



**Non-Residential Real
Estate Company in Texas**
POLICIES AND PROCEDURES MANUAL



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[COMPANY NAME]

POLICIES AND PROCEDURES MANUAL

LOGO

Policy 1.0: General Policy and Purpose

1.1 Introduction and Purpose

1.1.1 Scope of the Manual

The Policy and Procedures Manual of [COMPANY NAME] is designed to provide a comprehensive framework for the organization, focusing on establishing standards and guidelines for all staff members, brokers, and agents within the company. It outlines procedures and ethical standards that comply with the Texas Real Estate Commission (TREC) guidelines, specifically addressing the unique requirements of the Houston, Texas, real estate market. Each employee is expected to integrate the values, guidelines, and steps outlined in this manual as the foundation of their daily practices, enabling [COMPANY NAME] to conduct business that is uniform, compliant, and respectful of client relationships.

This manual applies universally across all functional areas of [COMPANY NAME], addressing:

- [REDACTED]

1.1.2 Purpose of the Manual

The purpose of this manual is to provide a clear, actionable resource that enables all associates at [COMPANY NAME] to conduct their roles with integrity and responsibility. Through consistent reference and adherence to this manual, [COMPANY NAME] commits to high standards of professionalism, regulatory compliance, and operational excellence.

The manual serves as:

- [REDACTED]

1.1.3 Compliance with TREC Regulations (TREC §533.2)

Compliance with TREC §533.2 is a cornerstone of [COMPANY NAME]'s operating philosophy. This section governs the institution, conduct, and determination of adjudicative procedures required or permitted by TREC. [COMPANY NAME] adheres to this code by ensuring:

- [REDACTED]

The objective of complying with TREC §533.2 is to foster a workplace where regulatory adherence becomes a habitual practice for all team members. Compliance here extends to every aspect of daily work, from initial client engagement through the final steps of property transactions, with clear references made to relevant TREC standards throughout this manual.

[illegible][illegible][illegible]

[REDACTED]
 [REDACTED]
 [REDACTED]
 [REDACTED]
 [REDACTED]
 [REDACTED]

- [REDACTED]

1.4 Scope and Applicability

The provisions of this manual apply to all employees, agents, and independent contractors associated with [COMPANY NAME], creating a cohesive and consistent set of standards across all operations. The manual is tailored specifically to:

[REDACTED]

The manual is a mandatory reference point for every decision, transaction, and client interaction undertaken by [COMPANY NAME], enabling staff to conduct their duties with a clear understanding of compliance and operational excellence.

1.5 Update Frequency and Triggers

[COMPANY NAME] commits to keeping this manual current and fully aligned with TREC guidelines. Updates are implemented according to the following review protocol:

[REDACTED]

[COMPANY NAME]'s commitment to frequent and responsive updates minimizes compliance risk, ensuring that all associates have access to and are well-versed in current standards.

1.6 Reference Code and Compliance Standards

In developing this manual, the Texas Administrative Code §533.2 serves as the foundational reference for compliance. All sections of this manual that involve legal or regulatory obligations make specific reference to §533.2, ensuring consistent adherence to Texas real estate law. Key compliance standards embedded in this policy include:

[REDACTED]

Summary and Citations

The "General Policy and Purpose" section of the [COMPANY NAME] Policy and Procedures Manual sets a critical foundation for the company's operations, ensuring that all actions align with the Texas Real Estate Commission (TREC) guidelines and that personnel carry out their duties with consistency, professionalism, and full regulatory compliance. This section encapsulates the core objectives and expectations of [COMPANY NAME] in delivering high-caliber service within the Houston commercial real estate market. Below, each priority within this section is explored further to underscore how these values are interwoven into the manual's structure and purpose.

Uniformity in Procedure Across All Transactions

[COMPANY NAME] emphasizes consistency across all business transactions by outlining detailed, standardized processes that each employee, agent, and broker follows. Uniformity is achieved through precise procedures that define how each transaction is documented, from initial client contact to final contract closure, ensuring that every action taken is aligned with TREC §533.2 regulations. This consistency not only reduces risk but also fosters operational efficiency and reliability, as all team members follow an established, regulated process. This standardization supports:

- [REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

Professionalism in Client Engagements to Foster Trust

A cornerstone of [COMPANY NAME]'s operations is professionalism, particularly in client-facing roles where trust and transparency are essential. This manual provides explicit guidance on ethical client interactions, confidentiality, and transparency, with a focus on building lasting client relationships based on mutual trust and respect. Each step of the client engagement process—from initial meetings, disclosures, and contract negotiations to finalizing agreements—requires team members to prioritize integrity and open communication, aligning with TREC's principles of ethical practice.

Key elements include:

- [REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

A Culture of Compliance with Regular Updates and Proactive Risk Management

Compliance with TREC standards is a top priority for [COMPANY NAME], and the "General Policy and Purpose" section details how this culture of compliance is built, monitored, and sustained. By incorporating TREC §533.2, [COMPANY NAME] ensures that all agents and brokers adhere to the latest regulatory requirements and are trained in proactive risk management practices. Through regular manual updates, workshops, and compliance checks, [COMPANY NAME] cultivates an environment where regulatory awareness and adherence are ingrained in everyday operations.

Elements that sustain this culture of compliance include:

- [REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

Supporting the Company's Commitment to Regulatory Compliance, Operational Integrity, and Exceptional Service

Each component within the "General Policy and Purpose" section is crafted to reflect [COMPANY NAME]'s unwavering commitment to upholding regulatory standards, operational excellence, and high-quality service delivery. By integrating TREC §533.2 guidelines throughout this manual, the company establishes a framework that supports compliance across all levels, emphasizing the importance of regulatory adherence, ethical behavior, and service integrity.

This section ultimately reinforces:

- [COMPANY NAME]'s [REDACTED]
[REDACTED]
[REDACTED]



[REDACTED]

By adopting this foundational approach, [COMPANY NAME] creates an environment where all team members are empowered to operate confidently, effectively, and ethically within the framework set by TREC and company standards, ensuring sustainable, high-quality service delivery.



Policy 002: Professional Ethics and Conduct

Effective Dates: [Insert Effective Date]

Reviewed and Revised Dates: [Insert Reviewed/Revised Dates]

2.1 Purpose

The purpose of this section is to ensure that all licensed real estate agents and brokers operating under **[COMPANY NAME]** uphold the highest standards of professional ethics and conduct in accordance with the guidelines set forth by the **Texas Real Estate Commission (TREC)**. This policy focuses on maintaining a strong commitment to **fidelity, integrity, and competency**, which are the cornerstones of ethical real estate practice. The goal of these standards is not only to safeguard the interests of clients but also to foster a transparent, fair, and equitable real estate market. Compliance with the **TREC Chapter 531 - Canons of Professional Ethics and Conduct** is mandatory, and every agent is expected to internalize these principles and apply them in every transaction and interaction with clients, partners, and third-party entities.

The purpose further includes setting clear guidelines on consumer information, ensuring all clients and consumers are aware of their rights and the ethical obligations of **[COMPANY NAME]**. Discrimination, whether based on race, color, religion, national origin, sex, disability, or familial status, is strictly prohibited. This policy also mandates that agents and brokers fully disclose their roles in real estate transactions to ensure no confusion or misrepresentation occurs.

By adhering to these standards, **[COMPANY NAME]** guarantees that all licensed professionals under its management operate at the highest levels of ethical conduct, fostering trust, building client relationships, and enhancing the company's reputation within the commercial real estate market, particularly in Houston and beyond.

2.2 Additional Authority

The following regulations and administrative codes govern the ethical standards and professional conduct required of all license holders operating under **[COMPANY NAME]**. Compliance with these rules ensures that all agents and brokers meet the regulatory and ethical expectations of the **Texas Real Estate Commission (TREC)** and maintains the integrity of the profession.

[REDACTED]

Each of these sections provides clear guidelines on the expectations placed on real estate professionals regarding their interactions with clients, the provision of accurate information, and maintaining fairness and transparency in all transactions. These codes serve as the foundation upon which **[COMPANY NAME]** builds its ethical practices and operational procedures.

2.3 Scope

This policy applies to all licensed real estate agents and brokers employed or contracted by [COMPANY NAME], with specific focus on commercial real estate activities conducted in Houston and the surrounding areas. The scope of this policy extends to every aspect of real estate operations, including, but not limited to:

[REDACTED]

The policy applies equally to all agents and brokers, whether they are working in-office, remotely, or on-site during property visits. It is the responsibility of each professional to be fully aware of these guidelines and ensure their daily activities reflect a commitment to ethical conduct, transparency, and respect for the rights of all individuals and parties involved.

2.4 Responsible Party

The **Managing Partners** of [COMPANY NAME] hold ultimate responsibility for ensuring that all employees and associates comply with the ethical standards set out in this policy. The **Managing Partners** are responsible for [REDACTED]

Contact details for the **Managing Partners** will be provided to all staff members, and any queries related to compliance, ethical practices, or policy interpretation should be directed to this office. The **Managing Partners** [REDACTED]

In cases where disciplinary actions are warranted due to ethical violations, the **Managing Partners**, in consultation with the **Managing Partners**, will conduct thorough investigations and determine appropriate measures, which may include additional training, suspension, or termination of employment.

2.5 Definitions

To ensure clarity and understanding, the following definitions are provided based on **TREC Chapter 531** and the operational practices of [COMPANY NAME]:

- [REDACTED]

2.6 Policy Statement

At [COMPANY NAME], the commitment to ethical real estate practice is central to our mission. Every agent and broker associated with our company is expected to embody the principles of **fidelity**, **integrity**, and **competency** in every aspect of their professional activities. This policy is not only designed to ensure compliance with the **TREC Canons of Professional Ethics and Conduct (Chapter 531)** but also to reinforce our dedication to providing exceptional service to our clients while fostering a culture of trust, transparency, and accountability.

Our firm takes its fiduciary responsibilities seriously, always placing the client's best interests above any personal gain.

Furthermore, [COMPANY NAME] places a strong emphasis on competency, requiring all agents and brokers to continually improve their knowledge of the market, the law, and the evolving needs of clients.

In line with **TREC** regulations, we

2.7 Policy

The policies outlined below provide detailed guidance on the ethical standards and professional conduct expected of all agents and brokers working under [COMPANY NAME]. Each subsection corresponds to a specific **TREC** regulation, ensuring full compliance and promoting ethical practices across all business activities.

2.7.1 Fidelity (TREC § 531.2)

At [COMPANY NAME], fidelity to the client is paramount. This duty is not only a legal obligation but also a moral imperative that defines the ethical standard of our business.

1. Client Representation:

2. **Transparency in Dealings:**

3. **Fairness to All Parties:**

4. **Conflicts of Interest:**

5. **Trust and Confidentiality:**

6. **Handling Client Funds:**

7. **Client Communications:**

2.7.2 Integrity (TREC § 531.3)

Integrity is a core value at [COMPANY NAME], and all agents and brokers are expected to demonstrate honesty, fairness, and transparency in every interaction, whether with clients, colleagues, or third-party entities. The following guidelines ensure that integrity remains a guiding principle in all professional activities.

1. **Contractual Integrity:**

[REDACTED]

2. **Prudence and Caution in Transactions:**

[REDACTED]

3. **Avoidance of Misrepresentation:**

[REDACTED]

4. **Accountability:**

[REDACTED]

5. **Fair and Honest Marketing:**

[REDACTED]

2.7.3 Competency (TREC § 531.4)

Competency in the real estate profession goes beyond basic knowledge and requires continuous learning, adaptability, and the ability to provide clients with expert advice and guidance in a constantly changing market. [COMPANY NAME] is committed to ensuring that all agents and brokers remain at the forefront of the industry through ongoing education, training, and skill development.

1. Knowledge of Local and National Markets:

[REDACTED]

2. Continuing Education:

[REDACTED]

3. Skill Development:

[REDACTED]

4. Judgment and Professionalism:

[REDACTED]

5. Specialization in Real Estate Types:

[REDACTED]

2.7.4 Consumer Information (TREC § 531.18)

Consumer protection is a priority at **[COMPANY NAME]**, and all agents are required to provide clients with clear, accessible, and comprehensive information about their rights and the services offered by the company. The following procedures ensure compliance with **TREC § 531.18** and promote transparency in all client interactions.

1. Display of Consumer Protection Notice:

[REDACTED]

- [REDACTED]
- 2. **Website Compliance:**
[REDACTED]
- 3. **Provision of Consumer Information to Clients:**
[REDACTED]
- 4. **Client Acknowledgment:**
[REDACTED]

2.7.5 Discriminatory Practices (TREC § 531.19)

[COMPANY NAME] is [REDACTED]

- 1. **Prohibition of Discriminatory Inquiries:**
[REDACTED]
- 2. **Complaint Handling and Resolution:**
[REDACTED]
- 3. **Inclusive Marketing Practices:**
[REDACTED]

■ [REDACTED]
[REDACTED]
[REDACTED]

4. **Training and Awareness:**

2.7.6 Information About Brokerage Services (TREC § 531.20)

Providing clear and comprehensive information about brokerage services is essential for ensuring that clients understand the role of the broker or agent in a real estate transaction. [REDACTED]
[REDACTED]

1. **Provision of the Information About Brokerage Services (IABS) Notice:**

2. **Documenting Client Acknowledgment:**

3. **Electronic Delivery and Website Compliance:**

4. **Follow-up Communications:**

2.8 Procedure

The procedures outlined below provide detailed step-by-step instructions for complying with the ethical standards and professional conduct policies of [COMPANY NAME].

2.8.1 Fidelity Procedures

1. Client Engagement:

[REDACTED]

[REDACTED]

2. Transaction Management:

[REDACTED]

[REDACTED]

3. Client Confidentiality:

[REDACTED]

2.8.2 Integrity Procedures

1. Contract Review:

[REDACTED]

[REDACTED]

2. Misrepresentation Prevention:

[REDACTED]

[REDACTED]

3. Ethical Advertising:

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

2.8.3 Competency Procedures**1. Continuing Education and Training:**

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

2. Specialized Training for Commercial Real Estate:

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

3. Skill Assessments:

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

2.8.4 Consumer Information Procedures**1. Consumer Protection Notice:**

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

2. Client Communication:

- Agents are required to provide clients with the **Consumer Protection Notice** at the [REDACTED]
- [REDACTED]
- [REDACTED]

- [REDACTED]
[REDACTED]
[REDACTED]

2.8.5 Discriminatory Practices Procedures

1. Non-Discrimination Training:

- [REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

2. Handling Complaints:

- [REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

3. Inclusive Marketing:

- [REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

2.8.6 Information About Brokerage Services Procedures

1. Providing the IABS Notice:

- [REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

2. Documenting Delivery:

- [REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

3. Electronic Delivery:

- [REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

- [REDACTED]
[REDACTED]
[REDACTED]

2.9 Review and Revision

This policy will be reviewed and revised annually, or whenever there are significant changes in **TREC** regulations or company practices. [REDACTED]
[REDACTED]
[REDACTED]

2.10 References

- [REDACTED]
[REDACTED]
[REDACTED]
- [REDACTED]

2.11 Policy Review and Approval

This policy is reviewed and approved by the **[COMPANY NAME] Board of Directors**. Any amendments are documented and approved by the same authority.

2.12 Approval Signatures

- **Managing Partner:** _____ **Date:** _____
- **Managing Partners:** _____ **Date:** _____

Section 3: Practice and Procedure

Policy 003: Procedural Compliance and Standards

Effective Dates: [Insert Effective Date]

Reviewed and Revised Dates: [Insert Reviewed/Revised Dates]

3.1 Purpose

The purpose of this policy is to ensure that all real estate agents and brokers working under **[COMPANY NAME]** comply with the Texas Real Estate Commission (TREC) guidelines regarding procedural standards. [REDACTED]

The guidelines established by TREC serve as the backbone of the company's ethical and legal operations, protecting **[COMPANY NAME]**, its agents, and clients by promoting transparency, accountability, and due process. [REDACTED]

Procedural compliance minimizes risks associated with non-compliance and ensures that all parties— [REDACTED]

3.2 Additional Authority

This policy is governed by the following sections of the **Texas Administrative Code (TAC)**, which outline procedural standards relevant to real estate professionals licensed in Texas. These codes must be adhered to in all activities covered under this policy:

[REDACTED]

[REDACTED]

3.3 Scope

This policy applies to all licensed agents and brokers at **[COMPANY NAME]**, as well as any administrative staff involved in the execution of procedural duties related to compliance, complaints,



hearings, and administrative filings. The procedural standards outlined herein affect the company's response to external and internal matters, ensuring compliance with TREC regulations.

The policy applies to:

[REDACTED]

All agents and brokers at [COMPANY NAME] are responsible for familiarizing themselves with these guidelines and adhering to the correct procedures when handling any situation that involves administrative or procedural actions governed by **TREC**. Failure to comply with these standards may result in disciplinary action by both the company and **TREC**.

3.4 Responsible Party

[REDACTED]

[REDACTED]

[REDACTED]

3.5 Definitions

[REDACTED]

- [REDACTED]



3.6 Policy Statement

[COMPANY NAME] is committed to ensuring procedural compliance with all TREC regulations.

By following these procedural guidelines, [COMPANY NAME] aims to protect its agents, brokers, and the company from legal repercussions, while fostering a transparent and fair process for handling disputes and compliance issues. Through diligent adherence to these standards, the company reinforces its commitment to ethical business practices and regulatory compliance.

3.7 Policy

3.7.1 Definitions (TREC § 533.1)

The definitions provided in TREC § 533.1 establish the necessary legal terminology used in the procedural processes covered by this policy. These definitions are critical for ensuring all parties understand their roles and responsibilities during legal and administrative proceedings.

1. Compliance and Understanding:

3.7.2 Filing and Notice (TREC § 533.3)

Filing and notice procedures ensure that all legal communications between [COMPANY NAME],

1. Complaint Handling and Filing:**2. Notifications and Deadlines:****3. Timely Submissions:**

3.7.3 Failure to Answer, Attend Hearings, and Default (TREC § 533.4)

When an agent or broker fails to answer a complaint or attend a scheduled hearing, **TREC** has the authority to issue a default order. This section outlines the consequences for failing to respond to legal notices or attend hearings.

1. Managing Defaults:**2. Preventing Defaults:****3. Investigating Non-Compliance:**

3.7.4 Transcript Cost; Interpreters and Translators (TREC § 533.5)

This section outlines the requirements for covering the costs of transcripts, interpreters, or translators for hearings or other legal proceedings.

1. Transcript Costs:**2. Interpreter or Translator Requests:**

3. Documentation:

3.7.5 Filing of Exceptions and Replies (TREC § 533.6)

Parties adversely affected by the administrative law judge's **Proposal for Decision** may file exceptions or replies, which are reviewed before a final decision is rendered.

1. Filing Exceptions:

2. Reply Preparation:

3. Internal Review:

3.7.6 Final Decisions and Orders (TREC § 533.7)

Once a final decision is issued by **TREC** or an administrative law judge, this section governs the process for enforcing disciplinary actions and finalizing administrative orders.

1. Reviewing Final Decisions:

2. Managing Appeals:

3. Final Decision Documentation:

3.7.7 Motions for Rehearing (TREC § 533.8)

If an agent or broker believes a significant error was made in the final decision, they may file a motion for rehearing. This section outlines the steps for requesting a rehearing and addressing errors in the final decision.

1. Filing Motions for Rehearing:

2. **Judicial Review:**

3. **Legal Oversight:**

3.7.8 Computation of Time (TREC § 533.9)

This section governs the calculation of deadlines for procedural actions, filings, and responses.

1. **Calculating Deadlines:**

2. **Deadline Tracking:**

3.7.9 Hearing: Subpoenas and Fees (TREC § 533.10)

This section governs the issuance of subpoenas and payment of witness fees for administrative hearings.

1. **Issuing Subpoenas:**

2. **Witness Fees:**

3. **Record-Keeping:**

3.8 Procedure

The procedures outlined in this section provide a step-by-step guide to handling administrative, legal, and procedural matters at [COMPANY NAME].

3.8.1 Filing and Notice Procedures

Proper filing and notice procedures are essential to ensure that all legal and regulatory matters are handled in a timely, transparent, and compliant manner. [REDACTED]

1. Complaint Filing

When a complaint is filed against an agent or broker at [COMPANY NAME], the **Managing Partners** follows a structured process to ensure the complaint is managed appropriately.

- **Initial Review:**

[REDACTED]

[REDACTED]

- **Response Preparation:**

[REDACTED]

The response includes:

- [REDACTED]
 - [REDACTED]
 - [REDACTED]
- [REDACTED]

- **Submission:**

[REDACTED]

2. Notification Management

Effective notification management ensures that all parties are aware of important deadlines, hearings, or decisions that need attention.

- **Monitoring Deadlines:**

[REDACTED]

- **Notification Reviews:**

[REDACTED]

- **Informing Parties:**

[REDACTED]

3. Record-Keeping

Maintaining a thorough and accurate record of all complaint-related documentation is crucial for future reference, compliance reviews, and legal audits.

- **Centralized Documentation:**

[REDACTED]

- **Audit and Access:**

[REDACTED]

3.8.2 Hearing Preparation and Attendance Procedures

Preparation for hearings is critical to ensuring that **[COMPANY NAME]** is fully equipped to defend against allegations or present evidence in support of its agents or brokers. [REDACTED]

1. Scheduling Hearings

[REDACTED]

[REDACTED]

2. Preparation for Hearings

Thorough preparation is essential for the successful defense of any case.

- **Document Compilation:**

- **Case Summaries:**

3. Ensuring Attendance

Ensuring full participation in the hearing is critical to the success of the defense.

- **Attendance Tracking:**

- **Emergency Rescheduling:**

- **Alternative Resolution:**

3.8.3 Default and Non-Response Procedures

Failure to respond to complaints or attend hearings can result in severe consequences, including default judgments.

1. Tracking Responses

Deadlines for responding to complaints or notices are tracked using the company's compliance management system.

- **Deadline Monitoring:**

- **Response Reviews:**

2. Non-Response Follow-up

Failure to respond to a **TREC** notice can result in a default judgment, negatively impacting the agent or broker.

3.8.4 Subpoenas and Witness Fees Procedures

1. Requesting Subpoenas

Subpoenas are requested for witnesses or documents that are essential to a hearing.

- **Coordination with Legal Counsel:**

- **Subpoena Issuance:**

2. Witness Fee Payment

Witnesses who are subpoenaed to attend a hearing are entitled to fees for their time and travel.

- **Fee Calculation:**

- **Processing Payments:**



3.9 Review and Revision

This policy is reviewed and revised annually [REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

3.10 References

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

3.11 Policy Review and Approval

This policy is reviewed and approved by the **[COMPANY NAME] Board of Directors**. All amendments are documented and formally approved by the same authority.

3.12 Approval Signatures

- **Managing Partner:** _____ **Date:** _____
- **Managing Partners:** _____ **Date:** _____



Policy 003: Alternative Dispute Resolution (ADR) and Mediation Policy

Effective Dates: [Insert Effective Date]

Reviewed and Revised Dates: [Insert Reviewed/Revised Dates]

3.1 Purpose

The **Alternative Dispute Resolution (ADR) and Mediation Policy** of [REDACTED]

3.2 Additional Authority

This policy is based on the following regulatory provisions:

These provisions serve as the foundation for the ADR mechanisms applied within the firm, ensuring compliance with **TREC** and enhancing dispute resolution processes.

3.3 Scope

This policy applies to all employees, brokers, agents, contractors, and legal representatives of **[COMPANY NAME]** who are involved in any form of dispute related to real estate transactions.

3.4 Responsible Party

The **Managing Partners** of **[COMPANY NAME]** oversee the adherence to this ADR and Mediation Policy, ensuring that all brokers and agents comply with its provisions.

3.5 Definitions

3.6 Policy Statement

[COMPANY NAME] is committed to resolving disputes in a fair, timely, and transparent manner.

TREC regulations.

The ADR process is designed to foster positive relationships between all parties and minimize conflict in real estate transactions.

3.7 Policy

The following sections outline the key components of the ADR and Mediation Policy as practiced at [COMPANY NAME]:

3.7.1 ADR Policy (TREC § 533.20)

At [COMPANY NAME], the ADR process is initiated in every instance where there is a potential for dispute resolution outside of formal litigation.

3.7.2 Negotiated Settlement (TREC § 533.21)

When disputes arise, [COMPANY NAME] encourages a negotiated settlement process between the parties. [REDACTED]

- **Settlement Discussions:** [REDACTED]
- **Documentation:** [REDACTED]
- **Timeline for Settlement:** [REDACTED]

3.7.3 Informal Proceedings (TREC § 533.25)

In cases where a formal resolution is necessary, but litigation can still be avoided, [REDACTED]

[REDACTED]

3.7.4 Staff Mediation (TREC § 533.30)

The **Texas Real Estate Commission** provides for staff mediation as a resolution tool, which [COMPANY NAME] embraces as part of its dispute resolution strategy. [REDACTED]

[REDACTED]

3.7.5 Appointment of Mediator (TREC § 533.32)

When disputes cannot be settled through staff mediation, **[COMPANY NAME]** collaborates with TREC to appoint an independent mediator. [REDACTED]

[REDACTED]

3.7.6 Outside Mediation (TREC § 533.33)

For complex disputes requiring external expertise, **[COMPANY NAME]** [REDACTED]

[REDACTED]

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