2020-186

Rulemaking Cover Sheet TO: Secretary of State ATTN: Administrative Procedure Officer, State House Station 101, Augusta, Maine 04333. Agency: Department of Professional and Financial Regulation, Office of Professional and Occupational Regulation, 1. Real Estate Commission 2. Agency umbrella and unit number: 02-039 3. Title of rule: Educational Requirements for Licensure Chapter number assigned to the rule Chapter 360 Prerequisites to Licensure by Individuals 4. Date(s)/method(s) of notice: Newspaper publication by Secretary of State on May 27, 2020; posting on 5. Commission's web site on May 27, 2020; sent to interested parties June 9, 2020 ACCEPTED FOR FILING 6. Date(s)/place(s) of hearing(s): No public hearing was held AUG 18 2020 ☑ partial amendment(s) of existing rule 7. **Type:** □ new rule ☐ suspension of existing rule ☐ repeal of rule ☐ emergency rule **SECRETARY OF STATE** ☐ repeal and replace: complete replacement of existing chapter, with former version simultaneously repealed. Name/phone of agency contact person: Karen L. Bivins, Director, Real Estate Commission, Office of Professional and Occupational Regulation, 35 State House Station, Augusta ME 04333 tel. (207) 624-8524 If a major substantive rule under Title 5, c. 375, sub-CII-A, check one of the following 9. ☐ Final adoption ☐ Provisional adoption (prior to Legislative review) ☐ emergency adoption of major-substantive rule

10. Certification Statement: I, \_ Gail Rizzo that the attached is a true copy of the rule(s) described above and lawfully adopted by the Maine Real Estate Commission on July 23, 2020 (name of agency) I further certify that all portions of this rule are adopted in compliance with the requirements of the Maine Administrative Procedure Act. (original signature, personally signed by the head of agence Printed name & title: Gail-Rizzo, Board Chair

**EFFECTIVE DATE:** 

AUG 1 3 2020

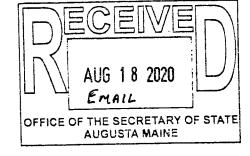
| 11. Approved as to | o form and legality by the Attorney General on                      | 8/<br>(date)( | 18 | 2020   | -  |  |
|--------------------|---|---------------|----|--|--|--|
| Printed Name:      | (original signature, personally signed by an Assistant Attorney Gen | neral)        |    | gaga ayanasa sa | and a succession with a succession of the succes |  |

# Rulemaking Cover Sheet

MAPA-1

| IU:<br>ATTN | : Administrative Procedure Officer, State House Station 101, Augusta, Maine 04333.   |  |  |  |
|-------------|--|--|--|--|
| 1.          | Agency: Department of Professional and Financial Regulation, Office of Professional and Occupational Regulation, Real Estate Commission  |  |  |  |
| 2.          | Agency umbrella and unit number: 02-039  |  |  |  |
| 3.          | Title of rule: Educational Requirements for Licensure  |  |  |  |
| 4.          | Chapter number assigned to the rule Chapter 360 Prerequisites to Licensure by Individuals  |  |  |  |
| 5.          | Date(s)/method(s) of notice: Newspaper publication by Secretary of State on May 27, 2020; posting on Commission's web site on May 27, 2020; sent to interested parties June 9, 2020                              |  |  |  |
| 6.          | Date(s)/place(s) of hearing(s): No public hearing was held   |  |  |  |
| 7.          | Type: □ new rule ☑ partial amendment(s) of existing rule   |  |  |  |
|             | □ suspension of existing rule □ repeal of rule □ emergency rule  |  |  |  |
|             | ☐ repeal and replace: complete replacement of existing chapter, with former version simultaneously repealed.   |  |  |  |
| 8. 1        | Name/phone of agency contact person: Karen L. Bivins, Director, Real Estate Commission, Office of Professional and Occupational Regulation, 35 State House Station, Augusta ME 04333 tel. (207) 624-8524         |  |  |  |
| 9.          | If a major substantive rule under Title 5, c. 375, sub-CII-A, check one of the following   |  |  |  |
|             | □ Provisional adoption □ Final adoption  (prior to Legislative review)  □ emergency adoption of major-substantive rule   |  |  |  |
| 10.         | that the attached is a true copy of the rule(s) described above and lawfully adopted by  |  |  |  |
| -           | the Maine Real Estate Commission on July 23, 2020  (name of agency)  I further certify that all portions of this rule are adopted in compliance with the requirements of the Maine Administrative Procedure Act. |  |  |  |
|             | Signature: Gail Rizzo (original signature, personally signed by the head of agency)  |  |  |  |
|             | Printed name & title: Gail Rizzo, Board Chair  |  |  |  |

EFFECTIVE DATE: AUG 2 3 2020



| 11. | Approved as to form and legality by the Attorney General on 8   | 18 | 2020 . |
|-----|---|----|--------|
|     | Signature Mours C Surlevant (date)  |    |        |
|     | (original signature, personally signed by an Assistant Attorney General)  Printed Name: Thomas C. Sturtevan TR. |    |        |
|     | Printed Name:   Moules C. Siurgevery JR.  |    |        |

# DEPARTMENT OF PROFESSIONAL AND FINANCIAL REGULATION

### 039 REAL ESTATE COMMISSION

# Chapter 360: PREREQUISITES TO LICENSURE BY INDIVIDUALS

Summary: This chapter establishes the educational guidelines which must be met by individuals in order to qualify for licensure under 32 MRSA Chapter 114.

### 1. Policy Statement

02

The Commission shall encourage the development and delivery of high quality pre-licensure courses throughout the state. In an effort to heighten professionalism within the real estate industry, the Commission shall encourage degree-granting institutions in the state to develop and deliver such courses

#### 2. Definitions

### 1. Qualifying Educational Program

"Qualifying educational program" means a program or course of study which meets one or more of the minimum competencies defined in the Commission-approved models entitled "The Sales Agent Course," "The Associate Broker Course" or "The Designated Broker Course." These courses shall be sponsored by a degree-granting institution, a proprietary school or a public school adult education program that follows the Commission-established procedure for approval.

### 2. Program Sponsor

A program sponsor shall be defined as that individual, group of individuals, or organization responsible for the development, coordination, administration and delivery of a course or program.

### 3. Satisfactory Completion

Satisfactory completion of a course or program shall mean having met all minimum requirements established by the sponsor for the course or program and having achieved a grade of at least 75%.

# 3. Approval of Qualifying Educational Program

### 1. Syllabus

The program sponsor shall submit the course syllabus, on a form furnished by the director, meeting the minimum course competencies set for each course as described in Section 5 of this chapter for each pre-licensure course offered. The syllabus, at a minimum, must contain:

- A. Name, address, phone number of the sponsor;
- B. Name, address, phone number of the instructor;
- C. Course title;
- D. Course start and end dates;
- E. Class session times;
- F. Course text titles and publishers;
- G. A class session-by-session breakdown of the content and concepts to be covered, with quiz and test dates noted;
- H. Grading policy;
- I. Attendance policy; and
- J. Final course examination and answer key.

The course sponsor shall submit the syllabus and the filing fee to the director at least 30 days prior to the first class session. A syllabus received less than 30 days prior to the first class session will be assessed a late filing fee.

### 2. Reporting Program Changes

The course sponsor shall report any substantial change in a submitted or approved course syllabus to the director.

### 3. Syllabus Review

The director, within 30 days of receipt of a complete syllabus, shall notify the sponsor, in writing, of the approval or denial of the syllabus.

### 4. Appeal of Denial to the Director

A sponsor who is aggrieved by denial of syllabus approval may request a hearing to appeal the decision. Such request shall be made in writing, and shall be submitted within 30 days of receipt of the denial of the syllabus.

5. Distribution of Course Guidelines and Syllabus.

At the first class session, the sponsor shall disseminate to students the course guidelines developed by the Commission and the syllabus.

### 6. Advance Notice to Course Participants

Upon commencement of the first class session of a pre-licensure course, the instructor shall read and distribute to the students one of the following statements. If the syllabus for the course has been approved, Statement #1 is to be read. If the syllabus for the

course has not been submitted or the course has not received approval, Statement #2 is to be read.

Statement #1 - "The Maine Real Estate Commission is committed to quality real estate education. Toward this goal, the syllabus for this pre-license course has been reviewed and approved as meeting the guidelines established by the Commission. These guidelines and the syllabus have been distributed for your information. At the end of this course, you will be given an opportunity to critique this course and its delivery. The Commission welcomes your comments regarding your experience in this course."

Statement #2 - "The Maine Real Estate Commission is committed to quality real estate education. To achieve this goal, the syllabus for each pre-license course must be submitted and approved before the course is promoted as meeting prelicense requirements. The syllabus for this course has not been approved. Unless and until it is approved, you may not assume that successful completion of this course will qualify you for licensure".

#### Student Enrollment Report. 7.

The course sponsor shall be responsible for submitting a completed enrollment report, in a format approved by the director, within 30 days of the completion of each pre-license course.

#### 8. **Evaluations Required**

The course sponsor shall distribute course evaluation forms to students for their critique of the learning experience. A summary of the student evaluations shall be submitted to the director with the enrollment report.

#### 9. Transcripts

The course sponsor shall provide a course transcript to students successfully completing the course. Such transcript shall, at a minimum, include the course title, student's name, final numerical grade, beginning and course completion date and be signed by the course sponsor.

#### 10. Disciplinary Action

Approval of pre-license courses may be revoked or suspended for violation of this chapter.

#### Prohibition Against Recruiting 11.

The course sponsor shall not allow anyone to use the school's premises or classroom to recruit new affiliates for any real estate brokerage company.

### 4. Educational Requirements For Licensure

#### 1. Real Estate Broker

A. An applicant who has been licensed as an associate broker affiliated with a real estate brokerage agency for 2 years within the 5 years immediately preceding the date of application must submit evidence of satisfactory completion of a qualifying educational program which covers the minimum competencies defined in the Commission-approved model entitled "The Designated Broker Course." The application for licensure must be submitted within one year of completion of this educational program.

### 2. Associate Real Estate Broker

An applicant who has practiced as a real estate sales agent for 2 years within the 5 years immediately preceding the date of application must submit a course transcript confirming that the applicant successfully completed the qualifying educational program which covers the minimum competencies defined in the Commission-approved model entitled "The Associate Broker Course."

### 3. Real Estate Sales Agent

As a prerequisite to examination, an applicant for a sales agent license must, within one year of completion of the course, submit a course transcript confirming that the applicant successfully completed a qualifying educational program which covers the minimum competencies defined in the Commission-approved model entitled "The Sales Agent Course." If the one year expiration of the course transcript occurs after March 16, 2020 and while testing sites are closed or have limited hours, then the applicant may apply for examination up to 180 days after examination testing sites are fully reopened.

### 5. Commission Established Minimum Competencies

#### 1. Generally

The Commission shall establish minimum competency requirements for all levels and types of licensure. Educational models and examinations shall be designed to satisfy these requirements.

#### 2. Annual Review

The Commission, on an annual basis, shall review the minimum competencies required for all levels and types of licensure.

### STATUTORY AUTHORITY: 32 MRSA §13065(6)

### EFFECTIVE DATE:

February 1, 1988

### AMENDED:

April 17, 1989 - Sections 2 & 3

April 1, 1994 - Sec. 2

April 1, 1994 - Sec 3 (added)

April 1, 1994 - Sec. 4, 5, & 6 (changed numbering only)

### EFFECTIVE DATE (ELECTRONIC CONVERSION):

October 22, 1996

#### AMENDED:

October 4, 1999

### NON-SUBSTANTIVE CORRECTIONS:

April 6, 2000 - spacing only

### AMENDED:

August 5, 2002 - Sec. 3(10); Sec. 5 repealed, Sec. 6 renumbered to Sec. 5

July 1, 2006 – filing 2006-190

October 13, 2009 - filing 2009-545

### 02 DEPARTMENT OF PROFESSIONAL AND FINANCIAL REGULATION

### 039 REAL ESTATE COMMISSION

# Chapter 360: PREREQUISITES TO LICENSURE BY INDIVIDUALS

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### 1. Policy Statement

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page 2

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### 7. Student Enrollment Report.

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#### 2. Associate Real Estate Broker

An applicant who has practiced as a real estate sales agent for 2 years within the 5 years immediately preceding the date of application must submit a course transcript confirming that the applicant successfully completed the qualifying educational program which covers the minimum competencies defined in the Commission-approved model entitled "The Associate Broker Course."

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April 6, 2000 - spacing only

#### AMENDED:

August 5, 2002 - Sec. 3(10); Sec. 5 repealed, Sec. 6 renumbered to Sec. 5 July 1, 2006 – filing 2006-190 October 13, 2009 - filing 2009-545

# Basis Statement and Summary of Comments

- Department of Professional and Financial Regulation
- 039 Real Estate Commission

Chapter 360 Prerequisites To Licensure By Individuals

### Adopted July 23, 2020

### **Basis Statement**

Under REC rules at Chapter 360 Section 4(3), REC requires that as a prerequisite to examination, an applicant for a sales agent license must, within one year of completion of the course, submit a course transcript confirming that the applicant has successfully completed a qualifying education program which covers the minimum competencies defined in the REC-approved model entitled "The Sales Agent Course." REC examinations are administered by Pearson Vue. Due to the COVID-19 emergency, Pearson Vue testing sites were closed on March 16, 2020. An emergency rule became effective on April 20, 2020 amending Section 4(3) which allows a sales agent candidate to qualify for examination for up to 180 days after Pearson Vue testing sites are fully operational, regardless of whether the candidate's course completion certificate expired after March 16, 2020. The emergency rule is in place for 90 days. This rule amendment will ensure that sales agent candidates can continue to qualify for examination up to 180 days after the testing sites reopen, regardless of the expiration date of the course completion certificate, and after the emergency rule expires.

These are routine technical rules as defined in the Maine Revised Statutes, Title 5, chapter 375, subchapter 2-A.

### **Summary of Comments**

No public hearing was held. The public comment period ended June 30, 2020. No comments were received.



STATE OF MAINE
DEPARTMENT OF PROFESSIONAL
AND FINANCIAL REGULATION
REAL ESTATE COMMISSION
35 STATE HOUSE STATION
AUGUSTA, MAINE
04333-0035

Janet T. Mills Governor Anne L. Head Commissioner

August 18, 2020

Donald Wismer
Office of the Secretary of State
Bureau of Corporations, Elections & Commissions
101 State House Station
Augusta, ME 04333-0101

Re: 02-039, Chapter 360, Prerequisites to Licensure by Individuals

Dear Mr. Wismer:

Enclosed is a final adoption package for the rule for the Maine Maine Real Estate Commission. I believe I have enclosed everything needed for your office to accept this rule for filing.

Notice of the Commission's intent to amend this rule was included in our Department's 2019-2020 Regulatory Agenda filed with your office and the legislature.

Thank you for your assistance in this matter. Should have any question please feel free to contact me at 624-8524 or by email at <u>Karen.L.Bivins@maine.gov</u>.

Sincerely,

Koven L Biums

Karen L. Bivins

Director

Enclosures (2 copies of all)
MAPA-4
MAPA-1
Rule Chapter 360 (paper) clean and marked up
Basis Statement
Checklist
Fact Sheet

PRINTED ON RECYCLED PAPER
TTY USERS CALL MAINE RELAY 711

### Wismer, Don

From:

Bivins, Karen L

Sent:

Tuesday, August 18, 2020 12:52 PM

To:

Wismer, Don

Subject:

Real Estate Commission rule adoption

**Attachments:** 

2020-8-18 Wismer Adoption Filing.pdf; Chapter 360 (clean).doc; Fact Sheet REC

2020.docx; MAPA-4 REC 2020 Adoption.docx

Dear Don,

Attached is a PDF of my letter with documents – hard copies are in the mail. I have also attached here in Word form the MAPA-4, clean text of the rule, and the fact sheet.

Please let me know if there is anything else I need to send you.

Sincerely,

Karen

Karen L. Bivins
Director
Maine Real Estate Commission
35 State House Station
Augusta, ME 04333
Karen.L.Bivins@maine.gov
(207) 624-8524

revised 8-2019

# Rulemaking Fact Sheet

(5 MRSA §8057-A)

AGENCY: Department of Professional and Financial Regulation, Office of Professional and Occupational Regulation, Real Estate Commission.

NAME, ADDRESS, PHONE NUMBER, E-MAIL OF AGENCY CONTACT PERSON: Karen L. Bivins, Director, Real Estae Commission, Office of Professional and Occupational Regulation, 35 State House Station, Augusta, ME 04333, tel. (207) 624-8524, Karen.L.Bivins@maine.gov

| ` '                           | •   |
|-------------------------------|---|
| CHAPTER NUMBER AND RULE TIT   | TLE: 02-039, Chapter 360, "Prerequisites to Licensure by Individuals" |
| TYPE OF RULE (check one):     | Routine Technical   |
| STATUTORY AUTHORITY: 32 M.R.  | S. § 13065  |
| DATE, TIME AND PLACE OF PUBL  | IC HEARING: None.   |
|                               |   |
| COMMENT DEADLINE: June 30, 20 | 20  |

PRINCIPAL REASON(S) OR PURPOSE FOR PROPOSING THIS RULE: [see §8057-A(1)(A)&(C)]

Under REC rules at Chapter 360 Section 4(3), REC requires that as a prerequisite to examination, an applicant for a sales agent license must, within one year of completion of the course, submit a course transcript confirming that the applicant has successfully completed a qualifying education program which covers the minimum competencies defined in the REC-approved model entitled "The Sales Agent Course." REC examinations are administered by Pearson Vue. Due to the COVID-19 emergency, Pearson Vue testing sites were closed on March 16, 2020. An emergency rule became effective on April 20, 2020 amending Section 4(3) which allows a sales agent candidate to qualify for examination for up to 180 days after Pearson Vue testing sites are fully operational, regardless of whether the candidate's course completion certificate expired after March 16, 2020. The emergency rule is in place for 90 days. This rule amendment will ensure that sales agent candidates can continue to qualify for examination up to 180 days after the testing sites reopen, regardless of the expiration date of the course completion certificate, and after the emergency rule expires.

IS MATERIAL INCORPORATED BY REFERENCE IN THE RULE? \_\_\_YES \_x\_NO

ANALYSIS AND EXPECTED-OPERATION OF THE RULE: When testing sites are reopened and at full capacity, sales agent license candidates will be able to qualify for examination for up to 180 days with course completion certificates that expired on or after March 16, 2020.

BRIEF SUMMARY OF RELEVANT INFORMATION CONSIDERED DURING DEVELOPMENT OF THE RULE (including up to 3 primary sources relied upon) [see §§8057-A(1)(E) & 8063-B] Testing sites were closed by the testing company on March 16, 2020. In order for candidates to be able to qualify for examination, the applicant must have a course completion certificate that was issued less than one year prior. Sales agent candidates could not sit for the examination as of March 16, 2020. For candidates whose certificates expired after the testing sites were closed, extending the time period to allow the use of the expired certificate for a period of time upon reopening of the testing sites is appropriate.

### FOR EXISTING RULES WITH FISCAL IMPACT OF \$1 MILLION OR MORE, ALSO INCLUDE:

ECONOMIC IMPACT, WHETHER OR NOT QUANTIFIABLE IN MONETARY TERMS: [ $see \ \S8057-A(2)(A)$ ]

INDIVIDUALS, MAJOR INTEREST GROUPS AND TYPES OF BUSINESSES AFFECTED AND HOW THEY WILL BE AFFECTED: [see §8057-A(2)(B)]

BENEFITS OF THE RULE: [see §8057-A(2)(C)]

Note: If necessary, additional pages may be used.

# Administrative Procedure Act CHECKLIST

Agency: Department of Professional and Financial Regulation; Office of Professional and Occupational Regulation, Real Estate Commission

Chapter Number and Title of Rule: 02-039 Chapter 360 Prerequisites to Licensure by Individuals

| PRO | POSED RULE:   |  |  |  |
|-----|---|--|--|--|
| 1.  | Was this rule listed on the last regulatory agenda? Yes   |  |  |  |
| 2.  | Date of notification of:  | Anyone on mailing list June 9, 2020  |  |  |
|     |   | Any trade, industry or professional group posted on Board's webpage May 27, 2020           |  |  |
|     |   | Any trade publications N/A   |  |  |
| 3.  | Date Notice of Rulemakin  | g Proposal (MAPA-3) sent to Secretary of State: May 15, 2020                               |  |  |
| 4.  | Date Fact Sheet sent to Executive Director of Legislative Council: May 20, 2020   |  |  |  |
| 5.  | Date of publication in Secretary of State's rulemaking ad.: May 27, 2020  |  |  |  |
| 6.  | Date of hearing(s): No pu   | blic hearing 7. Comment deadline: June 30, 2020  |  |  |
| ADC | PTED RULE:  |  |  |  |
| 8.  | Was comment deadline ex   | stended or comment period reopened? No   |  |  |
|     | If yes, date of second noti   | ce publication in Secretary of State's rulemaking ad:                                      |  |  |
| 9.  | Is adopted rule consistent (If not, please address the  | with what was proposed? Yes changes in the comments and responses section of your filing.) |  |  |
| 10. | Is the person signing the Certification Statement (MAPA-1, #9) authorized to do so as stated in your statutes or in 5 MRSA, c.71? Yes |  |  |  |
| 11. | Was the rule adopted within 120 days of the comment deadline? Yes   |  |  |  |
| 12. | Was the rule approved and signed by the Office of the Attorney General within 150 days of the comment deadline? Yes                   |  |  |  |
| 13. | Is a Basis Statement inclu  | ided? Yes Is a copy of the Fact Sheet included? Yes  |  |  |
|     | Are comments, with name   | es and organizations, and your responses included? None received                           |  |  |

## Notice of Agency Rulemaking Adoption

AGENCY: Department of Professional and Financial Regulation, Office of Professional and Occupational Regulation, Real Estate Commission

CHAPTER NUMBER AND TITLE: 02-039 Chapter 360, "Prerequisites to Licensure by Individuals"

ADOPTED RULE NUMBER:

**2020-186** 

#### **CONCISE SUMMARY**

Under REC rules at Chapter 360 Section 4(3), REC requires that as a prerequisite to examination, an applicant for a sales agent license must, within one year of completion of the course, submit a course transcript confirming that the applicant has successfully completed a qualifying education program which covers the minimum competencies defined in the REC-approved model entitled "The Sales Agent Course." REC examinations are administered by Pearson Vue. Due to the COVID-19 emergency, Pearson Vue testing sites were closed on March 16, 2020. An emergency rule became effective on April 20, 2020 amending Section 4(3) which allows a sales agent candidate to qualify for examination for up to 180 days after Pearson Vue testing sites are fully operational, regardless of whether the candidate's course completion certificate expired after March 16, 2020. The emergency rule is in place for 90 days. This rule amendment will ensure that sales agent candidates can continue to qualify for examination up to 180 days after the testing sites reopen, regardless of the expiration date of the course completion certificate, and after the emergency rule expires.

These are routine technical rules as defined in the Maine Revised Statutes, Title 5, chapter 375, subchapter 2-A.

EFFECTIVE DATE: AUG 1 3 2020 (TO BE FILLED IN BY SECRETARY OF STATE)

AGENCY CONTACT PERSON: Karen L. Bivins, Director

AGENCY NAME: Real Estate Commission, Office of Professional and Occupational-Regulation

ADDRESS: 35 State House Station, Augusta, ME 04333

TELEPHONE: (207) 624-8524 EMAIL: Karen.L.Bivins@maine.gov