

**TRIENNIEL CODE OF ETHICS TRAINING  
CLEARINGHOUSE COMPLIANCE CHECKLIST**

REVIEWER:

The course must cover a minimum of two hours and 30 minutes. For example, although the minimum requirement is to address two of the Articles of the Code, a program may address three Articles with several case studies examining each of the three Articles. Alternatively, the program may address only the two Articles required and then use one or more of the suggested learning objectives or other learning objectives to complete the minimum time period.

REQUIRED OBJECTIVES 1-5 (all objectives must be checked to meet minimum):

Are the objectives demonstrated in materials submitted.

1. Identifies at least two aspirational concepts in the Preamble to the Code of Ethics, describe the concept of general business ethics and identify how the Code of Ethics compares and contrasts with the concept of general business ethics.  
Comments: \_\_\_\_\_
2. Describes the concepts of at least two of the following Articles of the Code of Ethics: Articles 1, 2, 3, 9, 11, 12, 16 and 17. Which two or more Articles are addressed: Articles 1 through 17  
Comments:
3. Identify possible violations of the Code of Ethics, specifically related to at Least one of the two Articles selected in Objective #2 after participating in interactive learning methods such as case studies, quizzes, role play, and group discussion of fact scenarios.
4. Briefly describes the professional standards enforcement process of the board or association.  
Comments:
5. Content on professional conduct, business etiquette and real-life scenarios.

SUGGESTED OBJECTIVES (may be used along with requirements to meet minimum course time. If only two Articles are covered in the materials, at least one of the following needs to be covered in the course.):

Check only those that are demonstrated in materials. These objectives are not mandatory.

- 6. Describe the concepts in selected Articles of the Code of Ethics (other than those selected in the required learning objectives).
- 7. Given interactive learning methods such as case studies, quizzes, role play, or group discussion of fact scenarios, identify possible violations of the Code of Ethics, specifically related to the Articles selected in Objective #1.
- 8. Describe the history of the Code of Ethics as it relates to its origins, its influence on state licensing laws and its establishment of arbitration as the monetary dispute resolution process between REALTORS®.
- 9. List the major categories of the Articles of the Code of Ethics.
- 10. Describe the structure of the Code and its supporting materials.
- 11. Identify the roles of the various committees of the board or association charged with enforcement of the Code of Ethics.
- 12. Describe the concepts of due process used in enforcement hearing processes.
- 13. Given interactive learning methods such as case studies, quizzes, role play, or group discussion of fact scenarios, identify appropriate and inappropriate applications of the concepts of due process described in Objective #7.
- 14. Briefly describe the bases upon which a procuring cause arbitration claim is decided.
- 15. List at least three of the factors upon which a procuring cause arbitration claim is decided.
- 16. Describe the processing of an ethics complaint.
- 17. Describe the processing of an arbitration claim.
- 18. Given interactive learning methods such as case studies, quizzes, role play, or group discussion of fact scenarios, identify issues and possible outcomes in a procuring cause arbitration claim.
- 19. Describe the mediation process.

20. List the benefits of the mediation process.
21. Given interactive learning methods such as case studies, quizzes, role play, or group discussion of fact scenarios, demonstrate possible outcomes in a mediation of a procuring cause claim.
22. Describe the content and format of “Pathways to Professionalism”; discuss how it can enhance relations between REALTORS®, and how it ensures heightened professional services to consumers.

Was the minimum criteria met?:  Yes  No

Will materials be enough to cover at least 2.5 hours of class time:  Yes  No

Does AAR believe that this course meets minimum NAR criteria?:  Yes  No

Additional comments/suggestions: