

PRACTISING NAAB APPRAISER (PNA)

HANDBOOK

NAAB
NATIONAL ARCHIVAL APPRAISAL BOARD



CNÉA
CONSEIL NATIONAL D'ÉVALUATION DES ARCHIVES

Statement of Purpose

The purpose of this Handbook is to outline the pathways and comprehensive steps and competencies that will satisfy the requirements for becoming a Practising NAAB Appraiser.

Why become a Practising NAAB Appraiser (PNA)?

Practising NAAB Appraisers have applied and been accepted for Membership in NAAB. The most significant benefit of membership is the mark of professionalism acquired when you have earned the title of **Practising NAAB Appraiser (PNA)**. From serving on NAAB panels or volunteering for the Board of Directors or committees, PNAs will have the opportunity to build their network, apply their knowledge within their workplace, provide input and share their knowledge and experience to the betterment of the archival monetary appraisal in Canada.

Further, beginning in 2021, most NAAB panels will be comprised primarily of PNAs.

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Pathways to becoming a Practising NAAB Appraiser (PNA)

There are currently three (3) Pathways to become a PNA:

Pathway 1 – MASTERCLASS

Pathway 2 – PORTFOLIO - For Current Practising NAAB Appraisers

Pathway 3 – PORTFOLIO For Associates / New Practising NAAB Appraisers

Pathway 1 – MASTERCLASS

To participate in the Master Class you should be a seasoned mid to late career or retired archivist, librarian, museum curator or other heritage professional and meet the following minimum requirements:

1. Become a member in good standing with NAAB (Associate fee is included in registration fee).
2. Complete the Application Form and agree to adhere to the Practising NAAB Appraiser Standards of Ethical Conduct and Professional Responsibility.
3. Submit a detailed CV that demonstrates the appropriate minimum educational and experience requirements:
 - An undergraduate degree from a recognized university and five (5) years of experience working in an archival institution or related field.
OR
 - Successfully completed two (2) years of post secondary education in a discipline relevant to culture and heritage, and seven (7) years of relevant experience
OR
 - Exceptional educational and professional circumstances may also be considered
4. Receive official approval of registration by NAAB

Note: Registration will be limited and preference will be given to those with archival experience (processing records).

Pathway 2 – PORTFOLIO - For Current Practising NAAB Appraisers

A NAAB Appraiser who has participated in at least five official NAAB appraisal sessions within the last five years will be invited or may request to complete a portfolio which demonstrates that they have the required competencies, knowledge and experience to be a Practising NAAB Appraiser. The portfolio will be reviewed by two assessors appointed by the NAAB Board of Directors for the purpose of confirming or rejecting portfolios.

To become a Practising NAAB Appraiser you must:

1. Become a member in good standing with NAAB
 2. Agree annually to adhere to the standards of ethical conduct
- Submit a portfolio that demonstrates your experience and knowledge as a Practising NAAB Appraiser

Pathway 3 – PORTFOLIO For Associates/ New Practising NAAB Appraisers

Qualified applicants will be invited to become a Practising NAAB Appraiser.

To become a Practising NAAB Appraiser you must:

1. Be an Associate in good standing with NAAB (paid annual fee)
2. Agree annually to adhere to the standards of ethical conduct
3. Submit a portfolio that demonstrates the appropriate educational and experience requirements:
 - An undergraduate degree from a recognized university and five (5) years of experience working in an archival institution or related field

OR

- Successfully completed two (2) years of post secondary education in a discipline relevant to culture and heritage, and seven (7) years of relevant experience

OR

- Exceptional educational and professional circumstances may also be considered.

AND, beginning in 2021:

4. *Have audited at least two NAAB Panels*
5. *Successfully written the Professional Examination (yet to be determined) or other requirements as determined by the NAAB Board of Directors.*

Pathway 1 – MASTERCLASS

Only available for a limited time and subject to limited registration, this innovative 4-day *intensive training* program, is delivered by leading experts in archival monetary appraisal, and is designed to leverage your extensive archival and heritage expertise by providing you with the policies and practices required to undertake both NAAB and independent archival monetary appraisals.

To participate in the Master Class you should be a seasoned mid to late career or retired archivist, librarian, museum curator or other heritage professional and meet the minimum requirements outlined on page 3.

To register for the MASTERCLASS you must:

- Submit a resume, for consideration by the Masterclass Eligibility Team, that demonstrates the required education and experience. Include activities you have undertaken at your place of employment; any courses, professional development, or self-directed study which you have taken;
- Pay the registration fee which includes a one year NAAB Associate fee (\$125), eligibility assessment for Master Class, a four day intensive monetary appraisal program, learning materials, coffee breaks, daily lunch¹. For current NAAB Associates, registration fee is decreased by \$125.
- Receive official approval of registration from NAAB

Are there any additional fees?

An additional PNA Fee of \$175 will be payable for participants that successfully complete the summative assignment for the Masterclass. A credit of \$125, for the NAAB Associate fee included in each registration, will be applied against the \$300 Annual PNA membership fee. The \$175 balance will be payable within 30 days of notification to a participant that has successfully completed the summative assignment and is therefore eligible to receive the Practising NAAB Appraiser (PNA) credential.

Are there any additional conditions?

Payment of registration fee and submission of registration form does not mean automatic acceptance to the Master Class. Official approval of registration will be provided by NAAB upon review of the submitted CV.

Registration for each Masterclass is limited and priority will be given to those with hands-on archival experience (processing records).

Registration fees from unaccepted registrations will be refunded, less the Associate fee \$125 and a \$50 processing fee. Unsuccessful registrations retain their Associate status with NAAB and will be encouraged to continue professional development to become a Practising NAAB Appraiser (PNA).

¹Does not include travel, accommodations, other meals or expenses related to participation in any Master Class
May 2019

PATHWAY 2 and 3 - PORTFOLIO

What is a portfolio?

A portfolio is a record of your credentials based on educational, work and personal experience. It is developed by you to support your claim of competence and credit towards being accepted as a Certified Practising NAAB Appraiser.

Your portfolio will be retained by NAAB, as long as you are a Practising NAAB appraiser and a member in good standing. Your portfolio will be accessible to NAAB Board Members, panel chairs and authorized volunteers or personnel. You will be invited to update your portfolio yearly. Your name, contact information, biography and/or areas of expertise will be made available within the online membership directory; however, all other information within your portfolio will remain confidential and won't otherwise be shared without your written consent.

What should my Portfolio contain?

More detail is provided in the sections that follow, however, a brief overview of items your portfolio must contain includes:

- A cover letter that briefly describes why you are interested in being a NAAB appraiser and a general description of your work-related history
- A resume that demonstrates the required education and experience. Include activities you have undertaken at your place of employment; any courses, professional development, or self-directed study which you have taken;
- Evidence (optional) from supervisors, clients, colleagues and others about your skills and abilities related to the competency for the advanced standing you are applying for and evidence of related education.
- The completed Self Assessment for each of the competencies

Please note: Portfolio assessments will be based on submitted materials only. Assessors will not consider portfolios which direct them to websites or public documents in order to access materials.

Who assesses NAAB Portfolios?

Portfolios are assessed by experienced anonymous professionals with a sound awareness of the competency standards and professional expectations and who have been trained in the assessment of NAAB portfolios. Each assessor will work independently and will follow a guide to evaluate each submission according to the competency standards.

What fees are required to submit a portfolio?

Your portfolio submission must be accompanied by a completed Applicant Information Form and payment by cheque, money order, Visa or MasterCard payable to the NAAB in the non-refundable amount of \$250.00 plus applicable taxes.

As well, if you are not currently a NAAB Associate, your Associate Fee (\$125) must accompany your application. If your portfolio is approved, you will be invited to become a PNA and the balance of your associate fee will be applied (pro-rated) against the annual PNA fee of \$300.

Unqualified applicants who have already submitted a portfolio for assessment will be invited to remain as an Associate to complete the necessary requirements for a Practising NAAB Appraiser and may reapply at a reduced portfolio rate of \$125.00 plus applicable taxes.

What are the yearly fees payable to NAAB?

Effective 2018 (*may be subject to change*) the yearly fees payable are:

Practising NAAB Appraiser (PNA): \$300

Associate: \$125

Affiliate: \$50 Individual or \$225 Organizational

How will I find out the results of my portfolio submission?

Portfolios are assessed quarterly.

Applications must be submitted by the 15th of every month, or the first business day thereafter.

The results of your portfolio assessment will be communicated to you in writing once your portfolio has been reviewed. Please allow 6-8 weeks for processing. Where competency deficiencies are noted, you will be required to obtain equivalent experience and/or education. Upon meeting the noted requirements, you can resubmit your application and revised portfolio.

What can I do if I am dissatisfied with the decision made by the assessors?

Your portfolio is reviewed by two anonymous assessors. If they disagree, your portfolio is sent to a third assessor for a final decision. If you disagree with the decision made by the assessors, it is up to you to obtain the necessary evidence and resubmit your portfolio for consideration (*additional fees may apply*).

Authenticity and Verification of the evidence in your Portfolio

Occasionally, it may be necessary for the assessors to ask questions about the evidence or information that you have provided, or to collect further evidence in order to confirm that the content of your portfolio is authentic. In this case, someone from the NAAB Secretariat will be in touch with you.

In some cases, a Letter of Competency Verification would help confirm the authenticity of your evidence.

Letters of Competency may be collected from colleagues, supervisors, managers, or the chair of a NAAB panel:

Letters of Competency Verification should:

- be specific to the competencies in question to give a brief description of the circumstances and context of the observation
- provide a brief description of the background and qualifications of the individual (Verifier) signing your Letter of Competency Verification and relationship of the Verifier to the Candidate

At no time will you be permitted to contact an assessor to discuss evidence or information in your portfolio. All evidence must be submitted in writing to the NAAB Secretariat.

Checklist for Pathways 1: MASTERCLASS

ONE (1) COPY OF:

- A **resume** that demonstrates the required years of professional experience and education
- Completed ***Application Information Form***
- The paid ***Registration Fee***
- This completed ***Checklist***

Note: Online registration and document submission may be available. Please visit NAAB.ca for further information.

Checklist for Pathways 2 and 3: Portfolio

A COMPLETE PORTFOLIO CONTAINS:

One (1) COPY OF EACH OF THE FOLLOWING:

- A **cover letter** summarizing:
 - the goal of your submission
 - your involvement in monetary appraisal (if applicable)
- Completed ***Competency Self-Assessment***
- A **resume** that demonstrates the required years of professional experience and education
- Additional supporting documentation and evidence (if required)
- This completed ***Checklist***
- Completed ***Application Information Form***
- The paid ***Assessment Fee***

Please note: [Portfolio Format Guidelines](#)

- limit your portfolio to a maximum of 20 pages or less (EACH COPY)
- 11pts Times New Roman font

Note: *E-applications for Pathway 2 & 3 will not be accepted at this time. Paper based portfolios must be submitted due to existing resource limitations.*

Applicant Information FORM

1 - Applicant Information

Salutation: Mr. Ms. Dr. Other (specify: _____)

Name:			
	Last name	First name	Initial

Home Address (street address, city, province, postal code)	
Home Phone Number	()
Home Email Address	
Business Address (Organization name, street address, city, province, postal code)	
Business Phone Number	()
Business Email Address	
Preferred Contact: (please check one)	<input type="checkbox"/> Business <input type="checkbox"/> Home
Preferred Contact Information for Online PNA Directory	<input type="checkbox"/> Business <input type="checkbox"/> Home <input type="checkbox"/> None (if none is selected, only your name will appear, without contact information, for credential verification only)

2 - Current Professional Work Information

Position Title / Role:

Supervisor Name and Telephone Number:

Please tell us about your current job and responsibilities:

3-Post Secondary Education Information

- A. Have you completed an undergraduate degree/diploma from a recognized Canadian postsecondary institution? **Yes / No**

Please provide details in your portfolio.

- B. Have you completed an undergraduate degree/diploma from a recognized Postsecondary Institution outside of Canada **Yes/ No**

If yes, please provide copy of transcripts of evidence of your degree/diploma.

4 – Appraiser Experience

Please provide details of any five independent or internal Appraisal sessions you have undertaken. Please include the date, institution, name of supervisor/client. (Pathway 2)

OR

Please list the past five NAAB Appraisal sessions you have participated in. Please include the session number, date, institution and name of session chair. (Pathway 2)

5 - Work Experience Summary Information

Please provide a short biography (maximum 125 words unilingual or 275 words for bilingual) that can be used publicly or shared with NAAB clients or officials. Biographies will be published in the language(s) provided to NAAB.

6 - Fee Payment

Please see page 6&7 for Application Fee and Annual Membership Fee amounts

Masterclass Registration Fee- Pathway 1 (See Note 1)	\$	
Portfolio Application Fee - Pathway 2 or 3 (See Note 2)	\$	
Associate Fee - If required (See Note 3)	\$	
Other	\$	
Sub-Total	\$	
Tax (if applicable)	\$	
Total Payable	\$	\$

Note 1: Payment of registration fee and submission of registration form does not equal automatic acceptance to the Master Class. Official approval of registration by NAAB will be provided upon review of the submitted CV. Registration fees from unaccepted registrations will be refunded, less the non-refundable Associate fee \$125 and a \$50 processing fee. Unsuccessful registrations retain their Associate status with NAAB and will be encouraged to continue professional development to become a Practising NAAB Appraiser (PNA).

Note 2: Fee is non-refundable.

Note 3: If you are not currently a NAAB Associate, your Associate Fee (\$125) must accompany your application. If your Portfolio Application is approved, the Associate Fee will be pro-rated and credited against the fee owing for the PNA designation. OR If you successfully complete the Masterclass, the Associate Fee will be pro-rated and credited against the fee owing for the PNA designation.

Method of Payment	<ul style="list-style-type: none"> ○ Cheque ○ Money Order ○ Visa/Mastercard ○ Other: 	<p>For credit Card Payments: Please pay online via our Square store at https://squareup.com/store/naab-cnea/, or call us at 1-866-254-1403 x. 108 to provide payment information.</p>
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Applicant Certification & Signature

I certify that the information provided on this form and in any enclosed portfolio or supporting documentation is accurate and correct. I hereby apply for membership in NAAB as a Practising NAAB Appraiser (PNA). I attest that I have read and agree to abide by the Practising NAAB Appraiser Code of Ethics and Personal Responsibility, by NAAB policies, and its bylaws. I also understand that misrepresentation of the facts on this application may constitute cause for termination of membership, association or affiliation with NAAB.

Further, I agree to my name, biography and contact information appearing in the online PNA Directory for public and client credential verification, unless otherwise noted in the Applicant Information on this form.

Applicant Signature: _____ Date: _____

Please send completed Application Form, Payment and Portfolio or Resumé to:

National Archival Appraisal Board (NAAB)

Attention: Portfolio Assessments

130 Albert Street, Suite 1912

Ottawa ON K1P 5G4

Questions or Comments: PNA_ECE@archivescanada.ca

1-866-254-1403 ext. 108

Self Assessment – Knowledge, Competencies and Abilities

Self-Assessment is an important step towards completing your Portfolio.

In addition to meeting the required professional experience and education, all Practising NAAB Appraisers must be skilled or expert in the array of areas identified in the tables below.

Please review the tables in Section 1 and Section 2, and mark the appropriate level of knowledge you have achieved. If you are a learner or beginner in any of these areas, we invite you to become a candidate and we will look forward to working with you towards the skilled and expert levels.

Section 1

Knowledge, Competencies and Abilities	Learner	Beginner	Skilled	Expert
Knowledge of archival theory and procedures relating to archival appraisal, arrangement, description, conservation and condition of archival records in accordance with accepted national standards.				
Demonstrates strong conceptual, analytical and evaluation skills with the ability to effectively research market values where applicable.				
Demonstrates knowledge and experience in working with archival records				
Knowledge of various media Please specify: _____				
Knowledge of accepted practices related to monetary appraisal				
Has extensive knowledge of Canadian history and research trends				
Demonstrates highly developed written and oral communication skills				
Demonstrates sound judgment and ability in handling matters of a confidential and/or sensitive nature.				

Knowledge, Competencies and Abilities	Learner	Beginner	Skilled	Expert
Has a good understanding of the Canadian Cultural Property Export Review Board and the requirements for certification of cultural property for income tax purposes				
Has a good understanding of the Canadian Revenue Agency (CRA) Gifts in Kind requirements and regulations.				
Ability to articulate a reasoned justification for the significance of a variety of archival materials.				
Ability to work collectively with various levels of government, other third parties and as a member of a panel/team.				
Demonstrates effective problem-solving/decision-making skills.				
Ability to foster an organizational environment that promotes respect, professionalism and effective relationships with a wide range of stakeholders.				

Section 2

THEMATIC AREAS OF EXPERTISE	Beginner	Knowledgeable	Expert
Aboriginal History			
Architecture and Engineering			
Art and photo history			
Communications / Media History			
Demography			
Economics and Business			
Geography / Urban History / Environment			
Immigration / Cultural Diversity			
Intellectual and Cultural History			
Law History			
Linguistic Minorities			
Literature			
Labour History			
Military History			
Music			
Performing Arts			
Political and Administrative History			
Post-Confederation History			
Pre-Confederation History			
Science and Health			
Social Rights Movements and Activism			

Glossary

Portfolio	A portfolio is a record of your credentials based on educational, work and personal experience. It is developed by you to support your claim of competence and credit towards being accepted as a certified Practising NAAB Appraiser.
Assessor	An assessor is a subject matter professional selected by the NAAB Board of Directors to make confidential, objective and fair judgments about an applicant's eligibility by matching evidence submitted in a Portfolio to the appropriate knowledge, competencies and abilities required to become a Practising NAAB Appraiser.
Learner	You have only common knowledge or an understanding of basic techniques and concepts in this area or skill. You are currently focused on learning in this field or skill.
Beginner	You have a level of experience gained in a classroom and/or experimental scenarios or as a trainee on-the-job. You are expected to need help or seek guidance in this area or when performing this skill.
Skilled	You are recognized within your community and/or organization as a person to ask when difficult questions arise regarding this skill or area. You are able to coach others and translate the complex nuances related to this area or field.
Expert	You are known as an expert in this area. You can provide extensive guidance and answer specific questions related to this area of expertise and the field where the skill is used. You can engage in detailed discussions and presentations and you can foster a greater understanding among colleagues and associates.

Practising NAAB Appraiser Code of Ethics and Personal Responsibility

Practising NAAB Appraisers should behave ethically. The **Practising NAAB Appraiser Code of Ethics and Personal Responsibility** has been established to promote and maintain the highest standards of service and conduct for all professionals directly or indirectly involved in monetary appraisal activities in Canada.

A *Practising NAAB Appraiser* must be in good standing with NAAB to be authorized to use the credential title/s conferred by NAAB. Implicit in the acceptance of this authorization is an obligation not only to comply with the mandates and requirements of all applicable laws and regulations within the applicable labour code and industry, but also to take responsibility to act in an ethical and professionally responsible manner. Adherence to these standards is expected from all who hold a *Practising NAAB Appraiser* credential and serves to ensure public confidence in the integrity of these individuals.

NAAB has developed five **standards** of ethical professional conduct. Those holding a *Practising NAAB Appraiser* credential commit to the following:

1. Competence

- Maintain an appropriate level of professional expertise by continually developing knowledge, competencies and abilities.
- Perform professional duties in accordance with relevant laws, regulations, and technical standards.
- Provide decision support information and recommendations that are accurate, clear, concise, and timely.
- Recognize and communicate professional limitations or other constraints that would preclude responsible judgment or successful performance of an activity.

2. Confidentiality

- Keep information and appraisal reports confidential except when disclosure is authorized or legally required.
- Safeguard any restricted, personal and/or confidential information respectively.
- Refrain from using restricted, personal and/or confidential information for unethical or illegal advantage.

3. Integrity

- Mitigate actual conflicts of interest; regularly communicate with associates to avoid perceived conflicts of interest. Advise all parties of any potential conflicts.
- Refrain from engaging in any conduct that would prejudice carrying out duties ethically.
- Ensure only accurate, reliable and appropriate information is used in decisions.
- Abstain from engaging in or supporting any activity that might discredit the profession.

4. Fairness and Ethical Leadership

- Be ethical and act ethically in every professional interaction.
- Assure an environment of inclusiveness and a commitment to diversity.
- Question individual and group actions when necessary to ensure that findings and decisions are ethical and are implemented in an ethical manner.
- Seek expert advice and legal guidance if ever in doubt about ethical propriety of a situation.
- Respect the uniqueness and intrinsic worth of every individual.
- Treat people with dignity, respect and compassion to foster a trusting work environment, free of harassment, intimidation and unlawful discrimination.
- Through teaching and mentoring, ensure panel members have an equal opportunity to develop and share their skills and knowledge and become ethical leaders in the profession.

5. Professional Responsibility

- Communicate information fairly and objectively.
- Disclose all relevant information that might influence an intended user's understanding of the reports, analyses, recommendations, or findings.
- Disclose delays or deficiencies in information.
- Advocate for the appropriate use/procedures/methods and appreciation of heritage resources, with an obligation to acting in the best interest of the public.
- Comply with the law and do not engage in any conduct or commit any act which is a discredit to the reputation of NAAB or the practice of monetary appraisal in Canada.
- Must not imply that the NAAB credentials you hold are your sole claim to professional competence.
- Contribute to the NAAB profession's body of knowledge, the evolution of the profession and the growth of the human resources within the profession.

Disciplinary Process and Procedures

The NAAB disciplinary procedures have been devised to ensure a fair and reasonable process for any professional holding the *Practising NAAB Appraiser* professional credentials against whom allegations of Code of Ethical and Personal Responsibility violations are brought.

1. **Nature of the Process** – These procedures are the only means to resolve all the *Practising NAAB Appraiser's* professional ethical charges and complaints. NAAB has the authority to end any ethics inquiry or case regardless of circumstances.

By applying for certification or recertification, *Practising NAAB Appraiser* professionals agree that they will not challenge the authority of NAAB to apply the Code of Ethical and Personal Responsibility, the disciplinary procedures or other policies, and will not challenge the results of any NAAB action taken under these policies in a legal or government forum. These disciplinary procedures are not formal legal proceedings, thus many formal rules and practices of a court proceeding are not observed. The rules are intended to afford due process and fairness.

2. **Request for Investigation** – Upon receipt of a written complaint, the NAAB staff² will review the allegation to determine if a further allegation is warranted. No investigation will be made if the individual's certification has expired or the allegation occurred more than 24 months prior to the expiration unless the NAAB determines there is just cause for the complaint to be reviewed.
3. **Investigation** – If NAAB staff determines there is grounds to proceed with an investigation, the appropriate individual holding a Practising NAAB Appraiser professional credential will be given written notice of the investigation. That notice will contain the general nature of the allegations. That individual (complainee) will be given 30 days within which to file a written response. If no response is received within the allotted 30 days, the complaint will be presented to a Review Panel, appointed by the Board, based on the information submitted. The Review Panel, comprised of any combination of senior Practising NAAB Appraiser members or NAAB volunteers, is empowered by the Board to review the complaint and make a recommendation. If the recommendation is that no action will be taken, then the individual and the party making the complaint will be notified that the panel's final decision.
4. **Hearing Panel** – If the Review Panel determines that discipline is merited, a hearing will take place before a Hearing Panel. The complainee is entitled to appear in person or be represented at the hearing. After a final deliberation by the panel, the accused and the party making the complaint will be notified of the Hearing Panel's final decision.
5. **Resolution** – The complainee and the complainant will both receive written notification of the panel's decision.

Forms of Discipline

² "NAAB staff" refers to the most senior paid staff officer or unpaid volunteer administrator granted authority by the NAAB Board of Directors for oversight of operational matters of the corporation.

If grounds for discipline are deemed warranted, the *NAAB* Board may impose any of the forms of discipline below:

- 1) Private written censure
- 2) Public letter of admonition.
- 3) Suspension of the right to use a Practising *NAAB* Appraiser title for a specific period of time.
- 4) Permanent revocation of the right to use the Practising *NAAB* Appraiser title.

Grounds of Discipline

- 1) Any act or omission that violates the criminal laws of any province, state or country in which that individual resides or is employed.
- 2) Any act that is the proper basis for suspension of a professional license.
- 3) Any act or omission that violates the Practising *NAAB* Appraiser process or procedures for obtaining or maintaining certification is considered a material violation of the Code of Ethical and Personal Responsibility.
- 4) Failure to respond to a request for information concerning ethics violation allegation by the *NAAB* Board or Hearing Panel without just cause.
- 5) Obstruction of the *NAAB* Board Hearing Panel's performance of its duties.
- 6) Any false or misleading statement made to the *NAAB* Board or Hearing Panel.

This list is not exhaustive and there may be other acts or omissions amounting to unprofessional conduct that may also constitute grounds for discipline.