

PE Maintenance Review User Guide

Every prelicensure education course must be kept current and accurate throughout its twoyear NMLS approval period. PE Maintenance Review is a mid-approval checkpoint to ensure each PE course is being maintained and offered in accordance with NMLS policies. 12months after the last approval, providers are required to log into the EMS and answer several yes/no questions related the PE course and agree to the Standard of Conduct (SOC). There is no fee associated with this process nor any required documents to submit. If a provider fails to complete the PE Maintenance Review, the course approval will be automatically suspended, and the course will go inactive. Course completions during an inactive period will not be accepted.

This user guide covers the following processes/information related to PE Maintenance Reviews:

- I. Completing a PE Maintenance Review
- II. Reminder Emails and Reports
- III. Using Filters and Columns to find PE Maintenance Review information

I. Completing a PE Maintenance Review

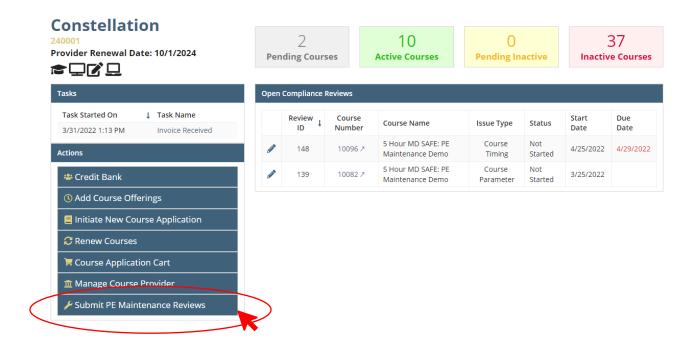
There are two options available to complete a PE Maintenance Review:

Option 1: Bulk PE Maintenance Review. Use this option if you have multiple courses due for PE Maintenance Review **and** the answers to the questions are identical for each course. <u>If the answers are the same for each course</u>, you can submit one PE Maintenance Review for multiple courses.

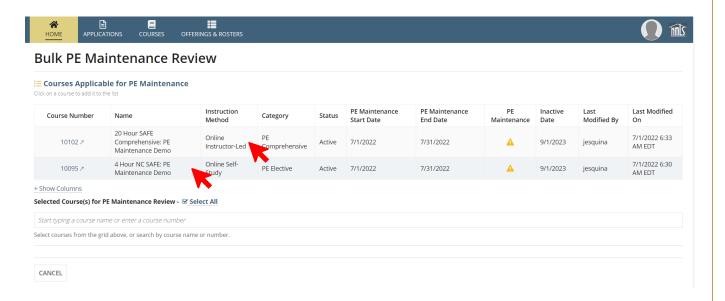
Option 2: Individual PE Maintenance Review. Select a single course from a list of courses due for PE Maintenance Review and complete the review from the course record.

Option 1: Bulk PE Maintenance Review

- 1. Log into EMS. Begin on Home page.
- 2. The "Submit PE Maintenance Reviews" option appears on the left "actions" panel.
- 3. Click "Submit PE Maintence Reviews." Courses due for review appear.



4. Click on the row to select or deslect the course(s) to begin the review. ALERT: If multiple courses are seleted, the answers you provide apply to all selected courses.



5. Selected courses turn blue and the PE Maintaince Review questionaire appears below the course list. Answer the questions. Depending on the the answers, you may be aksed to provide details. Once complete, click submit.

Maintenance review is complete for the selected course(s) as soon as you click submit.

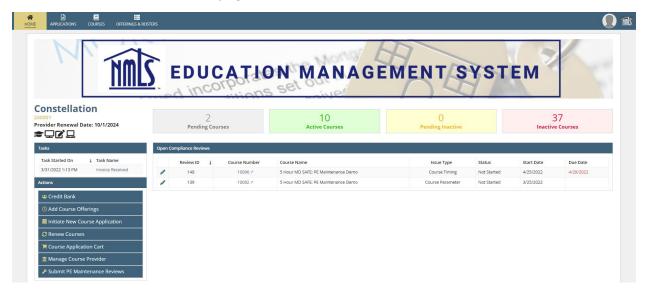
Bulk PF Maintenance Review

≔ Courses Applicable for PE Maintenance Click on a course to add it to the list PF PE La Instruction PF Inactive Course Number Name Category Status Maintenance Maintenance М Method Maintenance Date Start Date **End Date** Ву 20 Hour SAFE Online Comprehensive: 9/1/2023 Instructor-Active Comprehensive PE Maintenance Led Demo 4 Hour NC SAFF: PF Online Self-PE Elective 10095 7 Active 9/1/2023 Maintenance Study Demo + Show Columns Selected Course(s) for PE Maintenance Review - ✓ Select All 20 Hour SAFE Comprehensive: PE Maintenance Demo - 10102 ★ 4 Hour NC SAFE: PE Maintenance Demo - 10095 ★ Select courses from the grid above, or search by course name or number. Please answer the following questions. Depending on how you answer the questions, you may be required to provide a detailed response in the input box. If you are required to submit a comment, please be truthful and provide as much detail as possible. Note that the your answers will apply to every course selected above. Once a course is approved by NMLS, except for routine maintenance associated with updating content to reflect changes to Federal or State laws, content may not be changed without the express approval of NMLS. Has the course been altered outside of routine maintenance? Yes No Course provider affirms that the course has been reviewed and is current of all federal and/or state laws such as, but not limited to, loan disclosure requirements, fees, and/or any other information that may be promulgated by a regulatory body.* Course provider affirms that the course is being reviewed and updated regularly to ensure the content is current and that it meets all requirements as defined by the Functional Specification for All NMLS Approved Courses and other NMLS policies and notices.* ○ Yes ○ No Course provider acknowledges and agrees that as the approval authority for education that is to be administered to MLOs to comply with the SAFE Act, that NMLS may audit by any means it sees fit, and at any time and at any location, any course it has approved, to verify that it is being delivered in accordance with NMLS policies and the Functional Specification. Is the course being administered in compliance with NMLS policies and the Functional Specification? Yes No Course provider agrees not to make any technical changes to the course to include transitioning of a Learning Management System (LMS) and/or disable/modify any student authentication protocols without coordinating with NMLS prior to the event happening. Has there been any technical changes to LMS or delivery format/platform?* Course providers further acknowledge that if a course is found by NMLS to be sufficiently deficient and/or not being delivered in accordance with NMLS policies, that NMLS may, with little or no advanced warning, suspend or remove approval of the course.* Agree and Acknowledge Course provider further agrees to the Standards of Conduct for NMLS Approved Course Providers. 7 Agree and Acknowledge **☑** PE Maintenance Attestation Enter your first and last name as an electronic signature to affirm that you have answered truthfully above Add Signature * E-Signature **SUBMIT** CANCEL

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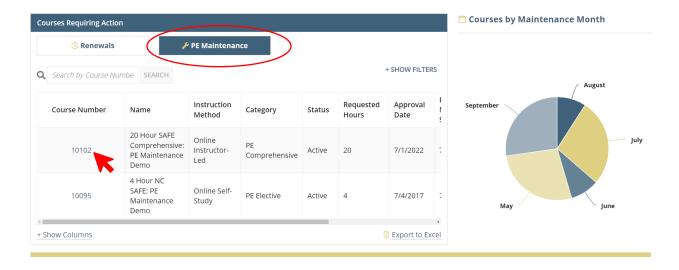
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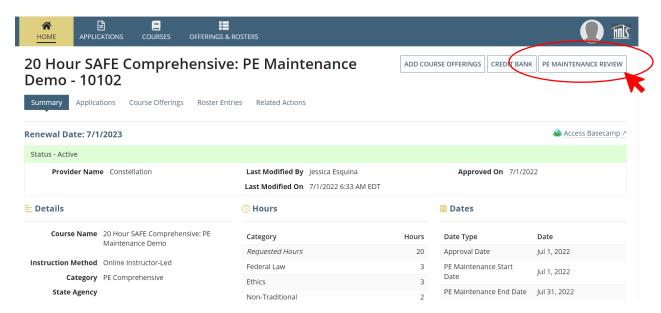
You are returned to the Home page.



Option 2: Individual PE Maintenance Review

- 1. "PE Maintenance" appears as a tab in "courses requiring attention" section at the bottom of the home page. Click "PE Maintenance" to see list of eligible courses.
- 2. Click on the Course Number to open the record.





- 3. Click on "PE Maintenance Review" at the top to open the PE maintenance review questionnaire.
- 4. Answer the questions. Depending on the answers, you may be asked to provide additional details. Once complete, click submit.

PE Maintenance

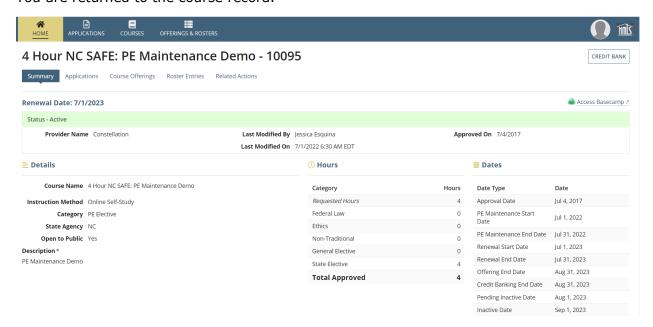
Agree and Acknowledge

Please answer the following questions. Depending on how you answer the questions, you may be required to provide a detailed response in the input box. If you are required to submit a comment, please be truthful and provide as much detail as possible.
Once a course is approved by NMLS, except for routine maintenance associated with updating content to reflect changes to Federal or State laws, content may not be changed without the express approval of NMLS. Has the course been altered outside of routine maintenance? *
Course provider affirms that the course has been reviewed and is current of all federal and/or state laws such as, but not limited to, loan disclosure requirements, fees, and/or any other information that may be promulgated by a regulatory body.* Or No
Course provider affirms that the course is being reviewed and updated regularly to ensure the content is current and that it meets all requirements as defined by the Functional Specification for All NMLS Approved Courses and other NMLS policies and notices. * Yes No
Course provider acknowledges and agrees that as the approval authority for education that is to be administered to MLOs to comply with the SAFE Act, that NMLS may audit by any means it sees fit, and at any time and at any location, any course it has approved, to verify that it is being delivered in accordance with NMLS policies and the Functional Specification. Is the course being administered in compliance with NMLS policies and the Functional Specification? *
Course provider agrees not to make any technical changes to the course to include transitioning of a Learning Management System (LMS) and/or disable/modify any student authentication protocols without coordinating with NMLS prior to the event happening. Has there been any technical changes to LMS or delivery format/platform? * Yes No
Course providers further acknowledge that if a course is found by NMLS to be sufficiently deficient and/or not being delivered in accordance with NMLS policies, that NMLS may, with little or no advanced warning, suspend or remove approval of the course.*
Agree and Acknowledge
Course provider further agrees to the Standards of Conduct for NMLS Approved Course Providers. ↗



Maintance review is complete as soon as you click submit.

You are returned to the course record.



II. Reminders of Upcoming PE Maintenance Reviews

EMS sends a reminder email:

- 30-days before PE Maintenance Review start.
- 15-days before PE Maintenance Review end.

Alert: Email goes to the <u>primary contact and support user(s)</u> selected to receive course notifications. Check EMS to ensure your primary contact and support users are correct.

Example of each email:

30-Days Prior to PE Maintenance Review

Dear Primary Contact,

You have one or more NMLS approved PE courses that will be due for PE Maintenance Review next month. Per the Standards of Conduct for NMLS Approved Course Providers, you are required to ensure that all courses remain accurate and current throughout the NMLS approval period. To maintain course approval status, you will need to login to the Education Management System (EMS) next month to

confirm course content is current and the course is being delivered in accordance NMLS policies and procedures.

The list of upcoming courses coming up for PE Maintenance Review can be found in the EMS. If you have not already, you need to ensure these courses are current and accurate. You will be attesting to this for each course next month.

Failure to complete the form for these course(s) will result in immediate course suspension and the NMLS approval status will become inactive. For detailed instructions about how to confirm the course(s) are current, please see the User Guide in the course provider section of the NMLS Resource Center. Questions should be directed to nmls.ed@stateregulatoryregistry.org.

15-Days Post Start of PE Maintenance Review

Dear Primary Contact,

You have one or more NMLS approved PE courses due for PE Maintenance Review. Login to the Education Management System (EMS) immediately to confirm course content is current and the course is being delivered in accordance with NMLS policies and procedures. Failure to complete the form for a course will result in immediate course suspension and the NMLS approval status will become inactive.

The list of course(s) currently due for PE Maintenance Review can be found in the EMS.

Failure to complete the form for these course(s) will result in immediate course suspension and the NMLS approval status will become inactive. For detailed instructions, please see the User Guide in the course provider section of the NMLS Resource Center. Reminder - Per the Standards of Conduct for NMLS Approved Course Providers, you are required to ensure that all courses remain accurate and current throughout the NMLS approval period. Questions should be directed to nmls.ed@stateregulatoryregistry.org.

III. Using Filters and Columns to find PE Maintenance Review information

Click "Courses" in top blue banner.

Filter options related to PE Maintenance Review are:

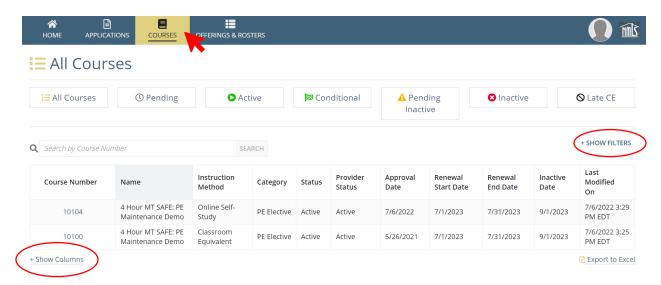
- PE Maintenance Start Date From
- PE Maintenance Start Date To
- PE Maintenance Submitted: Yes filters for courses that have been completed; No filters for those that have not been complete.

Column options related to PE Maintenance Review are:

- PE Maintenance start date
- PE Maintenance end date

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• PE Maintenance. This displays status of review as either due now (yellow triangle), complete (green check circle), or not due this month (clock).



Make your selections to display. Option to export to excel is on the bottom right corner.

Questions or problems? Send to NMLS at nmls.ed1@csbs.org.