



---

**ARCHITECT SECTION  
EXAMINING BOARD OF ARCHITECTS, LANDSCAPE ARCHITECTS,  
PROFESSIONAL ENGINEERS, DESIGNERS AND PROFESSIONAL LAND  
SURVEYORS**

**Room N208, 4822 Madison Yards Way, Madison**

**Contact: Christian Albouras (608) 266-2112**

**April 24, 2019**

*The following agenda describes the issues that the Section plans to consider at the meeting. At the time of the meeting, items may be removed from the agenda. Please consult the meeting minutes for a description of the actions of the Section.*

**AGENDA**

**9:00 A.M.**

**OPEN SESSION – CALL TO ORDER – ROLL CALL**

- A. Adoption of Agenda (1-3)**
- B. Approval of Minutes of November 30, 2018 (4-5)**
- C. Administrative Matters (6-13)**
  - 1. Board, Department, and Staff Updates
  - 2. Election of Officers, Appointment of Liaisons and Alternates, and Delegation of Authorities
- D. Legislation and Rule Matters – Discussion and Consideration (14-56)**
  - 1. Review and Consideration of the Scope Statement on A-E 3, Relating to Architect Registration Examinations
  - 2. Review and Discussion of the AIA, Standards for Continuing Education Programs October 2018 and A-E 12, Relating to Continuing Education for Architects
  - 3. Legislation and Pending and Possible Rulemaking Projects
- E. Speaking Engagement(s), Travel, or Public Relation Request(s) (57)**
  - 1. Travel Report from the National Council of Architectural Registration Boards (NCARB) Leadership Summit on October 12-13, 2018 in St. Louis, Missouri
- F. National Council of Architectural Registration Boards (NCARB) 2019 Strategic Plan Draft (58)**
- G. Board Review of the Wisconsin Occupational Licensing Study Legislative Report (59-143)**

- H. Deliberation on Items Added After Preparation of Agenda:
1. Introductions, Announcements and Recognition
  2. Election of Officers
  3. Appointment of Liaison(s) and Alternates
  4. Delegation of Authorities
  5. Administrative Matters
  6. Education and Examination Matters
  7. Credentialing Matters
  8. Practice Matters
  9. Legislative/Administrative Rule Matters
  10. Liaison Reports
  11. Board Liaison Training and Appointment of Mentors
  12. Informational Items
  13. Division of Legal Services and Compliance (DLSC) Matters
  14. Presentations of Petitions for Summary Suspension
  15. Petitions for Designation of Hearing Examiner
  16. Presentation of Stipulations, Final Decisions and Orders
  17. Presentation of Stipulations and Interim Orders
  18. Presentation of Proposed Final Decision and Orders
  19. Presentation of Interim Orders
  20. Petitions for Re-Hearing
  21. Petitions for Assessments
  22. Petitions to Vacate Orders
  23. Requests for Disciplinary Proceeding Presentations
  24. Motions
  25. Petitions
  26. Appearances from Requests Received or Renewed
  27. Speaking Engagement(s), Travel, or Public Relation Request(s)

I. Public Comments

**CONVENE TO CLOSED SESSION to deliberate on cases following hearing (s. 19.85(1)(a), Stats.); to consider licensure or certification of individuals (s. 19.85(1)(b), Stats.); to consider closing disciplinary investigations with administrative warnings (ss. 19.85 (1)(b), and 440.205, Stats.); to consider individual histories or disciplinary data (s. 19.85 (1)(f), Stats.); and to confer with legal counsel (s. 19.85(1)(g), Stats.).**

**J. Deliberation on Division of Legal Services and Compliance (DLSC)**

1. **Administrative Warning(s)**
  - a. 18 ARC 004 – K.L.C. **(144-145)**
2. **Stipulations, Final Decisions and Order(s)**
  - b. 17 ARC 023 – Shannon Liggett **(146-151)**

**K. Education and Examination Matters**

1. Discussion on NCARB Contract, Relating to A-E 3 **(152)**

L. Deliberation of Items Added After Preparation of the Agenda

1. Education and Examination Matters

2. Credentialing Matters
3. DLSC Matters
4. Monitoring Matters
5. Professional Assistance Procedure (PAP) Matters
6. Petitions for Summary Suspensions
7. Petitions for Designation of Hearing Examiner
8. Stipulations, Final Decisions and Order
9. Proposed Interim Orders
10. Administrative Warnings
11. Review of Administrative Warnings
12. Proposed Final Decision and Orders
13. Matters Relating to Costs/Orders Fixing Costs
14. Case Closings
15. Board Liaison Training
16. Petitions for Assessments and Evaluations
17. Petitions to Vacate Orders
18. Remedial Education Cases
19. Motions
20. Petitions for Re-Hearing
21. Appearances from Requests Received or Renewed

M. Consulting with Legal Counsel

**RECONVENE TO OPEN SESSION IMMEDIATELY FOLLOWING CLOSED SESSION**

N. Vote on Items Considered or Deliberated Upon in Closed Session, if Voting is Appropriate

O. Open Session Items Noticed Above not Completed in the Initial Open Session

**ADJOURNMENT**

**NEXT MEETING: OCTOBER 9, 2019**

\*\*\*\*\*

MEETINGS AND HEARINGS ARE OPEN TO THE PUBLIC, AND MAY BE CANCELLED WITHOUT NOTICE.

Times listed for meeting items are approximate and depend on the length of discussion and voting. All meetings are held at 4822 Madison Yards Way, Madison, Wisconsin, unless otherwise noted. In order to confirm a meeting or to request a complete copy of the board's agenda, please call the listed contact person. The board may also consider materials or items filed after the transmission of this notice. Times listed for the commencement of disciplinary hearings may be changed by the examiner for the convenience of the parties. Interpreters for the hearing impaired provided upon request by contacting the Affirmative Action Officer, 608-266-2112.

**ARCHITECT SECTION  
JOINT EXAMINING BOARD OF ARCHITECTS, LANDSCAPE  
ARCHITECTS PROFESSIONAL ENGINEERS, DESIGNERS AND LAND  
SURVEYORS  
MEETING MINUTES  
NOVEMBER 30, 2018**

**PRESENT:** James Gersich, Steven Wagner, Matthew Wolfert

**STAFF:** Erin Karow, Executive Director; Helen Leong, Administrative Rules Coordinator; Kate Stolarzyk, Bureau Assistant; and other department staff

**CALL TO ORDER**

Steven Wagner, Vice Chair, called the meeting to order at 9:01 a.m. A quorum of three (3) members was confirmed.

**ADOPTION OF AGENDA**

**MOTION:** James Gersich moved, seconded by Matthew Wolfert, to adopt the agenda as published. Motion carried unanimously.

**APPROVAL OF MINUTES OF SEPTEMBER 26, 2018**

**MOTION:** Matthew Wolfert moved, seconded by James Gersich, to approve the minutes from September 26, 2018 as published. Motion carried unanimously.

**CLOSED SESSION**

**MOTION:** James Gersich moved seconded by Matthew Wolfert, to convene to closed session to deliberate on cases following hearing (s. 19.85(1)(a), Stats.); to consider licensure or certification of individuals (s. 19.85(1)(b), Stats.); to consider closing disciplinary investigations with administrative warnings (ss. 19.85 (1)(b), and 440.205, Stats.); to consider individual histories or disciplinary data (s. 19.85 (1)(f), Stats.); and to confer with legal counsel (s. 19.85(1)(g), Stats.). Steven Wagner read the language of the motion. The vote of each member was ascertained by voice vote. Roll Call Vote: James Gersich-yes, Steven Wagner-yes, Matthew Wolfert-yes. Motion carried unanimously.

The Section convened into Closed Session at 10:58 a.m.

**RECONVENE TO OPEN SESSION**

**MOTION:** James Gersich moved, seconded by Matthew Wolfert, to reconvene into Open Session. Motion carried unanimously.

The Section reconvened into Open Session at 11:00 a.m.

**VOTING ON ITEMS CONSIDERED OR DELIBERATED IN CLOSED  
SESSION**

**MOTION:** James Gersich moved, seconded by Matthew Wolfert, to reaffirm all votes made in Closed Session. Motion carried unanimously.

**DELIBERATION ON DIVISION OF LEGAL SERVICES AND COMPLIANCE  
(DLSC) MATTERS**

**Proposed Stipulations, Final Decisions and Orders**

*17 ARC 037 – Steven Sharpe*

**MOTION:** James Gersich moved, seconded by Matthew Wolfert, to adopt the Findings of Fact, Conclusions of Law and Order in the matter of disciplinary proceedings against Steven Sharpe, DLSC Case Number 17 ARC 037. Motion carried unanimously.

**ADJOURNMENT**

**MOTION:** Matthew Wolfert moved, seconded by James Gersich, to adjourn the meeting. Motion carried unanimously.

The meeting adjourned at 11:01 a.m.

**State of Wisconsin  
Department of Safety & Professional Services**

**AGENDA REQUEST FORM**

<b>1) Name and Title of Person Submitting the Request:</b> Kate Stolarzyk, Bureau Assistant		<b>2) Date When Request Submitted:</b> 4/15/19 Items will be considered late if submitted after 12:00 p.m. on the deadline date which is 8 business days before the meeting													
<b>3) Name of Board, Committee, Council, Sections:</b> Architect Section															
<b>4) Meeting Date:</b> 4/24/2019	<b>5) Attachments:</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<b>6) How should the item be titled on the agenda page?</b> Administrative Matters: 1) Election of Officers 2) Appointment of Liaisons and Alternates 3) Delegation of Authorities													
<b>7) Place Item in:</b> <input checked="" type="checkbox"/> Open Session <input type="checkbox"/> Closed Session	<b>8) Is an appearance before the Board being scheduled?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<b>9) Name of Case Advisor(s), if required:</b> N/A													
<b>10) Describe the issue and action that should be addressed:</b> 1) The Board should conduct Election of its Officers for 2019 2) The new Chairperson should review and appoint/reappoint Liaisons and Alternates as appropriate, the Board should affirm appointments by motion. 3) The Board should review and then consider continuation or modification of previously delegated authorities															
<b>11) Authorization</b> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%; border-bottom: 1px solid black;"><i>Kate Stolarzyk</i></td> <td style="width: 40%; border-bottom: 1px solid black; text-align: right;">4/15/2019</td> </tr> <tr> <td style="font-size: small;">Signature of person making this request</td> <td style="text-align: right; font-size: small;">Date</td> </tr> <tr> <td style="border-bottom: 1px solid black;"> </td> <td style="border-bottom: 1px solid black; text-align: right;"> </td> </tr> <tr> <td style="font-size: small;">Supervisor (if required)</td> <td style="text-align: right; font-size: small;">Date</td> </tr> <tr> <td style="border-bottom: 1px solid black;"> </td> <td style="border-bottom: 1px solid black; text-align: right;"> </td> </tr> <tr> <td colspan="2" style="font-size: small;">Executive Director signature (indicates approval to add post agenda deadline item to agenda)    Date</td> </tr> </table>				<i>Kate Stolarzyk</i>	4/15/2019	Signature of person making this request	Date			Supervisor (if required)	Date			Executive Director signature (indicates approval to add post agenda deadline item to agenda)    Date	
<i>Kate Stolarzyk</i>	4/15/2019														
Signature of person making this request	Date														
Supervisor (if required)	Date														
Executive Director signature (indicates approval to add post agenda deadline item to agenda)    Date															
<b>Directions for including supporting documents:</b> 1. This form should be attached to any documents submitted to the agenda. 2. Post Agenda Deadline items must be authorized by a Supervisor and the Policy Development Executive Director. 3. If necessary, provide original documents needing Board Chairperson signature to the Bureau Assistant prior to the start of a meeting.															

**ARCHITECT SECTION**

**2018 ELECTION RESULTS, LIAISON APPOINTMENTS AND DELEGATED AUTHORITIES**

<b>2018 ELECTION RESULTS</b>	
<b>Section Chair</b>	Steven Wagner
<b>Vice Chair</b>	Matthew Wolfert
<b>Secretary</b>	James Gersich

**Appointment of Liaisons and Alternates**

<b>2018 LIAISON APPOINTMENTS</b>	
<b>Credentialing and Continuing Education Liaison</b>	Steven Wagner
<b>Monitoring Liaison</b>	Matthew Wolfert
<b>DLSC Liaison</b>	Matthew Wolfert
<b>Legislative Liaison</b>	Steven Wagner
<b>Travel Liaison</b>	Steven Wagner
<b>Occupational License Study Liaison</b>	James Gersich <i>Alternate: Matthew Wolfert</i>
<b>Renewal Notice Liaison</b>	James Gersich
<b>A-E Joint Board Rules Committee</b>	Steven Wagner
<b>Screening Panel</b>	Matthew Wolfert, James Gersich <i>Alternate: Steven Wagner</i>

**Delegation Motions**

***Document Signature Delegation***

**MOTION:** James Gersich moved, seconded by Matthew Wolfert, to delegate authority to the Chair or chief presiding officer, or longest serving member of the Section, by order of succession, to sign documents on behalf of the Section. In order to carry out duties of the Section, the Chair, chief presiding officer, or longest serving member of the Section, has the ability

to delegate this signature authority for purposes of facilitating the completion of assignments during or between meetings. The Chair, chief presiding officer, or longest serving member of the Section delegates the authority to Executive Director, or designee, to sign the name of any Section member on documents as necessary and appropriate. Motion carried unanimously.

### *Delegated Authority for Urgent Matters*

**MOTION:** James Gersich moved, seconded by Matthew Wolfert, that in order to facilitate the completion of urgent matters between meetings, the Section delegates its authority to the Chair (or, in the absence of the Chair, the highest-ranking officer or longest serving Section member in that succession), to appoint liaisons to the Department to act in urgent matters. Motion carried unanimously.

### *Monitoring Delegations*

**MOTION:** James Gersich moved, seconded by Matthew Wolfert, to adopt the “Roles and Authorities Delegated to the Monitoring Liaison and Department Monitor” as presented. Motion carried unanimously.

### *Credentialing Authority Delegations*

#### **Delegation of Authority to Credentialing Liaison (Exempting Denial Decisions to Full Section)**

**MOTION:** James Gersich moved, seconded by Matthew Wolfert, to delegate authority to the Credentialing Liaison(s) to address all issues related to credentialing matters except potential denial decisions which should be referred to the full Section for final determination. Motion carried unanimously.

#### **Delegation of Authority to DSPS When Rule and Statute Criteria is Met**

**MOTION:** James Gersich moved, seconded by Matthew Wolfert, to delegate credentialing authority to DSPS to act upon applications that meet the criteria of Rule and Statute and thereby would not need further Section or Section liaison review. Motion carried unanimously.

### *Delegated Authority for Application Denial Reviews*

**MOTION:** James Gersich moved, seconded by Matthew Wolfert, that the Section counsel or another department attorney is formally authorized to serve as the Section’s designee for purposes of Wis. Admin Code § SPS 1.08(1). Motion carried unanimously.

### *Voluntary Surrenders*

**MOTION:** James Gersich moved, seconded by Matthew Wolfert, to delegate authority to the assigned case advisor to accept or refuse a request for voluntary surrender of a license by a licensee who has a pending complaint or disciplinary matter per Wis. Stat. § 440.19. Motion carried unanimously.

***Continuing Education Delegation or Education Delegations***

**MOTION:** James Gersich moved, seconded by Matthew Wolfert, to delegate authority to the Office of Education and Examination Liaison(s) to address all issues related to CE, education and examinations. Motion carried unanimously.

***Authorization for DSPS to Provide Section Member Contact Information to National Regulatory Bodies***

**MOTION:** James Gersich moved, seconded by Matthew Wolfert, to authorize Department staff to provide national regulatory bodies with all Section member contact information that the Department retains on file. Motion carried unanimously.

***Optional Renewal Notice Insert Delegation***

**MOTION:** James Gersich moved, seconded by Matthew Wolfert to designate James Gersich to provide a brief statement or link relating to Section-related business within the license renewal notice at the Section's or Section designee's request. Motion carried unanimously.

***Legislative Liaison Delegation***

**MOTION:** James Gersich moved, seconded by Matthew Wolfert, to delegate authority to the Legislative Liaison to speak on behalf of the Section regarding legislative matters. Motion carried unanimously.

***Travel Delegation***

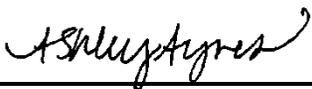
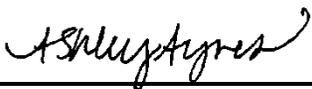
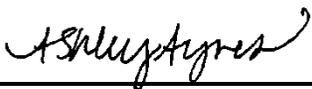
**MOTION:** James Gersich moved, seconded by Matthew Wolfert, to delegate authority to the Travel Liaison to approve any Section Member travel. Motion carried unanimously.

*Occupational Licensure Study Liaison*

**MOTION:** James Gersich moved, seconded by Matthew Wolfert, to designate James Gersich as the Section's liaison and Matthew Wolfert as the alternate, to represent and speak on behalf of the Section regarding occupational license review and related matters. Motion carried unanimously.

**State of Wisconsin  
Department of Safety & Professional Services**

**AGENDA REQUEST FORM**

<b>1) Name and Title of Person Submitting the Request:</b>  Ashley Ayres  Monitoring and Intake Supervisor Division of Legal Services and Compliance		<b>2) Date When Request Submitted:</b>  December 20, 2018																
		Items will be considered late if submitted after 4:30 p.m. and less than: <ul style="list-style-type: none"> <li>▪ 10 work days before the meeting for Medical Board</li> <li>▪ 14 work days before the meeting for all others</li> </ul>																
<b>3) Name of Board, Committee, Council, Sections:</b> Architect Section																		
<b>4) Meeting Date:</b>  April 24, 2019	<b>5) Attachments:</b>  <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<b>6) How should the item be titled on the agenda page?</b>  Appointment of Monitoring Liaison and Delegated Authority Motion																
<b>7) Place Item in:</b>  <input checked="" type="checkbox"/> Open Session <input type="checkbox"/> Closed Session <input type="checkbox"/> Both	<b>8) Is an appearance before the Board being scheduled?</b>  <input type="checkbox"/> Yes ( <a href="#">Fill out Board Appearance Request</a> ) <input checked="" type="checkbox"/> No	<b>9) Name of Case Advisor(s), if required:</b>																
<b>10) Describe the issue and action that should be addressed:</b>  Adopt or reject the Roles and Authorities Delegated to the Monitoring Liaison and Department Monitor document as presented in today's agenda packet.																		
<table style="width: 100%; border: none;"> <tr> <td style="width: 10%;"><b>11)</b></td> <td style="width: 60%; text-align: center;"><b>Authorization</b></td> <td style="width: 30%;"></td> </tr> <tr> <td></td> <td style="text-align: center;"></td> <td style="text-align: right;">December 20, 2018</td> </tr> <tr> <td colspan="2" style="border-top: 1px solid black;">Signature of person making this request</td> <td style="border-top: 1px solid black; text-align: right;">Date</td> </tr> <tr> <td colspan="2" style="border-top: 1px solid black;">Supervisor (if required)</td> <td style="border-top: 1px solid black; text-align: right;">Date</td> </tr> <tr> <td colspan="2" style="border-top: 1px solid black;">Executive Director signature (indicates approval to add post agenda deadline item to agenda)</td> <td style="border-top: 1px solid black; text-align: right;">Date</td> </tr> </table>				<b>11)</b>	<b>Authorization</b>				December 20, 2018	Signature of person making this request		Date	Supervisor (if required)		Date	Executive Director signature (indicates approval to add post agenda deadline item to agenda)		Date
<b>11)</b>	<b>Authorization</b>																	
		December 20, 2018																
Signature of person making this request		Date																
Supervisor (if required)		Date																
Executive Director signature (indicates approval to add post agenda deadline item to agenda)		Date																
<b>Directions for including supporting documents:</b> <ol style="list-style-type: none"> <li>1. This form should be attached to any documents submitted to the agenda.</li> <li>2. Post Agenda Deadline items must be authorized by a Supervisor and the Policy Development Executive Director.</li> <li>3. If necessary, Provide original documents needing Board Chairperson signature to the Bureau Assistant prior to the start of a meeting.</li> </ol>																		

## **Roles and Authorities Delegated to the Monitoring Liaison and Department Monitor**

The Monitoring Liaison (“Liaison”) is a Board/Section designee who works with department monitors to enforce Board/Section orders as explained below.

### **Current Authorities Delegated to the Monitoring Liaison**

The Liaison may take the following actions on behalf of the Board/Section:

1. Grant a temporary reduction in random drug screen frequency upon Respondent’s request if he/she is unemployed and is otherwise compliant with Board/Section order. The temporary reduction will be in effect until Respondent secures employment in the profession. The Department Monitor (“Monitor”) will draft an order and sign on behalf of the Liaison.
2. Grant a stay of suspension if Respondent is eligible per the Board/Section order. The Monitor will draft an order and sign on behalf of the Liaison.
3. Remove the stay of suspension if there are repeated violations or a substantial violation of the Board/Section order. In conjunction with removal of any stay of suspension, the Liaison may prohibit Respondent from seeking reinstatement of the stay for a specified period of time. The Monitor will draft an order and sign on behalf of the Liaison.
4. Grant or deny approval when Respondent proposes continuing/remedial education courses, treatment providers, mentors, supervisors, change of employment, etc. unless the order specifically requires full-Board/Section approval.
5. Grant a maximum of one 90-day extension, if warranted and requested in writing by Respondent, to complete Board/Section-ordered continuing education.
6. Grant a maximum of one extension or payment plan for proceeding costs and/or forfeitures if warranted and requested in writing by Respondent.
7. Grant full reinstatement of licensure if Respondent has fully complied with all terms of the order without deviation. The Monitor will draft an order and obtain the signature or written authorization from the Liaison.
8. Grant or deny a request to appear before the Board/Section in closed session.
9. Board Monitoring Liaison may determine whether Respondent’s petition is eligible for consideration by the full Board/Section.
10. (*Except Pharmacy*) Accept Respondent’s written request to surrender credential. If accepted by the Liaison, Monitor will consult with Board Counsel to determine if a stipulation is necessary. If a stipulation is not necessary, Monitor will draft an order and sign on behalf of the Liaison. If denied by the Liaison, the request to surrender credential will go to the full Board for review.
11. (*Except Pharmacy*) Grant Respondent’s petition for a reduction in drug screens per the standard schedule, below. If approved, Monitor will draft an order and sign on behalf of the Liaison.
  - a. Year 1: 49 screens (including 1 hair test, if required by original order)
  - b. Year 2: 36 screens (plus 1 hair test, if required by original order)
  - c. Year 3: 28 screens plus 1 hair test
  - d. Year 4: 28 screens plus 1 hair test
  - e. Year 5: 14 screens plus 1 hair test

12. (*Dentistry only*) – Ability to approve or deny all requests from a respondent.
13. (*Except Nursing*) – Board Monitoring Liaison may approve or deny Respondent's request to be excused from drug and alcohol testing for work, travel, etc.

### **Current Authorities Delegated to the Department Monitor**

The Monitor may take the following actions on behalf of the Board/Section, draft an order and sign:

1. Grant full reinstatement of licensure if CE is the sole condition of the limitation and Respondent has submitted the required proof of completion for approved courses.
  2. Suspend the license if Respondent has not completed Board/Section-ordered CE and/or paid costs and forfeitures within the time specified by the Board/Section order. The Monitor may remove the suspension and issue an order when proof completion and/or payment have been received.
  3. Suspend the license (or remove stay of suspension) if Respondent fails to enroll and participate in an Approved Program for drug and alcohol testing within 30 days of the order, or if Respondent ceases participation in the Approved Program without Board approval. This delegated authority only pertains to respondents who must comply with drug and/or alcohol testing requirements.
-

**State of Wisconsin  
Department of Safety & Professional Services**

**AGENDA REQUEST FORM**

<b>1) Name and Title of Person Submitting the Request:</b> Helen Leong, Administrative Rules Coordinator		<b>2) Date When Request Submitted:</b> April 11, 2019 <small>Items will be considered late if submitted after 12:00 p.m. on the deadline date which is 8 business days before the meeting</small>	
<b>3) Name of Board, Committee, Council, Sections:</b> Architect Section, Examining Board of Architects, Landscape Architects, Professional Engineers, Designers, and Professional Land Surveyors			
<b>4) Meeting Date:</b> April 24, 2019	<b>5) Attachments:</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<b>6) How should the item be titled on the agenda page?</b> Legislative and Administrative Rule Matters – Discussion and Consideration  1) Review and consideration of the Scope Statement on A-E 3, relating to architect registration examinations  2) Review and discussion of the AIA, Standards for Continuing Education Programs October 2018 and <a href="#">A-E 12</a> , relating to continuing education for Architects  3) Updates on Legislation and Pending or Possible Rulemaking Projects	
<b>7) Place Item in:</b> <input checked="" type="checkbox"/> Open Session <input type="checkbox"/> Closed Session	<b>8) Is an appearance before the Board being scheduled?</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<b>9) Name of Case Advisor(s), if required:</b>	
<b>10) Describe the issue and action that should be addressed:</b> Peter Schramm, Office of Education and Examinations, will be available in case there are questions.			
<b>11) Authorization</b>			
Signature of person making this request <i>Helen Leong</i>		Date <i>April 11, 2019</i>	
Supervisor (if required)		Date	
Executive Director signature (indicates approval to add post agenda deadline item to agenda)    Date			
<b>Directions for including supporting documents:</b> 1. This form should be attached to any documents submitted to the agenda. 2. Post Agenda Deadline items must be authorized by a Supervisor and the Policy Development Executive Director. 3. If necessary, provide original documents needing Board Chairperson signature to the Bureau Assistant prior to the start of a meeting.			

# STATEMENT OF SCOPE

## Examining Board of Architects, Landscape Architects, Professional Engineers, Designers, and Professional Land Surveyors

Rule No.: A-E 3

Relating to: Architect registration examinations

Rule Type: Permanent

**1. Finding/nature of emergency (Emergency Rule only):** N/A

**2. Detailed description of the objective of the proposed rule:**

The A-E Board conducted a thorough review of the A-E administrative rules in preparation of their first biennial report in response to 2017 Act 108 and s. 227.29, Stats. As a result of this review, the Board has identified several places where the rules reference obsolete requirements or repealed provisions on examination requirements in A-E 3. The Architect Section will review the chapter to ensure consistency with current practices relating to examinations required for registration.

**3. Description of the existing policies relevant to the rule, new policies proposed to be included in the rule, and an analysis of policy alternatives:**

In accordance with the requirements of 2017 Act 108 and s. 227.29, Stats., the Architect Section will take action to correct and update the obsolete provisions identified in the report. Section A-E 3.05 includes several procedures for refunds, cheating, and examination review which need to be updated since the Section has adopted a national exam for registration.

If the Architect Section does not update these provisions, there may be conflicting procedures for applicants who want to review their examination results.

**4. Detailed explanation of statutory authority for the rule (including the statutory citation and language):**

Section 15.08 (5) (b), Stats., provides examining boards, "shall promulgate rules for its own guidance and for the guidance of the trade or profession to which it pertains..."

Section 443.02 (3), Stats., provides that "[n]o person may offer to practice architecture, landscape architecture, or professional engineering or use in connection with the person's name or otherwise assume, use or advertise any title or description tending to convey the impression that he or she is an architect, landscape architect, or professional engineer or advertise to furnish architectural, landscape architectural, or professional engineering services unless the person has been duly registered or has in effect a permit under s. 443.10 (1) (d)."

**5. Estimate of amount of time that state employees will spend developing the rule and of other resources necessary to develop the rule:**

80 hours

**6. List with description of all entities that may be affected by the proposed rule:**

Rev. 3/6/2012

Registered architects and individuals acquiring supervised experience in architectural work leading to registration as an architect

**7. Summary and preliminary comparison with any existing or proposed federal regulation that is intended to address the activities to be regulated by the proposed rule:**

None.

**8. Anticipated economic impact of implementing the rule (note if the rule is likely to have a significant economic impact on small businesses):**

The proposed rule will have minimal to no economic impact on small businesses and the state's economy as a whole.

**Contact Person:** Helen Leong, 608-266-0797, DSPSAdminRules@wisconsin.gov

---

Authorized Signature

---

Date Submitted

---

# Standards for Continuing Education Programs

**October 2018**

**Version 2018.10.15**

**“Education is the  
kindling of a flame, not  
the filling of a vessel.”  
-Socrates**

## Table of contents

<b>Introduction.....</b>	<b>1</b>
<b>Preamble .....</b>	<b>2</b>
<b>Glossary.....</b>	<b>3</b>
<b>General guidelines for AIA members .....</b>	<b>8</b>
Professional competence.....	8
Continuing education compliance .....	8
Continuing education record documentation.....	9
Reporting continuing education credits.....	9
Self-reporting.....	10
Carryover credit.....	11
Member audits.....	11
<b>Standards for AIA Continuing Education Services (CES) Providers.....</b>	<b>12</b>
<b>General standards .....</b>	<b>12</b>
Standard 1. Compliance with standards and requirements.....	12
Standard 2. Eligibility to award AIA CES credit.....	13
<b>Standards for Continuing Education Program development .....</b>	<b>14</b>
Standard 3. Learning objectives and outcomes.....	14
Standard 4. Prerequisites, prior knowledge, and advanced preparation.....	14
Standard 5. Learning program currency and accuracy.....	14
Standard 6. Learning program review .....	16
Standard 7. Learning programs must employ sound instructional methods.....	17
Standard 8. Live learning programs .....	17
Standard 9. On-demand e-learning programs .....	18
Standard 10. On-demand print/other learning activities .....	19
Standard 11. Nano learning programs .....	20
Standard 12. Blended learning programs.....	21
Standard 13. Summative assessments .....	22
<b>Standards for Continuing Education Program presentation .....</b>	<b>23</b>
Standard 14. Marketing and other descriptive materials.....	23
Standard 15. Qualified instructors/facilitators.....	24
Standard 16. Learning program evaluation.....	25
Standard 17. Appropriate instructional methods.....	26
<b>Standards for Continuing Education Program measurement .....</b>	<b>27</b>
Standard 18. Determining Learning Units (LUs) for programs.....	27
Standard 19. Determining Learning Units (LUs) for on-demand programs.....	28
Standard 20. Nano learning program Learning Units (LUs).....	31
Standard 21. Blended learning program credits.....	31
Standard 22. Instructor, facilitator, and technical reviewer Learning Units (LUs)...	31
Standard 23. Health, Safety, and Welfare (HSW) designation .....	32
Standard 24. Elective designation.....	33
<b>Standards for AIA CES Program reporting.....</b>	<b>34</b>
Standard 25. Attendance and completion reporting.....	34
Standard 26. Record retention.....	35

## Introduction

Continuing education is crucial to advancing and improving the profession of architecture. For this reason, members of The American Institute of Architects (AIA) are required to complete a minimum number of hours of continuing education annually. Additionally, many licensing and registration jurisdictions require some level of continuing education, typically in topics addressing public health, safety, and welfare. Architects need continuing education to maintain competency and to prepare for the future beyond any requirements licensing and registration boards have for protecting the public. AIA's continuing education requirement is one element of AIA membership that differentiates an AIA member from someone who simply holds a license to practice architecture, and it strengthens the credibility that comes with AIA membership.

To support the demand for quality continuing education across a wide domain of topics and delivery modalities, AIA established the Continuing Education Services (CES) program in 1995. The AIA CES program leverages a network of providers to design, develop, deliver, and administer high-quality, relevant learning programs to satisfy AIA requirements for continuing education related to the field of architecture and architectural practice as well as the mandatory continuing education requirements for state license registration and renewal.

The Standards for Continuing Education Programs ("Standards") document is maintained by AIA and provides a framework for the development, presentation, measurement, and reporting of continuing education programs. These Standards were updated in 2018 (based on program requirements and subsequent revisions since the program's inception in 1995) by the AIA Continuing Education Committee (CE Committee). The Standards will be reviewed periodically by AIA staff to determine if modifications are required. Recommendations for changes will be presented to the AIA CE Committee for consideration with modifications reviewed by the AIA Board Knowledge Committee (BoKnoCo) and posted to the AIA website for comment. At a minimum, the AIA CE Committee will review the full set of standards at least every other year. To the extent possible, these Standards are kept consistent with the National Council of Architectural Registration Boards (NCARB) Legislative Guidelines and Model Law/Regulations to ensure consistency with AIA definitions and standards, and standards used by licensing and registration boards.

The Standards for Continuing Education Programs document is intended for use by AIA CES Providers and others delivering continuing education for AIA members, other architects, design professionals, and allied industries. It is a "living" document that will undergo periodic review and revision. Questions of interpretation and meaning will be reviewed by AIA staff and the AIA CE Committee (when necessary) as they arise, communicated to the AIA CES Provider, and posted to the AIA website (as appropriate). The AIA CES Provider Manual provides "best practices" and practical guidance for implementing the standards. Further, the AIA CES learning portal provides online instruction and greater depth on topics related to administration, design, development, and delivery of learning activities.

### Acknowledgement

AIA CES and the AIA CE Committee acknowledges the National Association of State Boards of Accountancy (NASBA) and the American Institute of Certified Public Accounts (AICPA), whose Statement on Standards for Continuing Professional Education (CPE) Programs served as a model for this document.

## Preamble

### **Significance of an architect**

The right to use the title “architect” is regulated by each jurisdiction’s board in the public interest and imposes a duty to maintain public confidence by enhancing current professional competence in all areas in which architects provide services. Architects must accept and fulfill their ethical responsibilities to the public and the profession regardless of their fields of employment.

### **Evolution of knowledge**

The profession of architecture is characterized by constant expansion of relevant knowledge, ongoing changes, and increasing complexity. Advancing technology, globalization of commerce, increasing specialization, proliferating regulations, and the complex nature of business transactions have created a dynamic environment that requires architects to maintain and enhance their professional competence continuously.

### **Need for continuing education**

The continuing development of professional competence involves a program of lifelong educational activities. Continuing Education (CE) is the term used in these Standards to describe the educational activities that assist architects in achieving and maintaining quality in professional services. AIA has adopted a continuing Education requirement that applies to Architect Members and International Associates. Further, most jurisdictions have adopted mandatory continuing education requirements for license/registration renewal.

### **Diversity of practice and the Standards framework**

The following Standards have been broadly stated in recognition of the diversity of practice and experience among architects, and establish a framework for the development, presentation, measurement, and reporting of CE programs to help ensure that architects receive the quality CE necessary to satisfy their obligations to serve the public interest. The spirit of the Standards is to encourage meaningful, measurable, and memorable high-quality learning programs by providing baseline requirements. These Standards may also apply to other professionals by employment or membership. While completion of AIA-approved programs will satisfy AIA membership requirements and meet the standards for mandatory continuing education in many US states and territories, licensing and registration boards have final authority on the acceptance of individual programs for mandatory continuing education credit for licensing and registration under their jurisdiction. Adherence to these Standards will help ensure continued recognition of AIA approval.

### **The Standards and evolving learning techniques**

Advances in technology, delivery, and workplace arrangements lead to innovative learning techniques. Learning theory is evolving to include more emphasis on outcome-based learning. These Standards anticipate innovation in continuing education in response to these advances. AIA CES Providers must ensure effective learning techniques that meet the Standards. AIA CES Providers are encouraged to consult with AIA CES regarding questions related to compliance with the Standards when utilizing innovative techniques.

### **Evaluation of AIA CES Providers**

These Standards create a foundation for sound educational programs. As such, the Standards form the basic framework for evaluating new AIA CES Provider applications and accrediting existing CES Providers on a regular basis. As these Standards are revised, AIA CES Providers are expected to keep current on the Standards and conform to their guidance

## Glossary

**Adult Learning Theory** The specialized pursuit of effective curricular design and instruction delivery for adults based on research on how adults collect, collate, and synthesize new information (learning).

**AIA Continuing Education Services (CES)** AIA's program for managing, regulating, and supporting AIA-approved continuing education for architects and design professionals through a network of AIA CES Providers.

**AIA CES Provider** An individual or organization authorized to offer AIA-approved continuing education programs. To maintain good standing, AIA CES Providers must comply with these Standards and have a current AIA CES Provider subscription in one of the following categories based on organization type and delivery method. Providers can deliver content from their own organization only and are not allowed to share their provider number with other agencies, firms, companies, organizations, or individuals except wholly owned subsidiary organizations.

**Architect Firm provider** Architect Firm providers are authorized to offer all delivery types (live in-person and online, on-demand e-learning, print/other, Nano learning, and blended learning) anywhere in the world. Architect Firm subscriptions are reserved for architecture firms in which a principal or owner is an AIA member in good standing. A single firm provider subscription may be shared across geographically dispersed offices of the same firm.

**Basic provider** Basic providers are authorized to offer only live in-person learning activities (excluding Nano learning) in one AIA-designated region. Basic provider subscriptions are open to any organization or individual.

**Component provider** AIA state and local components and chapters are authorized to offer all delivery types (live in-person and online, on-demand e-learning, print/other, Nano learning, and blended learning) within their geographic region. Component providers may partner with other AIA CES providers to host and record learning programs on their behalf. Component provider subscriptions are limited to any recognized AIA component or chapter.

**Passport provider** Passport providers are authorized to offer all delivery types (live in-person and online, on-demand e-learning, print/other, Nano learning, and blended learning) anywhere in the world. Passport provider subscriptions are open to any organization or individual.

**Platform provider** Platform providers are authorized to offer all delivery types (live in-person and online, on-demand e-learning, print/other, Nano learning, and blended learning) anywhere in the world. Platform providers may also host content for other approved AIA CES Providers. A Platform provider may not allow another organization to use its AIA CES Provider Number in lieu of its own provider subscription. Platform provider subscriptions are open to any organization or individual.

**Professional provider** Professional providers are authorized to offer all delivery types (live in-person and online, on-demand e-learning, print/other, Nano learning, and blended learning) anywhere in the world. Professional subscriptions are reserved for accredited academic institutions, government agencies, and nonprofits.

<b>Subscription</b>	<b>Live in-person</b>	<b>Live online/ On-demand e-learning / On-demand print/other</b>	<b>Nano learning</b>	<b>Number of regions</b>	<b>Host content for others</b>
Architect Firm	Yes	Yes	Yes	Any	No
Basic	Yes	No	No	One	No
Component	Yes	Yes	Yes	Any	Yes
Passport	Yes	Yes	Yes	Any	No
Platform	Yes	Yes	Yes	Any	Yes
Professional	Yes	Yes	Yes	Any	No

**AIA CES transcript** The official record of attendance for determining compliance with AIA continuing education requirements for membership which serves as the member record of AIA CES learning programs attended and successfully completed. The AIA CES transcript is also accepted by most US jurisdictions as an official record of attendance for continuing education needed for licensure or registration renewal; however, members should confirm documentation requirements with their jurisdiction's licensing or registration board.

**Assessment** The wide variety of methods or tools that are used to evaluate, measure, and document the academic readiness, learning progress, skill acquisition, or educational needs of learning program participants.

**Pre-program assessment** A method of measuring prior knowledge that is given before the learner has access to the course content of the program. Pre-program assessments may be used to tailor content more appropriately to a learner's needs and gaps.

**Formative assessment** Methods used to conduct in-process evaluations of learner comprehension, learning needs, and academic progress during a lesson, unit, course, or learning program. Formative assessments help instructors and learners identify concepts they are struggling to understand, skills they are having difficulty acquiring, or learning standards they have not yet achieved so that adjustments can be made to lessons, instructional techniques, and academic support. Review questions are a formative assessment tool.

**Summative assessment** Test, portfolio, or other tool used to evaluate participant learning, skill acquisition, and achievement after a learning program. Outcomes of summative assessments are used to determine successful completion of a learning program.

**Continuing Education (CE)** An integral part of the lifelong learning required to provide competent service to the public. The set of activities that enables architects to maintain and improve their professional competence.

**Evaluation** A means to produce feedback which the provider and instructor/facilitator can use to assess their quality of instruction. Evaluation is the process of gathering information about the impact of learning and of teaching practice on participant learning, analyzing and interpreting this information, and responding to (and acting on) the results.

**Feedback** Specific responses to review and summative assessment questions that give the learner remediation for incorrect responses or reinforcement for correct responses.

**Evaluative feedback** Specific responses to incorrect answers to questions that provide correction and remediation.

**Reinforcement feedback** Specific responses to correct answers to questions that provide support and strengthen understanding.

**Instructional methods** Delivery strategies such as case studies, computer-assisted learning, lectures, group participation, programmed instruction, use of audiovisual aids, or work groups employed in learning programs.

**Learning activity** A structured educational endeavor that maintains or improves professional competence. Learning programs are comprised of learning activities.

**Learning plan** Dynamic instruments used to evaluate and document learning and professional competence development, and structured processes that help members guide their professional development. Members should review their learning plans regularly and modify their plans as professional competence needs change. Learning plans include a self-assessment of the gap between current and needed professional competence; a set of learning objectives arising from this assessment; and learning programs to be undertaken to fulfill the learning plan.

**Learning program** A collection of learning activities that are designed and intended as continuing education and that comply with these Standards. Learning programs may be live in-person, live online, on-demand e-learning, on-demand print/other, Nano learning, or blended learning.

**Live in-person program** Group participation in live learning with real-time interaction of an instructor or subject-matter expert and built-in processes for attendance and interactivity. Learners are together in one or more groups with an instructor or subject-matter expert.

**Live online program** Live learning with real-time, two-way interaction between an instructor or subject-matter expert and learners that provides the required elements of attendance monitoring and engagement where learners are in a solitary rather than group environment.

**On-demand e-learning program** An educational program completed at any time or in any place that best suits the learner online, or via computer or other device individually without the assistance or interaction of a real-time instructor.

**On-demand print/other program** An educational program completed individually by reading materials in print or online and completing a summative assessment.

**Nano learning program** A tutorial program designed to permit a participant to learn a given subject in a 15-minute or 30-minute time frame using electronic media (including technology applications and processes and computer-based or web-based technology) or in person. A Nano learning program differs from a longer program in that it is typically focused on a single learning objective. Nano learning is not a substitute for

comprehensive programs addressing complex issues but is typically highly targeted and needs-based. Nano learning programs are excellent for just-in-time tutorials.

**Blended learning program** An educational program incorporating multiple learning formats.

**Learning objectives** Intended accomplishments/goals that learners should realize upon completion of a learning activity. Learning objectives are useful to program developers in determining appropriate instructional methods and allocating time relating to the subjects.

**Learning outcomes** Results that learners have achieved and can reliably demonstrate at the end of a learning activity. In other words, learning outcomes identify what the learner knows and can do by the end of a learning activity.

**Learning Unit (LU)** Unit of measure for AIA Continuing Education Programs. One Learning Unit (LU) is equivalent to one hour of continuing education and participation in a learning program. Learning Units are categorized by type: HSW or Elective

**LU|HSW** Learning programs with at least 75 percent of the content intended to protect the health, safety, and welfare of the occupants of the built environment as defined below:

**Health** Those aspects of professional practice that improve the physical, emotional, and social well-being of occupants, users, and any others affected by buildings and sites.

**Safety** Those aspects of professional practice that protect occupants, users, and any others affected by buildings or sites from harm.

**Welfare** Those aspects of professional practice that enable equitable access, elevate the human experience, encourage social interaction, and benefit the environment.

**LU|Elective** Learning program topics related to the core competencies of the discipline or practice of architecture but not within the realm of health, safety, and welfare.

Learning programs that address professional practice and other aspects of professional development within the field and practice of architecture are still valuable for continuing professional development and education.

**Pilot test** A method to determine the recommended AIA CES Learning Units (LUs) for on-demand programs that involves sampling of at least three individuals independent of the development team and at least one representative of the intended learners to measure the representative completion time for the program.

**Professional competence** Having requisite technical competence, professional skills, values, ethics, and attitudes to provide quality services, as defined by the technical and ethical standards of the profession. The expertise needed to undertake professional responsibilities and to serve the public interest. Jurisdictions may maintain a standard of professional competence required for licensure and renewal.

**Program knowledge level** The relative level of program knowledge covered by a learning program. AIA CES learning programs may be classified as Introductory, Intermediate, Advanced, or Update.

**Introductory** Program knowledge level most beneficial to learners new to a knowledge area, skill, or attribute. No assumption is made that learners have a specific baseline knowledge.

**Intermediate** Program knowledge level that builds on an introductory program, most appropriate for learners with general knowledge about the topic. It is assumed that learners have at least a cursory understanding of the topic and may possess some direct experience.

**Advanced** Program knowledge level most useful for individuals with significant knowledge of the topic. This level focuses on the development of in-depth knowledge, a variety of skills, or a broader range of applications. At the advanced level, it is assumed that learners have extensive prior knowledge of the topic and have direct experience (where applicable).

**Update** Program knowledge level that provides a general review of new developments. This level is for learners with a background in the subject area who desire to keep current. Annual courses on building code changes, for instance, would be update courses that assume learners understand the codes and are most interested, and where and how the codes have changed.

**Self-reported learning programs** Learning programs completed outside the AIA CES program that may include courses from government agencies, colleges, universities, providers outside the AIA CES provider network, and self-directed activities. These programs are submitted to AIA CES for review and approval for credit (typically LUI Elective only).

**Session** A distinct offering of a learning program. All learning programs will have at least one session. Each time a learning program is offered, a new session must be registered.

**Social learning** Learning from one's peers in a community of practice through observation, modeling, and application.

**Tutorial** A method of transferring knowledge that is more interactive and specific than a book, lecture, or article. A tutorial seeks to teach by example and supply the information to complete a certain task.

**Word count formula** A method that uses a formula to determine the recommended Learning Units (LUs) for programs by calculating LUs based on word count of learning material, number of questions and exercises, and duration of audio and video segments.

## General guidelines for AIA members

The requirements and standards for AIA member continuing education are established by the AIA Bylaws and Rules of the Board as well as administrative policy.

### Professional competence

All AIA members should participate in learning activities that maintain and/or improve their professional competence and the profession of architecture in general.

Selection of learning programs should be a thoughtful, reflective process addressing the individual member's current and future professional plans, current knowledge and skill level, and desired or needed additional competence to meet future opportunities and professional responsibilities. To help guide their professional development, members may find it useful to develop a learning plan.

While AIA and many jurisdictions have set mandatory continuing education requirements, the objective of continuing education should be maintenance and enhancement of professional competence, not attainment of credits.

A member's fields of employment do not limit the need for continuing education. Members performing professional services need to have a broad range of professional competence. Thus, the concept of professional competence may be interpreted broadly. Accordingly, acceptable AIA continuing education encompasses programs contributing to the development and maintenance of professional skills and is approved in two categories: HSW and Elective.

### Continuing education compliance

AIA members are responsible for compliance with all applicable AIA continuing education requirements as well as requirements, rules, and regulations of state licensing bodies, other government entities, membership associations, and other professional organizations or bodies.

Some licensing jurisdictions require specific types of continuing education (accessibility, sustainable design, state building codes, ethics, etc.) not tracked by AIA CES. Members should contact each appropriate entity to which they report to determine its specific requirements or any exceptions that body may have to these Standards.

---

The terms "should" and "must" are intended to convey specific meanings within the context of these Standards. The term "must" is used in the Standards and applies to AIA members and AIA Continuing Education System (CES) Providers to convey that they are not permitted any departure from those specific standards. The term "should" is used in the Standards and is intended to convey that members and AIA CES Providers are encouraged to follow such standards as written. The term "may" is used in the Standards and is intended to convey that members and AIA CES Providers are permitted to follow such standards as written.

### Minimum AIA continuing education requirements

Membership category	Total Learning Units (LUs) (LU HSW + LU Elective)	LU HSW
Architect member	18	12
International associate	12 (2019) 18 (2020 and after)	8 (2019) 12 (2020 and after)
Associate	Recommended, but not required	
Allied	Recommended, but not required	
Emeritus	1 LU (either HSW or Elective)	

AIA members are not required to meet AIA continuing education requirements until their first full year as a member. Credits earned during a member's partial first year are not credited to the following year.

### Continuing education record documentation

While the AIA CES transcript is AIA's official member education record, some jurisdictions may not accept the AIA CES transcript alone; members should retain appropriate documentation of their participation in learning programs, especially for requirements not tracked by AIA CES. Members should contact each appropriate entity to which they report to determine its specific requirements for documentation and reporting.

Participants should document their claims of continuing education credit. In the absence of legal or other requirements, a reasonable policy is to retain documentation for a minimum of six (6) years from the end of the year in which the learning programs were completed. The AIA continuing education transcript will maintain a record of continuing education attendance and credits for as long as an individual remains an active AIA member in good standing.

Examples of acceptable evidence of completion include the following:

- AIA CES transcript
- A certificate or other verification supplied by the learning program provider
- For a college or university course that is successfully completed for credit, a record or transcript of the grade the learner received
- For college or university noncredit courses, a certificate of attendance issued by a representative of the university or college

Generally, a printed program agenda, program marketing materials, or an event program are considered insufficient evidence of participation in that program.

### Reporting continuing education credits

Members who complete learning programs that maintain or improve their professional competence must claim no more than the continuing education credits approved by AIA CES for the program. Applicable Learning Units (LUs) will automatically be determined and recorded on the AIA CES transcript for AIA members and on learning program completion certificates (when requested) for AIA-approved programs.

Members may participate in a variety of learning programs. Although continuing education credits are determined by the AIA CES Provider and AIA at the time a course is approved, members must claim credit only for activities through which they maintained or improved their professional competence. Members who participate in only part of a program cannot claim any credit for the program. Full attendance is required. Members may repeat the same course, but no additional credit will be granted or recorded.

### **Self-reporting**

Members may participate in structured and self-directed learning programs outside the AIA CES Provider network that will not automatically be reported to AIA CES by a provider. These programs may be self-reported by the member for review and approval by AIA CES. Members shall not self-report learning programs offered by AIA CES Providers. If a provider is delinquent in reporting attendance or attendance is missing from a member transcript, members should contact the AIA CES Provider and/or AIA CES Support.

In general, self-reported activities will be approved only for LU|Elective credit because there is no prior review by AIA CES course reviewers nor is the provider held accountable for meeting AIA's standards for Health, Safety, and Welfare (HSW) credit. However, programs offered by a government agency (including registration boards) or credit courses completed at a NAAB-accredited college or university may be submitted for LU|HSW consideration. Self-reported activities must be educational activities that cover knowledge that can be applied toward the member's practice of architecture. To determine which activities qualify for self-reporting, the following questions should all have an affirmative response:

- Is this learning activity directly applicable to the field of architecture?
- Is this activity intended to be educational?
- Is new knowledge acquired from or shared with others?
- Can this new knowledge be applied to the member's practice?

Community outreach and engagement including serving on boards and commissions may be self-reported but will qualify only for LU|Elective credits. Self-directed learning activities (research projects, self-guided tours, etc.) may also be submitted but must include a detailed statement that explains the educational value and outcomes of the exercise.

Members self-reporting learning activities must submit:

- Date(s) of the learning activity
- Title of the activity
- Length of the activity (in hours)
- Description of the activity
- Learning statement that describes the educational value of the activity

For learning activities offered by a government agency where LU|HSW credit is sought, members must submit:

- All the above plus an outline of the course (that includes content covered in the program) provided by the agency conducting the course
- Certificate of completion showing the agency conducting the course and successful completion

For credit courses from a NAAB-accredited college or university where LU/HSW credit is sought, members must submit:

- All the above plus the published course description from the college or university course catalog or website
- Course syllabus
- Proof of successful completion with a passing grade

For college or university credit courses that meet these standards, each unit of college credit shall be awarded the following LUs:

- Semester system: 15 LUs
- Quarter system: 10 LUs

All self-reported learning activity submissions are reviewed by AIA CES for final determination as to the number of units and type of credit (if any) awarded and recorded on the member's AIA CES transcript. These requirements apply to AIA recognition of structured and unstructured learning outside of the AIA CES Provider program. Acceptance of self-reported activities by individual jurisdictions is subject to their rules and policies. Not all self-reported credits awarded by AIA CES may be acceptable in every jurisdiction.

### **Carryover credit**

If a member completes more than the minimum required continuing education credits in a calendar year, those credits over and above the minimum may be applied to the following year, but only if the member does not meet the continuing education requirement the following year. Carryover credit is applied at the end of the year only if there is a deficiency and only up to the number of credits needed to fill any gap. Carryover credits may be applied from only the immediately preceding year.

### **Member audits**

Each year AIA CES audits a percentage of the eligible membership for compliance with AIA continuing education requirements. Members who fail to meet the requirements for the audited year are notified and given a grace period to make up any deficiencies in continuing education hours. Members who do not earn enough credits by the end of the grace period will not be allowed to renew their AIA membership and will have their membership terminated. Terminated members may apply for reinstatement according to the process outlined in the Bylaws and Rules of the Board.

## Standards for AIA Continuing Education Services (CES) Providers

The AIA CES program and network of continuing education providers sets the bar for continuing education for architects. In addition to meeting AIA continuing education requirements for membership, AIA-approved courses are accepted to meet mandatory continuing education requirements for most jurisdictions in the United States as well as many other countries. The trust in the excellence of the program is built on meaningful, measurable, and memorable high-quality continuing education offerings. These Standards reinforce AIA's dedication to promoting and providing high-quality continuing education to support AIA members and others in the profession. AIA CES Providers are expected to comply with the letter and spirit of the Standards and are held accountable to the Standards through periodic review, provider audits, and other programs.

### General Standards

#### **Standard I. Compliance with standards and requirements**

AIA CES Providers must comply with all applicable AIA CES standards contained herein and published by AIA CES. AIA CES Providers failing to comply with all applicable AIA CES standards may be audited for compliance and may have their AIA CES Provider status suspended or revoked for violations.

#### ***SI-01. Continuing education requirements of licensing/registration bodies and others***

AIA CES Providers may have to meet specific continuing education requirements of state licensing and registration bodies, other governmental entities, membership associations, and other professional organizations or bodies in addition to the Standards. Professional guidance for AIA CES Providers is available from AIA CES while jurisdiction-specific guidance is available from the respective jurisdictions' registration or licensing boards. AIA CES Providers should contact the appropriate entity to determine specific requirements outside the purview of the AIA CES Program.

#### ***SI-02. Prior review and approval of all AIA CES learning programs***

All AIA CES learning programs must be reviewed and approved by AIA CES prior to being delivered for AIA continuing education credit. Programs must be submitted for review no fewer than 10 business days<sup>2</sup> before a scheduled program or session. AIA CES review typically takes 3–7 business days. Incomplete submissions or programs requiring additional information may take longer. Prior review and approval is required to ensure a learning program is eligible for AIA CES credit and meets applicable AIA CES standards. Learning programs must not be advertised as eligible for AIA CES credit until the learning program has been approved. Learning programs may, however, be advertised as “submitted for AIA CES approval” without any reference to the number of Learning Units (LUs) and type of AIA CES credit (HSW or Elective) to be awarded while a learning program is under review.

---

<sup>2</sup>Business days include normal working days (typically Monday through Friday) for AIA CES staff and do not include holidays or other times AIA offices are not open for normal business.

***SI-03. Learning program approval term and expiration***

Any learning program approved for AIA Learning Units (LUs) may award LUs for the approved program for up to three (3) years from the date of approval so long as the AIA CES Provider is in good standing and the learning program materials are still accurate and germane. Learning programs must be resubmitted for review as a new course to be offered for credit after expiration and will not have expiration dates extended.

***SI-04. AIA CES Provider audits***

At their discretion, AIA CES staff may initiate an audit of any AIA CES Provider for adherence to these Standards and other AIA CES program requirements. Outcomes of an audit may include suspension of an individual learning program or collection of programs, suspension or barring of an instructor/facilitator from leading learning programs, and/or suspension or revocation of AIA CES Provider status. At their discretion, AIA CES staff may initiate an audit of any AIA CES Provider for adherence to these Standards and other AIA CES program requirements. Outcomes of an audit may include suspension of an individual learning program or collection of programs, suspension or barring of an instructor/facilitator from leading learning programs, and/or suspension or revocation of AIA CES Provider status. Suspension of a learning program, instructor/facilitator, or AIA CES Provider shall include remediation steps for restoration to good standing.

Suspended courses may not be offered or advertised for AIA CES credit while in suspended status. Suspended instructors/facilitators may not teach or facilitate any course for which they have been suspended. Suspended providers may not teach, advertise, or offer any courses for AIA CES credit while in suspended status.

Revocation of AIA CES Provider status forfeits all fees paid and bars an organization from being an AIA CES Provider for a period of not less than two (2) years. AIA CES audit findings and determinations may be appealed to the AIA Continuing Education Committee (CE Committee) for further review. The AIA CE Committee's decisions are final.

**Standard 2. Eligibility to award AIA CES credit**

AIA continuing education credit may only be awarded by authorized AIA CES Providers in good standing or through self-reported learning programs subject to AIA CES review and approval.

***S2-01. AIA CES provider subscriptions***

Approved providers must have an active AIA CES Provider subscription. Subscriptions must be renewed annually and typically expire on December 31. Providers will be granted a 15-day grace period after their subscription expires to report member attendance earned prior to the subscription expiration. Providers must have the appropriate subscription for their organization and learning program delivery type. Subscriptions are non-transferable.

***S2-02. Learning program registration***

All learning programs carrying AIA CES Learning Units (LUs) must be registered with and approved by AIA CES prior to being delivered for AIA CES credit (except pilot tests [Standard 19-01] which will be awarded LUs post-approval). For live courses and Nano learning delivered live, each delivery session should be registered with AIA CES prior to learning program session delivery.

## Standards for AIA Continuing Education Program development

### **Standard 3. Learning objectives and outcomes**

AIA CES learning programs must be based on relevant, well-formed learning objectives and outcomes that clearly articulate the professional competence that should be achieved by learners.

#### ***S3-01. Program knowledge level***

Learning programs for the benefit of architects and design professionals must specify knowledge level, content, and learning objectives so that potential participants can determine if the learning outcomes are appropriate to their professional development needs. Knowledge levels consist of introductory, intermediate, advanced, and update.

#### ***S3-02. Well-formed learning objectives and outcomes***

Learning objectives and outcomes must be developed consistent with sound learning theory and must accurately reflect the outcomes of the learning program. Effective learning objectives use action verbs to describe what learners should be able to do by the end of the program. Learning objectives typically have three parts:

- Behavior: What participants will be able to do upon successful completion of the learning program
- Condition: The condition under which the participant will be able to perform the behavior
- Criteria: The evaluation metric that will determine how well the behavior is performed under the correct conditions

All learning program must have at least four (4) learning objectives (except Nano learning programs which must have at least one [1] learning objective).

### **Standard 4. Prerequisites, prior knowledge, and advanced preparation**

AIA CES Providers must develop and execute learning programs in a manner consistent with the prerequisite education, experience, and advance preparation of learners.

#### ***S4-01. Prerequisite education and experience***

AIA CES Providers should make every attempt to equate learning program content and level with the backgrounds of intended participants. All learning programs identified as intermediate, advanced, or update must clearly identify prerequisite education, experience, and/or advance preparation in precise language so that learners can determine if they qualify for the program. While learning programs with a knowledge level of “introductory” typically do not have any prerequisite education, experience, or advance preparation requirements, when such requirements exist they should be clearly stated; otherwise, state “none” in program announcements, marketing, and/or descriptive materials.

### **Standard 5. Learning program currency and accuracy**

Programs, activities, materials, and delivery systems must be current, factual, technically accurate, and effectively designed.

**S5-01. Publication, revision, and review dates**

Learning program documentation must contain the most recent publication, revision, or review date. Programs must be revised as soon as feasible following changes to relative codes, laws, rulings, decisions, interpretations, etc. Learning programs must be reviewed at least every three (3) years. Learning program documentation must include a record of reviews and any subsequent changes.

**S5-02. Learning program revision and retirement**

If a learning program needs to be revised significantly, the existing learning program must be retired with a replacement learning program submitted for AIA CES review and approval. What constitutes “significant” will be at the discretion of the AIA CES Provider. As a guide, if more than 10–20 percent of the learning program content is revised, a new learning program should be considered.

**S5-03. Developed by a subject-matter expert**

Learning programs must be developed by individuals or teams having demonstrated and verifiable expertise in the subject matter. Expertise may be demonstrated through practical experience and/or education. When appropriate, an architect should be consulted in the development of AIA CES learning programs.

**S5-04. Developed according to sound adult learning theory**

Learning programs must be developed according to accepted and sound adult learning theory. AIA CES Providers are encouraged to stay current on emerging trends and best practices in adult education and, to the extent possible, develop learning programs with these principles and practices in mind. AIA CES can provide references and resources on best practices and emerging trends, but providers are also expected to maintain their own resources and tools.

**S5-05. Materials support instruction**

Materials used in or offered as supplements to learning programs must support the program’s instruction and desired learning outcomes. These materials may include (but are not limited to):

- Slide decks
- Handouts
- Publications
- Models
- Videos
- Simulations
- Online resources

When other materials are incorporated into the learning program, they must contribute directly to the program. The use of publications and reference materials in learning programs as supplements to the instructional materials is encouraged. While reference materials may be included in program materials, they should not be used in calculating learning program credit.

Materials must not include:

- Marketing or other promotional materials
- Materials that endorse specific products, brands, organizations, or individuals
- Materials that disparage specific products, brands, organizations, or individuals
- Materials that are misleading, false, or factually inaccurate

Hands-on demonstrations or illustrations may use a vendor's products or tools, but the intent of the demonstration, illustration, or exercise must support the program learning objectives and desired outcomes. Extreme care should be used to avoid demonstrations, illustrations, or exercises that appear to be more marketing and branding than education. When in doubt, AIA CES Providers may consult AIA CES staff for guidance. The use of materials (such as, but not limited to, videos, documents, software, or publications) owned by parties other than the AIA CES Provider may be done so only with the content owner's express permission. Learning programs should be focused on learning and professional development.

For courses dependent on specific software applications or tools, learners must be provided with a properly licensed working copy of any software or tools required for the learning program for the duration of the activity at no additional cost.

## **Standard 6. Learning program review**

AIA CES Providers must ensure that learning programs are reviewed by qualified persons other than those who developed the programs to assure that the learning program is technically accurate, current, and addresses the stated learning objectives. Reviews must occur before the first presentation of these materials and again after each significant revision of the learning program.

### ***S6-01. Licensed architect participation***

AIA CES Providers should consult with at least one licensed architect (in good standing and holding an active license or the equivalent of an "active" license in a US jurisdiction) in the development or review of every program submitted for Health, Safety, and Welfare (HSW) credit and are encouraged to consult a licensed architect in Elective learning program development or review.

### ***S6-02. Course reviewer qualifications***

Individuals or teams qualified in the subject matter must review programs. When it is impractical for an AIA CES Provider to review certain programs in advance (such as lectures given only once), greater reliance should be placed on the recognized professional competence of the instructors or presenters. Review by a qualified subject-matter expert is still encouraged prior to submitting a learning program for AIA CES review.

### ***S6-03. Review responsibilities for purchased content***

AIA CES Providers may purchase course content or course development services from other entities and developers. The organization that submits the course for AIA review and approval, issues the certificate of completion under its name to the participants, and/or submits attendance records to the AIA is responsible for compliance with the Standards and other AIA CES requirements. The AIA CES Provider must independently review the content to ensure compliance with the Standards. The AIA CES Provider must maintain appropriate documentation regarding the credentials and experience of both the course author/developer(s) and reviewer(s) as prescribed in Standards 5-03, 6-01, and 6-02.

**S6-04. Learning programs hosted by AIA CES Platform Providers**

AIA CES Platform Providers may host approved content developed and maintained by other AIA CES Providers. For hosted content, the entity providing subject-matter expertise and content must be a current AIA CES Provider. The content provider (not the content host) is responsible for submitting the course for review by AIA CES and will be the provider of record for the content of the course. The AIA CES Platform Provider is responsible for hosting the course, reporting attendance and successful completion of the course, and issuing course certificates (as requested). If the Platform Provider is also providing course content or other development services to the content provider, Standard S6-03 applies to the content developed by the Platform Provider.

**Standard 7. Learning programs must employ sound instructional methods**

Learning programs must employ instructional methods that clearly define learning objectives and outcomes, guide the learner through a program of learning, and include elements of engagement within the program at regular intervals.

**S7-01. Content**

Learning program content must be unbiased, evidence-based, and focused on developing knowledge. Learning programs are not sales or marketing events and must not promote or market products or services. Learning programs should contain only material relevant to the program learning objectives and desired outcomes during the instructional portion of the program (see Standard S5-05). When learning programs are offered in conjunction with other activities, the beginning and end of the instructional portion of the program must be clearly identified. At no time may marketing or other promotional materials be incorporated into the instructional portion of any program.

**S7-02. Expiration date**

Learning program documentation must include an expiration date (the time by which the participant must complete the learning program, including any summative assessment). Learning programs must be completed before that learning program's AIA CES approval has expired.

**Standard 8. Live learning programs**

Live in-person and online learning programs are determined by how the learner participates, not the technology used. When learners are present in groups, the program is considered a live in-person program regardless of the technology used to deliver the course. In-person examples include (but are not limited to):

- Classroom setting with an instructor or facilitator present (traditional face-to-face sessions)
- Participation in a group setting calling in to a teleconference (for example, a group gathered together in a conference room or classroom to participate in a program via phone or video)
- Participation in a group setting watching a rebroadcast of a program with a real-time subject-matter expert facilitator present (for example, a group gathered together in a conference room or classroom to view a pre-recorded session and participate in a facilitated discussion during or after the pre-recorded content)

When learners participate individually with little or no interaction with other learners in the program, the program is considered a live online program. Live online program examples include (but are not limited to):

- Teleconferences in which learners each call in individually (most learners use their own phones, and there is little direct interaction between learners)
- Webinars in which learners are not in a group setting and log in to the event individually (most learners log in to the webinar from their own computer, and there is little direct interaction between participants)

### ***S8-01. Real-time instructor during program presentation***

Live activities must have a real-time instructor while the program is being presented. Learners must be able to interact with the instructor while the program is in progress (including the opportunity to ask questions and receive answers during the presentation). If a live program is recorded for future presentation, it will be considered as a separate on-demand e-learning program when presented without an instructor or facilitator present.

### ***S8-02. Required elements of engagement***

Live learning programs must include at least one element of engagement related to program content for each Learning Unit (LU) to be awarded. Examples of engagement include (but are not limited to):

- Group discussion (including question and answer session)
- Polling questions
- Instructor-posed questions with time for learner reflection and response
- Use of a case study with different engagement elements throughout the program

### ***S8-03. No real-time instructor during recorded program presentation***

A live program that is recorded for future presentation that does not include a real-time subject-matter facilitator is no longer a live program and will be classified as an on-demand e-learning program submitted for review as a new learning program. LUs for a recorded program not facilitated by a real-time subject-matter facilitator will be equal to the LUs awarded to the original presentation (when presented without editing or additional content added), or it may be determined by either of the two on-demand credit determination methodologies described in Standard 19.

## **Standard 9. On-demand e-learning programs**

On-demand e-learning programs must use instructional methods that clearly define learning objectives, guide the participant through a program of learning, and provide evidence of a learner's satisfactory completion of the program.

### ***S9-01. Learner guidance***

On-demand e-learning programs must provide a navigable structure and must test for understanding of the material with appropriate feedback provided.

**S9-02. Review questions and other content reinforcement tools**

Review questions must be placed at the end of each logical unit throughout the program in sufficient intervals to allow the learner the opportunity to evaluate material that needs to be restudied. Review questions are to help learners determine their understanding of content presented and any need for additional review. Review questions are not summative assessments to determine whether a learner has successfully completed a learning activity. Learners should be able to repeat activity units as needed for additional reinforcement and review.

**S9-03. Evaluative and reinforcement feedback on review questions**

Evaluative feedback for each incorrect review question response must explain specifically why each response is wrong, and reinforcement feedback must be provided for correct responses. Simulations and other innovative tools that guide learners through structured decisions may provide feedback at irregular intervals or at the end of the learning experience. “True or false” questions, or review questions that do not meet the evaluative and reinforcement feedback requirements, are discouraged as review questions. There is no minimum passing rate required for review questions.

**S9-04. Summative assessment requirement**

On-demand e-learning programs must require learners to successfully complete a summative assessment (separate from review questions) during or after the program with a cumulative minimum passing grade of at least 70 percent before issuing LUs for successful completion the program. The summative assessment grade may be reported with the attendance record.

**S9-05. Based on materials developed for instructional use**

Instructional materials for on-demand e-learning include teaching materials that are written for instructional purposes. These materials must demonstrate the expertise of the author(s). At a minimum, instructional materials should include the following items:

- An overview of topics
- Review questions with feedback
- Summative assessment

**Standard 10. On-demand print/other learning activities**

On-demand print/other programs must use instructional methods that clearly define learning objectives, guide the participant through a program of learning, and provide evidence of a learner’s satisfactory completion of the program.

**S10-01. Learner guidance**

On-demand print/other learning programs must elicit learner responses to test for understanding of the material. Print/other materials must be well-structured with a logical method of progression through the materials.

**S10-02. Summative assessment requirement**

On-demand print/other programs must require learners to successfully complete a summative assessment during or after the program with a cumulative minimum passing grade of at least 70 percent before issuing LU credit for successful completion of the program. The summative assessment grade may be reported with the attendance record.

***S10-03. Based on materials developed for instructional use***

On-demand print/other programs must be based on materials specifically developed for instructional use and not solely third-party materials. On-demand programs requiring the reading of only general professional literature, laws or statutes, building codes, or reference manuals followed by a test are not acceptable. However, the use of these publications and reference materials in learning programs as supplements to the instructional materials could qualify if the remainder of the program complies with applicable standards.

**Standard II. Nano learning programs**

Nano learning programs are designed to permit a participant to learn a given subject in 15–45 minutes. Nano learning programs differ from traditional live and online programs in that they are typically more narrowly focused on topic. Nano learning programs must use instructional methods that clearly define learning objectives, guide the learner through a program of learning, and provide evidence of a learner's satisfactory completion of the program. Nano learning programs may be delivered live in-person, live online, or as on-demand e-learning. Note that Nano learning programs carry less than one (1) LU each. Some jurisdictions may not accept Nano learning programs for compliance with mandatory continuing education requirements for license/registration renewal.

***SII-01. Learner guidance***

Nano learning programs must use instructional methods that clearly define a minimum of one (1) learning objective, guide the participant through a program of learning, and provide evidence of a learner's satisfactory completion of the program.

***SII-02. Summative assessment requirement***

On-demand Nano learning programs must require learners to successfully complete a summative assessment with a passing grade of 100 percent before issuing LUs for successful completion of the course. At least three (3) questions must be included on the summative assessment. Nano learning programs delivered live in-person or live online do not require a summative assessment.

***SII-03. Based on materials developed for instructional use***

Nano learning programs must be based on materials specifically developed for instructional use and not on third-party materials. Nano learning programs requiring only the reading of general professional literature, laws or statutes, building codes, or reference manuals followed by a test are not acceptable.

Acceptable instructional materials for a Nano learning activity include intentional, engaged learning activities developed for focused content delivery. Nano learning programs may incorporate techniques such as visuals, slide reinforcements, role play, demonstrations, or use of a whiteboard. The intent of a Nano learning program is to transfer knowledge that is interactive—seeking to teach by example—to supply information to understand a specific concept, complete a certain task or computation, or to problem-solve or make decisions through role play or demonstration. At a minimum, Nano learning programs must include the following items:

- The learning objective of the program
- Any instructions that learners need to navigate through the program
- A summative assessment (for on-demand programs)

**Standard 12. Blended learning programs**

Blended learning programs combine different teaching modalities and delivery methods in one learning program. They are hybrid courses. Blended learning programs must use instructional methods that clearly define learning objectives and guide the participant through a program of learning. Pre-program, post-program, and homework assignments should enhance the learning program experience and must relate to the defined learning objectives of the program.

***S12-01. Learner guidance***

The blended learning program includes any combination of the following:

- Different learning or instructional methods (for example, lectures, discussion, guided practice, reading, games, case studies, and simulation)
- Different delivery methods (in-person, online, e-learning, Nano learning, or self-study)
- Different scheduling (live or on-demand)
- Different levels of guidance (for example, individual, instructor- or subject-matter expert-led, or group and social learning)

AIA CES Providers must provide clear instructions and information to learners that summarize the different activities that comprise the program and what must be completed or achieved during each activity to successfully complete the learning program as a whole. AIA CES Providers must document the process and components of the course progression and completion of activities by the learners.

***S12-02. Determining primary classification***

If the primary components of the blended learning program are live in-person or online activities, then the learning program should be classified as a live course. LUs for pre-program, post-program, and homework assignments cannot constitute more than 25 percent of the total LUs available for the blended learning program. Blended learning programs with live in-person or online components as the primary delivery modality are not required to have a summative assessment.

If the primary components of the blended learning program are on-demand learning activities, then the blended learning program should be classified as an on-demand e-learning program and must incorporate a summative assessment in which learners demonstrate achievement of the learning objectives of the program as a whole (not just individual activities within the program).

For example, if a blended learning program includes four hours of in-person classroom education supplemented by two hours of on-demand e-learning, the primary classification would be “live in-person.” If the blended learning program is primarily on-demand modules with an in-person capstone, the program would be classified as “on-demand e-learning.” Each component of a blended learning program must meet the Standards for that type of activity regardless of the primary classification of the overall program. For example, if the blended learning program includes live classroom instruction as well as computer-based modules, the live classroom components must conform to the standards for live in-person programs while the computer-based modules must conform to the standards for on-demand e-learning.

### **Standard 13. Summative assessments**

All on-demand learning programs (including blending learning programs categorized as on-demand) require a summative assessment. Live (and blended-learning activities categorized as live) may incorporate summative assessments at the discretion of the provider.

#### ***S13-01. Summative assessment requirements***

On-demand programs must require learners to successfully complete a summative assessment during or after the program with a cumulative minimum passing grade of at least 70 percent (100 percent for Nano learning programs) before issuing LUs for successful completion of the course. Assessments may contain questions of varying format (for example, multiple choice, essay, and simulations). Summative assessment questions should focus on measuring the outcomes as outlined in the course learning objectives. “True or false” questions are not allowed in the summative assessment.

For the first full Learning Unit (LU) of a program (not including any LU credit based on the number of summative assessment questions), a minimum of 10 assessment questions and scored responses are required. After the first LU and the minimum of 10 questions and scored responses, additional summative assessment questions and scored responses are required based on the additional LUs of the instructional program (not including LUs awarded based on question count) as follows:

<b>Additional credit:</b>	<b>Additional questions/ scored</b>
0.25	1
0.5	2
0.75	3
Next full credit	4

Three (3) assessment questions and scored responses are required for on-demand Nano learning programs.

Assessment items must be written to test the achievement of the stated learning objectives of the learning program.

#### ***S13-02. Summative assessment feedback***

Providing feedback on the summative assessment is at the discretion of the AIA CES Provider but is encouraged.

If the AIA CES Provider chooses to provide feedback, feedback must comply with the feedback for review questions, as described in S9-03, or take the form of identifying correct and incorrect answers.

#### ***S13-03. Summative assessment retakes***

Learners who fail to meet the minimum passing grade for a summative assessment must be provided the opportunity to retake the assessment. Learners must be permitted to retake assessments for at least 30 days after a failed attempt or until the learning program approval expiration (whichever is earlier).

## Standards for Continuing Education Program presentation

### Standard 14. Marketing and other descriptive materials

AIA CES Providers must provide marketing and descriptive materials that enable learners to assess the appropriateness of learning programs, identify the program as an approved AIA CES program, and state the number and type of Learning Units (LUs) to be awarded.

#### ***S14-01. Disclose significant features of program in advance***

AIA CES Providers must disclose the significant features of the program in advance. When AIA CES programs are offered in conjunction with non-educational activities, or when several AIA CES programs are offered concurrently, learners must receive an appropriate schedule of events indicating those components that are approved for AIA CES credit. The AIA CES Provider registration and attendance policies and procedures must be formalized, published, and made available to learners and include refund and cancellation policies as well as complaint resolution policies.

For AIA CES Providers whose programs are developed for sale or for external audiences or both (that is, not internal training), AIA CES Providers must make the following information available in advance:

- Learning objectives
- Instructional delivery method(s)
- Approved LUs and type (LUI Elective or LUI HSW)
- AIA CES program approval expiration date
- Prerequisites (if none, state “none”)
- Program level
- Advance learner preparation
- Program description
- Course registration and, where applicable, attendance requirements
- Refund policy for learning programs sold for a fee
- Cancellation policy
- Complaint resolution policy
- Official AIA CES Provider statement (explaining final authority of acceptance of LU credits)

For AIA CES Providers whose programs are purchased or developed for internal training only, AIA CES Providers must make the following information available in advance:

- Learning objectives
- Instructional delivery methods
- Approved LUs and type (LUI Elective or LUI HSW)
- AIA CES program approval expiration date
- Prerequisites (if none, state “none”)
- Advance learner preparation
- Program level
- Program description
- Official AIA CES Provider statement (explaining final authority of acceptance of LU credits)

**AIA CES Provider statement**

[AIA CES Provider name] is a registered provider of AIA-approved continuing education under Provider Number [assigned AIA CES Provider number]. All registered AIA CES Providers must comply with the AIA Standards for Continuing Education Programs. Any questions or concerns about this provider or this learning program may be sent to AIA CES (cessupport@aia.org or (800) AIA 3837, Option 3).

This learning program is registered with AIA CES for continuing professional education. As such, it does not include content that may be deemed or construed to be an approval or endorsement by the AIA of any material of construction or any method or manner of handling, using, distributing, or dealing in any material or product.

AIA continuing education credit has been reviewed and approved by AIA CES. Learners must complete the entire learning program to receive continuing education credit. AIA continuing education Learning Units earned upon completion of this course will be reported to AIA CES for AIA members. Certificates of Completion for both AIA members and non-AIA members are available upon request.

***S14-02. Disclose preparation and prerequisites***

AIA CES Providers must distribute program materials in a timely manner and encourage learners to complete any advance preparation requirements. All programs must clearly identify prerequisite education, experience, and advance preparation requirements (if any) in the descriptive materials. Prerequisites, if any, must be written in precise language so that potential participants can readily ascertain whether they qualify for the program.

***S14-03. Stating AIA credit and approval***

All AIA CES-approved courses must display the AIA CES logo, AIA CES Provider number, Learning Units and type to be awarded, and contact information for the AIA CES Provider offering the program.

AIA CES Providers may advertise AIA CE credit only after a learning program has been reviewed and approved. Marketing and other materials may state “submitted for AIA CES approval” or similar language but may not indicate the number and type of credit for which the program is being reviewed. For example, a course submitted for approval may be advertised as “Submitted for AIA CES credit” but cannot be advertised as “Submitted for 1.5 LU/HSW AIA CES credit.” Approved learning programs should be listed as “AIA CES approved,” and AIA CES Providers may advertise themselves as “AIA CES registered.” Learning activities and AIA CES Providers may not be advertised as “AIA endorsed”, “AIA accredited”, or “AIA certified”, and may not use the AIA logo or language that implies implicit or explicit endorsement of the AIA CES Provider or its product or services by AIA. Additionally, AIA CES Providers are not AIA members and should not market themselves as such. AIA members are individuals not organizations.

**Standard 15. Qualified instructors/facilitators**

AIA CES Providers must ensure that instructors/facilitators are qualified with respect to both program content and instructional methods used.

***S15-01. Qualifications***

Instructors and facilitators are essential parts of the learning process for any live in-person or online program or blended learning program. AIA CES Providers must select qualified instructors for all live or blended learning programs. Qualified instructors are capable (through training, education, or experience) of communicating effectively and providing an environment conducive to learning. They must be:

- Competent and current in the subject matter
- Skilled in the use of the appropriate instructional methods and technology
- Prepared in advance
- Able to facilitate engaging learning programs

AIA CES Providers must have a signed AIA CES Speaker Agreement or an equivalent consent form on file for each instructor/facilitator used for any AIA CES learning program. AIA CES Providers must be able to provide a current roster of instructors as well as individual instructor qualifications to AIA CES upon request.

***S15-02. Consistency of instruction***

When several instructors/facilitators teach or facilitate different sessions of the same learning program for an AIA CES Provider, delivery must be uniform and consistent among all instructors/facilitators of the program. Instructors/facilitators are to deliver the learning program as approved without significant modification, endorsement, bias, marketing, or sales orientation.

***S15-03. Instructor/facilitator evaluation***

AIA CES Providers must evaluate instructor performance through program evaluation after each program delivery to determine instructors' suitability to serve in the future. AIA CES Providers must maintain records of these evaluations and make them available to AIA CES upon request.

**Standard 16. Learning program evaluation**

AIA CES Providers must employ an effective means for evaluating learning program quality with respect to content and presentation as well as provide a mechanism for learners to assess whether learning objectives and outcomes were met.

***S16-01. Required elements***

The objectives of evaluation are to assess learner satisfaction with specific programs and to increase subsequent program effectiveness. Evaluations, whether written or electronic, must be solicited from participants for each program session to determine whether:

- Stated learning objectives and outcomes were met
- Stated prerequisite requirements were appropriate and sufficient
- Program materials (including the summative assessment, if any) were relevant and contributed to the achievement of the learning objective
- Time allotted to the learning program was appropriate
- Individual instructors were effective (Note: This topic does not need to be included in evaluations for on-demand online, print/other, and on-demand Nano learning programs where no live instructor/facilitator is present.)

***S16-02. Evaluation results***

AIA CES Providers must periodically review evaluation results to assess program effectiveness and should inform developers and instructors of evaluation results. Where evaluations indicate a problem with the learning program or instructors/facilitators, AIA CES Providers must take adequate action to correct problems before future sessions of the learning program are delivered. AIA CES Providers must maintain a record of evaluations until the course expiration and make evaluations available to AIA CES upon request.

**Standard 17. Appropriate instructional methods**

AIA CES Providers must ensure that in-class and online instructional methods employed are appropriate for the learning programs.

***S17-01. Assess instructional method in context of program presentation***

AIA CES Providers must assess the instructional methods employed for the learning programs to determine if the delivery is appropriate and effective. Instructional methods should reflect best practices in adult learning theory.

***S17-02. Facilities and technology appropriateness***

Learning programs must be presented in a manner consistent with the descriptive and technical materials provided. Integral aspects in the learning environment that should be carefully monitored include:

- Number of learners (for live in-person and online programs)
- Facilities employed in the delivery of learning programs
- Technologies used to support learning programs
- Availability of online services required for learning programs

## Standards for Continuing Education Program measurement

### Standard 18. Determining Learning Units (LUs) for programs

AIA CES Provider learning programs are measured by actual program length, with one Learning Unit (LU) equivalent to one contact hour. A contact hour must be at least 50 minutes. AIA CES credit should be referred to as Learning Units (LUs) and written as either LU|HSW or LU|Elective depending on the credit designation. Do not use “CEU,” “PDH,” or other designations to describe AIA CES credits. When learning programs are eligible for other types of continuing education credit (i.e., GBCI, RIBA, CSI), list those units and designations separately.

#### ***S18-01. Calculating LUs for live programs***

AIA CES Providers may submit for LU approval under the following scenarios:

- In-person, online, e-learning, print/other, and blended learning activities: A minimum of one (1) full LU must be awarded initially, but after the first LU has been earned LUs may be awarded in 0.25 LU increments (1.0, x.25, x.5, and x.75)
- Nano learning: LUs must be awarded only as 0.25 LU or 0.5 LU

AIA CES Providers may round down LUs awarded to the nearest quarter or whole LU at their discretion and as appropriate for the instructional delivery method; however, the architect claiming continuing education credits should refer to respective state board requirements regarding acceptability of partial LUs. For programs longer than one hour, calculate the number of whole units based on full hours, then add additional fractional LUs for any remaining instructional time added as follows:

<b>Additional minutes</b>	<b>Additional Learning Units</b>
1-14	0
15-29	0.25
30-44	0.5
45-50	0.75
51-59	1.0

Only instructional content portions of programs (including pre-program, post-program, and homework assignments for blended learning programs) qualify toward eligible LU amounts. Time for activities outside of actual learning content (for example, excessive welcome and introductions, housekeeping instructions, breaks, post-program evaluation) must not be included when calculating LUs.

For example, a program scheduled from 9 a.m. to 5 p.m. with one hour for lunch, two 15-minute breaks, and 15 minutes for post-program evaluation would qualify for 6.25 LUs (8 hours – 1-hour lunch – 0.5 hours for breaks – 0.25 hours for evaluation = 6.25 instructional hours).

***S18-02. Learning programs with individual segments***

For learning programs with individual segments, the sum of the segments is considered one total program. For example, five 30-minute presentations would equal five 0.5 LU segments and would be counted as 2.5 LUs. Calculate the LUs for individual segments first, then add the segment values together to determine the overall LUs. Individual segments of programs must be topically related and not combined simply to make shorter programs qualify for AIA CE credit. For shorter unrelated segments, consider Nano learning. Combined segments must comply with Standards S18-06 and S25-04.

***S18-03. Monitoring attendance***

AIA CES Providers must maintain a process to monitor individual attendance to report to AIA CES (for example, sign-in sheets, check-in software, or badge scanning). A learner's self-certification of attendance is not sufficient. Learners must attend the entire session to be awarded credit for completing the program.

***S18-04. Small-group viewing of live online programs***

When small groups view a live online program such that one person logs into the program and asks questions on behalf of the group, documentation of attendance is required to award LUs to other individuals in the group of participants. Participation in the group must be documented and verified by the small-group facilitator or administrator to authenticate attendance for program duration.

***S18-05. College or university courses***

For college or university credit courses that meet these Standards, each unit of college credit shall equal the following LUs:

- Semester system: 15 LUs
- Quarter system: 10 LUs

For college or university non-credit courses, LUs must be based on actual program time as defined in Standard S18-01.

**Standard 19. Determining Learning Units (LUs) for on-demand programs**

Learning Units (LUs) for on-demand learning activities must be based on educationally sound and defensible methods:

- Method 1: Pilot test of the representative completion time (Standard S19-02)
- Method 2: Computation using the prescribed word count formula (Standard S19-03)

If a pre-program assessment is used, the pre-program assessment is not included in the LU computation.

***S19-01. Method 1—Sample group of pilot testers***

A sample of intended professional participants must be selected to test program materials in an environment and manner like that in which the program is to be presented. Each pilot tester completes the learning program under normal conditions while being timed.

The sample group must have at least three qualified individuals who are independent of the program development group:

- For learning programs whose target audience is primarily architects, the sample group must be licensed architects and possess the appropriate level of knowledge before taking the program.
- For learning programs whose target audience includes architects and non-architects, the sample group must be representative of the target audience and contain both architects and other representatives of the target audience who possess the appropriate level of knowledge before taking the program.

#### ***S19-01a. Method 1–Representative completion time***

The individual completion times for each pilot participant are averaged to determine the LUs awarded. The sample does not have to ensure statistical validity. However, if the results of pilot testing are inconsistent, then the sample must be expanded. If the inconsistent results are outliers, the inconsistent results must be eliminated. At least three valid results must be included in the calculation. LUs must be recommended based on the representative completion time for the sample. Completion time includes the time spent taking the final examination but does not include the time spent completing the program evaluation or pre-program assessment. Pilot testers must not be informed about the length of time the program is expected to take to complete. If substantive changes are subsequently made to program materials, further pilot tests of the revised program materials must be conducted to affirm or amend, as appropriate, the representative completion time.

#### ***S19-01b. Method 1–Requirement for re-pilot testing***

After a program has been approved, AIA CES Providers may continue to track learner completion times. If actual learner completion times warrant a change in LUs awarded, re-pilot testing is required to substantiate a change in LUs awarded. For programs where retesting indicates that additional LUs should be awarded, adjustments will be made retroactively for all prior participants who successfully completed the program. For programs where retesting indicates fewer LUs should be awarded, the original program will be retired, with the original number of LUs awarded per learner and a new program registered with the adjusted LUs.

#### ***S19-02. Method 2–Prescribed word count formula***

The prescribed word count formula begins with a word count of the number of words contained in the text of the required reading of the on-demand program and should exclude any material not critical to the achievement of the stated learning objectives for the program. Examples of information material that is not critical and, therefore, excluded from the word count include:

- Course introduction
- Instructions to the learner
- Author/course developer biographies
- Table of contents
- Glossary
- Pre-program assessment
- Appendices containing supplementary reference materials that are not directly referenced or used in the program materials

Again, only program content text that is critical to the achievement of stated learning objectives should be included in the word count formula. If an author/course developer determines, for example, that including the entire building code or other regulation is beneficial to the learner, the code or regulation should be included as an appendix to the program as supplemental reference material and excluded from the word count formula. Only pertinent paragraphs or sections of the code or regulation required for the achievement of stated learning objectives should be included in the actual text of the learning program and, therefore, be included in the word count formula.

Review questions, exercises, and summative assessment questions are considered separately in the calculation and should not be included in the word count.

### ***S19-02a. Method 2–Calculation of LUs***

The word count for the text of the required reading of the program is divided by 180, the average reading speed of adults in words per minute. The total number of review questions, exercises, and summative assessment questions is multiplied by 1.85, which is the estimated average completion time per question in minutes. These two numbers plus actual audio/video duration time (not narration of the text), if any, are then added together and the result divided by 50 to calculate the LUs to be awarded. When the total minutes of a program are not equally divisible by 50, the LUs granted must be rounded down to the nearest quarter or whole Learning Unit using the guidelines in Standard S18-01.

Formula:

$$[(\# \text{ of words}/180) + \text{actual audio/video duration time} + (\# \text{ of questions} \times 1.85)] / 50 = \text{LUs awarded}$$

Example:

Article with 5,710 words and a 10-question summative assessment.

$$5,710/180 + (10 \times 1.85) = 50.2$$

$$50.2/50 = 1.0 \text{ LUs}$$

### ***S19-02b. Method 2–Audio and video segments***

If audio and video segments of a program constitute additional learning for the participant (that is, not narration of the text already included in the word count), then the actual audio/video duration time may be added to the time calculation as provided in the prescribed word count formula. If the entire self-study program constitutes a video, then the prescribed word count formula in Standard S19-03a would consist of the actual video time plus the total number of review questions, exercises, and summative assessment questions multiplied by 1.85, divided by 50 (that is, there would be no word count for text used in the formula).

Formula:

$$[\text{actual audio/video duration time} + (\# \text{ of questions} \times 1.85)] / 50 = \text{LUs awarded}$$

Example:

53-minute video with 10 summative assessment questions

$$53 + 18.5 = 71.5$$

$$71.5/50 = 1.43$$

1.43 rounds down to 1.25 LUs.

***S19-03. Testing for purchased courses***

AIA CES Providers may purchase courses from other vendors or course developers. For purchased courses in which pilot tests (Method 1) were conducted and provided, AIA CES Providers must review results of the course developer's pilot test results to ensure that the results are appropriate.

For purchased programs in which the word count formula was calculated (Method 2), AIA CES Providers must review the results of the program developer's word count formula calculation to ensure that results are appropriate.

For purchased courses in which no pilot tests or word count formulas were conducted or provided, AIA CES Providers must conduct pilot testing or perform the word count formula.

**Standard 20. Nano learning program Learning Units (LUs)**

LUs for Nano learning programs must be based on duration of the program plus the summative assessment (if any), which, when combined, should be a minimum of 15 minutes and no more than 45 minutes. Nano learning may award only 0.25 LUs or 0.5 LUs. Programs 15–29 minutes will be awarded 0.25 LUs. Programs more than 30 minutes but less than 45 minutes will be awarded 0.5 LUs.

**Standard 21. Blended learning program credits**

LUs for blended learning programs must equal the sum of the LU determinations for the various completed activities of the program. LUs may be determined by actual duration time (for example, audio/video duration time or learning content delivery time in a synchronous program), by a pilot test of the representative completion time (Standard S19-01), or word count formula (Standard S19-02). The LUs for each component piece of a blended program are calculated, then the sum of the component parts is the total LUs awarded for the program. AIA CES Providers must maintain a record of the method used to calculate the LUs awarded for blended learning programs.

**Standard 22. Instructor, facilitator, and technical reviewer Learning Units (LUs)**

Instructors and discussion leaders of learning programs may receive LUs for their preparation, review, and presentation time to the extent the activities maintain or improve their professional competence and meet the requirements of these Standards. Technical reviewers of learning activities may receive LUs for actual review time up to the actual number of LUs for the program.

***S22-01. Instructor LU parameters***

Instructors, discussion leaders, or speakers who present a learning activity for the first time may receive LUs for actual preparation time up to two (2) times the number of LUs to which learners would be entitled, in addition to the time for presentation. For example, for learning programs in which learners could receive 1 LU, instructors may receive up to 3 LUs (2 for preparation plus 1 for presentation). For repeat presentations, LUs can be claimed only if it can be demonstrated that the learning program content was substantially changed to require significant additional study or research.

Instructors/facilitators can report these credits through self-report and must note the program and session taught as part of their submission. LUs awarded for instruction will be of the same type (HSW or Elective) as the approved program.

**S22-02. Technical reviewer LU parameters**

Technical reviewers who review a learning program for the first time (Standard 6) may receive LUs for actual review time up to the actual number of LUs awarded for the program once approved. Technical reviewers can report these credits through self-report and must note the program reviewed as part of their submission. LUs awarded for instruction will be of the same type (HSW or Elective) as the approved program.

**Standard 23. Health, Safety, and Welfare (HSW) designation**

Learning programs directly covering Health, Safety, and Welfare topics will receive LU/HSW credit. For a learning activity to qualify as HSW, it must meet the following criteria:

1. Content must directly support the HSW definition
2. Content must include one or more of the AIA CES acceptable HSW topics
3. At least 75 percent of the content must be on HSW topics

**S23-01. HSW definition**

Licensed architects and affiliated design professionals have, in their professional practice, a positive duty to protect the public's health, safety, and welfare. Learning programs must address knowledge intended to protect the health, safety, and welfare of the occupants of the built environment, as defined below:

- **Health** Those aspects of professional practice that improve the physical, emotional, and social well-being of occupants, users, and any others affected by buildings and sites.
- **Safety** Those aspects of professional practice that protect occupants, users, and any others affected by buildings or sites from harm.
- **Welfare** Those aspects of professional practice that enable equitable access, elevate the human experience, encourage social interaction, and benefit the environment

**S23-02. Acceptable HSW topics**

Technical and professional subjects related to the practice of architecture that safeguard the public and that are within the following continuing education subject areas necessary for the proper evaluation, design, construction, and utilization of buildings and the built environment are considered Health, Safety, and Welfare (HSW) subjects.

Learning programs must address one or more of the following HSW topics to be approved for LU/HSW credit:

- **Practice management** This category focuses on areas related to the management of architectural practice and the details of running a business.
- **Project management** This category focuses on areas related to the management of architectural projects through execution.
- **Programming and analysis** This category focuses on areas related to the evaluation of project requirements, constraints, and opportunities.
- **Project planning and design** This category focuses on areas related to the preliminary design of sites and buildings.
- **Project development and documentation** This category focuses on areas related to the integration and documentation of building systems, material selection, and material assemblies into a project.
- **Construction and evaluation** This category focuses on areas related to construction contract administration and post-occupancy evaluation of projects.

**S23-03. Majority of content must be HSW**

To qualify for HSW credit, 75 percent of a learning program content and instructional time must be on acceptable HSW topics as outlined above. Using whichever method was used to determine overall program LUs awarded, at least 75 percent of the program content must address HSW topics for a learning program to qualify for HSW credit. In addition, when submitting a learning program for approval, at least 75 percent of the learning objectives must relate to HSW topics to qualify for HSW designation.

For blended learning programs, the 75 percent requirement applies to the program as a whole.

**Standard 24. Elective designation**

Learning program topics related to the practice of architecture but not within the realm of health, safety, and welfare will receive LU|Elective credit.

Learning programs that address professional practice and other aspects of professional development within the field and practice of architecture are still valuable for continuing professional development and education. These programs will be awarded LU|Elective credits.

To determine which programs qualify for Elective designation, the following questions should have an affirmative response:

- Is the learning activity directly applicable to the field or practice of architecture?
- Is the activity intended to be educational.

## Standards for AIA CES Program reporting

### **Standard 25. Attendance and completion reporting**

AIA CES Providers must report participant attendance and successful learning program completion to AIA CES within 10 business days of learning program completion. Failure to report attendance consistently in a timely manner may trigger an audit.

#### ***S25-01. Documentation of learning program completion***

Upon participant request, AIA CES Providers must provide program participants with documentation (electronic or paper certificate of completion) of their participation. Documentation must include the following elements:

- AIA CES Provider name, contact information (including mailing address), and provider number
- Participant's name
- Learning program title
- Registered course and session numbers
- Date completed
- Location (if applicable)
- Type of instructional and delivery method used
- Summative assessment score (if applicable)
- Number and type (HSW or Elective) of LUs awarded

Requested documentation should be provided as soon as possible and should not exceed 20 business days from the date of request.

#### ***S25-02. Awarding LUs and acceptable documentation***

The AIA CES Provider is the individual or organization responsible for issuing the certificate of completion and maintaining the documentation required by these Standards. The entity whose name appears on the certificate of completion is responsible for validating and reporting Learning Units claimed by a participant. For learning programs hosted by an AIA CES Platform Provider, the program attendance and certificate must clearly state the AIA CES Provider responsible for program content as well as the AIA CES Platform Provider host. AIA CES Providers must provide participants with documentation (electronic or paper) to support their claims of LUs awarded. Acceptable evidence of completion includes the following:

- Submission of AIA member attendance and successful course completion to AIA CES
- A certificate or other verification supplied by the AIA CES Provider (see Standard 25-01)

#### ***S25-03. Documentation for simultaneous delivery***

When an AIA CES Provider is delivering a live in-person and online program simultaneously (i.e., an in-person class is live-streamed to online learners), the AIA CES Provider, at its discretion, may issue the certificate of completion to all program participants by awarding LUs under the instructional delivery method attended by most of the participants. The delivery and attendance monitoring requirements of the respective instructional delivery methods still apply.

**Standard 26. Record retention**

AIA CES Providers must retain adequate documentation (electronic or paper) for a minimum of six (6) years to support their compliance with these Standards and the reports that may be required by or for participants. The retention requirement applies even if an AIA CES Provider allows its provider subscription to lapse or is no longer an AIA CES Provider for any reason. Digital copies or scans of hard-copy materials are acceptable for records retention.

***S26-01. Required documentation elements***

Evidence of compliance with responsibilities set forth under these Standards that is to be retained by AIA CES Providers includes the following:

- Records of participation
- Dates and location
- Author/instructor, author/developer, and reviewer, as applicable, names and credentials.
- Number and type of LUs earned by learners
- Results of program evaluations
- Program descriptive materials (course announcement information)

Information to be retained by AIA CES Providers also includes copies of program materials (digital or paper), evidence that the program materials were developed and reviewed by qualified parties, and a record of how LUs were determined.

AIA CES may request any or all this information at any time. AIA CES Providers must be able to provide requested information and documentation within 15 business days of any valid AIA CES request.

***S26-02. Documentation for on-demand learning programs***

For AIA CES Providers using Method 1 (pilot tests) as the basis for LUs, appropriate pilot test records must be retained regarding the following:

- When the pilot test was conducted
- Intended learner population
- How the sample of pilot testers was selected
- Names, credentials, and relevant experience of sample pilot test participants
- For architect pilot testers, the state of licensure, license number, and status of license
- Summary of pilot test participants' actual completion time
- Statement from each pilot tester confirming that the pilot tester was independent

from the course development group and that the pilot tester was not informed in advance of the expected completion time.

For AIA CES Providers using Method 2 (word count formula) as the basis for LUs, the word count formula calculation as well as the supporting documentation for the data used in the word count formula (for example, word count; number of review questions, exercises, and final examination questions; duration of audio or video segments, or both, if applicable; and actual calculation) must be retained.

***S26-03. Documentation for live programs***

In addition to the requirements in Standard S26-01, AIA CES Providers must retain program material such as the program outline, agenda, speaker notes, and other documentation that evidences the element of engagement related to course content during each LU planned for synchronous programs.

***S26-04. Documentation for blended learning programs***

In addition to the requirements in Standard S26-01, AIA CES Providers must retain clear instructions and information that summarizes the different components of the blended learning program and what must be completed or achieved during each activity to qualify for LUs. The AIA CES Provider must also retain documentation of the program progression and what LUs were earned by learners upon the completion of the components.



1735 New York Avenue, NW  
Washington, DC 20006  
aia.org

©2018 American Institute of Architects

**State of Wisconsin  
Department of Safety & Professional Services**

**AGENDA REQUEST FORM**

<b>1) Name and Title of Person Submitting the Request:</b> Kate Stolarzyk, Bureau Assistant		<b>2) Date When Request Submitted:</b> 12/3/2018 <small>Items will be considered late if submitted after 12:00 p.m. on the deadline date which is 8 business days before the meeting</small>	
<b>3) Name of Board, Committee, Council, Sections:</b> Architect Section			
<b>4) Meeting Date:</b> 4/24/2019	<b>5) Attachments:</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<b>6) How should the item be titled on the agenda page?</b> <b>A. Speaking Engagement(s), Travel, or Public Relation Request(s)</b> 1. Travel Report from the National Council of Architectural Registration Boards (NCARB) Leadership Summit on October 12-13, 2018 in St. Louis, Missouri	
<b>7) Place Item in:</b> <input checked="" type="checkbox"/> Open Session <input type="checkbox"/> Closed Session	<b>8) Is an appearance before the Board being scheduled?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<b>9) Name of Case Advisor(s), if required:</b> None	
<b>10) Describe the issue and action that should be addressed:</b> Please review the attachment submitted by Steven Wagner relating to NCARB's Strategic Plan.			
<b>11) Authorization</b>			
<i>Kate Stolarzyk</i>		12/3/2018	
Signature of person making this request		Date	
Supervisor (if required)		Date	
Executive Director signature (indicates approval to add post agenda deadline item to agenda)		Date	
<b>Directions for including supporting documents:</b> 1. This form should be attached to any documents submitted to the agenda. 2. Post Agenda Deadline items must be authorized by a Supervisor and the Policy Development Executive Director. 3. If necessary, provide original documents needing Board Chairperson signature to the Bureau Assistant prior to the start of a meeting.			

MISSION

NCARB facilitates the licensure and credentialing of Architects to protect the health safety and welfare of the public in collaboration with licensing Boards.

STRATEGIC GOALS

**FACILITATE LICENSURE**  
 NCARB programs and services enable the pursuit, achievement and ongoing maintenance and mobility of architectural licensure.

**FOSTER COLLABORATION**  
 NCARB's proactive engagement with licensing boards and industry organizations advances the understanding and effectiveness of architectural regulation.

**MAXIMIZE VALUE**  
 NCARB's programs and services further the success of our licensing boards and customers.

**ENHANCE**  
 Continuous quality improvements that drive the success of core operations, programs and services.

Program and Service Excellence

Awareness in the Architecture Community

Member Board Tools And Resources

**GROW**  
 Targeted opportunities, typically prioritized from ongoing areas of focus, designed to expand reach and impact.

Industry Partner Outreach and Influence

Advocacy Support

**TRANSFORM**  
 Meaningful investments in new areas that will yield significant return on investment or mission and position the organization for future success.

Future-Focused Research and Development

**State of Wisconsin  
Department of Safety & Professional Services**

**AGENDA REQUEST FORM**

<b>1) Name and Title of Person Submitting the Request:</b> Division of Policy Development Staff		<b>2) Date When Request Submitted:</b> 1/8/2019 <small>Items will be considered late if submitted after 12:00 p.m. on the deadline date which is 8 business days before the meeting</small>	
<b>3) Name of Board, Committee, Council, Sections:</b> All Boards, Committees, Councils and Sections			
<b>4) Meeting Date:</b> 1 <sup>st</sup> Available Date	<b>5) Attachments:</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<b>6) How should the item be titled on the agenda page?</b> Board Review of the Wisconsin Occupational Licensing Study Legislative Report	
<b>7) Place Item in:</b> <input checked="" type="checkbox"/> Open Session <input type="checkbox"/> Closed Session	<b>8) Is an appearance before the Board being scheduled?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<b>9) Name of Case Advisor(s), if required:</b> N/A	
<b>10) Describe the issue and action that should be addressed:</b> Board discussion.			
<b>11) Authorization</b>			
Signature of person making this request		Date	
Supervisor (if required)		Date	
Executive Director signature (indicates approval to add post agenda deadline item to agenda)			
Date			
<b>Directions for including supporting documents:</b> 1. This form should be attached to any documents submitted to the agenda. 2. Post Agenda Deadline items must be authorized by a Supervisor and the Policy Development Executive Director. 3. If necessary, provide original documents needing Board Chairperson signature to the Bureau Assistant prior to the start of a meeting.			



---

# **Wisconsin Occupational Licensing Study**

## **Legislative Report**

---

**Submitted by:**  
**Department of Safety and Professional Services**

**December 2018**

This page intentionally left blank.

## Table of Contents

<b>I. Executive Summary</b> .....	5
<b>II. Introduction</b> .....	7
A. Requirements of 2017 Wisconsin Act 59.....	7
B. About the Report.....	8
C. About the Statewide Occupational Licensing Study .....	10
D. About Occupational Licensing in Wisconsin.....	11
E. Wisconsin Selected for National Occupational Licensing Consortium .....	12
<b>III. National Outlook on Occupational Licensing</b> .....	15
A. The Rise of Occupational Licensure Laws.....	15
B. Alternatives to Occupational Licensing .....	16
C. Economic Impacts of Occupational Licensing.....	19
D. Protection of Public Health, Safety, and Welfare .....	20
E. Evaluation of Barriers to Licensure.....	21
<b>IV. Occupational Licensing Study and Survey Results</b> .....	23
A. How Wisconsin Compares to Other States .....	23
B. State Agency Survey.....	24
C. Credential Holder and Stakeholder Survey.....	26
D. The Cost and Burdens of Occupational Licensure.....	33
<b>V. Occupational Licensing Reforms</b> .....	35
A. Recent Reforms in Wisconsin .....	35
B. Recommendations for Reform of Current Regulated Occupations.....	38
C. Considerations for Future Occupational Licensing Reform .....	39
D. Strategies for Occupational Licensing Reform.....	41
<b>VI. Conclusion</b> .....	42
<b>VII. Appendices</b> .....	43
Appendix A - Wisconsin Regulated Occupations .....	43
Appendix B - State Comparison List of Regulated Occupations .....	48
Appendix C - List of Occupations Recommended for Reform .....	50
Appendix D – State Agency Occupational Licensure Survey .....	55
Appendix E – Stakeholder Occupational Licensure Survey .....	56
<b>VIII. Resources</b> .....	57
<b>IX. References</b> .....	58

This page intentionally left blank.



December 28, 2018

The Honorable Scott Walker  
Wisconsin Governor  
115 East Capitol  
PO Box 7863  
Madison, WI 53707

Jeff Renk, Senate Chief Clerk  
Wisconsin State Legislature  
State Capitol, Room B20 Southeast  
PO Box 7882  
Madison, WI 53707

Patrick E. Fuller, Assembly Chief Clerk  
Wisconsin State Legislature  
17 West Main Street, Room 401  
PO Box 8952  
Madison, WI 53708

Dear Governor Walker and Chief Clerks Renk and Fuller:

The Wisconsin Department of Safety and Professional Services (DSPS) is charged with overseeing and regulating over 240 different types of credentials and the examining boards, affiliated boards, and councils that are required by Wisconsin State Statutes.

I have had the pleasure of leading this great agency since February 2017, and I am pleased to provide to Governor Scott Walker and the Wisconsin State Legislature a comprehensive report of our analysis of the occupational licenses regulated in Wisconsin.

DSPS was charged in 2017 Wis. Act 59 to complete a comprehensive review of Wisconsin's credentials and provide recommendations based on a variety of criteria by December 31, 2018.

I would like to thank the staff at the DSPS who have contributed countless hours to researching and extrapolating data related to not only Wisconsin's credentials, but those occupations licensed in other states. I would also like to thank the staff and leadership of those Wisconsin state agencies who contributed to the report research and data related to the occupations they credential.

Thank you,

Laura E. Gutiérrez  
Secretary  
Wisconsin Department of Safety and Professional Services

This page intentionally left blank.

## II. Introduction

### A. Requirements of 2017 Wisconsin Act 59

Wisconsin's 2017–19 biennial state budget, 2017 Wisconsin Act 59, required the Department of Safety and Professional Services (DPS) to study occupational licenses and submit a report of findings to the Governor and Legislature by December 31, 2018.

The Act defines occupational license as:

(a) A license, permit, certification, registration, or other approval granted under section 167.10 (6m) or chapters 101, 145, or 440 to 480 of the statutes. (These statutes relate to building safety, plumbing, fire protection, fireworks, and professional occupations under DPS, including the occupations regulated by the boards attached to DPS.); or

(b) A license, permit, certification, registration, or other approval not included under par. (a) if granted to a person by the state in order that the person may engage in a profession, occupation, or trade in Wisconsin, or in order that the person may use one or more titles in association with his or her profession, occupation, or trade.

Pursuant to section 9139 (17w) of 2017 Wisconsin Act 59, the report is to include recommendations for the elimination of occupational licenses based on the following:

- 1) An evaluation of whether the unregulated practice of the profession, occupation, or trade can clearly harm or endanger the health, safety, or welfare of the public, and whether the potential for the harm is recognizable and not remote or speculative;
- 2) An evaluation of whether the public reasonably benefits from the occupational license requirement;
- 3) An evaluation of whether the public can be effectively protected by any means other than requiring an occupational license;
- 4) An analysis of whether licensure requirements for the regulated profession, occupation, or trade exist in other states;
- 5) An estimate of the number of individuals or entities that are affected by the occupational license requirement;
- 6) An estimate of the total financial burden imposed on individuals or entities as a result of the occupational licensure requirement, including education or training costs, examination fees, private credential fees, occupational license fees imposed by the state, and other costs individuals or entities incur in order to obtain the required occupational license;
- 7) Any statement or analysis provided by the agency or board administering the occupational license; and
- 8) An evaluation of the tangible or intangible barriers people may face in obtaining an occupational license.

## B. About the Report

This report consists of findings and recommendations from a statewide occupational licensure study that was conducted by DSPS. The purpose of the study was to offer recommendations to the legislature based on the requirements of 2017 Wisconsin Act 59. This report includes data and information from DSPS and other state agencies and boards with responsibility for regulating occupational licenses issued by the State of Wisconsin.

Pursuant to 2017 Wisconsin Act 59, DSPS was directed to provide recommendations for the elimination of occupational licenses based on established criteria set forth in the legislation. This report includes recommendations for the elimination and reform of 28 occupational licenses. It is recognized that any change to state law would be accomplished through the legislative process, which would include an opportunity for stakeholders and the public to provide input and comments at public hearings.

Wisconsin issues four different types of credentials, which are: *licenses, certificates, registrations, and permits*. All types collectively are commonly referred to as *credentials*. For the purposes of this report, the various types are generically referred to as a *license*, unless otherwise specified.

In addition, inaccuracy and misinterpretation are often found in the use of the terms *license, certification, registration, and permit*. Unfortunately, these terms are sometimes used interchangeably, resulting in confusion. Often what appear to be occupational licenses are actually business licenses. Occupational licenses are issued to individuals giving them the right to practice, whereas business licenses are issued to companies.<sup>7</sup>

This report only focuses on individual occupational licenses that fall under the definition of *occupational license* pursuant to 2017 Wisconsin Act 59. This report does not include entity, facility or business-related licenses, or other non-occupational type permits issued by the state of Wisconsin. While there are several state agencies that issue permits and other types of entity or business type licenses, only the agencies and the occupational licenses they administer are included in this report. Additionally, this report does not include licenses, certifications, permits, or registrations issued by local municipalities, counties, professional or trade organizations, or by the federal government.

The data presented in this report represents best efforts in the collection of data and information. Not all state regulatory agencies provided DSPS with comparative data for all 50 states as requested. Therefore, only the data that was made available is included in this report. Where available, comparable data was searched in all 50 states, including Washington, D.C., which is counted as a state for the purposes of this report. Due to a lack of available data, the report may exclude Washington, D.C. for some occupations.

In order to fill gaps with the lack of available data, data collectors researched information from news articles, trade and professional organizations, state and national research organizations, and other reputable sources. Data collectors found that occupational licensing information was difficult to come by for many states and a searchable database in a single location was an even rarer find. While there are some state and national databases that are comprehensive, there were several

searches that yielded limited or no useful information or resulted in outdated or unreliable data. Additionally, there appeared to be conflicts between many of the national databases relating to state comparative data, either due to the everchanging reforms or the ongoing licensing of new occupations. Therefore, confirming the validity or relying on data from these other out-of-state sources proved to be challenging.

Some states allow public access to a comprehensive occupational licensing directory that includes information such as job descriptions, licensing requirements, appropriate regulatory agency and contact information, wage data, number of active licensees, and authorizing statutes. However, this information was a rarity rather than the norm. In most states, occupational licensing information was contained over different web pages in different locations without links to connect these resources resulting in challenges to find similar occupational titles. Even in cases where the titles were similar in nature, the requirements varied vastly.

Some states defined occupational categories more broadly than others. For example, while one state may require licenses for *contractors* (of all kinds), others may require licenses for several specializations of contractors. Wisconsin issues licenses for seven classes of blasters, which determines which duties may be conducted, while several states issue only one blaster category or may have an “umbrella” licensure type. Therefore, this report may contain limited comparative data for some occupations. In other cases, similar occupation types were combined to form more general occupational licensing categories.

The occupational licensing data contained in this report is quantitative, not qualitative. The criteria used by data collectors was to determine whether or not a state requires a license for a comparable occupation. Although an attempt was made to compare other licensing requirements (fees, initial and continuing educational requirements, reciprocity, etc.) from one state to another, the information was not always available for all licensure types and thus is not included in this report.

Additionally, this report may also reflect an underrepresentation (undercount) of a license’s regulation in another state due to the difference in the state’s definition of the occupation. This study analyzed licensing requirements at the state level only. There are numerous other requirements at the local and federal levels in most states, which may also attribute to the inconsistencies between various databases and to the number of licensed occupations that may appear to be undercounted.

Lastly, governments across the country are continuously licensing more and new occupations. While it is rare that states abolish licensing requirements, there are several states that are currently undergoing occupational licensing reform. Because of this, state comparative data contained in this report may not reflect the current licensure status in that state.

### C. About the Statewide Occupational Licensing Study

To meet the requirements of 2017 Wisconsin Act 59, DSPS conducted a statewide study to determine which occupational licenses are needed to protect the public and explore areas where less restrictive alternatives may be appropriate. To assist with the collection of data, a 30-question survey was disseminated in early 2018 to all 35 state agencies, as shown in Table 1. Each agency was tasked with consulting their legal counsel to determine if their agency regulates licenses that fall under the *occupational license* definition pursuant to 2017 Wisconsin Act 59.

Of the 35 state agencies, responses revealed that 13 agencies regulate at least one license type. Of the 13 regulatory agencies, 11 agencies submitted data requested in the survey. Following an analysis of the submitted data, some license types were eliminated if it was determined that the license or permit was a business or firm and not related to an occupational license held by an individual. Therefore, this report contains an evaluation of the information supplied by 10 state regulatory agencies.

State agencies with regulatory responsibilities were asked to gather information relating to complaints and disciplinary data, educational requirements, fees, and other related costs, how the general public benefits from the regulation of that occupation, identify barriers or burdens associated with each of the regulated occupations, and research existing regulatory requirements in other states.

Lastly, agencies were asked to provide a summarizing statement to attest that the current level of governance was appropriate for each license type, if the license should be eliminated, or if a less restrictive or alternative reform should be considered while still ensuring public safety and consumer protection. Agency recommendations are included in this report.

**Table 1: List of Wisconsin agencies surveyed for occupational licensing study.**

State Agency	Regulates Occupational Licenses?
Administration, Department of	No
Agriculture, Trade and Consumer Protection, Dept. of	Yes
Children and Families, Department of	Yes
Corrections, Department of	No
Director of State Courts, Office of	Yes*
Educational Communications Board	No
Elections Commission	No
Employee Trust Funds, Department of	No
Ethics Commission	Yes
Financial Institutions, Department of	Yes
Health Services, Department of	Yes
Higher Educational Aids Board	No
Historical Society	No
Insurance, Office of the Commissioner	Yes
Investment Board, State of Wisconsin	No
Judicial Commission	No
Justice, Department of	No
Natural Resources, Department of	Yes
Public Instruction, Department of	Yes*
Public Lands, Board of Commissioners of	No
Public Service Commission	No
Railroads, Office of the Commissioner of	No
Revenue, Department of	Yes
Safety and Professional Services, Department of	Yes
Secretary of State, Office of the	No
State Public Defender	No
Tourism, Department of	No
Transportation, Department of	Yes
University of Wisconsin System	No
Veterans Affairs, Department of	No
Wisconsin Economic Development Corporation	No
Wisconsin Health and Educational Facilities Authority	No
Wis. Housing and Economic Development Authority	No
Wisconsin Technical College System	No
Workforce Development, Department of	Yes
<b>35 Agencies</b>	<b>13 Regulatory Agencies</b>

\* No information received.

In late 2018, a second survey was conducted to gather input from credential holders, members of the public, and stakeholders. This survey was posted on the DSPS website and disseminated to individual credential holders, stakeholders, and provided to the regulatory agencies who submitted data. This survey aimed to solicit feedback about the usefulness credential holders'

*primary* occupational license serves for: 1) getting a job; 2) keeping a job; 3) keeping employees marketable to employers or clients; 4) improving work skills; and 5) increasing wages or salary. Survey questions also asked credential holders to estimate the costs they incurred, hours of instruction required, and hardships or barriers they faced to obtain and retain their *primary* occupational license.

The survey asked credential holders, stakeholders, and non-credential holders (public) to rate the importance occupational licenses serve to protect public citizens from harm or danger. Individuals were also given the opportunity to provide specific instances where occupational licensing regulations may have impacted the cost of consumer goods or services. If individuals currently hold a similar license in another state, they were also asked to compare that state’s requirements, costs, and hardships with Wisconsin’s. Lastly, individuals were provided with an opportunity to share any additional comments. The survey results are included later in this report.

#### D. About Occupational Licensing in Wisconsin

Wisconsin’s regulation of occupations affects many professions. Wisconsin issues over one million occupational licenses for 280 different credential types. While DSPS issues 75 percent of the occupational licenses in Wisconsin, there are over a dozen other state agencies, along with attached boards, that also have occupational oversight responsibilities, as shown in Figure 1. Affiliated boards may also have regulatory, credentialing, and examining responsibilities. However, for the purposes of this report, the state agency that administers the occupational license is listed as the regulatory agency.

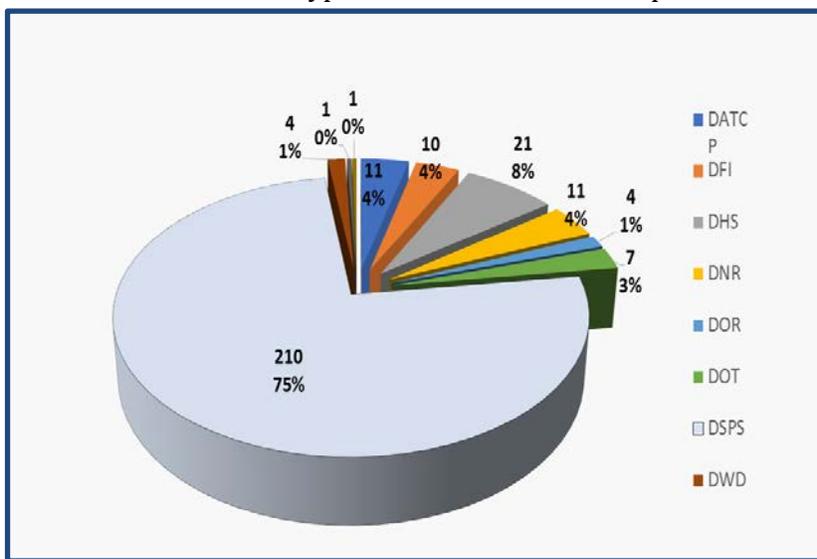


Figure 1: Wisconsin regulated occupational license types issued per state agency.

Occupational licensing in Wisconsin falls into three categories:

- 1) Occupations regulated by independent examining boards attached to a state agency or by affiliated credentialing boards attached to those boards;
- 2) Occupations regulated by semi-autonomous boards that share authority with the state agency; and
- 3) Occupations directly regulated by the state agency.

Wisconsin agencies and attached boards are responsible for ensuring the safe and competent practice of regulated health, social services, business, industry, and trades professionals. In addition to issuing licenses and providing oversight, state regulatory agencies provide administrative, legal, and enforcement services, assist in rulemaking and examinations of the credentialed professions, and

aid the boards in developing regulatory policies that protect the public. The four types of occupational credentials issued include *licenses, certificates, registrations, and permits*. These credentials are generally differentiated by qualification requirements, the use of a professional title, and the range of activities that a credential holder is allowed to perform (i.e. Scope of Practice). While there are additional state agencies that issue other types of permits, or variations of the types listed, for non-occupational or business-related entities, this report only focuses on occupational credentials issued to individuals.

*Licenses* are considered the most restrictive type of credential. Licenses encompass qualification requirements that typically include an examination, specialized education, and usually specific work experience. Cosmetologists, occupational therapists, and electricians are examples of occupations requiring formal licensure in order to practice in Wisconsin.

*Certificates* are similar to licenses. Certificates generally provide special recognition to individuals who have fulfilled certain required criteria for a profession, including successful completion of an examination. Examples of occupations requiring Wisconsin certification in order to practice are acupuncturists, substance abuse counselors, and lead sampling technicians.

*Registration* is generally the least restrictive form of credentialing. Registration simply requires an individual to file with the appropriate regulatory entity their name, address, and registration fee payment. A registration may also restrict the use of a professional title. Examples of occupations requiring Wisconsin registration are interior designers, art therapists, and pipe layers.

*Permits* are another form of credential issued by regulatory agencies. Permits can be used as a training credential or as a primary credential. Examples of occupations requiring a permit are private security persons, limited x-ray machine operators, and juvenile martial arts instructors.

While the distinctions among credentials help in understanding the general level of regulation of occupations, it is the statutes and administrative rule that outline specific requirements for each occupation's credential. Because individuals in certain occupations are required to *register*, this does not necessarily mean that the group is statutorily less restricted than another occupation where individuals must be *certified*. Common usage of credential terms may be misleading without reviewing the relevant statutes. For example, a "*certified* public accountant" and a "*registered* nurse" practicing in Wisconsin are both required to obtain a *license*. To determine what each license issuance entails, it is important to consult the statutes and administrative codes.<sup>5</sup>

## E. Wisconsin Selected for National Occupational Licensing Consortium

Wisconsin was one of 11 initial states chosen to participate in the National Occupational Licensing Learning Consortium, which is a multi-year program that explores ways to further reduce unnecessary barriers to the labor market. Other states selected include: Arkansas, Colorado, Connecticut, Delaware, Illinois, Indiana, Kentucky, Maryland, Nevada, and Utah.

The consortium is supported by the National Conference of State Legislatures (NCSL), the National Governors Association Center for Best Practices (NGA), and the Council of State

Governments (CSG), as well as support from the U.S. Department of Labor (USDOL). These organizations assist participating states in improving their understanding of occupational licensure issues and best practices by providing an opportunity for state teams to engage with experts in the areas of occupational regulation, workforce development and populations with challenges, and developing a road map focused on reducing unnecessary barriers to the labor market.<sup>8</sup>

The 11 participating states (expanded to 15 states in 2018) convened in December 2017 to begin work on their goals and to learn, network, and discuss the practices, costs, opportunities, and challenges related to occupational licensing. The consortium states were required to create a core team of officials to participate in the consortium as well select members for a home team that consisted of a broader group of stakeholders to participate in the in-state learning and planning activities. Each state was required to select specific occupations and target populations to focus on through this work, as well the aspects of licensure regulation that they wanted to address in their action plan.<sup>8</sup>

The selection of these occupations focused on two primary criteria – occupations that are licensed in at least 30 states and occupations that require less than a bachelor’s degree, as well as two additional measures—projected employment growth rate for 2014-2024 at national average or higher and total current employment levels of 10,000 or greater. Through this process, the consortium identified 34 occupations, as shown in Table 2.

**Table 2: List of occupations selected by the National Consortium.**

TARGET OCCUPATIONS	
Barbers	Pharmacy Technicians
Bus Driver (City/Transit)	Physical Therapy Assistants
Bus Drivers, School or Special Client	Pipefitters and Steamfitters
Construction Managers	Plumbers
Construction and Building Inspectors	Preschool Teachers, Except Special Education
Dental Hygienists	Private Detectives and Investigators
Electricians	Radiologic Technologists
Emergency Medical Technicians and Paramedics	Real Estate Appraisers
Hairdressers, Hairstylists and Cosmetologists	Real Estate Sales Agents
Heating, Air Conditioning, and Refrigeration Mechanics and Installers	Respiratory Therapists
Heavy and Tractor-Trailer Truck Drivers	Security and Fire Alarm Systems Installers
Insurance Sales Agents	Security Guards
Licensed Practical and Licensed Vocational Nurses	Skin care Specialists
Manicurists and Pedicurists	Teacher Assistants
Massage Therapists	Veterinary Technologists and Technicians
Nursing Assistants	Vocational Education Teachers, Postsecondary
Occupational Therapy Assistants	Water and Wastewater Treatment Plant and System Operators

States were required to focus on at least four occupations in their proposed project work, a majority of which must be included on this list. However, states were welcome to include one or more other occupations that are particularly relevant to their state’s occupational licensing landscape and unique needs.<sup>8</sup>

The vision and goals chosen by Wisconsin’s core team were based on the Wisconsin Legislature and Governor Walker’s expressed interest in occupational licensure reform through legislation and proposed budgets. These desires for reform are based on national trends and bipartisan federal recommendations to all states to review their current occupational licensing practices.

Like Wisconsin, some of the states selected to participate in the national consortium had a history of making progress on this issue. Proactively, Wisconsin’s Legislature and Governor had already been looking to alternative ways to license occupations. Wisconsin’s participation in the

national consortium provided the team members with additional opportunities to learn from other progressive states. Inclusion in the consortium, along with this study, also provided an opportunity for Wisconsin stakeholders, such as associations, license holders, other state agencies, and citizens, to provide input and feedback on this issue. The end goal of Wisconsin’s participation in the National Occupational Licensure Consortium is to continue to provide meaningful feedback, data, and facts to legislators and ensure that all partners and stakeholders are included in these statewide conversations. Wisconsin’s consortium goals are listed in Table 3.

**Table 3. Wisconsin’s goals and action plan for the National Occupational Licensure Consortium.**

GOAL	ACTION PLAN
<b>Goal 1: EXAMINE THE STATE’S CURRENT OCCUPATIONAL LICENSING LANDSCAPE</b>	Conduct study of occupational licenses and regulations in Wisconsin and other states, and report findings to state policymakers.
<b>Goal 2: IDENTIFY THE BEST OPPORTUNITIES FOR OCCUPATIONAL LICENSURE REFORM</b>	Determine the specific occupational licenses and regulations that do not align with the team’s vision statement and prioritize in the order of most likely to least likely for achieving success in reducing or eliminating that license or regulation.
<b>Goal 3: DEVELOP A COMMUNICATIONS PLAN</b>	Incorporate research conducted by policy research institutions, as well as feedback from stakeholders and the public, to grow public awareness and expand the base of understanding for stakeholders and state policymakers.
<b>Goal 4: IMPROVE THE STATE’S LICENSING PRACTICES</b>	Provide coordination among state licensing agencies to maximize existing regulatory flexibility and efficiencies, and partner with the state Legislature and stakeholders to advance legislative proposals that promote occupational licensure reform.

### III. National Outlook on Occupational Licensing

#### A. The Rise of Occupational Licensure Laws

In the 1950s, roughly five percent of occupations required a government-issued license. Since then, especially in the past 20 years, states across the nation, including Wisconsin, have witnessed a dramatic growth in occupations that have become regulated.<sup>1</sup> In the last two decades, the number of Wisconsin credential holders has increased by 34 percent, with the total number of professional credential types increasing by over 80 percent. This growth far outpaces Wisconsin's growth in population (10.6 percent) and total employment (7.4 percent).<sup>3</sup>

The national growth of occupational licensing and the barriers it presents to job seekers have attracted mounting bipartisan concern. In recent years, occupational licensing reform has gained momentum. Among policymakers and advocates at both the state and national levels, interest in licensing reform is at an all-time high. Over the past few years, licensing reform has been championed at the state governmental level and by several public policy organizations and state research institutes. While some reforms have aimed at rolling back specific licensing barriers, others have sought to improve licensing practices more generally.<sup>2</sup>

In 2015, the U.S. Treasury Department, the Council of Economic Advisors and the Labor Department under former President Barack Obama issued a report documenting problems with licensing policy and calling for widespread reform. The Bureau of Labor Statistics has been collecting data on licensed workers through its population surveys and in early 2017 the Federal Trade Commission created an Economic Liberty Task Force focused in part on occupational licensing reform.<sup>8</sup>

In July 2017, the U.S. Secretary of Labor under President Donald Trump, highlighted the issue and encouraged state legislators to undertake occupational licensing reform. The Department of Labor's Employment and Training Administration awarded the National Conference of State Legislatures, in partnership with the Council of State Governments and National Governors Association Center for Best Practices, funding on a three-year project to:

- 1) Ensure that existing and new licensing requirements are not overly broad or burdensome and don't create unnecessary barriers to labor market entry.
- 2) Improve portability for selected occupational licenses across state lines. The national partners produced research and convened state policymakers and experts in the field of occupational licensing.<sup>9</sup>

Between 2017 and 2018, several states enacted laws to reform either the state's requirements or procedures to obtain an occupational license, with Wisconsin enacting nearly 30 laws related to strengthening employment growth and occupational licensing reform. (See Section V of this report for a full list of recent occupational licensing legislation.)

While most states enacted bills reducing the requirements and regulations of licenses, some reform efforts focus on addressing concerns certain demographics face when acquiring a license.<sup>1</sup> Some states also reformed requirements for those with criminal backgrounds and some reform bills

contained clauses for military personnel, making relevant experience in the military transferable to an occupational licensing requirement and streamlined the occupational licensing requirements for military spouses who obtained a license in another state.<sup>1</sup>

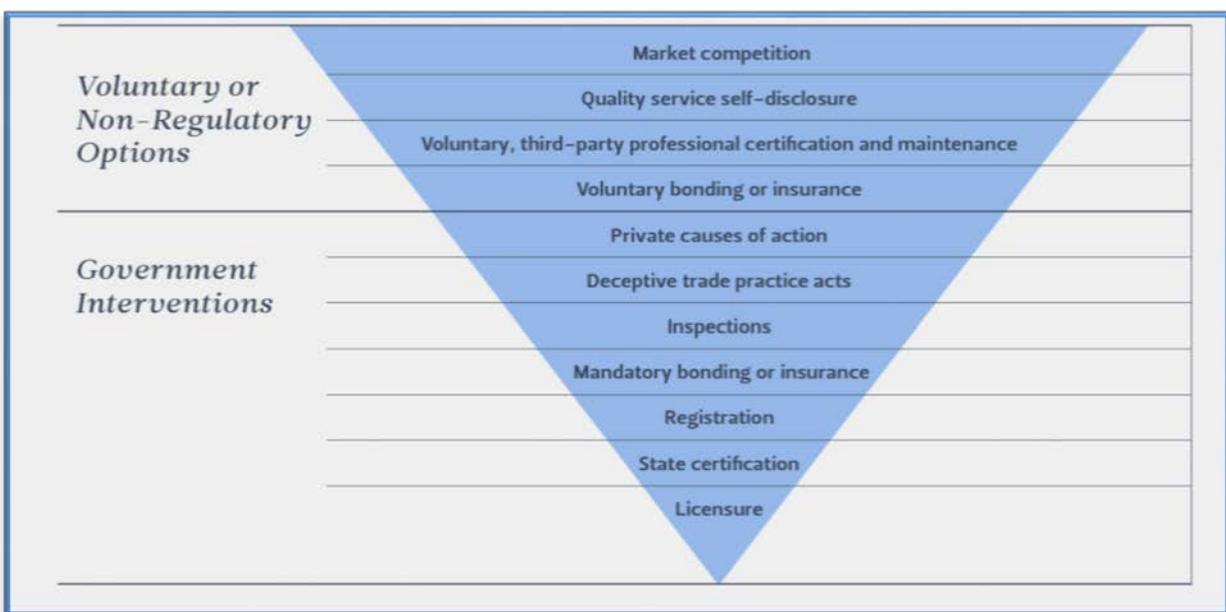
While several states have attempted to enact occupational licensure reform laws, the success rate is still considered low. One study’s research discovered only eight instances in the past 40 years of the successful *de-licensing* of an occupation at the state level. In four of these cases, attempts to relicense the occupations followed soon afterward. Most of these de-licensing proposals have not gone through a sunset review process. Instead, the proposals have been made in the context of legislative concern that excessive government regulation (of which occupational licensing is one example) may have inhibited job growth.<sup>7</sup>

Since the 1970s, approximately 36 sunset laws have passed nationally. These laws require the periodic review of certain programs and agencies (such as occupational licensing and licensing boards). The periodic reviews are commonly called performance audits or legislative audits, and they result in a recommendation to either continue or discontinue the licensing of the occupation under review.<sup>7</sup>

## B. Alternatives to Occupational Licensing

Advocates for occupational licensing reform have indicated that policymakers have several options for the regulation of occupational licensure. The regulatory options include a range from the option to license or not license, the least restrictive being *Market Competition* and the most restrictive being *Licensure*. To illustrate the alternatives, the Institute for Justice created an inverted pyramid figure that visually lists these options from least to most restrictive, as shown in Figure 2, with accompanying explanations of each option.<sup>2</sup>

***The Inverted Pyramid: A Hierarchy of Alternatives to Licensing<sup>2</sup>***



**Figure 2: The “Inverted Pyramid” is used to illustrate alternatives to licensing.**

In many cases, license alternatives can protect the public as well as or better than licensing without imposing its costs. When undergoing occupational reform, many states have adopted the concept of the inverted pyramid or have created a similar concept. The top four options, which can be considered voluntary or “non-regulatory,” are:

**1) Market competition.** Market competition takes the primary position in the inverted pyramid’s hierarchy because open markets with no or limited government intervention provide the widest range of consumer choices, allocate resources more efficiently and give businesses strong incentives to keep their reputations as providers of high-quality services. When service providers are free to compete, consumers weed out providers who fail to deliver safe and quality service. They do this by 1) denying repeat business to such service providers; and 2) telling others about their experience.<sup>2</sup>

**2) Quality service self-disclosure.** Service providers themselves can help solve the “information problem” through self-disclosure—that is, by proactively sharing information about how previous customers have rated the quality of their goods and services. Occupational practitioners can link to third-party evaluation sites from their websites to provide consumers with an important competitive “signal” that they are open to disclosure regarding their service quality. Practitioners without websites can exercise this option by providing prospective customers with lists of past customers or other references who can provide information about them. And consumers can spur disclosure by demanding such information as a condition of doing business.<sup>2</sup>

**3) Voluntary, third-party professional certification and maintenance.** Another way a service provider can help address the problem of asymmetrical information is by voluntarily pursuing and maintaining certification from a non-governmental organization. Like licensing, third-party certification sends a signal that an occupational practitioner has attained a certain degree of education or experience. But unlike licensing, it does so without creating any barriers to entry. It therefore provides the purported benefits of licensing while avoiding the pitfalls, including higher costs and fewer services for consumers. Third-party certification is used by many companies to voluntarily make certain certifications a requirement for employment.<sup>2</sup>

**4) Voluntary bonding or insurance.** Some occupations pose greater risks to consumers than others. Voluntary bonding and insurance allow practitioners of such occupations to outsource management of risks to bonding or insurance companies, which will provide a guarantee of protection against, respectively, a provider’s failure to fulfill an obligation (e.g., a moving company’s failure to deliver goods by the agreed date) or losses from theft or damage by the provider. This option is already in common use among temporary personnel agencies, janitorial companies, and companies with government contracts.<sup>2</sup>

The next six options are government interventions that, although more restrictive than the non-regulatory options above, are nevertheless less restrictive than licensure:<sup>2</sup>

**5) Private causes of action.** Private causes of action give consumers the right to bring lawsuits against service providers who have injured them. Where they do not already exist, legislators can create them. The existence of such rights may compel providers to adopt standards of quality to avoid litigation and an accompanying loss of reputation. The cost to consumers of obtaining

a remedy could be reduced by allowing them to sue in small claims court or, if suing in district court, to collect court and attorneys' fees when their claims are successful.<sup>2</sup>

**6) Deceptive trade practice acts.** All 50 states and the District of Columbia already have deceptive trade practice acts, consumer protection laws that allow attorneys general and consumers to sue service providers engaged in certain practices deemed false, misleading, or deceptive and permit enforcement agencies to prosecute them. Such deceptive trade practice acts are an important and frequently used means of protecting consumers from predatory and unscrupulous business practices.<sup>2</sup>

**7) Inspections.** Inspections are already common in some settings. For example, many municipalities use inspections to ensure restaurant hygiene, favoring them over onerous licensing of food preparers, wait staff, and dishwashers. In other settings where the state may have a legitimate interest in instrument or facility cleanliness, inspections may be sufficient and preferable to new or existing licensing. Periodic random inspections could also replace the licensing of various trades, such as electricians, carpenters, and other building contractors, where the application of skills is repeated and detectable to the experienced eye of an inspector. Where inspections are already used as a complement to licensing, states may find that inspections alone suffice.<sup>2</sup>

**8) Mandatory bonding or insurance.** For some occupations, a system of mandatory bonding or insurance can be a better alternative to full licensure. Voluntary bonding or insurance is generally preferable, but states may prefer a mandatory requirement when the risks associated with the services of certain firms extend beyond just the immediate consumer. For example, the state interest in regulating a tree trimmer is in ensuring that the service provider can pay for repairs in the event of damage to power lines or the home or other property of a party—a neighbor, for instance—not involved in the contract between the firm and the consumer. Because tree trimming presents few other threats, states can achieve this objective through bonding or insurance requirements while allowing workers to otherwise practice freely. Similarly, while many states require construction contractors to comply with expensive and burdensome licensing laws, Minnesota requires only bonding for HVAC contractors. If that occupation can be practiced freely and safely with only bonding as a requirement, the same is likely true of other trades both in Minnesota and in other states.<sup>2</sup>

**9) Registration.** Registration requires service providers to provide the government with their name, address, and a description of their services. Registration can complement private causes of action because it often requires providers to indicate where and how they take service of process in the event they are sued. However, the simple requirement to register with the state may be sufficient in and of itself to deter bad actors.<sup>2</sup>

**10) State certification.** Like voluntary, third-party certification, state certification overcomes the problem of asymmetrical information by sending a signal to potential customers and employers that an occupational practitioner meets certain standards. However, state certification differs from third-party certification in two major respects. First, the certifying body is the government rather than a private association. And second, state certification restricts the use of an occupational title—though not, as licensing does, the practice of an occupation. Under state certification, anyone can work in an occupation, but only those who meet the state's qualifications can use a designated title, such as certified interior designer or certified financial planner. Third-

party certification is generally preferable because state certification requires new or expanded government bureaucracy, which comes with costs. Further, third-party organizations are likely to be more responsive to industry and consumer trends. Nevertheless, state certification is less restrictive than occupational licensing and presents few costs in terms of increased unemployment and consumer prices.<sup>2</sup>

Finally, at the bottom of the inverted pyramid's hierarchy is licensure, the most restrictive form of occupational regulation. Only where there is proof of demonstrated, substantial harms from an occupation that cannot be mitigated by one of the less restrictive options in the above menu should policymakers consider this regulation of last resort.<sup>2</sup>

### C. Economic Impacts of Occupational Licensing

Research has found that licensing reduces access to jobs, inhibits geographic mobility, and raises the costs of services. Studies indicate that unnecessary licensing requirements reduce employment in licensed occupations and reduce wages for unlicensed workers relative to their licensed counterparts. These studies show that occupational licensing requirements present significant barriers to entering a licensed occupation and can reduce total employment in that profession.<sup>9</sup>

Occupational licensing often carries a cost in terms of opportunity. Wisconsin has several licenses that few other states regulate. For some occupations, Wisconsin's fees, and training requirements, are markedly different and more burdensome from other states. In terms of reciprocity, Wisconsin does not always accept the credentials of licensed professionals who happen to move from another state. In other words, Wisconsin's licensing requirements impose costs to the workforce—many who are of low and middle income—that do not exist in many other states.<sup>3</sup>

While the intent of occupational regulation is to protect the public from harm, some Wisconsin stakeholders agree this protection comes at a cost and burden to credential holders. One such stakeholder, who is a director of nurses, feels policymakers should remove burdensome regulations for Certified Nurse Aides (CNA). For example, Minnesota requires 70 hours of training. Her recommendation is to allow training requirements for certification to be accepted in Wisconsin if the individual trained in Minnesota. Also, current regulations do not allow CNAs under the age of 18 to operate mobility equipment (lifts and stands) alone. This stakeholder feels individuals old enough to drive a car should be able to move residents with this type of equipment. Additionally, the stakeholder wants Wisconsin to accept the testing at the conclusion of the CNA course instead of the cumbersome requirement to find a testing site to get certified, which require some students to travel up to 100+ miles and wait weeks or months to find a testing site to schedule their test in order to get certified to then be placed on the registry.

## D. Protection of Public Health, Safety, and Welfare

The intent of occupational licensure is to safeguard public health and safety and protect consumers by guaranteeing minimum educational requirements and industry oversight, support career development and pathways for licensed workers and enhanced professionalism for licensed workers, and step in when competitive market forces (e.g. litigation or reputation) fail to achieve desired outcomes.<sup>9</sup>

However, many studies have found that unnecessary licensing requirements reduce employment in licensed occupations, reduce geographic mobility, reduce wages for unlicensed workers relative to their licensed counterparts, reduce market competition and innovation, increase the price of goods and services, and disproportionately burden low-income, military veterans and their families, people with criminal history, immigrants with work authorization, and dislocated and unemployed workers.<sup>9</sup>

Researchers have found little evidence that licensure improves the quality of services or protects consumers from harm. In fact, evidence suggests that the most onerous licensure laws may lead to lower-quality services and increased public safety risks.<sup>9</sup> Licensing reduces the supply of service providers while simultaneously increasing the average operating costs for professionals. The result of limited consumer choice and increased prices could be that consumers forego necessary services because prices are too high, or no one is available for hire. This situation can pose a threat to public safety in certain occupations. For example, the inability to legally hire an electrician for repairs may lead to electrocution or fire. Similarly, licensing that limits the supply and increases the cost of veterinarians may prevent animal owners from vaccinating against contagious diseases like rabies.<sup>9</sup>

According to several studies, research revealed little tangible evidence of public benefit. In theory, licensing should improve the consumer experience and protect public health and safety by weeding out incompetent practitioners, especially in fields where consumers might be unable to tell good providers from bad ones on their own. Yet most research has failed to find a connection between licensing and service quality or safety.<sup>2</sup>

When implemented appropriately, licensing can offer important health and safety benefits and consumer protections and provide workers with clear professional development and training guidelines, as well as a career path.<sup>9,10</sup> For decades, policymakers have adopted licensure policies to achieve a variety of goals. The Federal Trade Commission's 1990 report on the costs and benefits of licensure found that well-designed occupational licensing "can protect the public's health and safety by increasing the quality of professionals' services through mandatory entry requirements—such as education—and business practice restrictions—such as advertising restrictions."<sup>9,11</sup> The report found that occupational licensing helps consumers when they cannot easily assess the professional's skills, and when the costs related to poor quality are especially high, as is the case with emergency health care providers. Economist Jason Furman testified to Congress in 2016 that the argument for licensing "is strongest when low-quality practitioners can potentially inflict serious harm, or when it is difficult for consumers to evaluate provider quality beforehand." Furman points out that the threats to consumers from incompetent commercial pilots and physicians justify a government

intervention; whereas, they face less harm and are better able to assess the quality of florists, barbers, or decorators.<sup>9,12</sup>

Today's information-sharing economy and the growth of online consumer review websites help consumers evaluate provider quality and reputation. The enhanced access to information and strong provider incentives to deliver high-quality services bolster claims by experts that alternate regulatory approaches could achieve the same goals as licensing.<sup>9</sup> Harvard and Stanford researchers found that, while licensure is not directly associated with improved quality of goods or services, there is a relationship between licensing and increased consumer confidence that can lead to increased economic activity. Additionally, the study argues that licensure can lead to consumers becoming more informed about the licensed service, which makes it more likely that they will "upgrade to higher quality services." As a result, the researchers find an indirect improvement in the average level of quality provided in a market because of licensing.<sup>9</sup>

While survey responses from state agencies unveiled very few cases in Wisconsin where the public was harmed, many agencies attested that the public does benefit from regulatory oversight and the licenses they regulate are warranted for the protection of public health, safety, and welfare. In some cases, regulatory state agencies acknowledged that certain licensed occupations were of no public benefit and felt that deregulating these would not affect consumers, and therefore, recommended to eliminate them.

## E. Evaluation of Barriers to Licensure

A report by the Institute for Justice (IJ) suggests that numerous occupations in various states are licensed unnecessarily. Among the occupations listed were: auctioneer, funeral attendant, and interior designer. Most of these occupations are licensed by only a handful of states, including Wisconsin. Proponents of occupational licensure reform make the argument that if a license were necessary to protect public health and safety, one would expect to see greater consistency in which occupations are licensed across states. For example, only seven states license tree trimmers, but it is highly unlikely that trees in those states—or the tasks required to trim them—are any more complex or dangerous than those in the other 44 that require no license.<sup>2</sup>

On average, the 102 occupations studied by the IJ are licensed by just 27 states. Only 23 of these occupations are licensed by 40 states or more. The vast majority of these occupations are practiced in at least one state without need of permission from the state and without evidence of widespread harm.<sup>2</sup> The IJ report cites that legislators rarely create licenses at the behest of consumers seeking protection from a

### **Benefits and Costs<sup>8</sup>**

#### **The intent of occupational licensure is to:**

- Safeguard public health and safety
- Protect consumers by guaranteeing minimum educational requirements and industry oversight
- Support career development and pathways for licensed workers and enhanced professionalism for licensed workers
- Step in when competitive market forces (e.g., litigation or reputation) fail to achieve desired outcomes

#### **However, unnecessary licensing requirements have been found to:**

- Reduce employment in licensed occupations
- Reduce geographic mobility
- Reduce wages for unlicensed workers relative to their licensed counterparts
- Reduce market competition and innovation
- Increase the price of goods and services
- Disproportionately burden low-income populations, military veterans and families, people with a criminal history, immigrants with work authorization, and dislocated and unemployed workers.

demonstrated threat to health and safety from an occupation. Instead, they most often create licenses in response to lobbying by those already at work in an occupation and their industry associations.<sup>1</sup>

Several studies have shown that such regulations disproportionately harm the low income and minority populations, who generally have less work experience and fewer employment opportunities than the rest of the population. These studies show that laws that make it more difficult for these populations to obtain certain jobs or start their own businesses only make it that much harder for them to work their way up the economic ladder.<sup>6</sup>

According to a report by the Reason Foundation, the low income populations, who are in most need of economic opportunity and can least afford to jump through regulatory hoops, are harmed by prohibitively costly licensing requirements.<sup>6</sup> Many occupations that would otherwise be attractive options for those looking to improve their economic position and quality of life—including entry-level positions, jobs that require little or no formal education, and businesses that require little start-up capital for entrepreneurs—are needlessly regulated and price the poor out of the market. Thus, they must settle for fewer (and less desirable) jobs and lower wages, and the poorest of the poor are prevented from getting back on their feet.<sup>6</sup>

## IV. Occupational Licensing Study and Survey Results

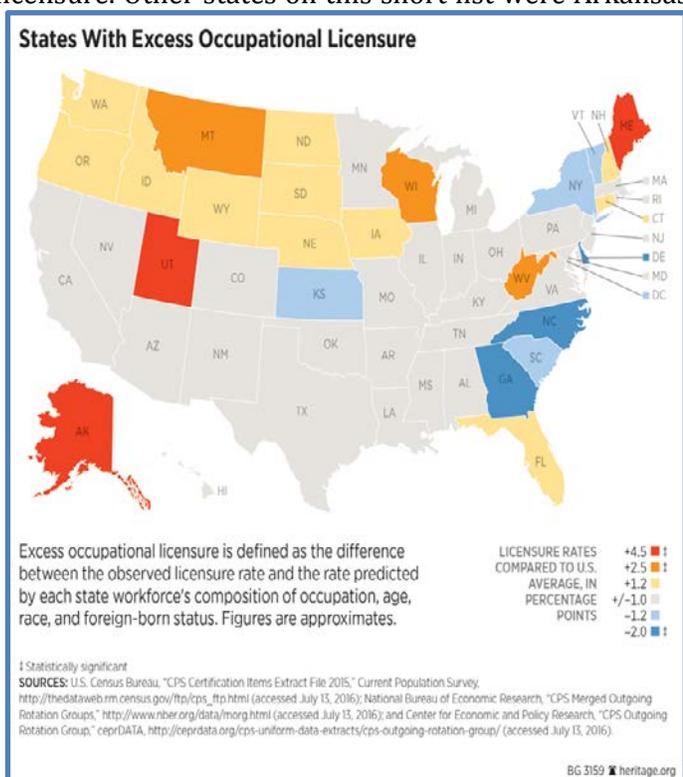
### A. How Wisconsin Compares to Other States

A 2017 study by the Institute for Justice (IJ) found that Wisconsin licenses 42 of the 102 low- and medium-wage occupations selected for the study.<sup>2</sup> The report ranked Wisconsin as the 36<sup>th</sup> *most broadly and onerously licensed* state in the nation and the 42<sup>nd</sup> *most burdensome*. According to the IJ report—*Licensed to Work, 2<sup>nd</sup> Edition*—Wisconsin’s licensing laws require, on average, \$259 in fees, 214 days of education and experience, and around one exam.<sup>2</sup> A report published by the Reason Foundation in 2007 ranked Wisconsin as the 9<sup>th</sup> highest state in the nation to license the most job categories, only behind California, Connecticut, Maine, New Hampshire, Arkansas, Michigan, Rhode Island, and New Jersey.<sup>6</sup>

Wisconsin's National Rankings		
42	42nd	36th
Number of lower-income occupations licensed	Most burdensome licensing laws	Most broadly and onerously licensed state

Source: Institute for Justice, License to Work 2nd Edition

According to 2016 data from the U.S Census Bureau, Wisconsin is among the states identified as having the most excessive occupational licensure. Other states on this short list were Arkansas, Maine, and Utah—as the top three—with Montana and West Virginia joining Wisconsin to round out the top six. The data also identifies Wisconsin as a state with a high percentage of licensed workforce. According to data from the Wisconsin Department of Workforce Development, nearly 3.1 million people are employed in Wisconsin. Although Wisconsin issues over one million occupational licenses, some credential holders are not required to hold an occupational license by their employer. Rather, they voluntarily choose to hold one or more occupational licenses for a variety of reasons. Nevertheless, license types have increased nearly 85 percent over the past 20 years. This growth outpaces the national average and outpaces Wisconsin’s growth in population.<sup>3</sup>



Wisconsin issues several occupational license types that are unique to Wisconsin or are regulated by only a handful of other states, many of which are being recommended for elimination. Nearly 60 license types that are currently licensed in Wisconsin were found to be regulated in less than 10 other states. For example, interior designers are only regulated in four other states. DSPS regulates seven classes of blasters, whereas few states regulate more than one class. No other state besides Wisconsin regulates Designer of Engineering Systems. Only one other state regulates Dance Therapists and just a few others regulate Art Therapists and Music Therapists.

Additionally, Wisconsin regulates several “sub-specialty” type occupations that were not found to be regulated in other states, if at all. For example, DSPS administers licenses for “assistants”, “helpers”, and “trainers”. These license types are most prevalent in the trades occupations (electrician, plumber, fire sprinkler, and elevator categories), and social services professions (therapists and social workers).

In addition to DSPS, other state regulatory agencies also regulate occupations that fall in the “unique to Wisconsin” category. For example, Department of Agriculture, Trade and Consumer Protection (DATCP) administers three license types that are not regulated by any other state, including cheesemakers. As *America’s Dairyland* and the *Cheese Capitol* of the world, one may think it’s only logical for Wisconsin to be the only state in the country to require its cheesemakers to be licensed in order to make cheese in a licensed facility for public sale. According to DATCP, to become a licensed cheesemaker, individuals are required to have one of five different experience options, complete 240 hours interning under a licensed cheesemaker, and pass an exam.

Wisconsin is also the only state in the nation to license buttermakers. According to DATCP, to become a licensed buttermaker, individuals are required to pass an exam plus have one of six different experience options, complete 120 hours of internship under a licensed buttermaker plus department-approved courses. With only 43 licensed buttermakers in Wisconsin, proponents of change say this places Wisconsin’s butter industry at risk.<sup>14</sup>

Additionally, DATCP administers three other licenses that few states regulate. In all states but Wisconsin, a humane officer is regulated at the county level. A veterinarian-faculty license is only licensed by four other states, and the veterinarian-temporary consulting permit is only regulated by one other state. Both latter licenses are recommended for elimination.

Under the licenses administered by the Department of Workforce Development, no other states regulate a certified private rehabilitation specialist or require a “License to Appear at a Worker’s Compensation Hearing Agent/Representative”. Only one other state regulates Registered Private Employment Agents. Consequently, all three of these occupations are also being recommended for elimination.

## B. State Agency Survey

As mentioned in the introductory section of this report, two surveys were conducted as part of the Wisconsin Occupational Licensing Study, with the first issued to state agencies. This report contains information and recommendations from 10 of the 13 state regulatory agencies.

In addition to a request to supply certain data related to each of the licenses they administer, each agency was asked to provide a summary statement to attest if the license should be retained and is appropriate to protect consumer health, safety, and welfare. Most agencies felt the licenses they currently administer were appropriate to protect consumers and that the public benefits from the regulation of the occupation.

The Department of Agriculture, Trade and Consumer Protection (DATCP) relayed that while there was no quantitative data available for buttermakers or cheesemakers, it is logical to assume that the common baseline requirements for buttermakers and cheesemaker increase knowledge of the proper procedures for making consistent, high-quality, safe butter and cheese. Over a five-year period, DATCP received no complaints against either occupation. DATCP indicated some industry advocates want the agency to retain the regulation of these occupations.

The Department of Financial Institutions (DFI) feels the regulation of their occupational licenses helps to protect the public from misappropriation, excessive fees, theft, and fraud, enables the delivery of clear and informative information, and ensures the consumer receives the services for which they paid. Like DFI, many of the occupations licensed by state regulatory agencies must also abide by federal regulations.

In the case of certified nurse aides, the Department of Health Services (DHS) stated that federal legislation (Omnibus Budget Reconciliation Act of 1987) and associated regulations (42 CFR 483.152) require that Medicare and Medicaid-certified nursing homes employ nurse aides who are trained and evaluated through training programs approved by their state. Federal regulations require that these training programs consist of at least 75 hours of training, including at least 16 hours of supervised practical or clinical training. Federal regulations also list the subject areas and skills to be taught, outline the qualifications for approved trainers, define the competency evaluation process, and require that each state establish and maintain a registry of nurse aides. Wisconsin statutes and administrative rules establish training, testing, and registry requirements. Supported by several Wisconsin organizations and associations, the minimum 75-hour nurse aide training course was increased in Wisconsin to 120 hours, including 32 hours of hands-on clinical training.

Referring to the emergency medical practitioner licenses, DHS stated that licensing and regulation helps to ensure the public can continue to trust that their emergency medical service practitioners are competent and trustworthy professionals.

This was the common theme from stakeholders and advocacy groups for the medical and health related occupations. A letter and report received by the Wisconsin Society for Respiratory Care states that their related occupational licenses benefit the health and safety of Wisconsin patients and that licensure ensures services, including life-sustaining procedures, provided to patients are performed by practitioners who meet high standards of accredited education and competency.

The Department of Natural Resources (DNR) feels the licensing and regulation of their occupations are necessary to assure these individuals and businesses have the training, resources, and experience required to properly provide services as defined by state regulations. For example, water testing by itself cannot serve as a substitute for proper well grouting and construction that are performed by well drillers and pump installers. The presence of contaminants in water can lead to health issues and cause contamination of the groundwater resource and without certification and licensing, there are risks to public health and the environment.

The Department of Revenue (DOR) feels the regulation of assessors is a minimal cost to the assessor and a great benefit to the public. The certification provides a mechanism for DOR to enforce Wisconsin's uniform taxation clause and require assessors to implement laws and standards.

The Department of Transportation (DOT) feels that current licenses issued by their department provide safeguards to industry partners and the public. The regulations and requirements associated with each license ensure a certain level of truthful and ethical business practices are present during all facets of a transaction. They feel the deregulation of those occupations would result in significant misrepresentation and fraud resulting in the victimization of public citizens.

The Wisconsin Ethics Commission, which regulates lobbyists, feel public disclosure of the identity, expenditures, and activities of persons who hire others or are hired to engage in efforts to influence the actions for the legislative and executive branches is integral to the continued functioning of an open government and the preservation of the integrity in the governmental decision-making process.

The Office of the Commissioner of Insurance (OCI), who regulates insurance producers, feel the licensure requirements and regulatory oversight for insurance producers working the state of Wisconsin are warranted. OCI states they actively monitor the insurance marketplace and investigate any complaints, protect the public, and ensures that the insurance needs of Wisconsin citizens are met responsibly and adequately. OCI feels this system of regulatory oversight ensures that insurance producers have adequate training, operate using sound business practices and comply with state insurance laws and regulations.

### C. Credential Holder and Stakeholder Survey

The second survey conducted as part of the Wisconsin Occupational Licensing Study was designed and intended to be taken by credential holders, non-credential holders, and stakeholders. The survey was emailed by DSPS to its credential holders and attached regulatory boards and posted on the department's website. The survey was also provided to the other state regulatory agencies for dissemination to their credential holders.

The survey was taken by a total of 65,319 respondents. The first question asked respondents if they currently have an active occupational or professional license or credential that is issued by the state of Wisconsin. For the purposes of the survey, a definition of "license" was provided to respondents and defined as follows:

*"License" means a state of Wisconsin-issued occupational license, credential, certification, or registration. "License" does not include permits, facility or establishment licenses, business licenses (such as a liquor license or vending license), or licenses required by a local or municipal ordinance.*

Of the total respondents, 92.71 percent self-identified as holding an active Wisconsin-issued occupational license; 0.35 percent said their license application is pending, 1.35 percent said their license was inactive or expired, and 3,647 individuals (5.58 percent), said they did not hold a Wisconsin-issued license.

The second question asked respondents to specify the type of active license that they held. If they held multiple licenses, they were asked to select the category type that best describes the license

they use for their primary occupation. For the purposes of this survey, “*main job or occupation*” was defined to mean their current and main occupation or job, job from which they are on layoff, or job at which they last worked if between jobs.

Because respondents could choose which category best described their license type, some respondents may have selected different categories for the same license type. Therefore, although minimal, some occupations may be spread over more than one of the categories.

The survey results for each question are provided below.

**Q. Specify the type of active license that you hold. If you hold multiple licenses, select the category type that best describes the license you use for your *primary/main* occupation.**

Category	No. of Respondents	%
Animal or Agriculture related	1,170	1.90
Banking and Financial related (includes investments, insurance, lenders, collectors, tax assessor, charitable fundraising)	7,087	11.49
Business related	8,220	13.33
Chemical, Environmental, or Utilities Dealer, Supplier, or Applicator (includes fuel, gas, oil, water, power, pesticides, asbestos, hazardous materials, or waste products)	676	1.10
Educator or School related (includes instructor, teacher, administrator, or service provider of elementary, secondary, postsecondary education)	1,560	2.53
Food or Restaurant related	179	0.29
Health or Medical related	29,327	47.55
Legal, Security, or Enforcement related (i.e. attorney, investigator, inspector, tester, certifier, private detective, notary, etc.)	969	1.57
Product or Vehicle Manufacturer, Broker, or Dealer	179	0.29
Sales related	1,716	2.78
Social Services (includes child and adult care services)	3,004	4.87
Sports related	44	0.07
Trades related	6,451	10.46
Other (please specify)	88	0.13
<b>Total Respondents</b>	<b>61,672</b>	<b>94.41</b>

**Q. How useful is your license for each of the following?**

**a. Getting a job?**

Category	No. of Respondents	%
Extremely useful	47,257	79.05%
Very useful	6,095	10.20%
Somewhat useful	3,776	6.32%
Not so useful	1,014	1.70%
Not at all useful	1,637	2.74%
<b>Total Respondents</b>	<b>59,779</b>	

**b. Keeping a job?**

Category	No. of Respondents	%
Extremely useful	47,638	79.69%
Very useful	6,060	10.14%
Somewhat useful	3,536	5.92%
Not so useful	1,081	1.81%
Not at all useful	1,464	2.45%
<b>Total Respondents</b>	<b>59,779</b>	

**c. Keeping you marketable to employers or clients?**

Category	No. of Respondents	%
Extremely useful	47,857	80.06%
Very useful	6,389	10.69%
Somewhat useful	3,410	5.70%
Not so useful	925	1.55%
Not at all useful	1,198	2.00%
Total Respondents	59,779	

**d. Improving your work skills?**

Category	No. of Respondents	%
Extremely useful	30,526	51.06%
Very useful	9,872	16.51%
Somewhat useful	9,794	16.38%
Not so useful	4,802	8.03%
Not at all useful	4,785	8.00%
Total Respondents	59,779	

**e. Increasing your wages/salary?**

Category	No. of Respondents	%
Extremely useful	33,350	55.79%
Very useful	8,361	13.99%
Somewhat useful	8,682	14.52%
Not so useful	4,575	7.65%
Not at all useful	4,811	8.05%
Total Respondents	59,779	

**Q. Which of the following was required to obtain your license associated with your primary occupation?** (Check all that apply)

Category	No. of Respondents	%
High school diploma or equivalent	26,409	44.55
Passing a test	4,4709	75.43
Demonstrating certain skills	23,518	39.68
Completing an internship or apprenticeship	16,242	27.40
Previous job-related experience	9,002	15.19
Technical certification (Less than 2 years)	6,709	11.32
Some college, no degree	2,634	4.44
Associate degree	14,348	24.21
Bachelor's degree*	7,669	12.94
Master's degree	7,641	12.89
Doctoral or professional degree	8,352	14.09
None of the above	977	1.65
Other (please specify)	3,111	5.25
Total Respondents	59,274	

\*This option was inadvertently omitted in the survey. The results represent responses from respondents who added this option under the "other" category.

**Q. About how many hours of instruction did you complete to obtain your license associated with your primary occupation?**

Category	No. of Respondents	%
Less than 40	5,498	9.34
40 to 159	6,948	11.80
160 to 479	2,574	4.37
480 hours (half a full-time school year) to 959 hours	2,973	5.05
960 hours (1 full-time school year) or more	40,876	69.44
Total Respondents	58,869	

**Q. Select the category that best describes the initial costs you incurred to *obtain* your license associated with your primary occupation.**

(Include costs for initial education/tuition, registration fees, initial licensing fees, exam fees, **required** association fees, or other **required** costs you incurred to obtain your license.)

Category	No. of Respondents	%
Zero to \$200	5,755	9.85
\$201 to \$500	6,882	11.78
\$501 to \$1,000	3,349	5.73
\$1,001 to \$5,000	5,880	10.06
\$5,001 to \$10,000	6,053	10.36
\$10,001 to \$50,000	17,094	29.25
\$50,001 to \$100,000	8,066	13.80
Greater than \$100,000	5,356	9.17
Total Respondents	58,435	

**Q. Select the category that best describes the ongoing costs you incur to *retain* your license associated with your primary occupation.**

(Include costs for continuing education, registration fees, renewal licensing fees, exam fees, **required** association fees, or other **required** costs you incur in order to keep your license.)

Category	No. of Respondents	%
Zero to \$200	20,423	35.08
\$201 to \$500	17,349	29.80
\$501 to \$1,000	9,164	15.74
\$1,001 to \$5,000	8,859	15.22
\$5,001 to \$10,000	1,511	2.60
\$10,001 to \$50,000	657	1.13
\$50,001 to \$100,000	149	0.26
Greater than \$100,000	103	0.18
Total Respondents	58,215	

**Q. Rate the level of hardship or barriers you faced to *obtain* your initial license.**

Category	No. of Respondents	%
None at all	15,268	26.26
A small amount	18,353	31.56
A moderate amount	17,699	30.44
A large amount	6,595	11.34
A great amount that resulted in my inability to get a license.	231	0.40
Total Respondents	58,146	

**Q. Rate the level of hardship or barriers you faced to *retain* your initial license.**

Category	No. of Respondents	%
None at all	22,921	39.46
A small amount	25,409	43.75
A moderate amount	8,226	14.16
A large amount	1,365	2.35
A great amount that resulted in my inability to get a license.	163	0.28
Total Respondents	58,146	

**Q. Rate the importance that your license serves in protecting public citizens from harm or danger.**

Category	No. of Respondents	%
Extremely important. It's a matter of life or death.	21,189	36.59
Very important. The public would be at risk for significant harm or danger if a license wasn't required for this occupation.	23,730	40.97
Somewhat important. It's possible the public could be exposed to some risk if a license wasn't required for this occupation.	8,707	15.03
Not so important. It's unlikely the public would be exposed to harm or danger if a license wasn't required for this occupation.	2,478	4.28
Not at all important. There is no risk of harm or danger to the public if a license wasn't required for this occupation.	1,810	3.13
Total Respondents	57,914	

**Q. Do you hold a similar occupational license in another state(s)?**

Category	No. of Respondents	%
Yes	14,113	24.38
No	43,766	75.62
Total Respondents	57,879	

**Q. Select the category that best describes the *initial* requirements to *obtain* your out of state license compared to Wisconsin's initial licensing requirements.**

(Compare educational and other requirements, fees, and other costs.)

Category	No. of Respondents	%
Way more than Wisconsin	953	6.76
Somewhat more than Wisconsin	2,112	14.97
About the same as Wisconsin	9,567	67.83
Somewhat less than Wisconsin	930	5.59
Way less than Wisconsin	541	3.84
Total Respondents	14,104	

**Q. Select the category that best describes the *ongoing* requirements to *retain* your out of state license compared to Wisconsin's initial licensing requirements.**

(Compare educational and other requirements, fees, and other costs.)

Category	No. of Respondents	%
Way more than Wisconsin	823	5.87
Somewhat more than Wisconsin	2,170	15.48
About the same as Wisconsin	9,866	70.37
Somewhat less than Wisconsin	737	5.26
Way less than Wisconsin	425	3.03
Total Respondents	14,021	

**Q. Rate the level of hardship or barriers you faced to *obtain* your initial out of state license.**

Category	No. of Respondents	%
The state has way more hardships and barriers than Wisconsin.	630	4.52
The state has somewhat more hardships and barriers than Wisconsin.	2,078	14.92
The state has about the same as Wisconsin.	9,880	70.92
The state has somewhat less hardships and barriers than Wisconsin.	934	5.99
The state has way less hardships and barriers than Wisconsin.	509	3.65
Total Respondents	13,931	

**Q. Rate the level of hardship or barriers you faced to *retain* your out of state license.**

Category	No. of Respondents	%
The state has way more hardships and barriers than Wisconsin.	351	2.53
The state has somewhat more hardships and barriers than Wisconsin.	1,854	13.37
The state has about the same as Wisconsin.	10,582	76.30
The state has somewhat less hardships and barriers than Wisconsin.	624	4.50
The state has way less hardships and barriers than Wisconsin.	458	3.30
Total Respondents	13,869	

**Q. Are you aware of any instances where occupational licensing regulations have impacted the cost or availability of consumer goods or services?**

(i.e. increased costs for goods or services, decreased availability of practitioners)

Category	No. of Respondents	%
Yes	656	19.30
No	2,743	80.70
Total Respondents	3,399	

**Q. How important is it to regulate Wisconsin's occupations in order to protect public citizens from harm or danger?**

Category	No. of Respondents	%
Extremely important. It's a matter of life or death.	1,917	62.36
Very important. The public would be at risk for significant harm or danger if a license wasn't required for this occupation.	853	27.75
Somewhat important. It's possible the public could be exposed to some risk if a license wasn't required for this occupation.	174	5.66
Not so important. It's unlikely the public would be exposed to harm or danger if a license wasn't required for this occupation.	85	2.77
Not at all important. There is no risk of harm or danger to the public if a license wasn't required for this occupation.	45	1.46
Total Respondents	3,074	

**Q. Indicate what types of licenses should be regulated in order to protect public citizens from harm or danger.** (Check all that apply.)

Category	No. of Respondents	%
Animal or Agriculture related	2,328	78.52
Banking and Financial related (includes investments, insurance, lenders, collectors, tax assessor, charitable fundraising)	2,328	88.63
Business related	1,803	60.81
Chemical, Environmental, or Utilities Dealer, Supplier, or Applicator (includes fuel, gas, oil, water, power, pesticides, asbestos, hazardous materials, or waste products)	2,778	93.69
Educator or School related (includes instructor, teacher, administrator, or service provider of elementary, secondary, postsecondary education)	2,670	90.05
Food or Restaurant related	2,425	81.79
Health or Medical related	2,865	96.63
Legal, Security, or Enforcement related (i.e. attorney, investigator, inspector, tester, certifier, private detective, notary, etc.)	2,694	90.86
Product or Vehicle Manufacturer, Broker, or Dealer	2,250	75.89
Sales related	1,344	45.33
Social Services (includes child and adult care services)	1,283	43.27
Sports related	2,657	89.61
Trades related	2,154	72.65
No occupations should be regulated	70	2.36
Other (please specify)	213	7.18
Total Respondents	2,965	

## D. The Cost and Burdens of Occupational Licensure

Many studies have found it difficult to obtain data on the total financial burden for every individual occupational license since the largest financial burden for a licensee is the cost of initial tuition or education, which varies vastly depending on the profession (i.e. cost of a doctorate degree vs. a certification course). However, many studies have collected this data for groups or types of occupations.

Information collected by the Institute for Justice (IJ) on 102 low- and medium-wage occupations provides a sense of the range of licensing burden across occupations and across states, in terms of education and experience prerequisites, licensure fees, examinations, and minimum age requirements. States range from Pennsylvania, where it takes an estimated average of 113 days (about four months) to fulfill the educational and experience requirements for the average licensed occupation examined, to Hawaii, where it takes 724 days (about two years).<sup>10</sup> The IJ report reveals that Wisconsin's licensing laws require, on average, \$259 in fees and 214 days of education and experience.<sup>2</sup>

While several studies have identified common themes when it comes to the many burdens that workers face while pursuing a state license, this report contains barriers that may be specific to Wisconsin occupations. In their survey responses, state regulatory agencies provided examples of barriers and hardships that individuals may face to achieve and maintain the licensure. It should be noted that the agencies included licensing requirements that either they thought were a barrier or that could be considered a barrier from a license holder's perspective.

Some barriers identified by state regulatory agencies include the following:

1. Cost of initial and continuing education to obtain and retain the license.
2. Cost of initial license and renewal fees, including payments for annual registrations, certifications, or applications.
  - Pesticide Commercial Applicators are required to apply and pay a fee annually.
3. Cost of national and state examinations.
4. Cost of ongoing competency testing based on the requirement.
  - Licensed Pesticide Applicators are required to pass a competency test every five years.
5. Lack of availability and/or access for educational programs, courses, and national and state exams, in terms of number of times offered and locations.
  - A national exam for veterinarians is only offered twice per year.
  - No Wisconsin training center currently offers the training as an initial course for (EMT) Intermediates because this level of emergency medical practitioner is no longer included in the National EMS Educational Standard.
  - For lead inspectors, only the initial training is available in Wisconsin (due to very limited demand). Applicants seeking to renew must take an eight-hour refresher training outside of Wisconsin or take the 16-hour initial training over again in lieu of the refresher. The required x-ray fluorescence device training is only offered intermittently by manufacturers of the devices.
  - Lack of instructors and trainers required for certain courses.

6. Time commitment and costs associated with traveling long distances to obtain required education and testing.
  - There is only one accredited veterinary medical education program in Wisconsin, and only 30 in the United States.
  - Many individuals from rural areas must travel several miles to take a course or exam.
7. Lack of nationwide universal computer application and renewal filing system (applies to some DFI occupations).
8. Requirement to obtain surety bond.
9. Requirement to submit to fingerprinting.
10. Hearing requirements related to “character and fitness” of the applicant (applies to some DOT and DWD occupations).
11. Requirements related to financial responsibility.
12. Requirements for clean driving or criminal history.
  - Applicants for mortgage brokers cannot have been convicted of or pled guilty or no contest to a felony in a seven-year period before date of application.
13. Delinquency checks for taxes, unemployment insurance contributions, and child/family support payments.
14. Lack of available clinical sites for health professions to obtain the required patient contacts while in training.
15. Excessive requirements for initial education for certain occupations.
16. Language barriers for individuals where English is not their primary language.
  - DHS relayed that a large number of people who hold lead or asbestos abatement type licenses, English is their second language, which causes barriers. They struggle to find a training course in their first language that allows them to understand the material in class. If they cannot understand the material taught to them in class, they then have difficulty understanding the exam language which makes it difficult for them to pass the exam in order to obtain a license. When they pass the exam, they sometimes have difficulty communicating with regulators in order to obtain their license. While classes, exams, and applications are offered in Spanish, DHS feels there is room for improvement in this area.
17. Lack of reading skills necessary to read and pass an exam.
18. Reciprocity barriers.
  - While nurse aides who successfully train and test in other states are able to transfer to Wisconsin if they have completed equivalent training, those with less training must provide verification of employment to satisfy requirements or complete a 45-hour bridge program.
19. Minimum age requirements
  - Heat exchange and water well drillers must be at least 20 years old, while water well drilling rig operators and heat exchange drilling rig operators can be at least 18.
  - Certified nursing aides must be at least 18 years old in order to operate certain types of patient mobility equipment



2017 Wisconsin Act 20 increased access to preventative care for underserved populations by increasing the settings in which dental hygienists are authorized to practice dental hygiene in certain settings, without the authorization and presence of a licensed dentist.

2017 Wisconsin Act 59 required the Department of Safety and Professional Services to study occupational licenses and to submit a report of its findings to the Governor and Legislature by no later than December 31, 2018. This law also sunsetted the Wisconsin Rental Weatherization Program, thereby eliminating the licensure of rental weatherization inspectors.

2017 Wisconsin Acts 81 and 82 eliminated costly barriers for barbers, cosmetologists, and related professions. The reforms removed key professional licensing requirements that prohibited entry into these professions by removing separate licensing manager requirements and now allow barbers and cosmetologists to provide instruction without obtaining an additional license. The reforms also eliminated continuing education requirements for barbers, cosmetologists, aestheticians, electrologist, and manicurists and allow these professionals to provide services outside of salons and accept professional experience from licensees from other states.

2017 Wisconsin Act 88 authorized Wisconsin to participate in national data-sharing programs that will help protect the public interest and contribute to the increased transparency and mobility of the state's licensed Certified Public Accountants.

2017 Wisconsin Act 110 made various changes to laws governing real estate practice that will allow for the cooperation between Wisconsin real estate firms and out-of-state brokers representing buyers and tenants in commercial transactions – helping expand economic opportunities for Wisconsin-based companies.

2017 Wisconsin Act 113 brought Wisconsin into compliance with federal law, which requires states to regulate appraisal management companies, and will help Wisconsin avoid a likely major disturbance in the financing of most residential real estate transactions.

2017 Wisconsin Act 121 required the Department of Agriculture, Trade, and Consumer Protection to establish and implement a program for veterans, and their immediate family members if the veteran died during service, is missing in action, or died as a result of a service-connected disability (qualifying family members), to integrate them into the field of agriculture and support those currently working in agriculture. The program requires assisting eligible participants in rural and urban communities; providing employment, mentorship, and outreach opportunities; facilitating education opportunities; and providing advice, technical assistance, and training.

2017 Wisconsin Act 123 eliminated the signature requirement of a national guard member claiming payments under the Department of Military Affairs (DMA) Tuition Grant Program and the representative of the school certifying that the guard member has satisfactorily completed the course and achieved the minimum grade point average. Instead, the Act requires the DMA to rely on the qualifying school's certification to determine a guard member's eligibility for the grant.

2017 Wisconsin Act 135 ratified and entered Wisconsin into the Enhanced Nurse Licensure Compact (eNLC), replacing the original Nurse Licensure Compact (NLC), which will allow Wisconsin to maintain continued participation in the nurse licensure compact and ensure unnecessary additional licensure barriers do not exist for our state's nursing workforce.

Under 2017 Wisconsin Act 148, no apprenticeship program can require a ratio of more than one journey worker for each apprentice in an apprenticeship. The Act also removed the specific length of apprenticeship programs in prior law for plumbers and carpenters.

2017 Wisconsin Act 153 requires the Department of Workforce Development (DWD) to permit minors at least 15 years of age to be employed as lifeguards. DWD rule previously prohibited minors 14 and 15 years of age from being employed as lifeguards.

2017 Wisconsin Act 168 allows a child of any age to be employed under the direct supervision of the child's parent or guardian in connection with the parent's or guardian's business, trade, or profession, without a work permit.

2017 Wisconsin Acts 180, 227, and 293 helped address growing patient care needs by allowing certain health professionals to delegate various types of services.

2017 Wisconsin Act 195 created the Hire Heroes program, under which employers can be reimbursed for the wages of a veteran for employers providing transitional jobs to veterans of the U.S. Armed Forces who have been unemployed for at least four weeks.

2017 Wisconsin Act 206 revised provisions relating to lifetime teaching licenses and created a pilot grant program to support college courses taught in high schools.

2017 Wisconsin Act 262 requires the Department of Safety and Professional Services to grant a certification as a substance abuse counselor, clinical supervisor, or prevention specialist to an individual who holds a similar unexpired certification granted by another state that has requirements for certification that are not lower than this state's certification requirements.

2017 Wisconsin Act 278 streamlined the licensing process for those with criminal records by allowing them to receive an individualized review of their criminal history before submitting a full licensure application, which will reduce reoffending rates in Wisconsin and help solve a growing worker shortage.

2017 Wisconsin Act 288 removed an arbitrary barrier for individuals seeking to become a licensed chiropractor in Wisconsin by bringing Wisconsin's passing exam scores required for chiropractic licensure in line with 47 other states.

2017 Wisconsin Act 319 helped remove a burdensome barrier for veterans and economically disadvantaged populations seeking to obtain the necessary license to enter Wisconsin's workplace by reducing the standard fee required for an initial license.

2017 Wisconsin Act 323 developed a coaching program for the hiring of individuals with disabilities that directly engages private and nonprofit businesses.

2017 Wisconsin Act 329 eliminated a provision that imposed a \$50 forfeiture on a credential holder or applicant who failed to report a change of name or address within 30 days of the change.

2017 Wisconsin 329 also generally prohibited local governments from regulating tattoo and body piercing, unless authority is delegated by the Department of Safety and Professional Services.

2017 Wisconsin Act 330 eliminates exam eligibility requirements for individuals applying for a credential from the Marriage and Family Therapy, Professional Counseling, and Social Work Examining Board. Prior law required individuals to satisfy certain prerequisite degree requirements to become eligible to take the applicable licensure exam.

2017 Wisconsin Act 331 allowed for greater uniformity and consistency across DSPS-regulated occupations and professions that will provide greater convenience for DSPS customers.

2017 Wisconsin Act 336 created an incentive grant program for school districts that provide training for certain public safety occupations and provides completion awards for students who complete those programs. Currently, these grants are available for programs that are designed to mitigate workforce shortages in an industry or occupation that the Department of Workforce Development identifies as facing workforce shortages or shortages of adequately trained entry-level workers. Under the Act, these grants to school districts will also be available for public safety occupations training programs. Eligible programs are industry-recognized certification programs that are designed to prepare individuals for occupations as fire fighters, emergency medical responders, or emergency medical services practitioners.

2017 Wisconsin Act 341 creates an exception to the prohibition for practice at certain sporting events or facilities, by an individual who is licensed in good standing to practice medicine and surgery in another state. The Act authorizes the Medical Examining Board (MEB) to enter into agreements with medical or osteopathic licensing boards of other states to implement the new licensure exception.

2017 Wisconsin Act 350 expanded the licensure or certificate renewal for certain emergency medical services personnel and ambulance service providers from every two years to every three years.

## B. Recommendations for Reform of Current Regulated Occupations

For occupational licenses outside the jurisdiction of DSPS, the recommendations for reform contained in this report are based on the statements, data, and information received by the state regulatory agency who administers the license. For licenses under the jurisdiction of DSPS, the Department took several factors into consideration for the occupational licenses being recommended for reform, including the criteria listed below:

- 1) Is the regulation of this occupation necessary to safeguard public health and safety and protect consumers?
- 2) Does the public substantially benefit from this occupation being regulated?
- 3) Is it reasonable to assume public citizens would be subjected to harm or danger if this occupation was unregulated or regulated by a less restrictive means?
- 4) Is the regulation of this occupation overly broad or onerous?
- 5) How many other states regulate this occupation?
- 6) Is this occupation among the nationally identified occupations that are needlessly regulated?
- 7) Are there too few individuals who possess this licensure type to financially justify the existence of the license and/or licensing board?

- 8) Is there is a history of minimal complaint or enforcement activity that may suggest there is no justification for strict regulation?
- 9) Could the Department accept credentials from other organizations that meet the equivalency standards?
- 10) Are there more effective, less restrictive, or alternative methods for regulating this occupation (as illustrated by the *Inverted Pyramid in Figure 2*)?

After thoughtful consideration of these factors and input from stakeholders and members of the public, DSPS recommends the elimination of 15 occupational licenses under its jurisdiction. In addition, six of the other regulatory agencies are recommending the elimination of 13 occupational licenses that fall under their respective jurisdictions. (A complete list may be found in Appendix C of this report.)

### C. Considerations for Future Occupational Licensing Reform

This report includes several recommendations for occupational licensing reform. The supplemental information and state comparison data contained in this report should provide policymakers with ample data to make informed decisions for possible additional future reforms. Legislators may also consider conducting more in-depth studies on certain occupations where reform may be warranted.

To continue the consortiums goal of reforming Wisconsin's occupational licensing regulations, it is recommended policymakers collaborate with other states, especially our border states, in order to improve portability across state lines and to refine regulatory practices that create barriers to work. Future research should include more in-depth analysis of fees, continuing education, work experience requirements to minimize complexity and procedural burdens; continued review of the impact of criminal history and substantial relation to the scope of practice; and perform ongoing assessments to ensure that licensing requirements closely align with the protection of public health and safety without being overly broad or burdensome.

Many states are also studying employment and occupational trends and taking these trends into consideration when making occupational licensing reform decisions. The Department of Workforce Development has many experts, useful tools, and resources that can be tapped for input and data relating to employment trend predictions at both the state and national levels. The data helps in predicting which Wisconsin-regulated occupations will most likely experience the largest growth in employment over the next 10 years (2016-2026) and which ones will experience the least amount of growth. Understanding these trends will be valuable for future policy decisions.

One of the additional reforms explored by DSPS include the acceptance of national credentials in lieu of requiring a separate license and separate exams, which impose a financial burden to credential holders. For example, DSPS administers several trade-related occupations where acceptance of credentials from the International Code Council (ICC) could be considered if deemed equivalent to a Wisconsin credential. (Through both statute and administrative rules, Wisconsin adopts several technical standards produced by the ICC). Earlier this year, DSPS discussed these options with ICC representatives.

In July 2018, DSPS representatives participated in a meeting, hosted by the Wisconsin Code Officials Alliance (WCOA), with the ICC President, ICC Board Chair, and other ICC representatives, to discuss how Wisconsin and the ICC can work together to streamline credentialing of these related occupations. Currently, some credential holders take courses and exams offered by both ICC and DSPS.

Following the meeting, DSPS compiled a list of possible ICC credentials that could provide equivalencies. A thorough analysis found some ICC credentials to be similar to Wisconsin's that would require only minimal modifications to include important elements specific to Wisconsin, typically referred to as "*Wisconsinisms*". For other license types, where ICC does not require any qualifications to take an exam, Wisconsin statutes require previous experience, coursework, an apprenticeship, or some level of experience before taking an exam. For these credentials, legislative changes would be needed in order to authorize DSPS to implement these reforms.

Other methods that could be considered for reform include the implementation of sunrise and sunset legislation. Several states have taken steps to adopt sunrise and sunset reviews, audits, active supervision, and other procedures to weigh the costs and benefits of existing and proposed occupational licensure. A sunrise process includes a cost-benefit analysis as part of any proposal to regulate a previously unlicensed profession. The sunset review process involves periodic reviews or legislative audits of licensing and licensing boards, and their potential elimination unless the legislature acts to continue them.<sup>9</sup>

In the state of Vermont, when the state Office of Professional Regulation receives requests from individuals or groups recommending that a profession be regulated, Vermont law provides that the profession should be regulated only when necessary to protect the public. When the office receives a request, it conducts a preliminary assessment and develops a recommendation for the Legislature as to whether or not the profession should be regulated. (A link to Vermont's *Application for Preliminary Sunrise Review Assessment* form may be found in the Resource section of this report.)

**Pursuant to 26 V.S.A. § 3101:**

*"It is the policy of the state of Vermont that regulation be imposed upon a profession or occupation solely for the purpose of protecting the public. The legislature believes that all individuals should be permitted to enter into a profession or occupation unless there is a demonstrated need for the state to protect the interests of the public by restricting entry into the profession or occupation. If such a need is identified, the form of regulation adopted by the state shall be the least restrictive form of regulation necessary to protect the public interest."* - State of Vermont

Some evidence suggests that sunrise reviews can be more successful at limiting the growth of licensing than sunset reviews are at removing unnecessary licensing. A sunset review can nevertheless be useful because, even if licensing was justified when first introduced, technological and economic changes may have rendered it unnecessary or overly restrictive. Periodic examination of existing rules is thus helpful in maintaining the quality of occupational regulation. Sunset reviews also have the benefit of reviewing complaints lodged with the licensing board. These can provide important insight into the value of continuing the license.<sup>10</sup>

Research has found that other practitioners—not consumers—file a large majority of complaints which mostly related to workers practicing without a license rather than any substantive violation of rules concerning health and safety.<sup>10</sup> Therefore, experts caution that sunset reviews should carefully consider what the complaint record means. In principle, few complaints could mean that licensing a particular occupation eliminates all dangerous conduct, but it can also mean that

genuine consumer harms are very rare in the occupation.<sup>10</sup> For that reason, the licenses recommended for reform in this report are accompanied by complaint data (where available) to assist decision-makers with comprehensive information when reviewing the recommendations.

#### D. Strategies for Occupational Licensing Reform

State policymakers play a critical and longstanding role in occupational licensing policies, dating back to the late 19th century when the Supreme Court decision in *Dent v. West Virginia* established states' rights to regulate certain professions. Shortly thereafter, states began developing their own systems of occupational regulation and licensing.<sup>8</sup> State policymakers play a central role in developing and shaping these systems by:

1. Establishing licensing requirements for specific occupations.
2. Authorizing regulatory boards to license applicants and oversee compliance.
3. Reviewing the merits of existing and proposed licensure requirements.
4. Proposing strategies or guiding principles to improve the state's overall approach to regulating professions.

According to a 2015 brief published by the Council on Licensure, Enforcement and Regulation, "civic leaders, elected officials, and courts have struggled to balance legitimate interests in protecting public health and safety with the preservation of free practice." Striking the right balance represents an opportunity for policymakers to achieve important public policy goals, including consumer protection, job creation, workforce mobility and economic growth. Removing employment barriers for unique populations, such as immigrants with work authorization, military families, and people with criminal records, offers a powerful lever to achieve multiple policy goals. These include employment growth, reduced reoffending for employed ex-offenders, enhanced geographic mobility, and economic stability and opportunity for individuals and their families.<sup>8</sup>

Some of the most comprehensive occupational licensing reforms were passed in Arizona, Tennessee, and Mississippi. Arizona and Tennessee each passed a *Right to Earn a Living Act*. The Act limits entry regulations into an occupation to only those that are legitimately necessary to protect public health, safety, or welfare and then those objectives could *not* be met with less burdensome means, including certification, bonding, insurance, inspections, etc. It favors policy options that preserve occupational freedom.<sup>13</sup>

Over the past few years, several studies, research briefs, and guidance documents have been published that provide tools, resources, and strategies for policymakers for tackling occupational licensing reform. Several states have found these resources to be helpful in implementing less restrictive regulations, evaluating the roles of regulatory boards, conducting ongoing sunset review hearings, and recognizing and prevent the passing of unnecessary licensing laws. Several of these resources are included in the Resource section of this report.

## Policymaker Questions to Ask When Considering Occupational Licensing Proposals

<b>What is the problem?</b>	<ul style="list-style-type: none"> <li>• Has the public been harmed because the occupation has not been regulated?</li> <li>• Has the public's health, safety or economic well-being been endangered?</li> <li>• Can proponents' claims be documented?</li> </ul>
<b>Why should the occupation be regulated?</b>	<ul style="list-style-type: none"> <li>• Who uses the services offered by the occupation? Does the public lack knowledge or information to evaluate the providers' qualifications?</li> <li>• What is the extent of the autonomy of the providers? Do they work independently or under supervision? If supervised, is the supervisor covered under regulatory statute?</li> </ul>
<b>What efforts have been made to address the problems?</b>	<ul style="list-style-type: none"> <li>• Has the occupation established a code of conduct or complaint-handling procedures for resolving disputes between practitioners and consumers?</li> <li>• Has a non-governmental certification program been established to assist the public in identifying qualified practitioners?</li> <li>• Could use of applicable laws or existing standards (e.g., civil laws or unfair and deceptive trade practice laws) solve problems?</li> <li>• Would strengthening existing laws help to deal with the problem?</li> </ul>
<b>Have alternatives to licensure been considered?</b>	<ul style="list-style-type: none"> <li>• Could an existing agency be used to regulate the occupation?</li> <li>• Would regulation of the employer versus the individual practitioner (e.g., licensing a restaurant instead of its employees) provide the necessary public protection?</li> <li>• Could registration or certification be an acceptable alternative?</li> <li>• Why would use of less stringent alternatives adequately protect the public? Why would licensing be more effective?</li> </ul>
<b>Will the public benefit from regulating the occupation?</b>	<ul style="list-style-type: none"> <li>• How will regulation help the public identify qualified practitioners?</li> <li>• How will regulation assure that practitioners are competent?</li> <li>• Are all standards job-related?</li> <li>• How do the standards, training and experience requirements compare with other states? Can differences be justified?</li> <li>• Are alternative routes of entry recognized—for example, for individuals licensed in another state?</li> </ul>
<b>Will regulation harm the public?</b>	<ul style="list-style-type: none"> <li>• Will competition be restricted by the regulated group?</li> <li>• Will the regulated group control the supply of practitioners? Are standards more restrictive than necessary?</li> <li>• Will regulation increase the cost of goods and services to consumers?</li> <li>• Will regulation decrease the availability of practitioners?</li> </ul>
<b>How will the regulatory activity be administered?</b>	<ul style="list-style-type: none"> <li>• Who will administer the regulation?</li> <li>• What power will the entity have, and will its actions be subject to review?</li> <li>• How would the cost of administering the regulatory entity be financed?</li> </ul>
<b>Who is sponsoring the regulatory program?</b>	<ul style="list-style-type: none"> <li>• Are members of the public sponsoring the legislation?</li> <li>• What provider associations or organizations are sponsoring the regulatory approach?</li> </ul>
<b>Why is regulation being sought?</b>	<ul style="list-style-type: none"> <li>• Is the profession seeking to enhance its status by having its own regulatory law?</li> <li>• Is the occupation seeking licensure to facilitate reimbursement?</li> <li>• Is the public seeking greater accountability of the occupation?</li> </ul>

*Source: Council on Licensure, Enforcement and Regulation, Questions Legislators Should Ask, 1994*

## VI. Conclusion

Most consumers acknowledge that the regulation of certain occupations is vital for the protection of public health, safety, and welfare. Where opinions begin to differ is determining which occupations should be regulated and at what level. This report is intended to provide the data and information necessary to aid in these statewide discussions and considerations and to continue the goal of commonsense occupational licensing reforms that will maintain consumer protection while removing barriers in order to provide economic opportunities for Wisconsin's workers and entrepreneurs. Moving forward, the federal directive is for states to continue to learn from one another as they adopt and refine regulatory practices that seek to remove barriers to work and improve portability across state lines.

## VII. Appendices

### Appendix A - Wisconsin Regulated Occupations

Occupation	Regulating Agency	Type of Regulation	No. Active Licenses
Buttermaker	DATCP	License	43
Cheesemaker	DATCP	License	1,283
Humane Officer	DATCP	Certificate	208
Pesticide Applicator Certification; commercial	DATCP	Certification	18,600
Pesticide Applicator Certification; private	DATCP	Certification	12,300
Pesticide Commercial Applicator (Individual)	DATCP	License	8,900
Veterinarian	DATCP	License	3,427
Veterinarian - Faculty License	DATCP	License	33
Veterinarian - Temporary Consulting Permit	DATCP	Permit	1
Veterinary Technician	DATCP	Certificate	2,148
Weights and Measures Service Technician	DATCP	Certification	805
Agent (Broker-Dealer Agent/Securities Agent)	DFI	Registration	146,350
Broker-Dealer	DFI	Registration	1,613
Fundraising Counsel	DFI	Registration	0
Investment Advisor	DFI	Registration	361
Investment Advisor Representative	DFI	Registration	9,915
Mortgage Banker	DFI	License	397
Mortgage Broker	DFI	License	194
Mortgage Loan Originator	DFI	Registration and License	10,392
Notary Public	DFI	Commission	81,971
Solicitor/Collector	DFI	License	6,348
Advanced Emergency Medical Technician	DHS	License	2,325
Asbestos Abatement Supervisor	DHS	Certification	1,264
Asbestos Abatement Worker	DHS	Certification	516
Asbestos Inspector	DHS	Certification	625
Asbestos Management Planner	DHS	Certification	49
Asbestos Project Designer	DHS	Certification	48
Emergency Medical Responder	DHS	Certification	3,343
Emergency Medical Technician	DHS	License	8,733
Exterior Asbestos Supervisor	DHS	Certification	89
Intermediate (EMT)	DHS	License	123
Lead Abatement Supervisor	DHS	Certification	319
Lead Abatement Worker	DHS	Certification	100
Lead Hazard Investigator	DHS	Certification	77
Lead Inspector	DHS	Certification	7
Lead Project Designer	DHS	Certification	0
Lead Risk Assessor	DHS	Certification	231
Lead Sampling Technician	DHS	Certification	15
Lead-Safe Renovator	DHS	Certification	4,434
Nurse Aide	DHS	Certification	58,790
Paramedic	DHS	License	4,949
Exterior Asbestos Worker	DHS	Certification	1,189
Heat Exchange Driller	DNR	License	32
Heat Exchange Drilling Rig Operator	DNR	Registration	37
Municipal Waterworks Operator	DNR	Certification	2,619
Pump Installer	DNR	License	1,170
Septage Service Operator	DNR	Certification	1,193
Small Water System Operator	DNR	Certification	948
Solid Waste Disposal Facility Operator	DNR	Certification	322
Solid Waste Incinerator Operator	DNR	Certification	25
Wastewater Operator	DNR	Certification	2,529
Water Well Driller	DNR	License	251
Water Well Drilling Rig Operator	DNR	Registration	138

Occupation	Regulating Agency	Type of Regulation	No. Active Licenses
Assessor	DOR	Certificate	683
Cigarette Salesperson	DOR	Permit	685
Liquor Salesperson	DOR	Permit	3,017
Tobacco Products Salesperson	DOR	Permit	760
Buyer's License	DOT	License	6,879
Certify 3rd Party CDL Examiner	DOT	Certification	215
Certify Traffic Safety School Instructor	DOT	Certification	165
Driver Training School Instructor	DOT	License	764
Representative License	DOT	License	792
Salesperson License	DOT	License	14,589
Salvage Buyer License	DOT	License	3,606
Acupuncturist	DSPS	License	556
Administrative Medicine and Surgery (DO)	DSPS	License	0
Administrative Medicine and Surgery (MD)	DSPS	License	4
Aesthetician	DSPS	License	2,126
Aesthetics Instructor (Certified)	DSPS	Certification	44
Agent for Burial Agreements	DSPS	Registration	888
Anesthesiologist Assistant	DSPS	License	101
Appraiser, Certified General	DSPS	License and Certification	758
Appraiser, Certified Residential	DSPS	License and Certification	841
Appraiser, Licensed	DSPS	License	253
Architect	DSPS	Registration	4,846
Art Therapist	DSPS	Registration	64
Athlete Agent	DSPS	Registration	66
Athletic Trainer	DSPS	License	1,290
Auctioneer	DSPS	Registration	637
Audiology	DSPS	License	405
Automatic Fire Sprinkler Contractor	DSPS	License	106
Automatic Fire Sprinkler Contractor - Maintenance	DSPS	Registration	27
Automatic Fire Sprinkler Fitter - Maintenance	DSPS	Registration	191
Automatic Fire Sprinkler Fitter, Journeyman	DSPS	License	665
Automatic Fire Sprinkler System Apprentice	DSPS	Registration	138
Automatic Fire Sprinkler System Tester	DSPS	Registration	100
Automatic Fire Sprinkler Tester Learner	DSPS	Registration	12
Barber	DSPS	License	255
Barber Apprentice	DSPS	Permit	39
Barbering Instructor (Certified)	DSPS	Certification	3
Barbering Manager	DSPS	License	505
Behavior Analyst	DSPS	License	195
Blaster Class 1	DSPS	License	37
Blaster Class 2	DSPS	License	96
Blaster Class 3	DSPS	License	17
Blaster Class 4	DSPS	License	5
Blaster Class 5	DSPS	License	151
Blaster Class 6	DSPS	License	71
Blaster Class 7	DSPS	License	13
Body Piercer	DSPS	License	242
Boiler-Pressure Vessel In-Service Field Inspector	DSPS	Certification	0
Boiler-Pressure Vessel Inspector	DSPS	Certification	135
Boxing Contestant	DSPS	License	34
Boxing Judge	DSPS	License	5
Boxing Referee	DSPS	License	1
Cemetery Authority	DSPS	Registration	40
Cemetery Authority - Licensed	DSPS	License	116
Cemetery Authority-Religious	DSPS	Certification	406
Cemetery Preneed Seller	DSPS	License	156
Cemetery Salesperson	DSPS	License	141
Certified Public Accountant	DSPS	License	11,974
Chiropractic Radiological Technician	DSPS	Certification	312
Chiropractic Technician	DSPS	Certification	1,208
Chiropractor	DSPS	License	2,400

Occupation	Regulating Agency	Type of Regulation	No. Active Licenses
Clinical Substance Abuse Counselor	DSPS	Certification	1,628
Clinical Supervisor-in-Training	DSPS	Certification	186
Commercial Building Inspector	DSPS	Certification	632
Commercial Electrical Inspector	DSPS	Certification	765
Commercial Plumbing Inspector	DSPS	Certification	397
Cosmetologist	DSPS	License	29,472
Cosmetology Apprentice	DSPS	Permit	257
Cosmetology Instructor (Certified)	DSPS	Certification	751
Cosmetology Temporary Permit	DSPS	Permit	372
Cosmetology Training Permit	DSPS	Permit	0
Counselor, Professional	DSPS	License	4,038
Counselor, Training License Professional	DSPS	License	1,867
Cross Connection Control Tester	DSPS	Registration	1,939
Dance Therapist	DSPS	Registration	7
Dental Hygienist	DSPS	License	5,306
Dentist	DSPS	License	4,324
Designer of Engineering Systems	DSPS	Permit	749
Dietitian, Certified	DSPS	Certification	1,933
Dwelling Contractor	DSPS	Certification	10,447
Dwelling Contractor Qualifier	DSPS	Certification	10,967
Dwelling Contractor Restricted	DSPS	Certification	8
Electrical - Residential Apprentice	DSPS	Registration	7
Electrical Contractor	DSPS	License	3,046
Electrician, Apprentice	DSPS	Registration	1,715
Electrician, Industrial Apprentice	DSPS	Registration	19
Electrician, Industrial Journeyman	DSPS	License	726
Electrician, Journeyman	DSPS	License	5,974
Electrician, Master	DSPS	License	5,743
Electrician, Master Registered	DSPS	Registration	665
Electrician, Registered (Beginning)	DSPS	Registration	2,287
Electrician, Residential Journeyman	DSPS	License	130
Electrician, Residential Master	DSPS	License	215
Electrologist	DSPS	License	164
Electrology Instructor (Certified)	DSPS	Certification	4
Elevator Apprentice	DSPS	Registration	195
Elevator Apprentice - Restricted	DSPS	Registration	1
Elevator Contractor	DSPS	License	57
Elevator Helper	DSPS	Registration	146
Elevator Inspector	DSPS	License	61
Elevator Mechanic	DSPS	License	620
Elevator Mechanic - Restricted	DSPS	License	10
Elevator Mechanic Temporary	DSPS	License	8
Engineer in Training	DSPS	Certification	1,893
Engineer, Professional	DSPS	Registration	16,162
Fire Detection, Prevention, and Suppression Inspector	DSPS	Certification	325
Firearms Certifier	DSPS	Certification	90
Fireworks Manufacturer	DSPS	License	15
Funeral Director	DSPS	License	1,195
Funeral Director Apprentice	DSPS	Permit	127
Funeral Director Embalming Only	DSPS	License	0
Funeral Director in Good Standing	DSPS	Certification	0
Geologist, Professional	DSPS	License	758
Hearing Instrument Specialist	DSPS	License	281
Home Inspector	DSPS	Registration	896
Home Medical Oxygen Provider	DSPS	License	174
HVAC Contractor	DSPS	Registration	3,322
HVAC Qualifier	DSPS	Certification	507
Hydrologist, Professional	DSPS	License	104
Independent Clinical Supervisor	DSPS	Certification	273
Interior Designer	DSPS	Registration	248
Intermediate Clinical Supervisor	DSPS	Certification	212

Occupation	Regulating Agency	Type of Regulation	No. Active Licenses
Juvenile Martial Arts Instructor	DSPS	Permit	67
Kickboxing Amateur Contestant	DSPS	License	1
Kickboxing Judge	DSPS	License	4
Kickboxing Referee	DSPS	License	2
Land Surveyor, Professional	DSPS	License	1,005
Landscape Architect	DSPS	License	406
Licensed Radiographer	DSPS	License	6,361
Lift Apprentice	DSPS	Registration	0
Lift Helper	DSPS	Registration	29
Lift Mechanic	DSPS	License	17
Limited X-Ray Machine Operator	DSPS	Permit	52
Liquified Gas Supplier	DSPS	License	155
Liquified Gas Supplier - Restricted	DSPS	License	73
Manicuring Instructor (Certified)	DSPS	Certification	40
Manicurist	DSPS	License	3,310
Manufactured Home Installer	DSPS	License	169
Manufactured Homes Dealer	DSPS	License	174
Manufactured Homes Sales Person	DSPS	License	356
Marriage and Family Therapist	DSPS	License	717
Marriage and Family Therapist, Training License	DSPS	License	275
Massage Therapist or Bodywork Therapist	DSPS	License	5,136
Matchmaker (Unarmed Combat Sports)	DSPS	License	6
Medicine and Surgery (DO)	DSPS	License	2,154
Medicine and Surgery (MD)	DSPS	License	23,775
Mixed Martial Arts Amateur Contestant	DSPS	License	144
Mixed Martial Arts Judge	DSPS	License	8
Mixed Martial Arts Professional Contestant	DSPS	License	44
Mixed Martial Arts Referee	DSPS	License	3
Mobile Dentistry Program Registrant	DSPS	Registration	36
Muay Thai Amateur Contestant	DSPS	License	2
Muay Thai Judge	DSPS	License	2
Muay Thai Referee	DSPS	License	1
Music Therapist	DSPS	Registration	59
Nurse - Midwife	DSPS	License	393
Nurse, Advanced Practice Prescriber	DSPS	Certification	6,566
Nurse, Licensed Practical	DSPS	License	13,451
Nurse, Registered	DSPS	License	104,423
Nursing Home Administrator	DSPS	License	978
Occupational Therapist	DSPS	License	3,796
Occupational Therapy Assistant	DSPS	License	1,486
Optometrist	DSPS	License	1,085
Peddler	DSPS	License	45
Perfusionist	DSPS	License	149
Pharmacist	DSPS	License	8,924
Physical Therapist	DSPS	License	6,126
Physical Therapist Assistant	DSPS	License	2,232
Physician Assistant	DSPS	License	3,080
Pipe Layer	DSPS	Registration	865
Plumber - Journeyman Restricted Appliance	DSPS	License	300
Plumber - Journeyman Restricted Service	DSPS	License	241
Plumber - Master Restricted Appliance	DSPS	License	199
Plumber - Master Restricted Service	DSPS	License	525
Plumber, Journeyman	DSPS	License	2,694
Plumber, Master	DSPS	License	2,976
Plumbing Apprentice	DSPS	Registration	957
Plumbing Learner - Restricted Appliance	DSPS	Registration	140
Plumbing Learner - Restricted Service	DSPS	Registration	154
Podiatric Medicine and Surgery	DSPS	License	405
POWTS Inspector	DSPS	Certification	429
POWTS Maintainer	DSPS	Registration	591
Prevention Specialist	DSPS	Certification	36

Occupation	Regulating Agency	Type of Regulation	No. Active Licenses
Prevention Specialist-in-Training	DSPS	Certification	54
Private Detective	DSPS	License	1,044
Private Practice of School Psychologist	DSPS	License	31
Private Security Person	DSPS	Permit	10,846
Professional Boxing Promoter	DSPS	License	1
Professional Mixed Martial Arts Promoter	DSPS	License	1
Psychologist	DSPS	License	1,797
Real Estate Broker	DSPS	License	9,620
Real Estate Salesperson	DSPS	License	13,822
Registered Sanitarian	DSPS	Registration	273
Resident Educational License	DSPS	License	1,011
Respiratory Care Practitioner	DSPS	Certification	3,131
Ringside Physician	DSPS	License	6
Second (Unarmed Combat Sports)	DSPS	License	152
Sign Language Interpreter	DSPS	License	355
Sign Language Interpreter- Restricted	DSPS	License	45
Social Worker	DSPS	Certification	5,546
Social Worker Training Certificate	DSPS	Certification	310
Social Worker, Advanced Practice	DSPS	Certification	3,340
Social Worker, Independent	DSPS	Certification	261
Social Worker, Licensed Clinical	DSPS	License	3,625
Soil Erosion Inspector	DSPS	Certification	204
Soil Scientist, Professional	DSPS	License	96
Soil Tester	DSPS	Certification	769
Speech-Language Pathology	DSPS	License	2,217
Substance Abuse Counselor	DSPS	Certification	654
Substance Abuse Counselor-in-Training	DSPS	Certification	1,178
Tattooist	DSPS	License	1,236
Timekeeper (Unarmed Combat Sports)	DSPS	License	2
Timeshare Salesperson	DSPS	Registration	314
UDC - Construction Inspector	DSPS	Certification	901
UDC - Electrical Inspector	DSPS	Certification	658
UDC - HVAC Inspector	DSPS	Certification	802
UDC - Plumbing Inspector	DSPS	Certification	802
Unarmed Combat Sports Promoter	DSPS	License	9
Utility Contractor	DSPS	License	311
Weld Test Conductor	DSPS	Certification	143
Welder	DSPS	Registration	4,449
Certified Private Rehabilitation Specialist	DWD	Certificate	92
License to Appear at a Worker's Compensation Hearing Agent/Representative	DWD	License	18
Private Employment Agent License	DWD	License	12
Private Employment Agent Registration	DWD	Registration	237
Lobbyist	Ethics	License	632
Insurance producer, Intermediary (Agent)	OCI	License	153,277
<b>Total:</b>	<b>280</b>		<b>1,023,142</b>

## Appendix B - State Comparison List of Regulated Occupations

The following is a list of occupations that are regulated in Wisconsin and in less than or equal to 20 other states. It is possible that additional regulated occupations could fall under this category. However, either the data was unavailable for some occupations or may have been inconclusive (i.e. data not available for all states). Therefore, this list only includes occupations where data was available. Research revealed that some local municipalities or counties, rather than the state, administered and required certain occupational licenses. In other states, the state regulatory agency accepts a credential issued by a professional or trade organizations but does not issue or require a separate state license. Therefore, for comparison purposes, states were only counted if the similar license type is administered and *required* by the state regulatory agency.

Title of License	Agency	Number of Other States that Regulate Similar License Type
Buttermaker	DATCP	0
Certified Private Rehabilitation Specialist	DWD	0
Cheesemaker	DATCP	0
Designer of Engineering Systems	DSPS	0
Funeral Director in Good Standing	DSPS	0
Humane Officer	DATCP	0
Hydrologist, Professional	DSPS	0
License to Appear at a Worker's Compensation Hearing Agent/Representative	DWD	0
Marriage and Family Therapist, Training License	DSPS	0
Nurse, Advanced Practice Prescriber	DSPS	0
Plumber - Master Restricted Service	DSPS	0
Prevention Specialist-in-Training	DSPS	0
Private Practice School Psychologist	DSPS	0
Substance Abuse Counselor-in-Training	DSPS	0
Dance Therapist	DSPS	1
Juvenile Martial Arts Instructor	DSPS	1
Plumber - Master Restricted Appliance	DSPS	1
Private Employment Agent Registration	DWD	1
Sign Language Interpreter- Restricted	DSPS	1
Veterinarian - Temporary Consulting Permit	DATCP	1
Electrician, Master Registered	DSPS	2
Elevator Helper	DSPS	2
Lift Helper	DSPS	2
Plumber - Journeyman Restricted Service	DSPS	2
Weld Test Conductor	DSPS	2
Automatic Fire Sprinkler Tester Learner	DSPS	3
Electrician, Industrial Journeyman	DSPS	3
Electrician, Registered (Beginning)	DSPS	3
Plumber - Journeyman Restricted Appliance	DSPS	3
Plumbing Learner - Restricted Service	DSPS	3
Social Worker Training Certificate	DSPS	3
Interior Designer	DSPS	4
Plumbing Learner - Restricted Appliance	DSPS	4
Soil Erosion Inspector	DSPS	4
Veterinarian - Faculty License	DATCP	4
Electrical - Residential Apprentice	DSPS	5
Electrician, Industrial Apprentice	DSPS	5
Elevator Mechanic - Restricted	DSPS	5
Lift Apprentice	DSPS	5
Peddler	DSPS	5
Soil Tester	DSPS	5
Automatic Fire Sprinkler Contractor - Maintenance	DSPS	6
Elevator Apprentice - Restricted	DSPS	6
Intermediate (EMT)	DHS	6

Title of License	Agency	Number of Other States that Regulate Similar License Type
Liquified Gas Supplier - Restricted	DSPS	6
Chiropractic Radiological Technician	DSPS	7
Elevator Mechanic Temporary	DSPS	7
Music Therapist	DSPS	7
Automatic Fire Sprinkler Fitter - Maintenance	DSPS	8
Cemetery Preneed Seller	DSPS	8
Cemetery Salesperson	DSPS	8
Electrician, Residential Master	DSPS	8
Funeral Director Apprentice	DSPS	8
Lift Mechanic	DSPS	8
Soil Scientist, Professional	DSPS	8
Welder	DSPS	8
Art Therapist	DSPS	11
Athlete Agent	DSPS	11
Automatic Fire Sprinkler System Tester	DSPS	11
Cosmetology Training Permit	DSPS	11
Dwelling Contractor Restricted	DSPS	11
Firearms Certifier	DSPS	11
Automatic Fire Sprinkler System Apprentice	DSPS	12
Electrician, Residential Journeyman	DSPS	12
Anesthesiologist Assistant	DSPS	13
Blaster Class 7	DSPS	13
Commercial Plumbing Inspector	DSPS	13
Elevator Apprentice	DSPS	13
Mobile Dentistry Program Registrant	DSPS	13
Commercial Electrical Inspector	DSPS	14
Representative License	DOT	14
Salvage Buyer License	DOT	14
UDC - Electrical Inspector	DSPS	14
Blaster Class 5	DSPS	15
Blaster Class 6	DSPS	15
Cigarette salesperson	DOR	15
Pipe Layer (Non-contractor)	DSPS	15
Tattooist	DSPS	15
Tobacco products salesperson	DOR	15
Blaster Class 2	DSPS	16
Blaster Class 3	DSPS	16
Blaster Class 4	DSPS	16
Dwelling Contractor Qualifier	DSPS	16
Perfusionist	DSPS	16
POWTS Inspector	DSPS	16
UDC - Construction Inspector	DSPS	16
UDC - Plumbing Inspector	DSPS	16
Utility Contractor	DSPS	16
Cross Connection Control Tester	DSPS	17
Auctioneer	DSPS	18
Commercial Building Inspector	DSPS	18
Cosmetology Temporary Permit	DSPS	18
Muay Thai Amateur Contestant	DSPS	18
Muay Thai Professional Contestant	DSPS	18
POWTS Maintainer	DSPS	18
UDC - HVAC Inspector	DSPS	18
Automatic Fire Sprinkler Fitter - Journeyman	DSPS	19
HVAC Qualifier	DSPS	19
Manufactured Homes Sales Person	DSPS	19
Fundraising Counsel	DFI	20
Social Worker, Independent	DSPS	20

## Appendix C - List of Occupations Recommended for Reform

The following occupations are recommended for elimination by the regulatory agency:

Occupation and Type of Regulation	No. Issued	Agency	Recommendation and Reason
<b>Veterinarian Faculty</b>  License	33	DATCP	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>• The university could be responsible for verifying credentials, qualifications, and performance of veterinary faculty under their employ.</li> <li>• There have been 0 complaints over the past 5 years.</li> <li>• Only 4 states issue this type of license and typically grant the license on a temporary basis, such as one year.</li> </ul>
<b>Veterinarian – Temporary Consulting</b>  Permit	0	DATCP	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>• Very few licenses of this type are issued, making this credential unnecessary.</li> <li>• The requesting Wisconsin-licensed veterinarian who request the assistance could be responsible for verifying credentials, qualifications and performance of a consulting veterinarian licensed in another state.</li> <li>• There have been 0 complaints over the past 5 years.</li> <li>• Only 1 other state, California, issues a license for this occupation.</li> </ul>
<b>Community Currency Exchanger</b>  License	167	DFI	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>• There are alternative avenues in place for cash transmission such as electronic transactions rather than check cashing.</li> <li>• There have been 9 complaints received over the past 5 years with 0 resulting in disciplinary action.</li> <li>• 30 other states have similar titles for this license type.</li> </ul>
<b>Insurance Premium Finance Companies</b>  License	32	DFI	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>• The marketplace product and services has moved away from consumers and is instead a product/service used primarily in business/commercial setting. It would not harm consumers to eliminate this regulation.</li> <li>• Since 2004, there’s been 1 instance of consumers being overcharged (&lt;\$75). Money was refunded to harmed consumers.</li> <li>• Only 7 other states regulate this license type.</li> </ul>
<b>Solid Waste Incinerator Operator</b>  Certification	25	DNR	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>• Wisconsin is currently providing a service to Wisconsin incinerator operators by proctoring an exam and providing certification, NR 499.09, Wis. Adm. Code, and s. 285.51, Stats., to meet state and federal requirements.</li> <li>• Regulated sources could travel out of state or create their own in-house program; however, consideration should be given to the additional financial cost.</li> <li>• There have been 0 complaints over the past 5 years.</li> <li>• It is unknown how many other states require certification for this occupation.</li> </ul>

Occupation and Type of Regulation	No. Issued	Agency	Recommendation and Reason
<p><b>Cigarette Salesperson</b></p> <p>Permit</p>	685	DOR	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>• This regulation is a duplication of effort and could be eliminated because manufacturers and distributors are required to get their own permits and may already be doing background checks on their employees for public protection.</li> <li>• There have been 0 complaints received over the past 5 years.</li> <li>• 15 other states regulate this license type.</li> </ul>
<p><b>Liquor Salesperson</b></p> <p>Permit</p>	3,017	DOR	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>• This regulation is a duplication of effort and could be eliminated because manufacturers and distributors are required to get their own permits and may already be doing background checks on their employees for public protection.</li> <li>• There have been 0 complaints received over the past 5 years.</li> <li>• 20 other states regulate this license type.</li> </ul> <p>Note: While not issued by the state, there are statutory requirements regarding responsible beverage servers (bartender licenses). These are issued by local governments with some criteria set out in state statutes.</p>
<p><b>Tobacco Products Salesperson</b></p> <p>Permit</p>	760	DOR	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>• This regulation is a duplication of effort and could be eliminated because manufacturers and distributors are required to get their own permits and may already be doing background checks on their employees for public protection.</li> <li>• There have been 0 complaints received over the past 5 years.</li> <li>• 15 other states regulate this license type. (Data combined with cigarette salesperson.)</li> </ul>
<p><b>Buyer Identification Card</b></p> <p>License</p>	N/A	DOT	<p><b>Agency Recommendation: Consider Elimination</b></p> <ul style="list-style-type: none"> <li>• Elimination of this license may warrant discussion regarding its applicability in today's industry.</li> <li>• When this license was created the industry conducted almost all auctions in person. Since then the salvage pool industry has migrated to an online platform and almost all purchases are made online. Because of this enforcement is almost impossible as it would require a regulator to observe the buyer in the act of bidding which often takes place in businesses or residences. However, the rescission of this license would result in an annual revenue loss of \$21,636 to DOT (ea. Cost \$6-\$12/year).</li> <li>• The public does not directly benefit from the regulation of this licensee.</li> <li>• This regulation was found in 10 other states.</li> </ul>
<p><b>Certified Private Rehabilitation Specialist</b></p> <p>Certificate</p>	92	DWD	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>• Injured employees with worker's compensation claims who are seeking vocational rehabilitation services may receive these services sooner through a private resource than through the State.</li> <li>• There have been 0 complaints received over the past 5 years.</li> <li>• This license type is not regulated by any other state.</li> </ul>

Occupation and Type of Regulation	No. Issued	Agency	Recommendation and Reason
License to Appear at Worker's Compensation Hearing Agent/ Representative	18	DWD	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>• The public is protected because only attorneys licensed in Wisconsin and individuals approved by DWD through this licensing process can represent individuals in a Worker's Compensation Hearing.</li> <li>• There have been 0 complaints received over the past 5 years.</li> <li>• This license type is not regulated by any other state.</li> </ul>
Private Employment Agent License	12	DWD	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>• The license requirement applies to agents who charge a fee to applicants seeking work. Most licensed agencies are modeling agencies.</li> <li>• There is no evidence of public harm.</li> <li>• A prohibition on certain practices would be a more economic and effective way of regulating as other industries are not regulated in this manner.</li> <li>• This regulation is archaic and no longer serves a purpose.</li> <li>• There have been 0 complaints received over the past 5 years.</li> <li>• 23 other states regulate this license and require either a license or permit or both. Some states have repealed this license over the past 5 years.</li> </ul>
Private Employment Agent Registration	237	DWD	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>• Same reasons as licensed agent.</li> <li>• This regulation is archaic and no longer serves a purpose.</li> <li>• There have been 0 complaints received over the past 5 years.</li> <li>• Only 1 other state regulates this occupation.</li> </ul>
Cosmetology Temporary Permit	372	DSPS	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>• Only 19 other states require or offer a temporary permit for cosmetologists.</li> <li>• DL Roope (a cosmetology examination provider) administers these permits with the approval of DSPS. The applicants inform DL Roope on their examination application that they are interested in receiving a temporary permit. DL Roope sends DSPS the list of individuals who are interested in receiving a temporary permit, and DSPS staff cross checks these individuals with a list of individuals who have been given training certificates by the cosmetology schools.</li> <li>• By eliminating DSPS' administration over this permit, the public can be protected through allowing the organization who already manages this program to administer the permits.</li> <li>• Since DL Roope oversees the application process for this permit, the Department is currently not adding any kind of public protection over this credential besides serving in a "middle-man" role between the cosmetology schools and this examination provider.</li> <li>• There is no disciplinary data available on this license type as DSPS does not administer the permit.</li> </ul>
Cosmetology Training Permit	0	DSPS	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>• Only 12 other states require a training permit for cosmetologists. All states except Wisconsin require this permit within the boundaries of an internship, apprenticeship, or educational setting for students.</li> <li>• DSPS has not administered or offered these permits since at least 2015.</li> </ul>

Occupation and Type of Regulation	No. Issued	Agency	Recommendation and Reason
<p align="center"><b>Designer of Engineering Systems</b></p> <p align="center">Permit</p>	749	DSPS	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>• The job duties of these individuals could be picked up through other credentials such as professional engineers, architects, HVAC contractors, Plumbers, Electricians, POWTS Maintainer and Fire Detection, Prevention and Suppression Inspectors.</li> <li>• The license requirements for this permit are very steep.</li> <li>• According to Wis. Stats. 442.07(5) The permit shall restrict the holder to the specific field and subfields of designing in which the permittee acquired his or her experience in designing. If qualified in more than one type of designing, persons may receive permits for more than one field or subfield of designing as may be determined by the designer section.</li> <li>• There have been 0 complaints resulting in disciplinary action within the last 5 years.</li> <li>• There are no other states besides that license this occupation.</li> </ul>
<p align="center"><b>Music Therapist</b></p> <p align="center">Registration</p>	59	DSPS	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>• According to Wis. Admin Code SPS 141.01(4), an applicant can receive a license as a music therapist if the applicant submits proof that they are certified or registered as a music therapist by the Certification Board for Music Therapists, National Music Therapy Registry, American Music Therapy Association, or by another national organization that certifies, registers, or accredits music therapists. Because this is the only noted requirement for licensure outside of conviction review, it would be appropriate to say that the public would be aptly protected by the certification of these individuals exclusively through registration with these outside organizations.</li> <li>• There have been 0 complaints resulting in disciplinary action within the last 5 years.</li> </ul>
<p align="center"><b>Art Therapist</b></p> <p align="center">Registration</p>	64	DSPS	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>• According to Wis. Admin Code SPS 141.01(4), an applicant can receive a license as an art therapist if the applicant submits proof that they are certified or registered as an art therapist by the by the Art Therapy Credentials Board or by another national organization that certifies, registers, or accredits art therapists. Because this is the only noted requirement for licensure outside of conviction review, it would be appropriate to say that the public would be aptly protected by the certification of these individuals exclusively through registration with these outside organizations.</li> <li>• There have been 0 complaints resulting in disciplinary action within the last 5 years.</li> <li>• 11 other states regulate art therapists.</li> </ul>

Occupation and Type of Regulation	No. Issued	Agency	Recommendation and Reason
Dance Therapist Registration	7	DSPS	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>According to Wis. Admin Code SPS 141.01(4), an applicant can receive a license as a dance therapist if the applicant submits proof that they are certified or registered as a dance therapist by the American Dance Therapy Association or by another national organization that certifies, registers, or accredits dance therapists. Because this is the only noted requirement for licensure outside of conviction review, it would be appropriate to say that the public would be aptly protected by the certification of these individuals exclusively through registration with these outside organizations.</li> <li>There have been 0 complaints resulting in disciplinary action within the last 5 years.</li> <li>Only 1 other state regulates dance therapists.</li> </ul>
Blaster Class 1 License	42	DSPS	<p><b>Agency Recommendation: Retain blaster license but eliminate separate classifications.</b></p> <ul style="list-style-type: none"> <li>Wisconsin State statute does not require seven different classes of licensure for blasters. Therefore, there is no statutory authority for seven distinct licenses (Wis. stats.101.19 (1g) (c).</li> <li>The multiple levels of classification of this license is inconsistent with other states as no other states license seven levels of this credential.</li> <li>DSPS does not distinguish between classes of blasters when processing complaints and disciplinary data.</li> </ul>
Blaster Class 2 License	100	DSPS	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>See Baster Class 1</li> </ul>
Blaster Class 3 License	18	DSPS	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>See Baster Class 1</li> </ul>
Blaster Class 4 License	6	DSPS	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>See Baster Class 1</li> </ul>
Blaster Class 5 License	162	DSPS	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>See Baster Class 1</li> </ul>
Blaster Class 6 License	81	DSPS	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>See Baster Class 1</li> </ul>
Blaster Class 7 License	13	DSPS	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>See Baster Class 1</li> </ul>
Intermediate Clinical Supervisor License	273	DSPS	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>The requirements for intermediate clinical supervisor and independent clinical supervisor are the same (SPS 161.05), therefore, issuing two credentials with the same requirements is unnecessary.</li> <li>The Substance Abuse Counselor Certification Review Committee recommended eliminating the intermediate clinical supervisor at their meeting on March 22, 2017.</li> </ul>
Interior Designer Registration	248	DSPS	<p><b>Agency Recommendation: Eliminate</b></p> <ul style="list-style-type: none"> <li>Only 4 other states regulate this license type.</li> <li>The regulation of interior designers has been identified by several studies as the most burdensome licensing requirement of all occupations.</li> </ul>

## Appendix D – State Agency Occupational Licensure Survey

**Thank you for participating in the Wisconsin Occupational License Study survey. Your feedback is important.**

[2017 Wisconsin Act 59](#), section 9139, requires the Department of Safety and Professional Services (DSPS) to submit a report to the Governor and the Legislature that includes recommendations for reform relating to Wisconsin's occupational licenses. To meet this requirement, DSPS is conducting a study to determine which occupational licenses are truly needed to protect the public, and explore if less restrictive alternatives may be appropriate.

The purpose of this survey is to collect data and input from each state agency. Your response to the survey questions will ensure accurate identification of each license the state requires, as well as the burdens associated with each license. The data and input collected will be used to provide recommendations for reform and improvement of Wisconsin's occupational licensing requirements.

Your participation by thoroughly answering the survey questions is vital to the success of this study and necessary to fulfill the request of the Governor and Legislature.

The following section will assist you in answering the questions appropriately.

### **Instructions to Survey Respondents:**

1. **Survey Method:** To begin the survey, click on the following link: [Wisconsin Occupational License Study](#). The survey is designed to allow your agency to submit multiple entries if more than one Division or Bureau regulates an occupational license.
2. **Deadline to Submit:** The deadline to complete the survey is **Friday, March 30, 2018**. Agencies must complete the survey by this date.
3. **Assistance:** Questions for assistance with the survey may be sent to [DSPSLicensureFeedback@Wisconsin.gov](mailto:DSPSLicensureFeedback@Wisconsin.gov). Please consult with your agency's Chief Legal Counsel to determine if your agency regulates an occupation included in the licensing definition.
4. **Survey Questions:** This linked document contains all of the questions that are included in this survey. Since additional research and outreach to other states may be necessary to appropriately respond to certain questions, you may wish to use this document as a guide to gather the information and data prior to beginning the survey. The survey may automatically skip certain questions based on your response to the previous question. Therefore, some of the questions listed in the document may not be visible or applicable to your specific agency.

**\* 1. Please provide your name and title, agency name, and contact information for the person completing this survey.**

Name & Title of Person Completing Survey	<input type="text"/>
Agency Name	<input type="text"/>
Email Address	<input type="text"/>
Phone Number	<input type="text"/>

**\* 2. Does your agency issue or regulate any occupational licenses?** *(Note: If you are unsure whether your agency meets the definition listed below, please consult with your agency's Chief Legal Counsel.)*

"Occupational license" means any of the following:

- a. A license, permit, certification, registration, or other approval granted under §167.10 (6m) or chapters 101, 145, or 440 to 480 of the statutes.
- b. A license, permit, certification, registration, or other approval not included above if granted to an individual by this state in order that the individual may engage in a profession, occupation, or trade in this state or in order that the person may use one or more titles in association with his or her profession, occupation, or trade.

Yes

No

**\* 3. Please provide the best point of contact for each occupation your agency regulates.** *(Note: These individuals may be different than the person(s) completing the survey.)*

Please include a contact name, email, and phone number. For example:

1. [Occupation]: Contact name, email address, phone number
2. [Occupation]: Contact name, email address, phone number

**\* 4. List each occupation that your agency regulates, the type of license, and the number of active licensees for each type.**

Please number and list each occupation on a separate line. For example:

1. Physician: License; 8,500
2. Wastewater Operator: Certificate; 2,300
3. Interior Designer: Registration; 1,200
4. Funeral Establishment Operator: Permit; 450

**\* 5. List each licensed occupation and the related barriers or substantial hardships that individuals may face to achieve licensure.**

Please number and list each occupation on a separate line. For example:

1. Physician: [Explanation of barriers]
2. Wastewater Operator: [Explanation of barriers]
3. Interior Designer: [Explanation of barriers]
4. Funeral Establishment Operator: [Explanation of barriers]

**\* 6. Specify each licensed occupation and the related estimated costs imposed on individuals or entities as a result of regulation.** *(Note: Please itemize the estimated costs for each category, which includes, but is not limited to, the following: initial licensing fee, tuition, examination fees, registration/credential fees, cost of continuing education required for relicensure, other costs individuals or entities may incur in order to obtain the required license, permit, certification, registration, or other approval granted by this state in order to engage in a profession, trade, or occupation.)*

Please number and list each occupation and related costs on a separate line. For example:

1. [Occupation]: \$ [Total estimated cost]

- a. Licensing fee: \$
- b. Initial Tuition/Education/Training: \$
- c. Continuing Education: \$
- d. Examination fees: \$
- e. [Other costs - please itemize]: \$

2. [Occupation]: \$ [Total estimated cost]

- a. Licensing fee: \$
- b. Initial Tuition/Education/Training: \$
- c. Continuing Education: \$
- d. Examination fees: \$
- e. [Other costs - please itemize]: \$

3. [Entity]: \$ [Total estimated cost]

- a. Application fee: \$
- b. Permit Fee: \$
- c. [Other costs - please itemize]: \$

4. [Entity]: \$ [Total estimated cost]

- a. Application fee: \$
- b. Permit Fee: \$
- c. [Other costs - please itemize]: \$

**7. Is your agency aware of any instances where occupational licensing regulations have impacted the cost or availability of consumer goods or services? [i.e. increased costs for goods or services, decreased availability of practitioners]**

Yes

No

**8. Please provide specific examples where state licensing regulations have impacted the cost or availability of consumer goods or services.**

**\* 9. Can the public reasonably expect to benefit due to the regulation of any of these occupations?**

Yes

No

Other: [Please specify]

**\* 10. For each occupation, provide an explanation and supporting evidence to show how the public can reasonably expect to benefit due to the regulation of the occupation. Include research findings or other evidence to show how the benefit is measured.**

Please number and list each occupation on a separate line. For example:

1. [Occupation]: [Measurable benefit, supporting evidence]
2. [Occupation]: [Measurable benefit, supporting evidence]
3. [Occupation]: [Measurable benefit, supporting evidence]
4. [Occupation]: [Measurable benefit, supporting evidence]

**\* 11. Specify the occupation and explain why the public may not reasonably expect to benefit due to the regulation of that occupation.**

Please number and list each occupation on a separate line. For example:

1. [Occupation]: [Explanation]
2. [Occupation]: [Explanation]
3. [Occupation]: [Explanation]
4. [Occupation]: [Explanation]

\* 12. **Would the unregulated practice of any of the currently licensed occupations cause harm or endanger the public health, safety, or welfare?** *(Note: The potential for harm must be recognizable and not speculative and the consequences of incompetence are substantial and irreversible.)*

- Yes
- No
- Don't know

\* 13. **For each occupation, list the specific public harm or danger that could occur due to unregulated providers.** *(Note: The potential for harm must be recognizable and not speculative and the consequences of incompetence are substantial and irreversible.)*

Please number and list each occupation on a separate line. For example:

- 1. [Occupation]: [Explanation]
- 2. [Occupation]: [Explanation]
- 3. [Occupation]: [Explanation]
- 4. [Occupation]: [Explanation]

\* 14. **For any of the licensed occupations, could the general public be reasonably protected from potential harm or danger through less restrictive means (other than licensing)?**

- Yes
- No

**\* 15. For each occupational group, provide examples of alternative means (other than regulation or licensing) that could protect the general public from potential harm or danger.**

Please number and list each occupation on a separate line. For example:

1. [Occupation]: [Alternatives]

2. [Occupation]: [Alternatives]

3. [Occupation]: [Alternatives]

**\* 16. List the occupations that would not subject the general public to harm or danger should that occupation become unregulated.**

Please number and list each occupation on a separate line.

**\* 17. Has your agency received any licensing complaints in the previous five years (2013-2017) for any of the occupations that you regulate?**

Yes

No

**\* 18. For each occupation, list the number of complaints that have been received in each of the previous five years (2013-2017). In addition, indicate how many of those complaints resulted in opening an investigation, and how many resulted in disciplinary action.**

Please number and list each occupation on a separate line. For example:

1. [Occupation]:

2013: 15 received, 14 investigated, 10 disciplinary action;  
2014: 20 received, 18 investigated, 15 disciplinary action;  
2015: 25 received, 20 investigated, 12 disciplinary action;  
2016: 30 received, 25 investigated, 20 disciplinary action;  
2017: 35 received, 30 investigated, 25 disciplinary action.

2. [Occupation]:

2013: 15 received, 14 investigated, 10 disciplinary action;  
2014: 20 received, 18 investigated, 15 disciplinary action;  
2015: 25 received, 20 investigated, 12 disciplinary action;  
2016: 30 received, 25 investigated, 20 disciplinary action;  
2017: 35 received, 30 investigated, 25 disciplinary action.

**\* 19. For each occupation, list the top three types of complaints your agency received over the previous five years (2013-2017).**

For each occupation and year, please number and list the top complaints on a separate line. a=top complaint; b=2nd top complaint, c=3rd top complaint. For example:

1. [Occupation]:

- a. Practicing without a license
- b. Operating beyond the Scope of Practice
- c. Failure to disclose discipline from another state

2. [Occupation]:

- a. Breach of contract
- b. Failure to comply with educational requirements
- c. Practicing without required supervision

**\* 20. Has there been evidence of specific public harm that occurred prior to any of these occupations being regulated in Wisconsin?**

- Yes
- No
- Don't know

**\* 21. For each occupation, provide specific examples and documented evidence of the public harm that was caused due to this occupation being unregulated.**

Please number and list each occupation on a separate line. For example:

1. [Occupation]: [type of Harm],  
[Specific evidence - documented court case, etc.]

2. [Occupation]: [type of Harm],  
[Specific evidence - documented court case, etc.]

3. [Occupation]: [type of Harm],  
[Specific evidence - documented court case, etc.]

4. [Occupation]: [type of Harm],  
[Specific evidence - documented court case, etc.]

**\* 22. Do other states license or regulate any of these occupations or professional scopes of practice?**

Yes

No

\* 23. **For each occupation, list the state(s) and how they regulate that occupation.** [i.e. credential, certification, license, permit, registration, etc.]

Please number and list each occupation on a separate line. For example:

1. [Occupation]:

Illinois: certification

California: license

Minnesota: permit

Michigan: registration

2. [Occupation]:

Arkansas: permit

Idaho: license

Maine: certification

New Mexico: registration

New York: credential

\* 24. **For each occupation, specify the requirement for each type of regulation and renewal.** [e.g. years of initial didactic or practical education, continuing education hours, exam, refreshers, apprenticeship, internship, field experience, etc.]

Please number and list each occupation on a separate line. For example:

1. [Occupation]:

Illinois: [Requirement]

California: [Requirement]

Minnesota: [Requirement]

Michigan: [Requirement]

2. [Occupation]:

Arkansas: [Requirement]

Idaho: [Requirement]

Maine: [Requirement]

New Mexico: [Requirement]

New York: [Requirement]

25. **For each state that provides a different type of regulation than Wisconsin, provide evidence of any specific public harm that occurred due to that state's type of regulation for that occupation.**

Please number and list each occupation on a separate line. For example:

1. [Occupation]:

[State]: [Type of regulation]; [Harm caused and supporting evidence]

[State]: [Type of regulation]; [Harm caused and supporting evidence]

[State]: [Type of regulation]; [Harm caused and supporting evidence]

2. [Occupation]:

[State]: [Type of regulation]; [Harm caused and supporting evidence]

[State]: [Type of regulation]; [Harm caused and supporting evidence]

[State]: [Type of regulation]; [Harm caused and supporting evidence]

**26. For each occupation, provide evidence of any specific public harm that occurred prior to this occupation being regulated in that state.**

Please number and list each occupation on a separate line. For example:

1. [Occupation]:

[State]: [information/evidence of harm];

[State]: [information/evidence of harm];

[State]: [information/evidence of harm].

2. [Occupation]:

[State]: [information/evidence of harm];

[State]: [information/evidence of harm];

[State]: [information/evidence of harm].

**\* 27. For each state that does not regulate these occupations, has any specific public harm occurred due to the occupation being unregulated?**

Yes

No

Don't know

**\* 28. For each unregulated occupation, provide evidence of the specific public harm that occurred in that state [e.g. news articles or releases, etc.]**

Please number and list each occupation on a separate line. For example:

1. [Occupation]:

[State]: [information/evidence of harm];

[State]: [information/evidence of harm];

[State]: [information/evidence of harm].

2. [Occupation]:

[State]: [information/evidence of harm];

[State]: [information/evidence of harm];

[State]: [information/evidence of harm].

**\* 29. Provide a summarizing statement from your agency or board why the license for each occupation that your agency regulates is warranted or should be eliminated.**

Please number and list each occupation on a separate line. For example:

1. [Occupation]: [Retain Regulation or Eliminate - Summarizing statement]

2. [Occupation]: [Retain Regulation or Eliminate - Summarizing statement]

3. [Occupation]: [Retain Regulation or Eliminate - Summarizing statement]

4. [Occupation]: [Retain Regulation or Eliminate - Summarizing statement]

30. Do you have any additional comments, questions, or concerns that you would like to share?

### Intro

Thank you for participating in the Wisconsin Occupational License Study survey. Your feedback is important. The deadline for participation is December 10, 2018.

Pursuant to 2017 Wisconsin Act 59, the Department of Safety and Professional Services (DPS) is required to submit a report to the Governor and the Legislature that includes recommendations for reform relating to Wisconsin's occupational licenses.

The data and input collected will be used to provide recommendations for reform and improvement of Wisconsin's occupational licensing requirements.

### Please Read:

The terms below are used in the survey and defined as follows:

**“License” means a state of Wisconsin-issued occupational license, credential, certification, or registration. “License” does not include permits, facility or establishment licenses, business licenses (such as a liquor license or vending license), or licenses required by a local or municipal ordinance.**

**“Main job or occupation” means your current and main occupation or job, job from which you are on layoff, or job at which you last worked if you are between jobs.**

**\* Do you have a currently active occupational or professional license or credential that is issued by the state of Wisconsin?**

- Yes, I have an active license that is issued by the State of Wisconsin.
- No, my license application is pending.
- No, my license is inactive or expired.
- No, I do not hold a Wisconsin state-issued license.

**\* Specify the type of active license that you hold. If you hold multiple licenses, select the category type that best describes the license you use for your primary/main occupation.**

- Animal or Agriculture related
- Banking and Financial related (includes investments, insurance, lenders, collectors, tax assessor, charitable fundraising)
- Business related
- Chemical, Environmental, or Utilities Dealer, Supplier, or Applicator (includes fuel, gas, oil, water, power, pesticides, asbestos, hazardous materials, or waste products)
- Educator or School related (includes instructor, teacher, administrator, or service provider of elementary, secondary, postsecondary education)
- Food or Restaurant related
- Health or Medical related
- Legal, Security, or Enforcement related (i.e. attorney, investigator, inspector, tester, certifier, private detective, notary, etc.)
- Product or Vehicle Manufacturer, Broker, or Dealer
- Sales related
- Sports related
- Social Services (includes child and adult care services)
- Trades related
- Other (please specify)

**\* How useful is your license for each of the following?**

**a. Getting a job?**

- Extremely useful
- Very useful
- Somewhat useful
- Not so useful
- Not at all useful

**\* b. Keeping a job?**

- Extremely useful
- Very useful
- Somewhat useful
- Not so useful
- Not at all useful

**\* c. Keeping you marketable to employers or clients?**

- Extremely useful
- Very useful
- Somewhat useful
- Not so useful
- Not at all useful

**\* d. Improving your work skills?**

- Extremely useful
- Very useful
- Somewhat useful
- Not so useful
- Not at all useful

**\* e. Increasing your wages/salary?**

- Extremely useful
- Very useful
- Somewhat useful
- Not so useful
- Not at all useful

\* Which of the following was required to obtain your license associated with your primary occupation? (Check all that apply.)

- High school diploma or equivalent
- Passing a test
- Demonstrating certain skills
- Completing an internship or apprenticeship
- Previous job-related experience
- Technical certification (Less than 2 years)
- Some college, no degree
- Associate degree
- Master's degree
- Doctoral or professional degree
- None of the above
- Other (please specify)

\* About how many hours of instruction did you complete to obtain your license associated with your primary occupation?

- Less than 40 hours
- 40-159 hours
- 160 to 479 hours
- 480 hours (half a full-time school year) to 959 hours
- 960 hours (1 full-time school year) or more

\* **Select the category that best describes the *initial* costs you incurred to *obtain* your license associated with your *primary* occupation.** (Include costs for initial education/tuition, registration fees, initial licensing fees, exam fees, **required** association fees, or other **required** costs you incurred to obtain your license.)

- Zero to \$200
- \$201 to \$500
- \$201 to \$500
- \$501 to \$1,000
- \$1,001 to \$5,000
- \$5,001 to \$10,000
- \$10,001 to \$50,000
- \$50,001 to \$100,000
- Greater than \$100,000

\* **Select the category that best describes the *ongoing* costs you incur to *retain* your license associated with your *primary* occupation.** (Include costs for continuing education, registration fees, renewal licensing fees, exam fees, **required** association fees, or other **required** costs you incur in order to keep your license.)

- Zero to \$200
- \$201 to \$500
- \$201 to \$500
- \$501 to \$1,000
- \$1,001 to \$5,000
- \$5,001 to \$10,000
- \$10,001 to \$50,000
- \$50,001 to \$100,000
- Greater than \$100,000

**\* Rate the level of hardship or barriers you faced to *obtain* your initial license.**

- None at all
- A small amount
- A moderate amount
- A large amount
- A great amount that resulted in my inability to get a license.

**\* Rate the level of hardship or barriers you face to *retain* your license.**

- None at all
- A small amount
- A moderate amount
- A large amount
- A great amount that resulted in my inability to maintain my license.

**\* Rate the importance that your license serves in protecting public citizens from harm or danger.**

- Extremely important. It's a matter of life or death.
- Very important. The public would be at risk for significant harm or danger if a license wasn't required for this occupation.
- Somewhat important. It's possible the public could be exposed to some risk if a license wasn't required for this occupation.
- Not so important. It's unlikely the public would be exposed to harm or danger if a license wasn't required for this occupation.
- Not at all important. There is no risk of harm or danger to the public if a license wasn't required for this occupation.

**\* Do you hold a similar occupational license in another state(s)?**

- Yes
- No

**\* Select the category that best describes the *initial* requirements to *obtain* your out of state license compared to Wisconsin's initial licensing requirements. (Compare educational and other requirements, fees and other costs.)**

- Way more than Wisconsin
- Somewhat more than Wisconsin
- About the same as Wisconsin
- Somewhat less than Wisconsin
- Way less than Wisconsin

**\* Select the category that best describes the *ongoing* requirements to *retain* your out of state license compared to Wisconsin's *ongoing* licensing requirements. (Compare educational and other requirements, fees and other costs.)**

- Way more than Wisconsin
- Somewhat more than Wisconsin
- About the same as Wisconsin
- Somewhat less than Wisconsin
- Way less than Wisconsin

**\* Rate the level of hardship or barriers you faced to *obtain* your *initial* out of state license.**

- The state has way more hardships and barriers than Wisconsin.
- The state has somewhat more hardships and barriers than Wisconsin.
- The state has about the same as Wisconsin.
- The state has somewhat less hardships and barriers than Wisconsin.
- The state has way less hardships and barriers than Wisconsin.

**\* Rate the level of hardship or barriers you face to *retain* your out of state license.**

- The state has way more hardships and barriers than Wisconsin.
- The state has somewhat more hardships and barriers than Wisconsin.
- The state has about the same as Wisconsin.
- The state has somewhat less hardships and barriers than Wisconsin.
- The state has way less hardships and barriers than Wisconsin.

**\* Are you aware of any instances where occupational licensing regulations have impacted the cost or availability of consumer goods or services? [i.e. increased costs for goods or services, decreased availability of practitioners]**

- Yes
- No

**\* Please provide specific examples where state licensing regulations have impacted the cost or availability of consumer goods or services.**

**\* How important is it to regulate Wisconsin's occupations in order to protect public citizens from harm or danger?**

- Extremely important. It's a matter of life or death.
- Very important. The public would be at risk for significant harm or danger if a license wasn't required for this occupation.
- Somewhat important. It's possible the public could be exposed to some risk if a license wasn't required for this occupation.
- Not so important. It's unlikely the public would be exposed to harm or danger if a license wasn't required for this occupation.
- Not at all important. There is no risk of harm or danger to the public if a license wasn't required for this occupation.

**\* Indicate what types of licenses should be regulated in order to protect public citizens from harm or danger. Check all that apply.**

- Animal or Agriculture related
- Banking and Financial related (includes investments, insurance, lenders, collectors, tax assessor, charitable fundraising)
- Business related
- Chemical, Environmental, or Utilities Dealer, Supplier, or Applicator (includes fuel, gas, oil, water, power, pesticides, asbestos, hazardous materials, or waste products)
- Educator or School related (includes instructor, teacher, administrator, or service provider of elementary, secondary, postsecondary education)
- Food or Restaurant related
- Health or Medical related
- Legal, Security, or Enforcement related (i.e. attorney, investigator, inspector, tester, certifier, private detective, notary, etc.)
- Product or Vehicle Manufacturer, Broker, or Dealer
- Sales related
- Sports related
- Social Services (includes child and adult care services)
- Trades related
- No occupations should be regulated
- Other (please specify)

**Please provide any information you would like to share.**

## VIII. Resources

1. State of Vermont - Application for Preliminary Sunrise Review Assessment  
[www.sec.state.vt.us/professional-regulation/sunrise-review.aspx](http://www.sec.state.vt.us/professional-regulation/sunrise-review.aspx)
2. Occupational Licensing Review Act Model Legislation  
[www.ncsl.org/Portals/1/Documents/Labor/Licensing/Knepper\\_OccupationalLicensingReviewAct\\_31961.pdf](http://www.ncsl.org/Portals/1/Documents/Labor/Licensing/Knepper_OccupationalLicensingReviewAct_31961.pdf)
3. The National Occupational Licensing Database  
[www.ncsl.org/research/labor-and-employment/occupational-licensing-statute-database.aspx#Additional%20Resources](http://www.ncsl.org/research/labor-and-employment/occupational-licensing-statute-database.aspx#Additional%20Resources)
4. Policymaker Questions to Ask When Considering Occupational Licensing Proposals  
[www.ncsl.org/Portals/1/HTML\\_LargeReports/occupationallicensing\\_final.htm](http://www.ncsl.org/Portals/1/HTML_LargeReports/occupationallicensing_final.htm)
5. Fact Sheet: New Steps to Reduce Unnecessary Occupation Licenses that are Limiting Worker Mobility and Reducing Wages  
[obamawhitehouse.archives.gov/the-press-office/2016/06/17/fact-sheet-new-steps-reduce-unnecessary-occupation-licenses-are-limiting](http://obamawhitehouse.archives.gov/the-press-office/2016/06/17/fact-sheet-new-steps-reduce-unnecessary-occupation-licenses-are-limiting)
6. Occupational Licensing: A Framework for Policymakers, July 2015  
[obamawhitehouse.archives.gov/sites/default/files/docs/licensing\\_report\\_final\\_nombargo.pdf](http://obamawhitehouse.archives.gov/sites/default/files/docs/licensing_report_final_nombargo.pdf)
7. Framework for Developing Consistent Descriptions of Regulatory Models - CLEAR (Council on Licensure, Enforcement, and Regulation)  
[www.clearhq.org/resources/Regulatory\\_Model\\_United\\_States.pdf](http://www.clearhq.org/resources/Regulatory_Model_United_States.pdf)

## IX. References

1. *States Take on Occupational Licensing Reform*; Billy Culleton, Strategic Government Relations Coordinator
2. *License to Work – A National Study of Burdens from Occupational Licensing - 2<sup>nd</sup> Edition*; Institute for Justice
3. *Occupational Licensing in Wisconsin Has Grown and Has Costs* – Collen Roth, Research Fellow, Wisconsin Institute for Law and Liberty
4. *A Fresh Start – Wisconsin’s Atypical Expungement Law and Options for Reform* – Public Policy Forum
5. *Regulation of Professional Occupations by the Department of Safety and Professional Services* – Information Paper 97, January 2015
6. *Occupational Licensing: Ranking the States and Exploring Alternatives* – Adam B. Summers, Reason Foundation
7. *The De-licensing of Occupations in the United States* - Robert J. Thornton and Edward J. Timmons, "Monthly Labor Review, U.S. Bureau of Labor Statistics, May 2015
8. National Conference of State Legislatures - [www.ncsl.org](http://www.ncsl.org)
9. *The State of Occupational Licensing: Research, State Policies and Trends, Occupational Licensing: Assessing State Policy and Practice* - National Conference of State Legislatures
10. *Occupational Licensing: A Framework for Policymakers* - U.S. Department of Treasury Office of Economic Policy, Council of Economic Advisers and Department of Labor, (Washington, D.C., The White House) 2015
11. *The Costs and Benefits of Occupational Regulation* - Carolyn Cox and Susan Foster, Federal Trade Commission, (Washington, D.C.), 1990
12. *Hearing on License to Compete: Occupational Licensing and State Action Doctrine,*" United States Committee on the Judiciary - Testimony presented by Jason Furman, February 2016
13. *The Right to Earn a Living Act: A Well-Considered Answer to Licensing* – Jon Sanders, March 2018
14. *Buttermaker License* – Jeanne Carpenter, CheeseUnderground.com, March 2010

This page intentionally left blank.

This Wisconsin Occupational Licensing Study Report  
was produced by the Department of Safety and Professional Services,  
pursuant to 2017 Wisconsin Act 59.



**Wisconsin Department of Safety and Professional Services**

**Laura Gutiérrez, Secretary**

Office of the Secretary  
4822 Madison Yards Way  
PO Box 8363  
Madison WI 53708-8368

Phone: 608-266-1352  
Web: <http://dsps.wi.gov>  
Email: [dsps@wisconsin.gov](mailto:dsps@wisconsin.gov)