process, whether informal or formal.

LEVEL	ERRORS OR VIOLATIONS OF USPAP, A.R.S. OR A.A.C.	RESOLUTION
I	Errors or violations found that do not materially impact the purpose, intended use or final conclusion of the assignment. Violations do not involve ethics or competency.	<ul style="list-style-type: none"> <li>● Letter of Concern</li> <li>● Letter of Remedial Action</li> </ul>
II	Violations found with substantial errors or a series of errors that in aggregate may affect the credibility of the assignment. Violations do not involve ethics or competency.	<ul style="list-style-type: none"> <li>● Letter of Remedial Action</li> <li>● Letter of Due Diligence</li> </ul>
III	Violations found with substantial errors or a series of errors that in aggregate may affect the credibility of the assignment. Minor violations of ethics and/or competency may be found. Violations found rise to the level of affecting the credibility of the assignment.	<ul style="list-style-type: none"> <li>● Consent Agreement</li> <li>● Order of Probation with Education, Mentorship and/or Practice Restrictions</li> <li>● Suspension</li> </ul>
IV	Significant violations found. Violations of ethics and/or competency may be found. Violations found rise to the level of affecting the credibility of the assignment.	<ul style="list-style-type: none"> <li>● Consent Agreement</li> <li>● Order of Probation with Education, Mentorship and/or Practice Restrictions</li> <li>● Suspension</li> </ul>
V	Significant violations found. Willful disregard of USPAP, A.R.S. or A.A.C. found.	<ul style="list-style-type: none"> <li>● Consent Agreement</li> <li>● Order of Probation with Education, Mentorship and/or Practice Restrictions</li> <li>● Suspension</li> <li>● Revocation</li> </ul>