

CHAPTER 440

DEPARTMENT OF SAFETY AND PROFESSIONAL SERVICES

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SUBCHAPTER I

GENERAL PROVISIONS

440.01 Definitions. (1) In chs. 440 to 480, unless the context requires otherwise:

(ad) "Automated external defibrillator" means a defibrillator device to which all of the following apply:

1. It is approved for commercial distribution by the federal food and drug administration.

2. It is capable of recognizing the presence or absence of ventricular fibrillation or rapid ventricular tachycardia and of determining without intervention by the user of the device whether defibrillation should be performed.

3. After having determined that defibrillation should be performed, it is capable, either at the command of an operator or without intervention by an operator, of delivering an electrical shock to an individual.

(ag) "Defibrillation" means administering an electrical impulse to an individual's heart in order to stop ventricular fibrillation or rapid ventricular tachycardia.

(aj) "Department" means the department of safety and professional services.

(am) "Financial institution" has the meaning given in s. 705.01 (3).

(b) "Grant" means the substantive act of an examining board, section of an examining board, affiliated credentialing board or the department of approving the applicant for credentialing and the preparing, executing, signing or sealing of the credentialing.

(c) "Issue" means the procedural act of the department of transmitting the credential to the person who is credentialed.

(d) "Limit," when used in reference to limiting a credential, means to impose conditions and requirements upon the holder of the credential, to restrict the scope of the holder's practice, or both.

(dm) "Renewal date" means the date on which a credential expires and before which it must be renewed for the holder to maintain without interruption the rights, privileges and authority conferred by the credential.

(e) "Reprimand" means to publicly warn the holder of a credential.

(f) "Revoke," when used in reference to revoking a credential, means to completely and absolutely terminate the credential and all rights, privileges, and authority previously conferred by the credential.

(g) "Secretary" means the secretary of safety and professional services.

(h) "Suspend," when used in reference to suspending a credential, means to completely and absolutely withdraw and withhold for a period of time all rights, privileges, and authority previously conferred by the credential.

(i) "Ventricular fibrillation" means a disturbance in the normal rhythm of the heart that is characterized by rapid, irregular, and ineffective twitching of the ventricles of the heart.

(2) In this subchapter:

(a) "Credential" means a license, permit, or certificate of certification or registration that is issued under chs. 440 to 480.

(b) "Credentialing" means the acts of an examining board, section of an examining board, affiliated credentialing board or the department that relate to granting, issuing, denying, limiting, suspending or revoking a credential.

(bm) "Credentialing board" means an examining board or an affiliated credentialing board in the department.

(c) "Examining board" includes the board of nursing.

(cs) "Minority group member" has the meaning given in s. 16.287 (1) (f).

(cv) "Psychotherapy" has the meaning given in s. 457.01 (8m).

(d) "Reciprocal credential" means a credential granted by an examining board, section of an examining board, affiliated credentialing board or the department to an applicant who holds a credential issued by a governmental authority in a jurisdiction outside this state authorizing or qualifying the applicant to perform acts that are substantially the same as those acts authorized by the credential granted by the examining board, section of the examining board, affiliated credentialing board or department.

History: 1977 c. 418; 1979 c. 34; 1979 s. 175 s. 53; 1979 c. 221 s. 2202 (45); 1991 a. 39; 1993 a. 102, 107; 1995 a. 233, 333; 1997 a. 35 s. 448; 1997 a. 237 ss. 532, 539m; 1999 a. 9 s. 2915; 2001 a. 80; 2007 a. 104, 143; 2011 a. 32; 2015 a. 196.**440.02 Bonds.** Members of the staff of the department who are assigned by the secretary to collect moneys shall be bonded in an amount equal to the total receipts of the department for any month.**440.03 General duties and powers of the department.****(1)** The department may promulgate rules defining uniform procedures to be used by the department, the real estate appraisers board, and all examining boards and affiliated credentialing boards attached to the department or an examining board, for receiving, filing and investigating complaints, for commencing disciplinary proceedings and for conducting hearings.**(1c)** The department shall promulgate rules specifying a procedure for addressing allegations that a credential holder has practiced while impaired by alcohol or other drugs or that his or her ability to practice is impaired by alcohol or other drugs, and for assisting a credential holder who requests to participate in the procedure. In promulgating rules under this subsection, the department shall seek to facilitate early identification of chemically dependent credential holders and encourage their rehabilitation. The rules promulgated under this subsection may be used by the department, the real estate appraisers board, and all examining boards and affiliated credentialing boards attached to the department or an examining board in conjunction with the procedures established under sub. (1). The department may contract with another entity to administer the procedure specified under the rules promulgated under this subsection.**(1m)** The department may promulgate rules specifying the number of business days within which the department or any examining board or affiliated credentialing board in the department must review and make a determination on an application for a permit, as defined in s. 227.116 (1g), that is issued under chs. 440 to 480.**(2)** The department may provide examination development services, consultation and technical assistance to other state agen-

cies, federal agencies, counties, cities, villages, towns, national or regional organizations of state credentialing agencies, similar credentialing agencies in other states, national or regional accrediting associations, and nonprofit organizations. The department may charge a fee sufficient to reimburse the department for the costs of providing such services. In this subsection, “nonprofit organization” means a nonprofit corporation as defined in s. 181.0103 (17), and an organization exempt from tax under 26 USC 501.

(3) If the secretary reorganizes the department, no modification may be made in the powers and responsibilities of the examining boards or affiliated credentialing boards attached to the department or an examining board under s. 15.405 or 15.406.

(3m) The department may investigate complaints made against a person who has been issued a credential.

(3q) Notwithstanding sub. (3m), the department of safety and professional services shall investigate any report that it receives under s. 146.40 (4r) (em).

(4) The department may issue subpoenas for the attendance of witnesses and the production of documents or other materials prior to the commencement of disciplinary proceedings.

(4m) Except as otherwise permitted in chs. 440 to 480, the department may require a credential holder to submit proof of the continuing education programs or courses that he or she has completed only if a complaint is made against the credential holder.

(5) The department may investigate allegations of negligence by physicians licensed to practice medicine and surgery under ch. 448.

(5m) The department shall maintain a toll-free telephone number to receive reports of allegations of unprofessional conduct, negligence or misconduct involving a physician licensed under subch. II of ch. 448. The department shall publicize the toll-free telephone number and the investigative powers and duties of the department and the medical examining board as widely as possible in the state, including in hospitals, clinics, medical offices and other health care facilities.

(6) The department shall have access to any information contained in the reports filed with the medical examining board, an affiliated credentialing board attached to the medical examining board and the board of nursing under s. 655.045, as created by 1985 Wisconsin Act 29, and s. 655.26.

(7) The department shall establish the style, content, and format of all credentials and of all forms for applying for any initial credential or credential renewal. All forms shall include a place for the information required under sub. (11m) (a). Upon request of any person who holds a credential and payment of a \$10 fee, the department may issue a wall certificate signed by the governor.

(7m) The department may promulgate rules that establish procedures for submitting an application for a credential or credential renewal by electronic transmission. Any rules promulgated under this subsection shall specify procedures for complying with any requirement that a fee be submitted with the application. The rules may also waive any requirement in chs. 440 to 480 that an application submitted to the department, an examining board, or an affiliated credentialing board be executed, verified, signed, sworn, or made under oath, notwithstanding ss. 440.26 (2) (b), 440.91 (2) (intro.), 443.06 (1) (a), 443.10 (2) (a), 445.04 (2), 445.095 (1) (a), 448.05 (7), 450.09 (1) (a), 452.10 (1), and 480.08 (2m).

(8) The department may promulgate rules requiring holders of certain credentials to do any of the following:

(a) Display the credential in a conspicuous place in the holder’s office or place of practice or business, if the holder is not required by statute to do so.

(b) Post a notice in a conspicuous place in the holder’s office or place of practice or business describing the procedures for filing a complaint against the holder.

(9) (a) Subject to pars. (b) and (c) and s. 458.33 (2) (b) and (5), the department shall, biennially, determine each fee for an initial

credential for which no examination is required, for a reciprocal credential, and for a credential renewal and any fee imposed under s. 448.986 (2) by doing all of the following:

1. Recalculating the administrative and enforcement costs of the department that are attributable to the regulation of each occupation or business under chs. 440 to 480.

2. Not later than January 31 of each odd-numbered year, adjusting for the succeeding fiscal biennium each fee for an initial credential for which an examination is not required, for a reciprocal credential, and, subject to s. 440.08 (2) (a), for a credential renewal, and any fee imposed under s. 448.986 (2), if an adjustment is necessary to reflect the approximate administrative and enforcement costs of the department that are attributable to the regulation of the particular occupation or business during the period in which the initial or reciprocal credential, credential renewal, or compact privilege is in effect and, for purposes of each fee for a credential renewal, to reflect an estimate of any additional moneys available for the department’s general program operations as a result of appropriation transfers that have been or are estimated to be made under s. 20.165 (1) (i) during the fiscal biennium in progress at the time of the deadline for an adjustment under this subdivision or during the fiscal biennium beginning on the July 1 immediately following the deadline for an adjustment under this subdivision.

(b) The department may not recommend an initial credential fee that exceeds the amount of the fee that the department recommends for a renewal of the same credential, if no examination is required for the initial credential.

(c) The cemetery board may by rule impose a fee in addition to the renewal fee determined by the department under this subsection for renewal of a license granted under s. 440.91 (1).

(d) Not later than 14 days after completing proposed fee adjustments under par. (a), the department shall send a report detailing the proposed fee adjustments to the cochairpersons of the joint committee on finance. If, within 14 working days after the date that the department submits the report, the cochairpersons of the committee notify the secretary that the committee has scheduled a meeting for the purpose of reviewing the proposed adjustments, the department may not impose the fee adjustments until the committee approves the report. If the cochairpersons of the committee do not notify the secretary, the department shall notify credential holders of the fee adjustments by posting the fee adjustments on the department’s Internet website and in credential renewal notices sent to affected credential holders under s. 440.08 (1).

(11) The department shall cooperate with the department of health services to develop a program to use voluntary, uncompensated services of licensed or certified professionals to assist the department of health services in the evaluation of community mental health programs in exchange for continuing education credits for the professionals under ss. 448.40 (2) (e) and 455.065 (5).

(11m) (a) Each application form for an initial credential or credential renewal shall provide a space for the department to require an applicant for the initial credential or credential renewal, other than an individual who does not have a social security number and who submits a statement made or subscribed under oath or affirmation as required under par. (am), to provide his or her social security number. If the applicant is not an individual, the department shall require the applicant to provide its federal employer identification number.

(am) If an applicant specified in par. (a) is an individual who does not have a social security number, the applicant shall submit a statement made or subscribed under oath that the applicant does not have a social security number. The form of the statement shall be prescribed by the department of children and families. A credential or license issued in reliance upon a false statement submitted under this paragraph is invalid.

(b) The real estate examining board shall deny an application for an initial credential or deny an application for credential renewal if any information required under par. (a) is not included in the application form or, in the case of an applicant who is an individual and who does not have a social security number, if the statement required under par. (am) is not included with the application form.

(c) The department may not disclose a social security number obtained under par. (a) to any person except for the following:

1. The coordinated licensure information system under s. 441.51 (6).

2. The coordinated licensure information system under s. 448.980 (8), if such disclosure is required under the interstate medical licensure compact under s. 448.980.

2m. The coordinated database and reporting system under s. 448.985 (8), if such disclosure is required under the physical therapy licensure compact under s. 448.985.

3. The department of children and families for purposes of administering s. 49.22.

4. For a social security number obtained under par. (a), the department of revenue for the purpose of requesting certifications under s. 73.0301, administering the initial credential fee reduction under s. 440.052, and administering state taxes and the department of workforce development for the purpose of requesting certifications under s. 108.227.

(12m) The department of safety and professional services shall cooperate with the departments of justice, children and families, and health services in developing and maintaining a computer linkup to provide access to information regarding the current status of a credential issued to any person by the department of safety and professional services, including whether that credential has been restricted in any way.

(13) (a) The department may conduct an investigation to determine whether an applicant for a credential satisfies any of the eligibility requirements specified for the credential, including whether the applicant does not have an arrest or conviction record. In conducting an investigation under this paragraph, the department may require an applicant to provide any information that is necessary for the investigation, except that, for an investigation of an arrest or conviction record, the department shall comply with the requirements of pars. (b) and (c).

(am) A person holding a credential who is convicted of a felony or misdemeanor anywhere shall send a notice of the conviction by 1st class mail to the department within 48 hours after the entry of the judgment of conviction. The department shall by rule determine what information and documentation the person holding the credential shall include with the written notice.

(b) The department may investigate whether an applicant for or holder of any of the following credentials has been charged with or convicted of a crime only pursuant to rules promulgated by the department under this paragraph, including rules that establish the criteria that the department will use to determine whether an investigation under this paragraph is necessary, except as provided in par. (c) and ss. 441.51 (5) (a) 5., 448.980 (5) (b) 3., and 448.985 (3) (a) 4.:

1. Accountant, certified public.
2. Acupuncturist.
3. Advanced practice nurse prescriber.
4. Aesthetician.
5. Aesthetics instructor.
- 5m. Substance abuse counselor, clinical supervisor, or prevention specialist.
- 5r. Anesthesiologist assistant.
- 5s. Appraisal management company.
6. Appraiser, real estate, certified general.
7. Appraiser, real estate, certified residential.
8. Appraiser, real estate, licensed.

9. Architect.
10. Athletic trainer.
11. Auctioneer.
12. Audiologist.
13. Barber.
14. Barbering instructor.
- 15m. Behavior analyst.
16. Boxer.
17. Cemetery preneed seller.
18. Cemetery salesperson.
- 18g. Chiropractic radiological technician.
- 18r. Chiropractic technician.
19. Chiropractor.
- 19e. Cosmetologist.
- 19m. Cosmetology instructor.
20. Dental hygienist.
21. Dentist.
22. Designer of engineering systems.
23. Dietitian.
24. Drug distributor.
25. Drug manufacturer.
26. Electrologist.
27. Electrology instructor.
28. Engineer, professional.
30. Funeral director.
31. Hearing instrument specialist.
32. Home inspector.
- 32m. Juvenile martial arts instructor.
33. Landscape architect.
34. Land surveyor, professional.
35. Manicuring instructor.
36. Manicurist.
37. Marriage and family therapist.
38. Massage therapist or bodywork therapist.
- 38m. Mobile dentistry program registrant.
39. Music, art, or dance therapist.
40. Nurse, licensed practical.
41. Nurse, registered.
42. Nurse–midwife.
43. Nursing home administrator.
44. Occupational therapist.
45. Occupational therapy assistant.
46. Optometrist.
47. Perfusionist.
48. Pharmacist.
49. Physical therapist.
50. Physical therapist assistant.
51. Physician.
52. Physician assistant.
53. Podiatrist.
54. Private detective.
55. Private practice school psychologist.
56. Private security person.
57. Professional counselor.
59. Professional geologist.
60. Professional hydrologist.
61. Professional soil scientist.
62. Psychologist.
63. Real estate broker.
64. Real estate salesperson.
65. Registered interior designer.
66. Respiratory care practitioner.

- 66d. Sanitarian.
- 67. Social worker.
- 68. Social worker, advanced practice.
- 69. Social worker, independent.
- 70. Social worker, independent clinical.
- 71. Speech–language pathologist.
- 75. Any other profession or occupation specified by law that is regulated by the department or a credentialing board.

(bm) 1. Upon request by a credentialing board or other board in the department, the department shall conduct an investigation to determine whether an individual seeking a determination by that board under s. 111.335 (4) (f) has an arrest or conviction record. In conducting an investigation under this subdivision, the department may require an individual to provide any information that is necessary for the investigation.

2. Upon application seeking a determination by the department under s. 111.335 (4) (f), the department shall conduct an investigation to determine whether the individual has an arrest or conviction record. In conducting an investigation under this subdivision, the department may require an individual to provide any information that is necessary for the investigation.

(c) The department shall require an applicant for a private detective license or a private security permit under s. 440.26, an applicant for a juvenile martial arts instructor permit under sub. (17), an applicant for a real estate appraiser certification under s. 458.06 or license under s. 458.08, an applicant for a multistate license under s. 441.06 (1c) or 441.10 (1c), an applicant for a compact license under s. 448.05 (2) (f), an applicant for a physical therapist license under s. 448.53 or physical therapist assistant license under s. 448.535, and a person for whom the department conducts an investigation under par. (b), to be photographed and fingerprinted on 2 fingerprint cards, each bearing a complete set of the person's fingerprints. The department of justice may submit the fingerprint cards, and the department of justice shall submit the fingerprint cards of all applicants for a real estate appraiser certification under s. 458.06 or license under s. 458.08, of all applicants for a multistate license under s. 441.06 (1c) or 441.10 (1c), of all applicants for a compact license under s. 448.05 (2) (f), and of all applicants for a physical therapist license under s. 448.53 or a physical therapist assistant license under s. 448.535, to the federal bureau of investigation for the purpose of verifying the identity of the persons fingerprinted and obtaining records of their criminal arrests and convictions. Information obtained from the federal bureau of investigation may be shared with the department or the appropriate credentialing board, but shall otherwise be kept confidential and is not subject to disclosure under s. 19.35.

(d) The department shall charge an applicant, including an applicant seeking a determination under s. 111.335 (4) (f), any fees, costs, or other expenses incurred in conducting any investigation under this subsection or s. 440.26. The department shall charge an applicant seeking licensure through the interstate medical licensure compact under s. 448.980, directly or indirectly, for any expenses incurred in conducting any investigation under s. 448.980 (5) (b) 3.

(14) (a) 1. The department shall grant a certificate of registration as a music therapist to a person if all of the following apply:

a. The person is certified, registered or accredited 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.

b. The organization that certified, registered or accredited the person under subd. 1. a. is approved by the department.

c. The person pays the initial credential fee determined by the department under s. 440.03 (9) (a) and files with the department evidence satisfactory to the department that he or she is certified, registered or accredited as required under subd. 1. a.

2. The department shall grant a certificate of registration as an art therapist to a person if all of the following apply:

a. The person is certified, registered or accredited as an art therapist by the Art Therapy Credentials Board or by another national organization that certifies, registers or accredits art therapists.

b. The organization that certified, registered or accredited the person under subd. 2. a. is approved by the department.

c. The person pays the initial credential fee determined by the department under s. 440.03 (9) (a) and files with the department evidence satisfactory to the department that he or she is certified, registered or accredited as required under subd. 2. a.

3. The department shall grant a certificate of registration as a dance therapist to a person if all of the following apply:

a. The person is certified, registered or accredited as a dance therapist by the American Dance Therapy Association or by another national organization that certifies, registers or accredits dance therapists.

b. The organization that certified, registered or accredited the person under subd. 3. a. is approved by the department.

c. The person pays the initial credential fee determined by the department under s. 440.03 (9) (a) and files with the department evidence satisfactory to the department that he or she is certified, registered or accredited as required under subd. 3. a.

(am) The department may promulgate rules that establish requirements for granting a license to practice psychotherapy to a person who is registered under par. (a). Rules promulgated under this paragraph shall establish requirements for obtaining such a license that are comparable to the requirements for obtaining a clinical social worker, marriage and family therapist, or professional counselor license under ch. 457. If the department promulgates rules under this paragraph, the department shall grant a license under this paragraph to a person registered under par. (a) who pays the initial credential fee determined by the department under s. 440.03 (9) (a) and provides evidence satisfactory to the department that he or she satisfies the requirements established in the rules.

(b) A person who is registered under par. (a) shall notify the department in writing within 30 days if an organization specified in par. (a) 1. a., 2. a. or 3. a. revokes the person's certification, registration, or accreditation specified in par. (a) 1. a., 2. a., or 3. a. The department shall revoke a certificate of registration granted under par. (a) if such an organization revokes such a certification, registration, or accreditation. If the department revokes the certificate of registration of a person who also holds a license granted under the rules promulgated under par. (am), the department shall also revoke the license.

(c) The renewal dates for certificates granted under par. (a) and licenses granted under par. (am) are specified in s. 440.08 (2) (a). Renewal applications shall be submitted to the department on a form provided by the department and shall include the renewal fee determined by the department under s. 440.03 (9) (a) and evidence satisfactory to the department that the person's certification, registration, or accreditation specified in par. (a) 1. a., 2. a., or 3. a. has not been revoked.

(d) The department shall promulgate rules that specify the services within the scope of practice of music, art, or dance therapy that a person who is registered under par. (a) is qualified to perform. The rules may not allow a person registered under par. (a) to perform psychotherapy unless the person is granted a license under the rules promulgated under par. (am).

Cross-reference: See also chs. SPS 140, 141, and 142, Wis. adm. code.

(e) Subject to the rules promulgated under sub. (1), the department may make investigations and conduct hearings to determine whether a violation of this subsection or any rule promulgated under par. (d) has occurred and may reprimand a person who is registered under par. (a) or holds a license granted under the rules promulgated under par. (am) or may deny, limit, suspend, or

revoke a certificate of registration granted under par. (a) or a license granted under the rules promulgated under par. (am) if the department finds that the applicant or certificate or license holder has violated this subsection or any rule promulgated under par. (d).

(f) A person who is registered under par. (a) or holds a license granted under the rules promulgated under par. (am) who violates this subsection or any rule promulgated under par. (d) may be fined not more than \$200 or imprisoned for not more than 6 months or both.

(15) The department shall promulgate rules that establish the fees specified in ss. 440.05 (10) and 440.08 (2) (d).

(17) (a) In this subsection:

1. “Disqualified offender” means any of the following:

a. A person who is required to comply with the reporting requirements under s. 301.45 (1g).

b. A person who has been convicted of a violation of s. 940.01 or a violation of the law of another state or the United States that would be a violation of s. 940.01 if committed in this state.

2. “Martial arts instruction” means instruction in self-defense or combat, but does not include instruction in the use of a firearm, bow and arrow, or crossbow.

(b) No person may, for a fee, provide martial arts instruction to a minor if the person is a disqualified offender.

(c) No person may, for a fee, provide martial arts instruction to a minor unless the person has been issued a permit under this subsection.

(d) Except as provided in par. (e), the department shall grant a juvenile martial arts instructor permit to a person if the person pays the fee specified in s. 440.05 (1).

(e) Pursuant to s. 440.03 (13) (b), the department shall investigate an applicant for a permit under this subsection. Notwithstanding ss. 111.321, 111.322, and 111.335, the department may not issue a juvenile martial arts instructor permit to a person who is a disqualified offender and shall revoke a permit issued to a person under this subsection if, after the permit is issued, the person becomes a disqualified offender.

(f) If a person who holds a permit under this subsection becomes a disqualified offender, the person shall notify the department within 14 days of the date of the conviction.

(g) The department may conduct periodic audits to determine whether any person who holds a permit under this subsection is a disqualified offender.

History: 1977 c. 418 ss. 24, 792; 1979 c. 34, 221, 337; 1981 c. 94; 1985 a. 29, 340; 1989 a. 31, 340; 1991 a. 39; 1993 a. 16, 102, 107, 443, 445, 490, 491; 1995 a. 27 ss. 6472g, 6472j, 9126 (19); 1995 a. 233; 1997 a. 27, 75, 79; 1997 a. 191 ss. 312, 313, 318; 1997 a. 231, 237; 1997 a. 261 ss. 1 to 4, 7, 10, 13; 1997 a. 311; 1999 a. 9, 32; 2001 a. 16, 66, 80; 2003 a. 151; 2005 a. 25; 2007 a. 20 ss. 3449 to 3462, 9121 (6) (a); 2007 a. 153, 189; 2009 a. 28, 130, 276, 282, 355; 2011 a. 32, 146, 160, 190, 255; 2013 a. 20, 36, 124, 244, 288, 358; 2015 a. 55, 116; 2015 a. 197 s. 51; 2015 a. 258; 2017 a. 59, 82, 113, 135, 278, 319, 329, 331; 2017 a. 365 ss. 79, 112; 2019 a. 49 ss. 1 to 3; 2019 a. 100.

Cross-reference: See also SPS, Wis. adm. code.

Notwithstanding the absence of any state statute limiting eligibility for professional licenses or credentials to persons who are in the country legally, federal law is controlling so that the Department of Regulation and Licensing is prohibited from granting any professional license or credential to an alien who is present in the United States illegally. Because the department is prohibited from issuing professional licenses or credentials to illegal aliens, the department must put in place some procedure practicably designed to reasonably insure that it does not issue licenses or credentials in violation of federal law. OAG 3–07.

440.032 Sign language interpreting. (1) DEFINITIONS. In this section:

(a) “Client” means a deaf or hard of hearing person for whom a person provides interpretation services.

(am) “Committee” means the sign language interpreters advisory committee established under sub. (6m).

(bm) “Interpreter training program” means any postsecondary educational program that prepares individuals to provide sign language interpretation services to a client.

(c) “Support service provider” means an individual who is trained to act as a link between a person who is deaf and blind and the person’s environment.

(d) “Wisconsin interpreting and transliterating assessment” means a program administered by the department of health services to determine and verify the level of competence of communication access services providers who are not certified by the Registry of Interpreters for the Deaf, Inc., or its successor, the National Association of the Deaf or its successor, or other similar nationally recognized certification organization, or a successor program administered by the department of health services.

(2) LICENSE REQUIRED. (a) Except as provided in pars. (b) and (c), no person may, for compensation, provide sign language interpretation services for a client unless the person is licensed by the department under sub. (3).

(b) No license is required under this subsection for any of the following:

2. A person interpreting at any school or school-sponsored event if the person is licensed by the department of public instruction as an educational interpreter.

3. A person interpreting at a religious service or at a religious function, including educational or social events sponsored by a religious organization. This subdivision does not apply to a person interpreting for a religious organization at a professional service provided or sponsored by the religious organization.

4. A support service provider interpreting for the purpose of facilitating communication between an individual who provides interpretation services and a client of the individual.

5. A person who, in the course of the person’s employment, provides interpretation services during an emergency unless the interpretation services are provided during a period that exceeds 24 hours.

(c) 1. The department may grant, on a case-by-case basis, a temporary exemption from the licensure requirement under par. (a) to an individual applying for a temporary exemption, subject to the following:

a. An individual’s application for a temporary exemption under this subdivision shall be in writing, shall describe the reasons why the individual cannot obtain a license under sub. (3) and describe any professional credential the individual does possess, and shall specify the dates the individual intends to provide sign language interpretation services.

b. The department shall approve or deny a temporary exemption under this subdivision within 10 business days after receiving the application.

2. The department may grant, on a case-by-case basis after receiving advice from the committee, a permanent exemption from the licensure requirement under par. (a) to an individual applying for a permanent exemption, subject to the following:

a. An individual’s application for a permanent exemption under this subdivision shall describe the reasons why the individual cannot obtain a license under sub. (3).

b. If the applicant for a permanent exemption will be providing sign language interpretations services to a single client only, the individual’s application shall identify that client.

(3) LICENSURE REQUIREMENTS. (c) *Sign language interpreter—intermediate hearing licenses.* The department shall grant a sign language interpreter—intermediate hearing license to an applicant who submits an application on a form provided by the department, pays the fee determined by the department under s. 440.03 (9) (a), and satisfies any of the following:

1. The applicant satisfies all of the following:

a. The applicant has received at least an associate degree in sign language interpretation, or an equivalent degree, as determined by the department after receiving advice from the committee.

b. The applicant provides evidence satisfactory to the department that the applicant has successfully completed an interpreter training program.

c. The applicant has passed the basic performance examination of and is certified by the Board for Evaluation of Interpreters, or its successor, or the applicant has passed a substantially equivalent examination, as determined by the department after receiving advice from the committee.

2. The applicant satisfies all of the following:

a. The applicant earned an associate degree in sign language interpretation before July 19, 2019.

b. The applicant has passed the basic performance examination of and is certified by the Board for Evaluation of Interpreters, or its successor, or the applicant has passed a substantially equivalent examination, as determined by the department after receiving advice from the committee.

3. The applicant satisfies all of the following:

a. Before July 19, 2019, the applicant passed the basic performance examination of and is certified by the Board for Evaluation of Interpreters, or its successor, or before July 19, 2019, the applicant passed a substantially equivalent examination, as determined by the department after receiving advice from the committee.

b. The department approves the applicant's licensure after review of all of the circumstances and receiving advice from the committee.

(d) *Sign language interpreter—advanced hearing licenses.* The department shall grant a sign language interpreter—advanced hearing license to an applicant who submits an application on a form provided by the department, pays the fee determined by the department under s. 440.03 (9) (a), and satisfies any of the following:

1. The applicant satisfies all of the following:

a. The applicant has received at least an associate degree in sign language interpretation, or an equivalent degree as determined by the department after receiving advice from the committee.

b. The applicant provides evidence satisfactory to the department that the applicant has successfully completed an interpreter training program.

c. The applicant has passed the advanced or master performance examination of and is certified by the Board for Evaluation of Interpreters, or its successor; the applicant has passed the examination for and holds the national interpreter certification issued by the Registry of Interpreters for the Deaf, Inc., or its successor; or the applicant has passed a substantially equivalent examination, as determined by the department after receiving advice from the committee.

2. The applicant was issued before July 19, 2019, and maintains in good standing any of the following:

a. The national interpreter certification (NIC), advanced or master level national interpreter certification (NIC—Advanced or NIC—Master), certificate of interpretation (CI), certificate of transliteration (CT), comprehensive skills certificate (CSC), master comprehensive skills certificate (MCSC), interpretation certificate (IC), or transliteration certificate (TC), issued by the Registry of Interpreters for the Deaf, Inc., or its successor.

b. The National Association of the Deaf III, IV, or V certification.

c. The advanced or master certification of the Board for Evaluation of Interpreters or its successor.

(e) *Sign language interpreter—intermediate deaf licenses.* The department shall grant a sign language interpreter—intermediate deaf license to an applicant who submits an application on a form provided by the department, pays the fee determined by the department under s. 440.03 (9) (a), and satisfies all of the following:

1. The applicant holds a high school diploma or its equivalent, as determined by the department after receiving advice from the committee.

2. The applicant submits evidence satisfactory to the department of the applicant's successful completion of at least 40 hours of a deaf interpreter training curriculum approved by the department after receiving advice from the committee.

3. The applicant submits evidence satisfactory to the department of the applicant's successful completion of at least 16 hours of sign language interpretation services—related training approved by the Registry of Interpreters for the Deaf, Inc., or its successor or the Board for Evaluation of Interpreters or its successor, or substantially equivalent training, as determined by the department after receiving advice from the committee.

4. The applicant submits evidence satisfactory to the department of the applicant's successful completion of American sign language linguistics I and II or substantially equivalent coursework, as determined by the department after receiving advice from the committee.

5. The applicant provides to the department letters of recommendation satisfactory to the department from at least 2 individuals who hold a sign language interpreter—advanced deaf license, a certified deaf interpreter certification issued by the Registry of Interpreters for the Deaf, Inc., or its successor, or an equivalent certification, as determined by the department after receiving advice from the committee. Taken in the aggregate, the letters of recommendation shall verify that the applicant has successfully completed at least 25 hours of observing sign language interpretation services provided to clients.

(f) *Sign language interpreter—advanced deaf licenses.* The department shall grant a sign language interpreter—advanced deaf license to an applicant who submits an application on a form provided by the department, pays the fee determined by the department under s. 440.03 (9) (a), and satisfies all of the following:

1. The applicant holds at least an associate degree or satisfies an alternate pathway for education, as determined by the department after receiving advice from the committee.

2. The applicant holds a certified deaf interpreter certification issued by the Registry of Interpreters for the Deaf, Inc., or its successor or an equivalent certification, as determined by the department after receiving advice from the committee.

(3m) EXAM ADMINISTRATION IN WISCONSIN. The department of health services shall administer in this state the performance examinations of the Board for Evaluation of Interpreters or its successor, unless the department [of safety and professional services] approves another administrator of the examinations.

NOTE: The full agency name is shown in brackets. Corrective legislation is pending.

(4) NOTIFICATION REQUIRED. A person who is licensed under sub. (3) shall notify the department in writing within 30 days if the person's certification or membership specified in sub. (3) that is required for the license is revoked or invalidated. The department shall revoke a license granted under sub. (3) if such a certification or membership is revoked or invalidated.

(4m) SCOPE OF LICENSES. The department, after receiving advice from the committee, may promulgate rules defining the scope of practice of each license granted under sub. (3), subject to the following:

(a) *Sign language interpreter—intermediate hearing.* 1. Subject to subd. 2., a sign language interpreter—intermediate hearing licensee may not provide sign language interpretation services to clients in any medical setting, as determined by the department after receiving advice from the committee, unless he or she is team interpreting with a sign language interpreter—advanced hearing or sign language interpreter—advanced deaf licensee.

2. A sign language interpreter—intermediate hearing licensee may not provide sign language interpretation services to

a client in any legal setting or setting related to treatment, as defined in s. 51.01 (17), involving mental health, as determined by the department after receiving advice from the committee.

(b) *Interpretation in legal settings.* No sign language interpreter—advanced hearing, sign language interpreter—intermediate deaf, or sign language interpreter—advanced deaf licensee may provide sign language interpretation services to a client in any legal setting, as determined by the department after receiving advice from the committee, unless he or she is also authorized, including under a provisional status, by the supreme court to act as a qualified interpreter in court proceedings under s. 885.38 (2).

(c) *Interpretation in mental health settings.* 1. No sign language interpreter—intermediate deaf licensee may provide sign language interpretation services to a client in any setting related to treatment, as defined in s. 51.01 (17), involving mental health, as determined by the department after receiving advice from the committee.

2. Beginning on September 1, 2023, no sign language interpreter—advanced hearing or sign language interpreter—advanced deaf licensee may provide sign language interpretation services to a client in any setting related to treatment, as defined in s. 51.01 (17), involving mental health, as determined by the department after receiving advice from the committee, unless the licensee satisfies requirements established by the department by rule after receiving advice from the committee.

(5) LICENSE RENEWAL. The renewal dates for licenses granted under sub. (3) are specified in s. 440.08 (2) (a) 68c. Renewal applications shall be submitted to the department on a form provided by the department and shall include the renewal fee determined by the department under s. 440.03 (9) (a) and evidence satisfactory to the department that the person's certification or membership specified in sub. (3) that is required for the license has not been revoked or invalidated.

(5m) IDENTIFICATION CARDS. The department, after receiving advice from the committee, may promulgate rules requiring all interpreters licensed under sub. (3) to have an identification card with them at all times while providing sign language interpretation services to clients for compensation. The department shall issue the identification card in the format determined by the department. The identification card issued to a licensee for purposes of this subsection shall satisfy all of the following conditions:

(a) Include all of the following:

1. The interpreter's full name.
2. The interpreter's licensure category, whether sign language interpreter—intermediate hearing, sign language interpreter—advanced hearing, sign language interpreter—intermediate deaf, or sign language interpreter—advanced deaf.
3. Any applicable licensure restriction.
4. A statement whether the interpreter is authorized by the supreme court to act as a qualified interpreter in court proceedings under s. 885.38 (2) and whether that authorization is provisional.
5. Any other information required by the department.

(b) Be color-coded based on the interpreter's licensure category identified under par. (a) 2. An intermediate license shall be yellow. An advanced license shall be green.

(6m) SIGN LANGUAGE INTERPRETERS ADVISORY COMMITTEE.

(a) The secretary shall appoint an advisory committee under s. 440.042 that shall be called the sign language interpreters advisory committee. The committee shall consist of the secretary or a designee and the following 8 members:

1. Five deaf or hard of hearing individuals who are or have been clients of a sign language interpreter, at least one of whom is a graduate of a residential school for the deaf or hard of hearing and at least one of whom is a graduate of a private or public school that is not a residential school for the deaf or hard of hearing.
2. Two interpreters licensed under this section, at least one of whom holds a license under sub. (3) (c) to (f).

3. One individual who is not deaf or hard of hearing and who has obtained, or represents an entity that has obtained, sign language interpreter services for the benefit of another who is deaf or hard of hearing.

(b) The committee shall do all of the following:

1. Advise the department on all of the following:
 - a. Matters related to the department's enforcement of this section.
 - b. Granting exemptions under sub. (2) (c).
 - c. Licensure requirements under sub. (3).
 - d. Promulgating the rules defining the scope of practice under sub. (4m).
 - e. Promulgating the rules relating to identification cards under sub. (5m).
 - f. Promulgating the rules governing professional conduct under sub. (7) (b).
2. Consult with the department concerning investigations under sub. (8).

(c) The committee shall submit to the secretary, upon request of the secretary not more often than annually, a report on the operation of the committee.

(7) RULE MAKING. (a) The department may not promulgate rules that impose requirements for granting a license that are in addition to the requirements specified in sub. (3).

(b) The department, after receiving advice from the committee, may promulgate rules governing the professional conduct of individuals licensed under sub. (3). The rules shall incorporate the rules of professional conduct adopted by the National Association of the Deaf, or its successor, and the Registry of Interpreters for the Deaf, or its successor, or a substantially equivalent organization, as determined by the department after receiving advice from the committee.

(7m) SUBMITTING COMPLAINTS. The department shall facilitate the submission of complaints concerning alleged violations of this section or rules promulgated under this section, including by accepting complaints submitted by mail.

(8) DISCIPLINARY PROCEEDINGS AND ACTIONS. Subject to the rules promulgated under s. 440.03 (1), the department may make investigations and conduct hearings to determine whether a violation of this section or any rule promulgated under this section has occurred and may reprimand a person who is licensed under sub. (3) or may deny, limit, suspend, or revoke a license granted under sub. (3) if it finds that the applicant or licensee has violated this section or any rule promulgated under this section.

(9) PENALTY. A person who violates this section or any rule promulgated under this section may be fined not more than \$200 or imprisoned for not more than 6 months or both.

History: 2009 a. 360; 2019 a. 17; s. 35.17 correction in (3) (c) (intro.).

Cross-reference: See also chs. SPS 200 to 202, Wis. adm. code.

440.035 General duties and powers of examining boards and affiliated credentialing boards. (1m) Each examining board or affiliated credentialing board attached to the department or an examining board shall:

(a) Independently exercise its powers, duties and functions prescribed by law with regard to rule-making, credentialing and regulation.

(b) Be the supervising authority of all personnel, other than shared personnel, engaged in the review, investigation or handling of information regarding qualifications of applicants for credentials, examination questions and answers, accreditation, related investigations and disciplinary matters affecting persons who are credentialed by the examining board or affiliated credentialing board, or in the establishing of regulatory policy or the exercise of administrative discretion with regard to the qualifications or discipline of applicants or persons who are credentialed by the examining board, affiliated credentialing board or accreditation.

(c) Maintain, in conjunction with their operations, in central locations designated by the department, all records pertaining to the functions independently retained by them.

(d) Compile and keep current a register of the names and addresses of all persons who are credentialed to be retained by the department and which shall be available for public inspection during the times specified in s. 230.35 (4) (a). The department may also make the register available to the public by electronic transmission.

(2) Except as otherwise permitted in chs. 440 to 480, an examining board or affiliated credentialing board attached to the department or an examining board may require a credential holder to submit proof of the continuing education programs or courses that he or she has completed only if a complaint is made against the credential holder.

(2m) (a) In this subsection, “controlled substance” has the meaning given in s. 961.01 (4).

(b) The medical examining board, the podiatry affiliated credentialing board, the board of nursing, the dentistry examining board, or the optometry examining board may issue guidelines regarding best practices in prescribing controlled substances for persons credentialed by that board who are authorized to prescribe controlled substances.

(c) 1. The medical examining board, the podiatry affiliated credentialing board, the board of nursing, the dentistry examining board, and the optometry examining board shall, by November 1, 2018, and annually thereafter, submit a report to the persons specified in subd. 2. that does all of the following:

a. Details proactive efforts taken by the board to address the issue of opioid abuse. The board shall specify whether the board has required, or otherwise encouraged, continuing education related to prescribing controlled substances for persons credentialed by that board who are authorized to prescribe controlled substances.

b. Sets goals for addressing the issue of opioid abuse, as that issue pertains to or implicates the practices of the professions regulated by the board.

c. Describes the actions taken by the board so that the goals described in subd. 1. b. that were identified in the board’s previous reports under this paragraph can be achieved, whether those goals have been achieved, and, if the goals have not been achieved, the reasons therefor.

2. A report under subd. 1. shall be submitted to all of the following:

a. Any committee, task force, or other body or person designated by the governor.

b. To the appropriate standing committees of the legislature with jurisdiction over health issues under s. 13.172 (3).

History: 1977 c. 418 ss. 25, 793, 929 (41); 1979 c. 32 s. 92 (1); 1979 c. 34; 1989 a. 56 s. 259; 1991 a. 39; 1993 a. 107; 1997 a. 27, 191, 237; 2015 a. 269; 2017 a. 59, 262.

440.04 Duties of the secretary. The secretary shall:

(1) Centralize, at the capital and in such district offices as the operations of the department and the attached examining boards and affiliated credentialing boards require, the routine housekeeping functions required by the department, the examining boards and the affiliated credentialing boards.

(2) Provide the bookkeeping, payroll, accounting and personnel advisory services required by the department and the legal services, except for representation in court proceedings and the preparation of formal legal opinions, required by the attached examining boards and affiliated credentialing boards.

(3) Control the allocation, disbursement, and budgeting of the funds received by the examining boards and affiliated credentialing boards in connection with their credentialing and regulation, including the reimbursement of board members for actual and necessary expenses, including travel expenses, incurred in the performance of their duties.

(4) Employ, assign and reassign such staff as are required by the department and the attached examining boards and affiliated credentialing boards in the performance of their functions.

(5) With the advice of the examining boards or affiliated credentialing boards:

(a) Provide the department with such supplies, equipment, office space and meeting facilities as are required for the efficient operation of the department.

(b) Make all arrangements for meetings, hearings and examinations.

(c) Provide such other services as the examining boards or affiliated credentialing boards request.

(6) Appoint outside the classified service an administrator for any division established in the department and a director for any bureau established in the department as authorized in s. 230.08 (2). The secretary may assign any bureau director appointed in accordance with this subsection to serve concurrently as a bureau director and a division administrator.

(7) Unless otherwise specified in chs. 440 to 480, provide examination development, administration, research and evaluation services as required.

History: 1977 c. 418 s. 26; 1979 c. 34; 1981 c. 20; 1985 a. 29; 1987 a. 27; 1989 a. 316; 1991 a. 39; 1993 a. 102, 107; 1995 a. 333; 2003 a. 270; 2011 a. 32; 2017 a. 329.

440.042 Advisory committees. (1) The secretary may appoint persons or advisory committees to advise the department and the boards, examining boards, and affiliated credentialing boards in the department on matters relating to the regulation of credential holders. A person or an advisory committee member appointed under this subsection shall serve without compensation, but may be reimbursed for his or her actual and necessary expenses incurred in the performance of his or her duties.

(2) Any person who in good faith testifies before the department or any examining board, affiliated credentialing board or board in the department or otherwise provides the department or any examining board, affiliated credentialing board or board in the department with advice or information on a matter relating to the regulation of a person holding a credential is immune from civil liability for his or her acts or omissions in testifying or otherwise providing such advice or information. The good faith of any person specified in this subsection shall be presumed in any civil action and an allegation that such a person has not acted in good faith must be proven by clear and convincing evidence.

History: 1993 a. 16 ss. 3269, 3299; 1993 a. 107; 1997 a. 156; 1999 a. 32; 2005 a. 292; 2015 a. 192.

440.043 Behavioral health review committee. (1) The secretary shall appoint an advisory committee under s. 440.042 to provide advice concerning behavioral health. The advisory committee shall semiannually conduct a review of the requirements for obtaining a credential under s. 440.88 or ch. 457 or for other credentials related to behavioral health.

(2) The advisory committee shall accept comments from the public related to its review under sub. (1). Before conducting a review under sub. (1), the department shall publish a class I notice under ch. 985 and shall publish notice on its Internet site announcing the opportunity for public comment.

(3) The advisory committee established under sub. (1) may propose changes in statutes and rules to the department; the marriage and family therapy, professional counseling, and social work examining board; or other appropriate credentialing board.

History: 2017 a. 262.

440.045 Disputes. Any dispute between an examining board or an affiliated credentialing board and the secretary shall be arbitrated by the governor or the governor’s designee after consultation with the disputants.

History: 1977 c. 418 s. 27; 1979 c. 34; 1993 a. 107.

The relationship between the department, cosmetology examining board, and governor is discussed. 70 Atty. Gen. 172.

440.05 Standard fees. Subject to s. 440.052, the following standard fees apply to all initial credentials, except as provided in ss. 440.51, 444.03, 444.11, 446.02 (2) (c), 447.04 (2) (c) 2., 448.07 (2), 449.17 (1m) (d), and 449.18 (2) (d):

(1) (a) Initial credential: An amount determined by the department under s. 440.03 (9) (a). Each applicant for an initial credential shall pay the initial credential fee to the department when the application materials for the initial credential are submitted to the department, except that no fee is required under this paragraph for an individual who is eligible for the veterans fee waiver program under s. 45.44.

(b) Examination: If an examination is required, the applicant shall pay an examination fee to the department. If the department prepares, administers, or grades the examination, the fee to the department shall be an amount equal to the department's best estimate of the actual cost of preparing, administering, or grading the examination. If the department approves an examination prepared, administered, and graded by a test service provider, the fee to the department shall be an amount equal to the department's best estimate of the actual cost of approving the examination, including selecting, evaluating, and reviewing the examination.

(2) (a) Reciprocal credential, including any credential described in s. 440.01 (2) (d) and any credential that permits temporary practice in this state in whole or in part because the person holds a credential in another jurisdiction: Except as provided in par. (b), the applicable credential renewal fee determined by the department under s. 440.03 (9) (a) and, if an examination is required, an examination fee under sub. (1).

(b) No reciprocal credential fee is required under this subsection for an individual who seeks an initial reciprocal credential in this state and who is eligible for the veterans fee waiver program under s. 45.44.

(6) Apprentice, journeyman, student or other temporary credential, granted pending completion of education, apprenticeship or examination requirements: \$10.

(7) Replacement of lost credential, name or address change on credential, issuance of duplicate credential or transfer of credential: \$10.

(9) Endorsement of persons who are credentialed to other states: \$10.

(10) Expedited service: If an applicant for a credential requests that the department process an application on an expedited basis, the applicant shall pay a service fee that is equal to the department's best estimate of the cost of processing the application on an expedited basis, including the cost of providing counter or other special handling services.

History: 1977 c. 29, 418; 1979 c. 34; 1979 c. 175 s. 53; 1979 c. 221 s. 2202 (45); 1983 a. 27; 1985 a. 29; 1987 a. 264, 265, 329, 399, 403; 1989 a. 31, 229, 307, 316, 336, 340, 341, 359; 1991 a. 39, 269, 278, 315; 1993 a. 16; 1995 a. 27; 1997 a. 27, 96; 1999 a. 9; 2001 a. 16; 2003 a. 150, 270, 285, 327; 2005 a. 25, 297; 2007 a. 20; 2011 a. 209; 2013 a. 20; 2015 a. 116; 2017 a. 319; 2019 a. 49 ss. 1, 4.

Cross-reference: See also ch. SPS 4, Wis. adm. code.

440.052 Initial credential fee reduction. (1) In this section, "reciprocal credential" means a credential granted by a credentialing board, another board in the department, or the department to an applicant who holds a credential issued by a governmental authority in a jurisdiction outside this state authorizing or qualifying the applicant to perform acts that are substantially the same as those acts authorized by the credential granted by the credentialing board, other board in the department, or department.

(2) Notwithstanding chs. 440 to 480, an individual applying for an initial credential or for an initial reciprocal credential shall pay a fee for the credential that is equal to 10 percent of the standard fee for that credential if the family income of the individual does not exceed 180 percent of the federal poverty line established under 42 USC 9902 (2).

History: 2017 a. 319.

440.055 Credit card payments. (2) If the department permits the payment of a fee with use of a credit card, the department shall charge a credit card service charge for each transaction. The credit card service charge shall be in addition to the fee that is being paid with the credit card and shall be sufficient to pay the costs to the department for providing this service to persons who request it, including the cost of any services for which the department contracts under sub. (3).

(3) The department may contract for services relating to the payment of fees by credit card under this section.

History: 1995 a. 27; 1999 a. 9.

440.06 Refunds and reexaminations. The secretary may establish uniform procedures for refunds of fees paid under s. 440.05 or 440.08 and uniform procedures and fees for reexaminations under chs. 440 to 480.

History: 1977 c. 418; 1979 c. 175 s. 53; 1979 c. 221 s. 2202 (45); 1991 a. 39; 1993 a. 102.

Cross-reference: See also ch. SPS 4, Wis. adm. code.

440.07 Examination standards and services. (1) In addition to the standards specified in chs. 440 to 480, examinations for credentials shall reasonably relate to the skills likely to be needed for an applicant to practice in this state at the time of examination and shall seek to determine the applicant's preparedness to exercise the skills.

(2) The department, examining board or affiliated credentialing board having authority to credential applicants may do any of the following:

(a) Prepare, administer and grade examinations.

(b) Approve, in whole or in part, an examination prepared, administered and graded by a test service provider.

(3) The department may charge a fee to an applicant for a credential who fails an examination required for the credential and requests a review of his or her examination results. The fee shall be based on the cost of the review. No fee may be charged for the review unless the amount of the fee or the procedure for determining the amount of the fee is specified in rules promulgated by the department.

History: 1987 a. 27; 1991 a. 39; 1993 a. 102, 107.

Cross-reference: See also ch. SPS 4, Wis. adm. code.

Department of Regulation and Licensing test scores were subject to disclosure under the open records law. *Munroe v. Braatz*, 201 Wis. 2d 442, 549 N.W.2d 452 (Ct. App. 1996), 95–2557.

440.071 No degree completion requirement to sit for examination. (1) Except as provided under sub. (2), the department or a credentialing board or other board in the department may not require a person to complete any postsecondary education or other program before the person is eligible to take an examination for a credential the department or credentialing board or other board in the department grants or issues.

(2) This section does not apply to an examination for a real estate appraiser certification under s. 458.06 or license under s. 458.08.

History: 2013 a. 114.

440.075 Military service education, training, instruction, or other experience. (1) In this section, "instruction" means any education, training, instruction, or other experience related to an occupation or profession.

(2) The department, if the department issues the credential, or the credentialing board, if a credentialing board issues the credential, shall count any relevant instruction that an applicant for an initial credential has obtained in connection with the applicant's military service, as defined in s. 111.32 (12g), toward satisfying any instruction requirements for that credential if the applicant demonstrates to the satisfaction of the department or credentialing board that the instruction obtained by the applicant is substantially equivalent to the instruction required for the initial credential.

History: 2011 a. 120.

440.08 Credential renewal. (1) NOTICE OF RENEWAL. The department shall give a notice of renewal to each holder of a credential at least 30 days prior to the renewal date of the credential. Notice may be mailed to the last address provided to the department by the credential holder or may be given by electronic transmission. Failure to receive a notice of renewal is not a defense in any disciplinary proceeding against the holder or in any proceeding against the holder for practicing without a credential. Failure to receive a notice of renewal does not relieve the holder from the obligation to pay a penalty for late renewal under sub. (3).

(2) RENEWAL DATES, FEES AND APPLICATIONS. (a) Except as provided in par. (b) and in ss. 440.51, 442.04, 444.03, 444.11, 447.04 (2) (c) 2., 449.17 (1m) (d), 449.18 (2) (e), 463.10, 463.12, and 463.25 and subch. II of ch. 448, the renewal dates for credentials are as follows:

1. Accountant, certified public: December 15 of each odd-numbered year.
3. Accounting corporation or partnership: December 15 of each odd-numbered year.
4. Acupuncturist: July 1 of each odd-numbered year.
- 4m. Advanced practice nurse prescriber: October 1 of each even-numbered year.
5. Aesthetics school: April 1 of each odd-numbered year.
6. Aesthetics establishment: April 1 of each odd-numbered year.
8. Aesthetics school: April 1 of each odd-numbered year.
9. Aesthetics specialty school: April 1 of each odd-numbered year.
- 9m. Substance abuse counselor, clinical supervisor, or prevention specialist: except as limited in s. 440.88 (4), March 1 of each odd-numbered year.
10. Anesthesiologist assistant: October 1 of each even-numbered year.
- 10m. Appraisal management company: December 15 of each odd-numbered year.
11. Appraiser, real estate, certified general: December 15 of each odd-numbered year.
- 11m. Appraiser, real estate, certified residential: December 15 of each odd-numbered year.
12. Appraiser, real estate, licensed: December 15 of each odd-numbered year.
13. Architect: August 1 of each even-numbered year.
14. Architectural or engineering firm, partnership or corporation: February 1 of each even-numbered year.
- 14d. Athlete agent: July 1 of each even-numbered year.
- 14f. Athletic trainer: July 1 of each even-numbered year.
- 14g. Auction company: December 15 of each even-numbered year.
- 14r. Auctioneer: December 15 of each even-numbered year.
15. Audiologist: February 1 of each odd-numbered year.
- 15m. Barber: April 1 of each odd-numbered year.
16. Barbering establishment: April 1 of each odd-numbered year.
19. Barbering school: April 1 of each odd-numbered year.
- 20m. Behavior analyst: December 15 of each even-numbered year.
21. Cemetery authority, licensed: December 15 of each even-numbered year.
- 21m. Cemetery authority, registered: December 15 of each even-numbered year; \$10.
22. Cemetery preneed seller: December 15 of each even-numbered year.
23. Cemetery salesperson: December 15 of each even-numbered year.
- 23p. Chiropractic radiological technician: December 15 of each even-numbered year.
- 23s. Chiropractic technician: December 15 of each even-numbered year.
24. Chiropractor: December 15 of each even-numbered year.
- 24b. Cosmetologist: April 1 of each odd-numbered year.
- 24d. Cosmetology establishment: April 1 of each odd-numbered year.
- 24k. Cosmetology school: April 1 of each odd-numbered year.
- 24m. Crematory authority: January 1 of each even-numbered year.
25. Dental hygienist: October 1 of each odd-numbered year.
26. Dentist: October 1 of each odd-numbered year.
- 26m. Dentist, faculty member: October 1 of each odd-numbered year.
27. Designer of engineering systems: February 1 of each even-numbered year.
- 27m. Dietitian: November 1 of each even-numbered year.
29. Drug manufacturer: June 1 of each even-numbered year.
30. Electrologist: April 1 of each odd-numbered year.
31. Electrology establishment: April 1 of each odd-numbered year.
33. Electrology school: April 1 of each odd-numbered year.
34. Electrology specialty school: April 1 of each odd-numbered year.
35. Engineer, professional: August 1 of each even-numbered year.
36. Funeral director: December 15 of each odd-numbered year.
37. Funeral establishment: June 1 of each odd-numbered year.
38. Hearing instrument specialist: February 1 of each odd-numbered year.
- 38g. Home inspector: December 15 of each even-numbered year.
- 38h. Home medical oxygen provider: June 1 of each even-numbered year.
- 38j. Juvenile martial arts instructor: September 1 of each even-numbered year.
- 38m. Landscape architect: August 1 of each even-numbered year.
39. Land surveyor, professional: February 1 of each even-numbered year.
- 39m. Limited X-ray machine operator: September 1 of each even-numbered year.
42. Manicuring establishment: April 1 of each odd-numbered year.
44. Manicuring school: April 1 of each odd-numbered year.
45. Manicuring specialty school: April 1 of each odd-numbered year.
46. Manicurist: April 1 of each odd-numbered year.
- 46m. Marriage and family therapist: March 1 of each odd-numbered year.
- 46r. Massage therapist or bodywork therapist: March 1 of each odd-numbered year.
- 46w. Midwife, licensed: July 1 of each even-numbered year.
- 46y. Mobile dentistry program registration: October 1 of each odd-numbered year.
48. Nurse, licensed practical: May 1 of each odd-numbered year.
49. Nurse, registered: March 1 of each even-numbered year.
50. Nurse-midwife: March 1 of each even-numbered year.
51. Nursing home administrator: July 1 of each even-numbered year.
52. Occupational therapist: June 1 of each odd-numbered year.

53. Occupational therapy assistant: June 1 of each odd-numbered year.
54. Optometrist: December 15 of each odd-numbered year.
- 54m. Perfusionist: March 1 of each even-numbered year.
55. Pharmacist: June 1 of each even-numbered year.
56. Pharmacy, in-state and out-of-state: June 1 of each even-numbered year.
57. Physical therapist: March 1 of each odd-numbered year.
- 57m. Physical therapist assistant: March 1 of each odd-numbered year.
58. Physician, other than a physician who possesses the degree of doctor of osteopathy: November 1 of each odd-numbered year.
- 58m. Physician who possesses the degree of doctor of osteopathy: November 1 of each odd-numbered year.
59. Physician assistant: March 1 of each even-numbered year.
60. Podiatrist: November 1 of each even-numbered year.
61. Private detective: September 1 of each even-numbered year.
62. Private detective agency: September 1 of each odd-numbered year.
63. Private practice school psychologist: October 1 of each odd-numbered year.
- 63g. Private security person: September 1 of each even-numbered year.
- 63m. Professional counselor: March 1 of each odd-numbered year.
- 63u. Professional geologist: August 1 of each even-numbered year.
- 63v. Professional geology, hydrology or soil science firm, partnership or corporation: August 1 of each even-numbered year.
- 63w. Professional hydrologist: August 1 of each even-numbered year.
- 63x. Professional soil scientist: August 1 of each even-numbered year.
64. Psychologist: October 1 of each odd-numbered year.
- 64g. Radiographer, licensed: September 1 of each even-numbered year.
65. Real estate broker: December 15 of each even-numbered year.
66. Real estate business entity: December 15 of each even-numbered year.
67. Real estate salesperson: December 15 of each even-numbered year.
- 67m. Registered interior designer: August 1 of each even-numbered year.
- 67v. Registered music, art or dance therapist: October 1 of each odd-numbered year.
- 67x. Registered music, art, or dance therapist with psychotherapy license: October 1 of each odd-numbered year.
68. Respiratory care practitioner: July 1 of each even-numbered year.
- 68b. Sanitarian: January 1 of each even-numbered year.
- 68c. Sign language interpreter: September 1 of each odd-numbered year.
- 68d. Social worker: March 1 of each odd-numbered year.
- 68h. Social worker, advanced practice: March 1 of each odd-numbered year.
- 68p. Social worker, independent: March 1 of each odd-numbered year.
- 68t. Social worker, independent clinical: March 1 of each odd-numbered year.

68v. Speech-language pathologist: February 1 of each odd-numbered year.

69m. Transportation network company: March 1 of each odd-numbered year.

72. Wholesale distributor of prescription drugs: June 1 of each even-numbered year.

(b) The renewal fee for an apprentice, journeyman, student or temporary credential is \$10. The renewal dates specified in par. (a) do not apply to apprentice, journeyman, student or temporary credentials.

(c) Except as provided in par. (e) and sub. (3), renewal applications shall include the applicable renewal fee as determined by the department under s. 440.03 (9) (a) or as specified in par. (b).

(d) If an applicant for credential renewal requests that the department process an application on an expedited basis, the applicant shall pay a service fee that is equal to the department's best estimate of the cost of processing the application on an expedited basis, including the cost of providing counter or other special handling services.

(e) A renewal of a compact license, as defined in s. 448.015 (1dm), shall be governed by s. 448.980 (7) and is subject to s. 448.07 (2).

(3) LATE RENEWAL. (a) Except as provided in rules promulgated under par. (b), if the department does not receive an application to renew a credential before its renewal date, the holder of the credential may restore the credential by payment of the applicable renewal fee determined by the department under s. 440.03 (9) (a) and by payment of a late renewal fee of \$25.

(b) The department or the interested examining board or affiliated credentialing board, as appropriate, may promulgate rules requiring the holder of a credential who fails to renew the credential within 5 years after its renewal date to complete requirements in order to restore the credential, in addition to the applicable requirements for renewal established under chs. 440 to 480, that the department, examining board or affiliated credentialing board determines are necessary to protect the public health, safety or welfare. The rules may not require the holder to complete educational requirements or pass examinations that are more extensive than the educational or examination requirements that must be completed in order to obtain an initial credential from the department, the examining board or the affiliated credentialing board.

(4) DENIAL OF CREDENTIAL RENEWAL. (a) *Generally.* If the department or the interested examining board or affiliated credentialing board, as appropriate, determines that an applicant for renewal has failed to comply with sub. (2) (c) or (3) or with any other applicable requirement for renewal established under chs. 440 to 480 or that the denial of an application for renewal of a credential is necessary to protect the public health, safety or welfare, the department, examining board or affiliated credentialing board may summarily deny the application for renewal by mailing to the holder of the credential a notice of denial that includes a statement of the facts or conduct that warrant the denial and a notice that the holder may, within 30 days after the date on which the notice of denial is mailed, file a written request with the department to have the denial reviewed at a hearing before the department, if the department issued the credential, or before the examining board or affiliated credentialing board that issued the credential.

(b) *Applicability.* This subsection does not apply to a denial of a credential renewal under s. 440.12 or 440.13 (2) (b).

(5) RENEWAL SUSPENSION FOR PUBLIC HEALTH EMERGENCY. (a) In this subsection, "health care provider credential" means any credential issued under ch. 441, 447, 448, 450, 455, 460, or 462.

(b) Notwithstanding subs. (1) to (3) and the applicable provisions in chs. 440 to 480, but subject to any professional discipline imposed on the credential, a health care provider credential is not subject to renewal, or any other conditions for renewal including continuing education, and remains valid during the period specified in par. (c).

(c) For purposes of par. (b), the period shall be the period beginning on March 12, 2020, and ending on the 60th day after the end of the period covered by the public health emergency declared on March 12, 2020, by executive order 72.

(d) A renewal that occurs subsequent to the period described in par. (c) is not subject to the late renewal fee under sub. (3) (a) if the application to renew the credential is received before the next applicable renewal date. Notwithstanding the applicable provisions in chs. 440 to 480, the applicable credentialing board may, for that next applicable renewal date, provide an exemption from or reduction of continuing education or other conditions for renewal.

History: 1991 a. 39 ss. 3305, 3313; 1991 a. 78, 160, 167, 269, 278, 315; 1993 a. 3, 16, 102, 105, 107, 443, 463, 465; 1993 a. 490 ss. 228 to 230, 274, 275; 1995 a. 27, 233, 321, 322, 461; 1997 a. 27, 75, 81, 96, 156, 191, 237, 261, 300; 1999 a. 9, 32; 2001 a. 16, 70, 74, 80, 89; 2003 a. 150, 270, 285, 327; 2005 a. 25, 31, 242, 292, 297, 407; 2007 a. 20, 174, 189; 2009 a. 28, 29, 106, 130, 174, 282, 355, 360; 2011 a. 160, 190, 258; 2013 a. 20, 240, 244, 358; 2015 a. 3, 16, 55, 116; 2015 a. 195 s. 83; 2015 a. 258; 2017 a. 82, 113, 329, 364; 2019 a. 49 s. 1; 2019 a. 185.

440.09 Reciprocal credentials for service members, former service members, and their spouses. (1) In this section:

(a) “Former service member” means a person who was discharged from the U.S. armed forces under conditions other than dishonorable within 4 years of the date on which the service member or the spouse of the service member applies for a reciprocal credential under this section.

(b) “Service member” means a member of the U.S. armed forces, a reserve unit of the U.S. armed forces, or the national guard of any state.

(c) “Spouse” includes the spouse of a person who died while in service in the U.S. armed forces or in forces incorporated as part of the U.S. armed forces.

(2) The department and each credentialing board shall grant a reciprocal credential to an individual who the department or credentialing board determines meets all of the following requirements:

(a) The individual applies for a reciprocal credential under this section on a form prescribed by the department or credentialing board.

(b) The individual is a service member, a former service member, or the spouse of a service member or former service member and resides in this state.

(c) The individual holds a license, certification, registration, or permit that was granted by a governmental authority in a jurisdiction outside this state that qualifies the individual to perform the acts authorized under the appropriate credential granted by the department or credentialing board.

(d) The individual pays the fee specified under s. 440.05 (2).

(f) The individual is in good standing with the governmental authorities in every jurisdiction outside this state that have granted the individual a license, certification, registration, or permit that qualifies the individual to perform acts authorized under the appropriate credential granted by the department or credentialing board.

(2m) If an individual is unable to provide documentation that the individual is a service member, former service member, or the spouse of a service member or former service member, the individual may submit an affidavit to the department or credentialing board, as appropriate, stating that the individual is a service member, former service member, or the spouse of a service member or former service member.

(3) (a) A reciprocal credential granted under this section expires on the applicable renewal date specified in s. 440.08 (2) (a), except that if the first renewal date specified in s. 440.08 (2) (a) after the date on which the credential is granted is within 180 days of the date on which the credential is granted, the credential expires on the 2nd renewal date specified in s. 440.08 (2) (a) after the date on which the credential is granted.

(b) The department or credentialing board, as appropriate, shall grant a renewed reciprocal credential to an applicant who pays the renewal fee specified under s. 440.05 (2) and satisfies the requirements that apply for renewing that credential.

(4) The department or credentialing board, as appropriate, shall expedite the issuance of a reciprocal credential granted under this section.

(5) The department or credentialing board, as appropriate, may promulgate rules necessary to implement this section.

History: 2011 a. 210; 2019 a. 143.

440.11 Change of name or address. (1) An applicant for or recipient of a credential who changes his or her name or moves from the last address provided to the department shall notify the department of his or her new name or address within 30 days of the change in writing or in accordance with other notification procedures approved by the department.

(2) The department or any examining board, affiliated credentialing board or board in the department may serve any process, notice or demand on the holder of any credential by mailing it to the last-known address of the holder as indicated in the records of the department, examining board, affiliated credentialing board or board.

History: 1987 a. 27; 1991 a. 39; 1993 a. 107; 1997 a. 27; 2017 a. 329.

440.12 Credential denial, nonrenewal and revocation based on tax or unemployment insurance contribution delinquency. Notwithstanding any other provision of chs. 440 to 480 relating to issuance or renewal of a credential, the department shall deny an application for an initial credential or credential renewal or revoke a credential if any of the following applies:

(1) The department of revenue certifies under s. 73.0301 that the applicant or credential holder is liable for delinquent taxes.

(2) The department of workforce development certifies under s. 108.227 that the applicant or credential holder is liable for delinquent unemployment insurance contributions.

History: 1997 a. 237; 2013 a. 36.

Cross-reference: See also ch. SPS 9, Wis. adm. code.

440.121 Credential denial, nonrenewal, and revocation based on incompetency. Notwithstanding any other provision of chs. 440 to 480 relating to issuance or renewal of a credential, the department shall deny an application for an initial credential or credential renewal or revoke a credential issued to an individual for whom the department receives a record of a declaration under s. 54.25 (2) (c) 1. d. stating that the individual is incompetent to apply for a credential under chs. 440 to 480.

History: 2005 a. 387.

440.13 Delinquency in support payments; failure to comply with subpoena or warrant. (1) In this section:

(b) “Memorandum of understanding” means a memorandum of understanding entered into by the department of safety and professional services and the department of children and families under s. 49.857.

(c) “Support” has the meaning given in s. 49.857 (1) (g).

(2) Notwithstanding any other provision of chs. 440 to 480 relating to issuance of an initial credential or credential renewal, as provided in the memorandum of understanding:

(a) With respect to a credential granted by the department, the department shall restrict, limit, or suspend a credential or deny an application for an initial credential if the credential holder or applicant is delinquent in paying support or fails to comply, after appropriate notice, with a subpoena or warrant issued by the department of children and families or a county child support agency under s. 59.53 (5) and related to support or paternity proceedings.

(b) With respect to credential renewal, the department shall deny an application for renewal if the applicant is delinquent in paying support or fails to comply, after appropriate notice, with a subpoena or warrant issued by the department of children and

families or a county child support agency under s. 59.53 (5) and related to support or paternity proceedings.

(c) With respect to a credential granted by a credentialing board, a credentialing board shall restrict, limit, or suspend a credential held by a person or deny an application for an initial credential when directed to do so by the department.

History: 1997 a. 191, 237; 2007 a. 20; 2011 a. 32; 2015 a. 258.

440.14 Nondisclosure of certain personal information.

(1) In this section:

(a) “List” means information compiled or maintained by the department or a credentialing board that contains the personal identifiers of 10 or more individuals.

(b) “Personal identifier” means a social security number, telephone number, street name and number, electronic mail address, or post–office box number.

(2) If a form that the department or a credentialing board requires an individual to complete in order to apply for a credential or credential renewal or to obtain a product or service from the department or the credentialing board requires the individual to provide any of the individual’s personal identifiers, the form shall include a place for the individual to declare that the individual’s personal identifiers obtained by the department or the credentialing board from the information on the form may not be disclosed on any list that the department or the credentialing board furnishes to another person. This subsection does not apply with respect to an application filed with the medical examining board pursuant to the interstate medical licensure compact under s. 448.980 (5).

(3) If the department or a credentialing board requires an individual to provide, by telephone or other electronic means, any of the individual’s personal identifiers in order to apply for a credential or credential renewal or to obtain a product or service from the department or a credentialing board, the department or the credentialing board shall ask the individual at the time that the individual provides the information if the individual wants to declare that the individual’s personal identifiers obtained by telephone or other electronic means may not be disclosed on any list that the department or the credentialing board furnishes to another person. This subsection does not apply with respect to an application filed with the medical examining board pursuant to the interstate medical licensure compact under s. 448.980 (5).

(4) The department or a credentialing board shall provide to an individual upon request a form that includes a place for the individual to declare that the individual’s personal identifiers obtained by the department or credentialing board may not be disclosed on any list that the department or credentialing board furnishes to another person.

(5) (a) The department or a credentialing board may not disclose on any list that it furnishes to another person a personal identifier of any individual who has made a declaration under sub. (2), (3) or (4).

(b) Paragraph (a) does not apply to a list that the department or a credentialing board furnishes to another state agency, a law enforcement agency or a federal governmental agency. In addition, par. (a) does not apply to a list that the department or the board of nursing furnishes to the coordinated licensure information system under s. 441.51 (6). A state agency that receives a list from the department or a credentialing board containing a personal identifier of any individual who has made a declaration under sub. (2), (3) or (4) may not disclose the personal identifier to any person other than a state agency, a law enforcement agency or a federal governmental agency.

History: 1999 a. 88; 2001 a. 66; 2009 a. 388; 2015 a. 116; 2017 a. 135; 2019 a. 49 s. 1.

440.15 No fingerprinting. Except as provided under ss. 440.03 (13) (c), 441.51 (5) (a) 5., 448.980 (5) (b) 3., and 448.985 (3) (a) 4., the department or a credentialing board may not require that an applicant for a credential or a credential holder be finger-

printed or submit fingerprints in connection with the department’s or the credentialing board’s credentialing.

History: 2011 a. 255; 2015 a. 116; 2017 a. 135; 2019 a. 49 ss. 1, 2; 2019 a. 100.

440.19 Voluntary surrender of license, permit, or certificate. A person who holds a credential may voluntarily surrender that credential. The department, examining board, affiliated credentialing board, or board of the department that issued the credential may refuse to accept that surrender if a complaint has been filed or disciplinary proceeding has been commenced against the person under s. 440.20.

History: 2011 a. 146; 2017 a. 331.

440.20 Disciplinary proceedings. (1) Any person may file a complaint before the department or any examining board, affiliated credentialing board or board in the department and request the department, examining board, affiliated credentialing board or board to commence disciplinary proceedings against any holder of a credential.

(3) The burden of proof in disciplinary proceedings before the department or any examining board, affiliated credentialing board or board in the department is a preponderance of the evidence.

(4) (a) The department or appropriate examining board, affiliated credentialing board, or board in the department may reprimand the holder of a credential or deny, limit, suspend, or revoke the credential of any person who intentionally violates s. 252.14 (2) or intentionally discloses the results of a blood test in violation of s. 252.15 (3m) (b) or (f) or (5m).

(b) The grounds for discipline specified under par. (a) are in addition to any grounds for discipline specified in chs. 440 to 480.

(5) (a) The department, or the appropriate credentialing board or other board in the department, may reprimand a credential holder, or may deny, limit, suspend, or revoke a credential, if the credential holder fails to respond, to the satisfaction of the department, credentialing board, or other board in the department, within 30 days to a request for information from the department, credentialing board, or other board in the department in connection with an investigation of alleged misconduct of the credential holder.

(b) The grounds for discipline specified under par. (a) are in addition to any grounds for discipline specified in chs. 440 to 480.

History: 1977 c. 418; 1979 c. 34; 1985 a. 29; 1989 a. 31, 201; 1991 a. 39; 1993 a. 16, 27, 102, 107, 490; 2009 a. 209; 2013 a. 124; 2017 a. 331.

The constitutionality of sub. (3) is upheld. *Gandhi v. Medical Examining Board*, 168 Wis. 2d 299, 483 N.W.2d 295 (Ct. App. 1992).

Laches is not available in any proceeding brought by the state in its sovereign capacity to protect a public right. A disciplinary proceeding is brought by the state in its sovereign capacity to protect a right of the public—the right to have licensed psychologists comply with the requirements of their licenses. *Stein v. WI Psychology Examining Board*, 2003 WI App 147, 265 Wis. 2d 781, 668 N.W.2d 112, 02–2726.

A hearing is not required for a complaint filed under this section. 68 Atty. Gen. 30.

The “preponderance of the evidence” burden of proof under sub. (3) does not violate the due process rights of a licensee. 75 Atty. Gen. 76.

440.205 Administrative warnings. If the department or a board, examining board, or affiliated credentialing board in the department determines during an investigation that there is evidence of misconduct by a credential holder, the department, board, examining board, or affiliated credentialing board may close the investigation by issuing an administrative warning to the credential holder. The department or a board, examining board or affiliated credentialing board may issue an administrative warning under this section only if the department or board, examining board or affiliated credentialing board determines that no further action is warranted because the complaint involves a minor violation and the issuance of an administrative warning adequately protects the public by putting the credential holder on notice that any subsequent violation may result in disciplinary action. If an administrative warning is issued, the credential holder may obtain a review of the administrative warning through a personal appearance before the department, board, examining board, or affiliated credentialing board that issued the administrative warning. Administrative warnings do not constitute an adjudication of guilt

or the imposition of discipline and may not be used as evidence that the credential holder is guilty of the alleged misconduct. However, if a subsequent allegation of misconduct by the credential holder is received by the department or a board, examining board or affiliated credentialing board in the department, the matter relating to the issuance of the administrative warning may be reopened and disciplinary proceedings may be commenced on the matter, or the administrative warning may be used in any subsequent disciplinary proceeding as evidence that the credential holder had actual knowledge that the misconduct that was the basis for the administrative warning was contrary to law. The record that an administrative warning was issued shall be a public record. The contents of the administrative warning shall be private and confidential. The department shall promulgate rules establishing uniform procedures for the issuance and use of administrative warnings.

History: 1997 a. 139; 2017 a. 328.

Cross-reference: See also ch. SPS 8, Wis. adm. code.

440.21 Enforcement of laws requiring credential.

(1) The department may conduct investigations, hold hearings and make findings as to whether a person has engaged in a practice or used a title without a credential required under chs. 440 to 480.

(2) If, after holding a public hearing, the department determines that a person has engaged in a practice or used a title without a credential required under chs. 440 to 480, the department may issue a special order enjoining the person from the continuation of the practice or use of the title.

(3) In lieu of holding a public hearing, if the department has reason to believe that a person has engaged in a practice or used a title without a credential required under chs. 440 to 480, the department may petition the circuit court for a temporary restraining order or an injunction as provided in ch. 813.

(4) (a) Notwithstanding any other provision of chs. 440 to 480 relating to fines, forfeitures, or imprisonment, any person who violates a special order issued under sub. (2) may be required to forfeit not more than \$10,000 for each offense. Each day of continued violation constitutes a separate offense. The attorney general or any district attorney may commence an action in the name of the state to recover a forfeiture under this paragraph.

(b) Notwithstanding any other provision of chs. 440 to 480 relating to fines, forfeitures, or imprisonment, any person who violates a temporary restraining order or an injunction issued by a court upon a petition under sub. (3) may be fined not less than \$25 nor more than \$5,000 or imprisoned for not more than one year in the county jail or both.

History: 1991 a. 39; 1993 a. 102; 2011 a. 146.

Cross-reference: See also ch. SPS 3, Wis. adm. code.

440.22 Assessment of costs. (1) In this section, “costs of the proceeding” means the compensation and reasonable expenses of hearing examiners and of prosecuting attorneys for the department, examining board, affiliated credentialing board, or other board, a reasonable disbursement for the service of process or other papers, amounts actually paid out for certified copies of records in any public office, postage, telephoning, adverse examinations and depositions and copies, expert witness fees, witness fees and expenses, compensation and reasonable expenses of experts, paralegals, real estate specialists, and investigators, and compensation and expenses of a reporter for recording and transcribing testimony.

(2) In any disciplinary proceeding against a holder of a credential in which the department or an examining board, affiliated credentialing board, or other board in the department orders suspension, limitation, or revocation of the credential, assesses a forfeiture, or reprimands the holder, the department, examining board, affiliated credentialing board, or other board may, in addition to imposing discipline, assess all or part of the costs of the proceeding against the holder. Costs assessed under this subsection are payable to the department. Interest shall accrue on costs

assessed under this subsection at a rate of 12 percent per year compounded annually beginning on the date that payment of the costs are due as ordered by the department, examining board, affiliated credentialing board, or other board. Upon the request of the department of safety and professional services, the department of justice may commence an action to recover costs assessed under this subsection and any accrued interest.

(3) In addition to any other discipline imposed, if the department, examining board, affiliated credentialing board or board assesses costs of the proceeding to the holder of the credential under sub. (2), the department, examining board, affiliated credentialing board or board may not restore, renew or otherwise issue any credential to the holder until the holder has made payment to the department under sub. (2) in the full amount assessed, together with any accrued interest.

History: 1987 a. 27; 1991 a. 39; 1993 a. 107; 1997 a. 27; 2011 a. 32; 2017 a. 328.

440.23 Cancellation of credential; reinstatement.

(1) If the holder of a credential pays a fee required under s. 440.05 (1) or (6), 440.08, 444.03, or 444.11 by check or debit or credit card and the check is not paid by the financial institution upon which the check is drawn or if the demand for payment under the debit or credit card transaction is not paid by the financial institution upon which demand is made, the department may cancel the credential on or after the 60th day after the department receives the notice from the financial institution, subject to sub. (2).

(2) At least 20 days before canceling a credential, the department shall mail a notice to the holder of the credential that informs the holder that the check or demand for payment under the debit or credit card transaction was not paid by the financial institution and that the holder’s credential may be canceled on the date determined under sub. (1) unless the holder does all of the following before that date:

(a) Pays the fee for which the unpaid check or demand for payment under the credit or debit card transaction was issued.

(b) If the fee paid under par. (a) is for renewal and the credential has expired, pays the applicable penalty for late renewal specified in s. 440.08 (3).

(c) Pays the charge for an unpaid draft established under s. 20.905 (2).

(3) Nothing in sub. (1) or (2) prohibits the department from extending the date for cancellation to allow the holder additional time to comply with sub. (2) (a) to (c).

(4) A cancellation of a credential under this section completely terminates the credential and all rights, privileges and authority previously conferred by the credential.

(5) The department may reinstate a credential that has been canceled under this section only if the previous holder complies with sub. (2) (a) to (c) and pays a \$30 reinstatement fee.

History: 1989 a. 31; 1991 a. 39, 189, 269, 278, 315; 1993 a. 16; 1995 a. 27; 1999 a. 9; 2003 a. 270, 285, 327; 2017 a. 59.

440.25 Judicial review. The department may seek judicial review under ch. 227 of any final disciplinary decision of the medical examining board or affiliated credentialing board attached to the medical examining board. The department shall be represented in such review proceedings by an attorney within the department. Upon request of the medical examining board or the interested affiliated credentialing board, the attorney general may represent the board. If the attorney general declines to represent the board, the board may retain special counsel which shall be paid for out of the appropriation under s. 20.165 (1) (hg).

History: 1985 a. 340; 1993 a. 107; 2009 a. 28.

SUBCHAPTER II

PRIVATE DETECTIVES, PRIVATE SECURITY PERSONS

440.26 Private detectives, investigators and security personnel; licenses and permits. (1) LICENSE OR PERMIT

REQUIRED. (a) No person may do any of the following unless he or she has a license or permit issued under this section:

1. Advertise, solicit or engage in the business of operating a private detective agency.

2. Act as a private detective, investigator, special investigator or private security person.

3. Act as a supplier of private security personnel.

4. Solicit business or perform any other type of service or investigation as a private detective or private security person.

11. Receive any fees or compensation for acting as any person, engaging in any business or performing any service specified in subds. 1. to 4.

(b) The department may promulgate rules specifying activities in which a person may engage without obtaining a license or permit under this section.

(1m) DEFINITION. In this section, “private security person” or “private security personnel” means any private police, guard, or any person who stands watch for security purposes.

NOTE: Sub. (1m) (intro.) and (h) were consolidated and renumbered sub. (1m) under s. 13.92 (1) (bm) 2. by the legislative reference bureau. Punctuation and capitalization were modified under s. 35.17.

(2) TYPES OF LICENSES; APPLICATION; APPROVAL. (a) *Types of licenses.* The department may do any of the following:

1. Issue a private detective agency license to an individual, partnership, limited liability company or corporation that meets the qualifications specified under par. (c). The department may not issue a license under this subdivision unless the individual or each member of the partnership or limited liability company or officer or director of the corporation who is actually engaged in the work of a private detective is issued a private detective license under this section.

2. Issue a private detective license to an individual who meets the qualifications specified under par. (c) if the individual is an owner, co-owner or employee of a private detective agency required to be licensed under this section.

(b) *Applications.* The department shall prescribe forms for original and renewal applications. A partnership or limited liability company application shall be executed by all members of the partnership or limited liability company. A corporate application shall be executed by the secretary and the president or vice president and, in addition, in the case of a foreign corporation, by the registered agent.

(c) *Approval.* 1. Subject to subds. 2. and 3., the department shall prescribe, by rule, such qualifications as it deems appropriate, with due regard to investigative experience, special professional education and training and other factors bearing on professional competence.

2. An individual who has been convicted in this state or elsewhere of a felony and who has not been pardoned for that felony is not eligible for a license under this section.

3. The department may not issue a license under this section to an individual unless the individual is over 18 years of age.

4. The department, in considering applicants for license, shall seek the advice of the appropriate local law enforcement agency or governmental official, and conduct such further investigation, as it deems proper to determine the competence of the applicant.

5. The department may, based on rules adopted by the department, refuse to issue a license under this section to an individual who has committed any of the acts described in sub. (6) (a) 1. to 5.

(3) ISSUANCE OF LICENSES; FEES. Upon receipt and examination of an application executed under sub. (2), and after any investigation that it considers necessary, the department shall, if it determines that the applicant is qualified, grant the proper license upon payment of the initial credential fee determined by the department under s. 440.03 (9) (a). No license shall be issued for a longer period than 2 years, and the license of a private detective shall expire on the renewal date of the license of the private detective agency, even if the license of the private detective has not been

in effect for a full 2 years. Renewals of the original licenses issued under this section shall be issued in accordance with renewal forms prescribed by the department and shall be accompanied by the applicable fees specified in s. 440.08 or determined by the department under s. 440.03 (9) (a). The department may not renew a license unless the applicant provides evidence that the applicant has in force at the time of renewal the bond or liability policy specified in this section.

(3m) RULES CONCERNING DANGEROUS WEAPONS. The department shall promulgate rules relating to the carrying of dangerous weapons by a person who holds a license or permit issued under this section or who is employed by a person licensed under this section. The rules shall meet the minimum requirements specified in 15 USC 5902 (b) and shall allow all of the following:

(a) A person who is employed in this state by a public agency as a law enforcement officer to carry a concealed firearm if s. 941.23 (1) (g) 2. to 5. and (2) (b) 1. to 3. applies.

(b) A qualified out-of-state law enforcement officer, as defined in s. 941.23 (1) (g), to carry a concealed firearm if s. 941.23 (2) (b) 1. to 3. applies.

(c) A former officer, as defined in s. 941.23 (1) (c), to carry a concealed firearm if s. 941.23 (2) (c) 1. to 7. applies.

(d) A licensee, as defined in s. 175.60 (1) (d), or an out-of-state licensee, as defined in s. 175.60 (1) (g), to carry a concealed weapon as permitted under s. 175.60.

(4) BONDS OR LIABILITY POLICIES REQUIRED. No license may be issued under this section until a bond or liability policy, approved by the department, in the amount of \$100,000 if the applicant for the license is a private detective agency and includes all principals, partners, members or corporate officers, or in the amount of \$2,000 if the applicant is a private detective, has been executed and filed with the department. Such bonds or liability policies shall be furnished by an insurer authorized to do a surety business in this state in a form approved by the department. The person shall maintain the bond or liability policy during the period that the license is in effect.

(4m) REPORTING VIOLATIONS OF LAW. (a) *Definition.* In this subsection, “violation” means a violation of any state or local law that is punishable by a forfeiture.

(b) *Reporting requirement.* A person who holds a license or permit issued under this section and who is convicted of a felony or misdemeanor, or is found to have committed a violation, in this state or elsewhere, shall notify the department in writing of the date, place and nature of the conviction or finding within 48 hours after the entry of the judgment of conviction or the judgment finding that the person committed the violation. Notice may be made by mail and may be proven by showing proof of the date of mailing the notice.

(5) EXEMPTIONS. (a) The requirement that a person acting as a private detective, investigator or special investigator be licensed under this section does not apply to attorneys, law students or law school graduates employed by an attorney or persons directly employed by an attorney or firm of attorneys whose work as private detective, investigator or special investigator is limited to such attorney or firm or to persons directly employed by an insurer or a retail credit rating establishment. A person who accepts employment with more than one law firm shall be subject to the licensing provisions of this section.

(b) The license requirements of this section do not apply to any person employed directly or indirectly by the state or by a municipality, as defined in s. 345.05 (1) (c), or to any employee of a railroad company under s. 192.47, or to any employee of a commercial establishment, while the person is acting within the scope of his or her employment and whether or not he or she is on the employer’s premises.

(c) An employee of any agency that is licensed as a private detective agency under this section and that is doing business in this state as a supplier of uniformed private security personnel to patrol exclusively on the private property of industrial plants,

business establishments, schools, colleges, hospitals, sports stadiums, exhibits and similar activities is exempt from the license requirements of this section while engaged in such employment, if all of the following apply:

1. The employee obtains a private security permit under sub. (5m).
2. The private detective agency furnishes an up-to-date written record of its employees to the department. The record shall include the name, residence address, date of birth and a physical description of each employee together with a recent photograph and 2 fingerprint cards bearing a complete set of fingerprints of each employee.
3. The private detective agency notifies the department in writing within 5 days of any change in the information under subd. 2. regarding its employees, including the termination of employment of any person.

(5m) PRIVATE SECURITY PERMIT. (a) The department shall issue a private security permit to an individual if all of the following apply:

1. The individual submits an application for a private security permit to the department on a form provided by the department.
2. The individual has not been convicted in this state or elsewhere of a felony, unless he or she has been pardoned for that felony.
3. The individual provides evidence satisfactory to the department that he or she is an employee of a private detective agency described in sub. (5) (c).
4. The individual pays to the department the initial credential fee determined by the department under s. 440.03 (9) (a).

(am) The department may refuse to issue a private security permit to a person who has been convicted of a misdemeanor or found to have violated any state or local law that is punishable by a forfeiture, subject to ss. 111.321, 111.322, and 111.335.

(b) The renewal dates for permits issued under this subsection are specified under s. 440.08 (2) (a). Renewal applications shall be submitted to the department on a form provided by the department and shall include the renewal fee determined by the department under s. 440.03 (9) (a).

(c) A private security permit issued under this subsection authorizes the holder of the permit to engage in private security activities described in sub. (5) (c) for an employer described in sub. (5) (c) anywhere in this state.

(d) The department shall maintain a record pertaining to each applicant for a permit under this subsection and each holder of a permit issued under this subsection. The record shall include all information received by the department that is relevant to the approval or denial of the application, the issuance of the permit and any limitations, suspensions or revocations of the permit.

(5r) TEMPORARY PRIVATE SECURITY PERMIT. (a) The department shall issue a temporary private security permit to an individual at the request of the individual if all of the following apply:

1. The individual has completed an application and provided information required under sub. (5m) (a).
 2. The department is not yet able to grant or deny the individual's application because a background check of the individual is not complete.
- (b) 1. Except as provided in subd. 2., an individual who has been issued a temporary private security permit under par. (a) may act as a private security person in the same manner as an individual issued a private security permit under sub. (5m).

2. An individual may not carry a dangerous weapon while acting as a private security person under a temporary private security permit issued under par. (a).

(c) 1. Except as provided in subd. 2., a temporary private security permit issued under par. (a) is valid for 30 days.

2. A temporary private security permit issued under par. (a) shall expire on the date that the individual receives written notice

from the department that a background check of the individual has been completed and that the department is granting or denying the individual's application for a private security permit, if that date occurs before the end of the period specified in subd. 1.

3. A temporary private security permit issued under par. (a) may not be renewed.

(6) DISCIPLINE. (a) Subject to the rules adopted under s. 440.03 (1), the department may reprimand the holder of a license or permit issued under this section or revoke, suspend or limit the license or permit of any person who has done any of the following:

1. Been convicted of a misdemeanor or found to have violated any state or local law that is punishable by a forfeiture, subject to ss. 111.321, 111.322 and 111.335.
2. Engaged in conduct reflecting adversely on his or her professional qualification.
3. Made a false statement in connection with any application for a license or permit under this section.
4. Violated this section or any rule promulgated or order issued under this section.
5. Failed to maintain a bond or liability policy as required under sub. (4).

(b) Subject to the rules promulgated under s. 440.03 (1), the department shall revoke the license or permit of any person who has been convicted of a felony in this state or elsewhere and who has not been pardoned for that felony.

(8) PENALTIES. Any person, acting as a private detective, investigator or private security person, or who employs any person who solicits, advertises or performs services in this state as a private detective or private security person, or investigator or special investigator, without having procured the license or permit required by this section, may be fined not less than \$100 nor more than \$500 or imprisoned not less than 3 months nor more than 6 months or both. Any agency having an employee, owner, officer or agent convicted of the above offense may have its agency license revoked or suspended by the department. Any person convicted of the above offense shall be ineligible for a license for one year.

History: 1971 c. 213 s. 5; 1977 c. 29, 125, 418; 1979 c. 102 ss. 45, 236 (3); 1981 c. 334 s. 25 (1); 1981 c. 380, 391; 1983 a. 189 s. 329 (31); 1983 a. 273; 1985 a. 128, 135; 1991 a. 39, 269; 1993 a. 112, 213; 1995 a. 461; 1997 a. 27; 1999 a. 32; 2007 a. 20; 2011 a. 35, 146; 2017 a. 364 s. 49; s. 13.92 (1) (bm) 2; s. 35.17 correction in (1m).

Cross-reference: See s. 134.57 for requirement that all settlements made with an employee or fiduciary agent, where the detective is to be paid a percentage of the amount recovered, must be submitted to the circuit court for approval.

Cross-reference: See also chs. SPS 30, 31, 32, 33, 34, and 35, Wis. adm. code. Police officers working as private security persons are subject to the same licensing provisions in this section as are non-police officers. 69 Atty. Gen. 226.

This section does not apply to qualified arson experts or other expert witnesses merely because they may investigate matters relating to their field of expertise. 76 Atty. Gen. 35.

SUBCHAPTER III

BEHAVIOR ANALYSTS

440.310 Definitions. In this subchapter:

(1) "Behavior analyst" means a person who is certified by the Behavior Analyst Certification Board, Inc., as a board-certified behavior analyst and has been granted a license under this subchapter to engage in the practice of behavior analysis.

(2) "Practice of behavior analysis" means the design, implementation, and evaluation of systematic instructional and environmental modifications to produce socially significant improvements in human behavior, including the empirical identification of functional relations between behavior and environmental factors, known as functional assessment and analysis, including interventions based on scientific research and the direct observation and measurement of behavior and environment. "Practice of behavior analysis" does not include psychological testing, neuropsychology, psychotherapy, cognitive therapy, sex therapy, mar-

riage counseling, psychoanalysis, hypnotherapy, and long–term counseling as treatment modalities.

History: 2009 a. 282.

440.311 Use of title; penalty. (1) No person may use the title “behavior analyst” or represent or imply that he or she is a behavior analyst unless the person is licensed under this subchapter. This section may not be construed to restrict the practice of behavior analysis by a licensed professional who is not a behavior analyst, if the services performed are within the scope of the professional’s practice and are performed commensurate with the professional’s training and experience, and the professional does not represent that he or she is a behavior analyst.

(2) Any person who violates sub. (1) may be fined not more than \$250, imprisoned not more than 3 months in the county jail, or both.

History: 2009 a. 282.

440.312 Licensure. (1) Except as provided in sub. (2), the department shall grant a license as a behavior analyst to a person under this subchapter if all of the following apply:

(a) The person submits an application to the department on a form provided by the department.

(b) The person pays the initial credential fee determined by the department under s. 440.03 (9) (a).

(c) The person submits evidence satisfactory to the department that the person is a behavior analyst certified by the Behavior Analyst Certification Board, Inc., or its successor organization.

(2) The department may not grant a license under this subchapter to any person who has been convicted of an offense under s. 940.22, 940.225, 940.302 (2) (a) 1. b., 944.06, 944.15, 944.17, 944.30 (1m), 944.31, 944.32, 944.33, 944.34, 948.02, 948.025, 948.051, 948.06, 948.07, 948.075, 948.08, 948.081, 948.09, 948.095, 948.10, 948.11, or 948.12.

History: 2009 a. 282; 2013 a. 362; 2017 a. 128.

440.313 Renewal. (1) The renewal date for licenses granted under this subchapter is specified in s. 440.08 (2) (a). Renewal applications shall be submitted to the department on a form provided by the department and shall include the renewal fee determined by the department under s. 440.03 (9) (a).

(2) A behavior analyst shall, at the time that he or she applies for renewal of a license under sub. (1), submit proof satisfactory to the department that he or she is, at the time he or she applies for renewal, certified by the Behavior Analyst Certification Board, Inc., or its successor organization.

History: 2009 a. 282.

440.314 Rules. (1) The department may promulgate rules necessary to administer this subchapter, including rules of conduct by behavior analysts and by holders of temporary permits under sub. (2). Except as provided in subs. (2) and (3), any rules regarding the practice of behavior analysis shall be consistent with standards established by the Behavior Analyst Certification Board, Inc., or its successor organization.

(2) The department may promulgate rules authorizing the department to issue a temporary permit to a person who is certified by the Behavior Analyst Certification Board, Inc., or its successor organization authorizing the practice of behavior analysis by the person under the supervision of a behavior analyst licensed under s. 440.312 (1).

(3) The rules may not do any of the following:

(a) Require an applicant for a license under this subchapter to have education in addition to the education required by the Behavior Analyst Certification Board, Inc., or its successor organization.

(b) Require a behavior analyst to practice behavior analysis under the supervision of, or in collaboration with, another health care provider.

(c) Require a behavior analyst to enter into an agreement, written or otherwise, with another health care provider.

(d) Limit the location where a behavior analyst may practice behavior analysis.

History: 2009 a. 282; 2011 a. 260 ss. 55, 80.

440.315 Informed consent. A behavior analyst shall, at an initial consultation with a client, provide a copy of the rules promulgated by the department under this subchapter and shall disclose to the client orally and in writing all of the following:

(1) A summary of the behavior analyst’s experience and training.

(2) Any other information required by the department by rule.

History: 2009 a. 282.

440.316 Disciplinary proceedings and actions.

(1) Subject to the rules promulgated under s. 440.03 (1), the department may conduct investigations and hearings to determine whether a violation of this subchapter or any rule promulgated under this subchapter has occurred.

(2) Subject to the rules promulgated under s. 440.03 (1), the department may reprimand a behavior analyst or deny, limit, suspend, or revoke a license granted under this subchapter if the department finds that the applicant or the behavior analyst has done any of the following:

(a) Intentionally made a material misstatement in an application for a license or for renewal of a license.

(b) Subject to ss. 111.321, 111.322, and 111.34, practiced behavior analysis while his or her ability to engage in the practice was impaired by alcohol or other drugs.

(c) Advertised in a manner that is false or misleading.

(d) In the course of the practice of behavior analysis, made a substantial misrepresentation that was relied upon by a client.

(e) In the course of the practice of behavior analysis, engaged in conduct that evidences an inability to apply the principles or skills of behavior analysis.

(f) Obtained or attempted to obtain compensation through fraud or deceit.

(g) Allowed another person to use a license granted under this subchapter.

(h) Violated any law of this state or federal law that substantially relates to the practice of behavior analysis, violated this subchapter, or violated any rule promulgated under this subchapter.

(i) Engaged in unprofessional conduct.

(3) Subject to the rules promulgated under s. 440.03 (1), the department shall revoke a license granted under this subchapter if the behavior analyst is convicted of any of the offenses specified in s. 440.312 (2).

History: 2009 a. 282; 2015 a. 197 s. 51.

440.317 Advisory committee. The department may appoint an advisory committee under s. 440.042 to advise the department on matters relating to the regulation of behavior analysts.

History: 2009 a. 282.

SUBCHAPTER IV

TRANSPORTATION NETWORK COMPANIES

440.40 Definitions. In this subchapter:

(1) “Digital network” means any Internet site or online–enabled application, software, or system that permits the prearrangement of transportation network services.

(2) “Licensed company” means a transportation network company that is licensed under s. 440.415.

(3) “Participating driver” means an individual who does all of the following:

(a) Pays a fee to a transportation network company to be connected to a passenger for the purpose of engaging in transportation network services.

(b) Uses a personal vehicle to engage in transportation network services for compensation.

(4) “Passenger” means an individual who uses a transportation network company’s digital network to connect to a participating driver for transportation network services, and, unless the context requires otherwise, includes all other persons in that individual’s party who accompany that individual in the participating driver’s personal vehicle in connection with those transportation network services.

(5) “Personal vehicle” means a motor vehicle that satisfies all of the following conditions:

(a) A participating driver owns, leases, or is otherwise authorized to use the motor vehicle.

(b) The motor vehicle is not a taxicab, limousine, shuttle, or other for-hire vehicle or a commercial motor vehicle, as defined in 49 CFR 390.5.

(6) “Transportation network company” means a business that, for compensation, uses a digital network to connect passengers to participating drivers for the purpose of providing transportation network services to those passengers. “Transportation network company” does not include a taxicab, limousine, shuttle, or other for-hire vehicle service.

(7) “Transportation network services” means transportation provided to a passenger in the participating driver’s personal vehicle. A participating driver is considered to be engaged in transportation network services beginning when the participating driver accepts a passenger’s request for transportation received through a transportation network company’s digital network, continuing while the participating driver transports that passenger in the participating driver’s personal vehicle, and ending when that passenger, or the last person in that passenger’s party, whichever occurs later, exits the participating driver’s personal vehicle. “Transportation network services” does not include transportation in a taxicab, limousine, shuttle, or other for-hire vehicle.

History: 2015 a. 16.

440.41 License required. (1) No person may operate a transportation network company in this state unless the transportation network company is a licensed company.

(2) No person may engage in transportation network services in this state unless the person is a participating driver for a licensed company. A licensed company is not considered to control, direct, or manage a participating driver or that participating driver’s personal vehicle used for engaging in transportation network services, except as provided in this subchapter or in a written agreement between the licensed company and the participating driver.

History: 2015 a. 16.

440.415 Licensure of transportation network companies. (1) INITIAL LICENSE. The department shall grant a license to operate a transportation network company in this state to an applicant for licensure if the department determines that all of the following requirements are met:

(a) The applicant submits an application to the department on a form prescribed by the department. The application shall include the applicant’s name, address, tax identification number, and any other information required by the department by rule.

(b) The applicant is a transportation network company.

(c) The applicant demonstrates to the satisfaction of the department that it satisfies all applicable requirements under ss. 440.42, 440.44, 440.45, and 440.48.

(d) Notwithstanding s. 440.03 (9) (a), the applicant pays an initial licensure fee of \$5,000.

(2) RENEWAL. (a) The renewal date for a license granted under sub. (1) is specified in s. 440.08 (2) (a) 69m. A renewal application shall be submitted to the department on a form prescribed by

the department and shall include any information required by the department by rule.

(b) The renewal application for a licensed company shall include a renewal fee of \$5,000 or the renewal fee determined by the department under s. 440.03 (9) (a), if any, whichever is less.

History: 2015 a. 16.

Cross-reference: See also ch. SPS 210, Wis. adm. code.

440.42 Agent. Each licensed company shall maintain an agent for service of process in this state.

History: 2015 a. 16.

440.425 Fare disclosures. Each licensed company shall do all of the following:

(1) Disclose its fare calculation method on its Internet site.

(2) Inform each prospective passenger or the prospective passenger’s authorized representative of all applicable fare rates.

(3) Give each prospective passenger or the prospective passenger’s authorized representative the option to receive an estimated fare before the passenger enters a participating driver’s personal vehicle for transportation network services.

History: 2015 a. 16.

440.43 Identification of participating drivers. Each licensed company shall make available to each prospective passenger or the prospective passenger’s authorized representative, on the licensed company’s digital network, a photograph of the participating driver and the license plate number of the participating driver’s personal vehicle before the passenger enters the participating driver’s personal vehicle for transportation network services.

History: 2015 a. 16.

440.435 Electronic receipt. Within a reasonable time after transportation network services have been provided, the licensed company facilitating the services shall transmit an electronic receipt for the services to the passenger or the passenger’s authorized representative that contains all of the following:

(1) The origin and destination of the trip.

(2) The total time and distance of the trip.

(3) An itemization of the total fare paid, if any.

History: 2015 a. 16.

440.44 Zero tolerance for use of drugs or alcohol.

(1) POLICY. Each licensed company shall develop, implement, and make available on its Internet site a policy prohibiting any participating driver from using alcohol, or any other intoxicant that may render the participating driver incapable of safely driving, while the participating driver is engaged in transportation network services for the licensed company or is logged on to the licensed company’s digital network.

(2) COMPLAINTS. (a) Each licensed company shall develop, implement, and make available on its Internet site, complaint procedures for reports of suspected violations of the policy under sub. (1).

(b) Upon receipt of a complaint concerning a violation of a licensed company’s policy under sub. (1), the licensed company shall immediately suspend the participating driver and investigate the complaint. The suspension shall continue until the complaint is resolved.

(c) Each licensed company shall maintain all records of each investigation under par. (b), including the results of that investigation and any action taken based on that investigation, for at least 2 years after the date the complaint was received by the licensed company.

History: 2015 a. 16.

440.445 Certain requirements for participating drivers and their personal vehicles. (1) APPLICATION. Before a licensed company allows an individual to be a participating driver for the licensed company, the licensed company shall do all of the following:

(a) Require the individual to submit an application to the licensed company that includes at least all of the following:

1. The individual's name, address, and age.
2. A copy of the individual's driver's license.
3. The individual's driving history.
4. Proof of motor vehicle registration for each personal vehicle the individual will use to engage in transportation network services through the licensed company.
5. A copy of the individual's automobile liability insurance policy for each personal vehicle the individual will use to provide transportation network services through the licensed company.

(b) Conduct, or have a 3rd party conduct, a local and national criminal background check for the individual that includes all of the following:

1. A multistate and multijurisdictional criminal records locator or other similar commercial nationwide database with validation.
2. A national sex offender registry database.

(c) Obtain and review a driving history research report for the individual.

(2) WHO MAY NOT BE A PARTICIPATING DRIVER. (a) A licensed company may not allow any of the following individuals to be a participating driver for the licensed company:

1. An individual who has had more than 3 moving violations, as defined in s. 343.01 (2) (cg), in the past 3 years, or one conviction in the past 3 years for an offense listed under s. 351.02 (1) (a).
2. An individual who, in the last 7 years, committed an offense that resulted in a suspension, revocation, or other conviction counted under s. 343.307 (1) or was convicted of a sex offense, as defined in s. 301.45 (1d) (b), or of any crime involving fraud, theft, damage to property, violence, acts of terror, or the use of a motor vehicle in the commission of a felony.
3. An individual whose information is contained in the sex offender registry under s. 301.45 or on the National Sex Offender Public Website.
4. An individual who does not possess a valid driver's license.
5. An individual who does not possess proof of motor vehicle registration for each personal vehicle the individual intends to use to engage in transportation network services.
6. An individual who does not possess proof of automobile liability insurance for each personal vehicle the individual intends to use to engage in transportation network services.
7. An individual who is not at least 19 years of age.

(b) A participating driver who is convicted of any moving violation or of any felony or misdemeanor anywhere shall immediately notify the licensed company for which the participating driver engages in transportation network services of the conviction.

(3) VEHICLE SAFETY AND EMISSIONS. Each licensed company shall ensure that each motor vehicle a participating driver uses to provide transportation network services for the licensed company is a personal vehicle that satisfies all state vehicle safety and emissions standards for private motor vehicles.

(4) NO STREET HAILS. A participating driver may not solicit or accept street hails or otherwise provide rides for compensation that are not prearranged through a transportation network company on the company's digital network.

(5) NO CASH TRIPS. (a) A participating driver may not solicit or accept any cash payment to engage in transportation network services.

(b) All passenger payments for transportation network services shall be made electronically using the transportation network company's digital network.

History: 2015 a. 16.

440.45 Nondiscrimination; accessibility. (1) Each licensed company shall adopt a policy of nondiscrimination on the basis of trip origin or destination, race, color, national origin, reli-

gious belief or affiliation, sex, disability, age, sexual orientation, or gender identity with respect to passengers and prospective passengers and notify all of its participating drivers of the nondiscrimination policy.

(2) A participating driver may not discriminate against any passenger or prospective passenger on the basis of destination, race, color, national origin, religious belief or affiliation, sex, disability, age, sexual orientation, or gender identity.

(3) Each participating driver shall permit service animals to accompany passengers in connection with transportation network services.

(4) A licensed company may not impose additional charges for providing transportation network services to persons with disabilities because of those disabilities.

(5) Each licensed company shall provide each prospective passenger an opportunity to indicate whether the passenger requires a wheelchair-accessible vehicle. If a licensed company cannot arrange wheelchair-accessible transportation network services for a prospective passenger who requires wheelchair-accessible services, the licensed company shall refer the prospective passenger to an alternate provider of wheelchair-accessible transportation, if available.

History: 2015 a. 16; 2017 a. 364, 366.

440.455 Records. Each licensed company shall do all of the following:

(1) Maintain passenger trip records for at least one year from the date of each trip.

(2) Maintain all records concerning each participating driver for at least one year after the date on which the participating driver ceases to engage in transportation network services for the licensed company.

History: 2015 a. 16.

440.46 Personally identifiable information. A licensed company may not disclose a passenger's or prospective passenger's personally identifiable information to any other person, unless any of the following is true:

(1) The passenger or prospective passenger consents to the disclosure.

(2) The disclosure is required by law.

(3) The disclosure is necessary to protect or defend the terms of use of the licensed company's transportation network services or to investigate a violation of those terms.

(4) The disclosure is to the participating driver, is limited to the passenger's name and telephone number, and is for the sole purpose of facilitating the participating driver's transportation network services for that passenger.

History: 2015 a. 16.

440.465 Limitations on local and other regulation.

(1) Section 349.24 does not apply to a transportation network company or to a participating driver engaged in transportation network services or the participating driver's personal vehicle used for those services. No city, village, town, or county may enact or enforce an ordinance or adopt or enforce a resolution that regulates a transportation network company or its participating drivers and their personal vehicles in connection with transportation network services.

(1m) Notwithstanding sub. (1), a city, village, town, or county may do any of the following:

(a) To the extent necessary to comply with assurances under 49 USC 47107, impose fees or charges under s. 114.14 (1) for the use of an airport by participating drivers engaged in transportation network services. Any such fees or charges shall be imposed on transportation network companies and may not exceed fees or charges imposed under s. 114.14 (1) for the use of an airport by taxicabs, limousines, shuttles, or other for-hire vehicles.

(b) Require a transportation network company to comply with a permit developed by an airport and issued to the transportation

network company regarding the manner of operation on airport property by participating drivers engaged in transportation network services. A single permit under this paragraph shall be issued to each transportation network company and shall apply to all of the participating drivers for the company.

(2) The requirements under chs. 340 to 349 applicable specifically to commercial motor vehicles or for-hire vehicles do not apply to personal vehicles used by participating drivers engaged in transportation network services.

(3) The requirements under ss. 342.06 (1) (h) and (3), 342.10 (3) (a), and 342.33 do not apply to personal vehicles used by participating drivers engaged in transportation network services.

History: 2015 a. 16.

440.48 Insurance. (1) DRIVER REQUIREMENTS. (a) A participating driver, or a transportation network company on the driver's behalf, shall maintain primary automobile insurance that does all of the following:

1. Recognizes that the driver is a participating driver, or otherwise uses a motor vehicle to transport passengers for compensation.

2. Covers the participating driver at any of the following times:

a. While the driver is logged on to the transportation network company's digital network.

b. While the driver is engaged in transportation network services.

(b) The following automobile insurance requirements apply while a participating driver is logged on to the transportation network company's digital network and is available to receive transportation requests but is not engaged in transportation network services:

1. The insurance is primary automobile liability insurance in the amount of at least \$50,000 for death and bodily injury per person, \$100,000 for death and bodily injury per incident, and \$25,000 for property damage.

2. The insurance provides primary uninsured motorist coverage in accordance with the requirements under s. 632.32 (4) (a) 1.

3. The coverage requirements under this paragraph may be satisfied by any of the following:

a. Automobile insurance maintained by the participating driver.

b. Automobile insurance maintained by the transportation network company.

c. Any combination of insurance specified in subd. 3. a. and b.

(c) The following automobile insurance requirements apply while a participating driver is engaged in transportation network services:

1. The insurance is primary automobile liability insurance in the amount of at least \$1,000,000 for death, bodily injury, and property damage.

2. The insurance provides primary uninsured motorist coverage in accordance with the requirements under s. 632.32 (4) (a) 1.

3. The coverage requirements under this paragraph may be satisfied by any of the following:

a. Automobile insurance maintained by the participating driver.

b. Automobile insurance maintained by the transportation network company.

c. Any combination of insurance specified in subd. 3. a. and b.

(d) If insurance maintained by the participating driver under par. (b) or (c) has lapsed or does not provide the required coverage, insurance maintained by a transportation network company shall provide the coverage required under this subsection beginning with the first dollar of a claim and have the duty to defend the claim.

(e) Coverage under an automobile insurance policy maintained by the transportation network company shall not be dependent on a personal automobile insurer first denying a claim nor shall a personal automobile insurance policy be required to first deny a claim.

(f) Insurance required under this subsection may be placed with an insurer authorized to do business in this state or with a surplus lines insurer.

(g) Insurance satisfying the requirements of this subsection shall be deemed to satisfy the financial responsibility requirement for a motor vehicle under ch. 344.

(h) A participating driver shall carry proof of coverage satisfying pars. (b) and (c) with him or her at all times during his or her use of a vehicle in connection with a transportation network company's digital network. In the event of an accident, a participating driver shall provide this insurance coverage information to the directly interested parties, automobile insurers, and investigating police officers, upon request in accordance with s. 344.62. Upon request, a participating driver shall also disclose to directly interested parties, automobile insurers, and investigating police officers whether he or she was logged on to the transportation network company's digital network or engaged in transportation network services at the time of the accident.

(2) DISCLOSURES REQUIRED REGARDING INSURANCE COVERAGE. A transportation network company shall disclose in writing to participating drivers all of the following before they are allowed to accept a request for transportation network services on the transportation network company's digital network:

(a) The insurance coverage, including the types of coverage and the limits for each coverage, that the transportation network company provides while the participating driver uses a personal vehicle in connection with a transportation network company's digital network.

(b) That the participating driver's own automobile insurance policy might not provide any coverage while the participating driver is logged on to the transportation network company's digital network and is available to receive transportation requests or is engaged in transportation network services depending on its terms.

(3) INSURER PROVISIONS. (a) Notwithstanding any coverage requirements under s. 632.32, an insurer that writes automobile insurance in this state may exclude any and all coverage afforded under a policy owner's insurance policy for any loss or injury that occurs while a participating driver is logged on to a transportation network company's digital network or is engaged in transportation network services. This right to exclude all coverage may apply to any coverage included in a motor vehicle insurance policy, including all of the following:

1. Liability coverage for bodily injury and property damage.

2. Uninsured and underinsured motorist coverage.

3. Medical payments coverage.

4. Comprehensive physical damage coverage.

5. Collision physical damage coverage.

(b) 1. Exclusions under par. (a) shall apply notwithstanding any requirement under ch. 344. Nothing in this subsection implies or requires that a personal automobile insurance policy provide coverage while the driver is logged on to the transportation network company's digital network, while the driver is engaged in transportation network services, or while the driver otherwise uses a vehicle to transport passengers for compensation.

2. Nothing shall be deemed to preclude an insurer from providing coverage for the participating driver's vehicle, if the insurer so chooses to do so by contract or endorsement.

(c) 1. Automobile insurers that exclude coverage as permitted in this subsection shall have no duty to defend or indemnify any claim expressly excluded. Nothing in this section shall be deemed to invalidate or limit an exclusion contained in a policy, including any policy in use, or approved for use, in this state before May 3,

2015, that excludes coverage for vehicles used to carry persons or property for a charge or available for hire by the public.

2. An automobile insurer that defends or indemnifies a claim against a participating driver that is excluded under the terms of its policy as permitted in this subsection shall have a right of contribution against other insurers that provide automobile insurance to the same driver in satisfaction of the coverage requirements of sub. (1) at the time of loss.

(d) In a claims coverage investigation, transportation network companies and any insurer potentially providing coverage under sub. (1) shall cooperate to facilitate the exchange of relevant information with directly involved parties and any insurer of the participating driver if applicable, including the precise times that a participating driver logged on and off the transportation network company's digital network in the 12-hour period immediately preceding, and in the 12-hour period immediately following, the accident, and disclose to one another a clear description of the coverage, exclusions, and limits provided under any automobile insurance maintained under sub. (1).

(e) If a transportation network company's insurer covers a claim under a policy's comprehensive or collision coverage, the insurer shall issue the payment for the claim to either of the following, as directed by the transportation network company:

1. Jointly to the owner of the personal vehicle and the primary lienholder.

2. Directly to the person repairing the personal vehicle in satisfaction of completion of repairs as payment in full.

History: 2015 a. 16.

440.49 Disciplinary proceedings and actions.

(1) INVESTIGATIONS AND HEARINGS. Subject to the rules promulgated under s. 440.03 (1), the department may conduct investigations and hold hearings to determine whether a violation of this subchapter or any rule promulgated under this subchapter or a violation of any other law that substantially relates to the operation of a transportation network company or to transportation network services has occurred.

(2) DISCIPLINE. Subject to the rules promulgated under s. 440.03 (1), the department may reprimand a licensed company or deny, limit, suspend, or revoke a license granted under s. 440.415 if the department finds that an applicant for licensure or a licensed company has done any of the following:

(a) Intentionally made a material misstatement in an application for a license or license renewal.

(b) Advertised in a manner that is false or misleading.

(c) Obtained or attempted to obtain compensation through fraud or deceit.

(d) Violated this subchapter or any rule promulgated under this subchapter or violated any other law that substantially relates to the operation of a transportation network company or to transportation network services.

(e) Failed to cooperate with the department, or failed to timely respond to a request for information by the department, in connection with an investigation under this section.

(3) FORFEITURES. In addition to or in lieu of a reprimand or other action under sub. (2), the department may assess against a licensed company, for the violations enumerated under sub. (2), a forfeiture of not more than \$1,000 for each separate offense.

History: 2015 a. 16.

440.495 Penalties. Any person who violates this subchapter or any rule promulgated under this subchapter may be fined not more than \$1,000.

History: 2015 a. 16.

SUBCHAPTER V

PEDDLERS; PRIVATE SCHOOLS

440.51 Statewide peddler's licenses for ex-soldiers.

Any ex-soldier of the United States in any war, who has a 25 percent disability or more or has a cardiac disability recognized by the U.S. department of veterans affairs, and any person disabled to the extent of the loss of one arm or one leg or more or who has been declared blind as defined under Title XVI of the social security act, shall, upon presenting the department proof of these conditions, be granted a special statewide peddler's license without payment of any fee. The person must have been a bona fide resident of this state for at least 5 years preceding the application. While engaged in such business the person shall physically carry the license and the proof required for its issuance. A blind person shall also carry an identification photograph which is not more than 3 years old. A license issued under this section shall not entitle a blind person to peddle for hire for another person. A license issued under this section is permanent unless suspended or revoked by the department.

History: 1977 c. 399; 1989 a. 56; 1991 a. 39; 2017 a. 59.

440.52 Private trade, correspondence, business, and technical schools. (1) DEFINITIONS. In this section, unless the context clearly requires otherwise:

(b) "Course" means an organized unit of subject matter in which instruction is offered within a given period of time or that covers a specified amount of related subject matter.

(c) "Course of instruction" means a series of classroom or correspondence courses having a unified purpose which lead to a diploma or degree or to an occupational or vocational objective.

(d) "Person" means any individual, partnership, association, corporation, or limited liability company, or any combination of these.

(e) "School" means any private trade, correspondence, business, or technical school, but does not include any of the following:

1. In-state schools that are exempt from taxation under section 501 of the Internal Revenue Code and that either were incorporated in this state prior to January 1, 1992, or had their administrative headquarters and principal places of business in this state prior to 1970.

2. Schools that are supported mainly by taxes.

3. Schools of a parochial or denominational character offering courses having a sectarian objective.

4. Schools primarily offering instruction avocational or recreational in nature and not leading to a vocational objective.

5. Courses conducted by employers exclusively for their employees.

6. Schools, courses of instruction, and training programs that are approved or licensed and supervised by other state agencies and boards.

7. Schools approved by the department of public instruction for the training of teachers.

8. Schools accredited by accrediting agencies recognized by the department.

9. The distance education program of an eligible institution that has been authorized by the distance learning authorization board under s. 39.86 (3) (a) 1.

10. If the distance learning authorization board enters into an agreement under s. 39.86 (2) (a), a postsecondary institution to which all of the following apply:

a. The institution does not have its principal campus in this state.

b. The jurisdiction in which the institution has its principal campus has joined an agreement, as defined in s. 39.86 (1) (a), of which this state is a member or for which there is reciprocity with the agreement entered into by the distance learning authorization board under s. 39.86 (2) (a).

c. The institution has obtained authorization, from the jurisdiction in which the institution has its principal campus, to offer distance education programs to students located beyond the borders of the state where the institution is located.

(f) “Solicitor” means a person employed by or representing a school located either within or outside this state that, in places other than the actual business premises of the school, personally attempts to secure the enrollment of a student in the school.

(g) “Teaching location” means the area and facilities designated for use by a school required to be approved by the department under this section.

(2) RESPONSIBILITIES. The department shall protect the general public by inspecting and approving private trade, correspondence, business, and technical schools doing business within this state, whether located within or outside this state, changes of ownership or control of the schools, teaching locations used by the schools, and courses of instruction offered by the schools and regulate the soliciting of students for correspondence or classroom courses and courses of instruction offered by the schools.

(3) RULE-MAKING POWER. The department shall promulgate rules and establish standards necessary to administer this section.

(7) APPROVAL OF SCHOOLS GENERALLY. To protect students, prevent fraud and misrepresentation in the sale and advertising of courses and courses of instruction, and encourage schools to maintain courses and courses of instruction consistent in quality, content, and length with generally accepted educational standards, the department shall do all of the following:

(a) Investigate the adequacy of courses and courses of instruction offered by schools to residents of this state and establish minimum standards for those courses of instruction.

(b) Investigate the adequacy of schools’ facilities, equipment, instructional materials, and instructional programs and establish minimum standards for those facilities, equipment, materials, and programs.

(c) Establish rules, standards, and criteria to prevent fraud and misrepresentation in the sale and advertising of courses and courses of instruction.

(d) Promulgate rules restricting the negotiability of promissory instruments received by schools in payment of tuition and other charges.

(e) Establish minimum standards for refund of the unused portion of tuition, fees, and other charges if a student does not enter a course or course of instruction or withdraws or is discontinued from the course.

(f) Require schools offering courses and courses of instruction to residents of this state to furnish information concerning their facilities, curricula, instructors, enrollment policies, tuition and other charges and fees, refund policies, and policies concerning negotiability of promissory instruments received in payment of tuition and other charges.

(g) Approve courses of instruction, schools, changes of ownership or control of schools, and teaching locations meeting the requirements and standards established by the department and complying with rules promulgated by the department; publish a list of the schools and courses of instruction approved and a list of the schools that are authorized to use the term “college,” “university,” “state,” or “Wisconsin” in their names; and make those lists of the schools available on the department’s Internet site.

(h) Issue permits to solicitors when all department requirements have been met.

(i) Require schools to furnish a surety bond in an amount as provided by rule of the department.

(8) SOLICITING OF STUDENTS. (a) *In general.* No solicitor representing any school offering any course or course of instruction shall sell any course or course of instruction or solicit students for a course or course of instruction in this state for a consideration or remuneration, except upon the actual business premises of the school, unless the solicitor first secures a solicitor’s permit from the department. If the solicitor represents more than one school, a separate permit shall be obtained for each school the solicitor represents.

(b) *Solicitor’s permit.* The application for a solicitor’s permit shall be made on a form furnished by the department and shall be accompanied by a fee and a surety bond acceptable to the department in the sum of \$2,000. The department shall, by rule, specify the amount of the fee for a solicitor’s permit. The bond may be continuous and shall be conditioned to provide indemnification to any student suffering loss as the result of any fraud or misrepresentation used in procuring his or her enrollment or as a result of the failure of the school to perform faithfully the agreement the solicitor made with the student, and may be supplied by the solicitor or by the school itself either as a blanket bond covering each of its solicitors in the amount of \$2,000 or the surety bond under sub. (7) (i). Upon approval of a permit, the department shall issue an identification card to the solicitor giving his or her name and address, the name and address of the employing school, and certifying that the person whose name appears on the card is authorized to solicit students for the school. A permit shall be valid for one year from the date issued. Liability under this paragraph of the surety on the bond for each solicitor covered by the bond shall not exceed the sum of \$2,000 as an aggregate for any and all students for all breaches of the conditions of the bond. The surety of a bond may cancel the bond upon giving 30 days’ notice in writing to the department and shall be relieved of liability under this paragraph upon giving the notice for any breach of condition occurring after the effective date of the cancellation. An application for renewal shall be accompanied by a fee, a surety bond acceptable to the department in the sum of \$2,000 if a continuous bond has not been furnished, and such information as the department requests of the applicant. The department shall, by rule, specify the amount of the fee for renewal of a solicitor’s permit.

(c) *Refusal or revocation of permit.* The department may refuse to issue or renew, or may revoke, any solicitor’s permit upon one or any combination of the following grounds:

1. Willful violation of this subsection or any rule promulgated by the department under this section.

2. Furnishing false, misleading, or incomplete information to the department.

3. Presenting information to prospective students relating to the school, a course, or a course of instruction that is false, fraudulent, or misleading.

4. Refusal by the school to be represented to allow reasonable inspection or to supply information after written request therefor by the department.

5. Failure of the school which the solicitor represents to meet requirements and standards established by and to comply with rules promulgated by the department under sub. (7).

6. Cancellation of the solicitor’s bond by surety.

7. Subject to ss. 111.321, 111.322, and 111.335, the applicant has an arrest or conviction record.

(d) *Notice of refusal to issue or renew permit.* Notice of refusal to issue or renew a permit or of the revocation of a permit shall be sent by registered mail to the last address of the applicant or permit holder shown in the records of the department. Revocation of a permit shall be effective 10 days after the notice of revocation has been mailed to the permit holder.

(e) *Request for appearance.* Within 20 days of the receipt of notice of the department’s refusal to issue or renew a permit or of

the revocation of a permit, the applicant or holder of the permit may request permission to appear before the department in person, with or without counsel, to present reasons why the permit should be issued, renewed, or reinstated. Upon receipt of a request, the department shall grant a hearing to the applicant or holder of the permit within 30 days giving that person at least 10 days' notice of the date, time, and place.

(f) *Recovery by students.* The bond in force under par. (b) shall not limit or impair any right of recovery otherwise available under law, nor shall the amount of the bond be relevant in determining the amount of damages or other relief to which any plaintiff may be entitled.

(g) *Recovery on contracts.* No recovery shall be had by any school or its assignee on any contract for or in connection with a course or course of instruction if the representative who sold or solicited the course was not the holder of a solicitor's permit under this subsection at the time of the sale or solicitation.

(h) *Enforcement.* The attorney general or any district attorney may bring an action in circuit court for the enforcement of this subsection.

(i) *Penalty.* Whoever violates this subsection may be fined not more than \$500 or imprisoned not more than 3 months or both.

(10) PROPRIETARY SCHOOL APPROVAL. (a) *Authority.* All proprietary schools shall be examined and approved by the department before operating in this state. Approval shall be granted to schools meeting the criteria established by the department for a period not to exceed one year. No school may advertise in this state unless approved by the department. All approved schools shall submit quarterly reports, including information on enrollment, number of teachers and their qualifications, course offerings, number of graduates, number of graduates successfully employed, and such other information as the department considers necessary. If a school closure results in losses to students, parents, or sponsors, the department may authorize the full or partial payment of those losses from the appropriation under s. 20.165 (1) (jt).

(b) *Application.* Application for initial approval of a school or a course of instruction, approval of a teaching location, change of ownership, or control of a school, renewal of approval of a school or reinstatement of approval of a school or course of instruction that has been revoked shall be made on a form furnished by the department and shall be accompanied by a fee set by the department under par. (c) and any other information as the department considers necessary to evaluate the school in carrying out the purpose of this section.

(c) *Fees; rule making.* The department shall promulgate rules to establish the fees paid to the department under this subsection. In promulgating rules to establish the fees, the department shall do all of the following:

1. Require that the amount of fees collected under this paragraph be sufficient to cover all costs that the department incurs in examining and approving proprietary schools under this subsection.
2. Give consideration to establishing a variable fee structure based on the size of a proprietary school.
3. Specify a fee to accompany all applications under par. (b).
4. Specify a student protection fee.

(cm) *Limit on student protection fee.* The department shall discontinue collecting annual student protection fees under par. (c) 4. during the period that the balance in the fund created by those fees exceeds \$1,000,000.

(d) *Enforcement.* The attorney general or any district attorney may bring an action in circuit court for the enforcement of this subsection, including bringing an action to restrain by temporary or permanent injunction any violation of par. (a).

(e) *Penalties.* Any person who violates par. (a) may be required to forfeit not more than \$500. Each day of operation in violation of par. (a) constitutes a separate offense.

(f) *Other remedies.* In addition to any other remedies provided by law, a student who attends a school that is in violation of par. (a) may bring a civil action to recover fees paid to the school in violation of par. (a) together with costs and disbursements, including reasonable attorney fees.

(11) CLOSED SCHOOLS; PRESERVATION OF RECORDS. (a) In this subsection:

1. "Association" means the Wisconsin Association of Independent Colleges and Universities or a successor organization.

2. Notwithstanding sub. (1) (e), "school" has the meaning given in sub. (1) (e) (intro.) and also includes a school described in sub. (1) (e) 1., 6., 7., or 8.

3. "Student record" means, in the case of a school, as defined in sub. (1) (e) (intro.), a transcript for a student or former student of a school showing the name of the student, the title of the program in which the student was or is enrolled, the total number of credits or hours of instruction completed by the student, the dates of enrollment, the grade for each course, lesson, or unit of instruction completed by the student, the student's cumulative grade for the program, and an explanation of the school's credit and grading system. In the case of a school described in sub. (1) (e) 1., 6., 7., or 8., "student record" means a transcript for a student or former student of the school showing such information about the academic work completed by the student or former student as is customarily maintained by the school.

(b) 1. If a school operating in this state discontinues its operations, proposes to discontinue its operations, or is in imminent danger of discontinuing its operations as determined by the department, if the student records of the school are not taken into possession under subd. 2., and if the department determines that the student records of the school are in danger of being destroyed, secreted, mislaid, or otherwise made unavailable to the persons who are the subjects of those student records or the authorized representatives of those persons, the department may take possession of those student records.

2. If a school operating in this state that is a member of the association discontinues its operations, proposes to discontinue its operations, or is in imminent danger of discontinuing its operations as determined by the association and if the association determines that the student records of the school are in danger of being destroyed, secreted, mislaid, or otherwise made unavailable to the persons who are the subjects of those student records or the authorized representatives of those persons, the association shall take possession of those student records.

(c) If necessary to protect student records from being destroyed, secreted, mislaid, or otherwise made unavailable to the persons who are the subjects of those student records or the authorized representatives of those persons, the department or association may seek a court order authorizing the department or association to take possession of those student records.

(d) The department or association shall preserve a student record that comes into the possession of the department or association under par. (b) 1. or 2. and shall keep the student record confidential as provided under 20 USC 1232g and 34 CFR part 99. A student record in the possession of the department is not open to public inspection or copying under s. 19.35 (1). Upon request of the person who is the subject of a student record or an authorized representative of that person, the department or association shall provide a copy of the student record to the requester. The department or association may charge a fee for providing a copy of a student record. The fee shall be based on the administrative cost of taking possession of, preserving, and providing the copy of the student record. All fees collected by the department under this paragraph shall be credited to the appropriation account under s. 20.165 (1) (jv).

(12) USE OF CERTAIN TERMS PROHIBITED. (a) No person that holds itself out to the public in any way as a legitimate institution of higher education may use the term "college" or "university" in the person's name unless the person provides an educational pro-

gram for which the person awards an associate or higher degree and the person has accreditation recognized by the U.S. secretary of education, has the foreign equivalent of that accreditation, as determined by the department, or has accreditation recognized by the Council for Higher Education Accreditation. This paragraph does not apply to any of the following:

1. A school that was doing business in this state with the approval of the educational approval board under s. 38.50, 2007 stats., prior to May 27, 2010.

1m. A person described in sub. (1) (e) 1. whose administrative headquarters and principal place of business is in the village of Union Grove that provides a residential facility located in that village to assist young adults with disabilities in transitioning from home and school to work and independent living.

2. A person described in sub. (1) (e) 3. to 7. that was doing business in this state prior to May 27, 2010.

(b) No school, including a school described in sub. (1) (e) 1. to 8., may use the term “state” or “Wisconsin” in its name if the use of that term operates to mislead the public into believing that the school is affiliated with the University of Wisconsin System or the technical college system, unless the school actually is so affiliated. This paragraph does not apply to a school described in sub. (1) (e) 1. that has accreditation recognized by the U.S. secretary of education, has the foreign equivalent of that accreditation, as determined by the department, or has accreditation recognized by the Council for Higher Education Accreditation.

(c) The attorney general or any district attorney may bring an action in circuit court for the enforcement of this subsection, including bringing an action to restrain by temporary or permanent injunction any violation of par. (a) or (b).

(d) Any person who violates par. (a) or (b) may be required to forfeit not more than \$500. Each day of operation in violation of par. (a) or (b) constitutes a separate offense.

(e) In addition to any other remedies provided by law, a student who attends a school that is in violation of par. (a) or (b) may bring a civil action to recover fees paid to the school, together with costs and disbursements, including reasonable attorney fees.

(13) FALSE ACADEMIC CREDENTIALS. (a) In this subsection:

1. “Academic credential” means a degree, transcript, certificate, or other similar document that indicates the completion of a program, course, or course of instruction leading to, or the earning of academic credit toward, the granting of an associate, baccalaureate, or graduate degree.

2. “Authorized institution of higher education” means an educational institution that meets any of the following requirements:

a. Has accreditation recognized by the U.S. secretary of education; has the foreign equivalent of that accreditation, as determined by the department; or has accreditation recognized by the Council for Higher Education Accreditation.

b. Is approved by the department to operate in this state.

c. Operates in this state and is a school described in sub. (1) (e) 1. to 8.

d. Does not operate in this state, but is licensed or otherwise approved by the appropriate state agency of another state and is an active applicant for accreditation by an accrediting body recognized by the U.S. secretary of education or by the Council for Higher Education Accreditation.

e. Has been found by the department to meet standards of academic quality comparable to those of an educational institution located in the United States that has accreditation recognized by the U.S. secretary of education or by the Council for Higher Education Accreditation to offer credentials of the type and level claimed.

3. “False academic credential” means an academic credential issued or manufactured by a person that is not an authorized institution of higher education.

4. “Legitimate academic credential” means an academic credential issued by an authorized institution of higher education.

(b) Any person who knowingly issues or manufactures a false academic credential is guilty of a Class A misdemeanor.

(c) Any person who knowingly uses a false academic credential, or who falsely claims to have a legitimate academic credential, as follows may be required to forfeit not more than \$1,000:

1. In any communication to a client or to the general public, in connection with any business, trade, profession, or occupation.

2. For the purpose of obtaining a license or other approval required to practice a trade, profession, or occupation.

3. For the purpose of obtaining admission to an authorized institution of higher education.

4. For the purpose of obtaining an employment position with a state agency or with a political subdivision of the state, including an elective or appointive position, whether compensated or not; of obtaining a promotion, transfer, or reassignment from such a position; or of obtaining an increase in compensation or benefits for such a position.

(d) The department may charge a fee for evaluating an educational institution under par. (a) 2. e. in an amount that is sufficient to cover all costs that the department incurs in evaluating the institution. All fees collected by the department under this paragraph shall be credited to the appropriation account under s. 20.165 (1) (jr).

History: 2005 a. 25 ss. 725g, 735c to 735x; Stats. 2005 s. 38.50; 2009 a. 300; 2011 a. 32; 2015 a. 208; 2017 a. 59 ss. 663m to 704m, 1936am to 1936zm; Stats. 2017 s. 440.52.

Cross-reference: See also chs. SPS 401, 404, 405, 406, 407, 408, 409, 410, 411, Wis. adm. code.

A Wisconsin corporation offering programs that lead to certification for teachers and other school personnel was not subject to regulation as a trade or technical school. *Norda, Inc. v. Wisconsin Educational Approval Board*, 2006 WI App 125, 294 Wis. 2d 686, 718 N.W.2d 236, 05–2335.

SUBCHAPTER VI

BARBERING AND COSMETOLOGY SCHOOLS

440.60 Definitions. As used in this subchapter unless the context requires otherwise:

(1) “Aesthetician” has the meaning specified in s. 454.01 (1).

(2) “Aesthetics” has the meaning specified in s. 454.01 (2).

(4e) “Barber” has the meaning specified in s. 454.20 (1).

(4m) “Barbering” has the meaning specified in s. 454.20 (2).

(5e) “Cosmetologist” has the meaning specified in s. 454.01 (7e).

(5m) “Cosmetology” has the meaning specified in s. 454.01 (7m).

(6) “Electrologist” has the meaning specified in s. 454.01 (8).

(7) “Electrology” has the meaning specified in s. 454.01 (9).

(8) “Establishment” has the meaning specified in s. 454.01 (10).

(11) “Manicuring” has the meaning specified in s. 454.01 (13).

(12) “Manicurist” has the meaning specified in s. 454.01 (14).

(13) “Practical instruction” means training through action or direct contact with a patron or model other than a mannequin.

(14) “School” means any facility, other than a specialty school, that offers instruction in barbering, cosmetology, aesthetics, electrology, or manicuring.

(15) “Specialty school” means an establishment that offers instruction in aesthetics, electrology or manicuring.

(16) “Student” has the meaning specified in s. 454.01 (15).

(17) “Theoretical instruction” means training through the study of principles and methods.

(18) “Training hour” has the meaning specified in s. 454.01 (16).

History: 1987 a. 265; 2011 a. 190; 2017 a. 82.

440.61 Applicability. This subchapter does not apply to any of the following:

(1) Schools regulated or approved by the technical college system board.

(2) Schools operated by the department of health services or the department of corrections.

History: 1987 a. 265; 1989 a. 31, 107; 1993 a. 399; 1995 a. 27 ss. 6587, 9126 (19); 2007 a. 20 s. 9121 (6) (a).

440.62 School and specialty school licensure.

(1) LICENSE REQUIRED. (a) No person may operate a school unless the school holds a current license as a school of barbering, cosmetology, aesthetics, electrology, or manicuring, as appropriate, issued by the department.

(b) No person may operate a specialty school unless the specialty school holds a current license as a specialty school of aesthetics, electrology or manicuring issued by the department.

(c) No school may use the title “school of barbering” or any similar title unless the school holds a current school of barbering license issued by the department.

(cm) No school may use the title “school of cosmetology” or any similar title unless the school holds a current school of cosmetology license issued by the department.

(d) No school may use the title “school of aesthetics” or any similar title unless the school holds a current school of aesthetics license issued by the department.

(e) No school may use the title “school of electrology” or any similar title unless the school holds a current school of electrology license issued by the department.

(f) No school may use the title “school of manicuring” or any similar title unless the school holds a current school of manicuring license issued by the department.

(g) No specialty school may use the title “specialty school of aesthetics” or any similar title unless the specialty school holds a current specialty school of aesthetics license issued by the department.

(h) No specialty school may use the title “specialty school of electrology” or any similar title unless the specialty school holds a current specialty school of electrology license issued by the department.

(i) No specialty school may use the title “specialty school of manicuring” or any similar title unless the specialty school holds a current specialty school of manicuring license issued by the department.

(2) APPLICATIONS; LICENSE PERIOD; CHANGE OF OWNERSHIP. (a) An application for initial licensure or renewal or reinstatement of a license under this section shall be submitted to the department on a form provided by the department and shall be accompanied by the applicable fee determined by the department under s. 440.03 (9) (a). Each application shall be accompanied by a surety bond acceptable to the department in the minimum sum of \$25,000 for each location.

(b) The department may require additional information to be submitted to accompany or supplement an application if the department determines that the information is necessary to evaluate whether the school or specialty school meets the requirements in this subchapter.

(c) The department may require a school or specialty school to submit with an application a current balance sheet and income statement audited and certified by an independent auditor or certified public accountant. If the department receives a request to inspect a balance sheet, income statement or audit report, the department shall, before permitting an inspection, require the person requesting inspection to provide his or her full name and, if the person is representing another person, the full name and address

of that person. Within 48 hours after permitting an inspection, the department shall mail to the person who submitted the balance sheet, income statement or audit report a notification that states the full name and address of the person who inspected the document and the full name and address of any person represented by the person who inspected the document. This paragraph does not apply to inspection requests made by state or federal officers, agents or employees which are necessary to the discharge of the duties of their respective offices.

(d) Any change of ownership shall be reported to the department by the new owner within 5 days after the change of ownership. A change of ownership shall be submitted to the department on a form provided by the department and shall be accompanied by the change of ownership fee specified by the department by rule.

(e) The department shall promulgate rules establishing the requirements for surety bonds under par. (a).

(3) SCHOOL LICENSES. (ag) *School of barbering.* The department shall issue a school of barbering license to each school that meets all of the following requirements:

1. Satisfies the conditions in sub. (2).

2. Requires as a prerequisite to graduation completion of a course of instruction in barbering of at least 1,000 training hours.

4. If the school offers a course of theoretical instruction for apprentices under s. 454.26, requires as a prerequisite to completion of the course of instruction for those apprentices the completion of at least 288 training hours in not less than 9 weeks and not more than 2 years.

5. Satisfies the requirements for schools of barbering established in rules promulgated under subs. (2) (e) and (5) (b) 2. and s. 440.64 (1) (b).

(ar) *School of cosmetology license.* The department shall issue a school of cosmetology license to each school that meets all of the following requirements:

1. Satisfies the conditions in sub. (2).

2. Requires as a prerequisite to graduation completion of a course of instruction in cosmetology of at least 1,550 training hours in not less than 10 months.

4. If the school offers a course of theoretical instruction for apprentices under s. 454.10, requires as a prerequisite to completion of the course of instruction for those apprentices the completion of at least 288 training hours in not less than 9 weeks and not more than 2 years.

4m. If the school offers a course of instruction in barbering, the course of instruction satisfies the requirements under par. (ag) 2.

5. If the school offers a course of instruction in aesthetics, the course of instruction satisfies the requirements under par. (b) 2.

6. If the school offers a course of instruction in electrology, the course of instruction satisfies the requirements under par. (c) 2.

7. If the school offers a course of instruction in manicuring, the course of instruction satisfies the requirements under par. (d) 2.

8. Satisfies the requirements for schools of cosmetology established in rules promulgated under subs. (2) (e) and (5) (b) 1. and s. 440.64 (1) (b).

(b) *School of aesthetics license.* The department shall issue a school of aesthetics license to each school that meets the following requirements:

1. Satisfies the conditions in sub. (2).

2. Requires as a prerequisite to graduation completion of a course of instruction in aesthetics of at least 450 training hours in not less than 11 weeks and not more than 30 weeks.

3. Satisfies the requirements for schools of aesthetics established in rules promulgated under subs. (2) (e) and (5) (b) and s. 440.64 (1) (b).

(c) *School of electrology license.* The department shall issue a school of electrology license to each school that meets the following requirements:

1. Satisfies the conditions in sub. (2).
2. Requires as a prerequisite to graduation completion of a course of instruction in electrology of at least 450 training hours in not less than 11 weeks and not more than 30 weeks.
3. Satisfies the requirements for schools of electrology established in rules promulgated under subs. (2) (e) and (5) (b) and s. 440.64 (1) (b).

(d) *School of manicuring license.* The department shall issue a school of manicuring license to each school that meets the following requirements:

1. Satisfies the conditions in sub. (2).
2. Requires as a prerequisite to graduation completion of a course of instruction in manicuring of at least 300 training hours in not less than 7 weeks and not more than 20 weeks.
3. Satisfies the requirements for schools of manicuring established in rules promulgated under subs. (2) (e) and (5) (b) and s. 440.64 (1) (b).

(4) SPECIALTY SCHOOL LICENSES. (a) *Specialty school of aesthetics license.* The department shall issue a specialty school of aesthetics license to each specialty school that meets the following requirements:

1. Satisfies the conditions in sub. (2).
2. Requires as a prerequisite to graduation completion of a course of instruction in aesthetics of at least 450 training hours in not less than 11 weeks and not more than 30 weeks.
3. Satisfies the requirements for specialty schools of aesthetics established in rules promulgated under subs. (2) (e) and (5) (b) and s. 440.64 (1) (b).

(b) *Specialty school of electrology license.* The department shall issue a specialty school of electrology license to each specialty school that meets the following requirements:

1. Satisfies the conditions in sub. (2).
2. Requires as a prerequisite to graduation completion of a course of instruction in electrology of at least 450 training hours in not less than 11 weeks and not more than 30 weeks.
3. Satisfies the requirements for specialty schools of electrology established in rules promulgated under subs. (2) (e) and (5) (b) and s. 440.64 (1) (b).

(c) *Specialty school of manicuring license.* The department shall issue a specialty school of manicuring license to each specialty school that meets the following requirements:

1. Satisfies the conditions in sub. (2).
2. Requires as a prerequisite to graduation completion of a course of instruction in manicuring of at least 300 training hours in not less than 7 weeks and not more than 20 weeks.
3. Satisfies the requirements for specialty schools of manicuring established in rules promulgated under subs. (2) (e) and (5) (b) and s. 440.64 (1) (b).

(5) REQUIREMENTS FOR COURSES OF INSTRUCTION. (a) No specialty school may offer theoretical instruction for apprentices.

(b) 1. The cosmetology examining board shall promulgate rules prescribing the subjects required to be included in courses of instruction at schools of cosmetology and specialty schools and establishing minimum standards for courses of instruction and instructional materials and equipment at schools of cosmetology and specialty schools.

2. The department shall promulgate rules prescribing the subjects required to be included in courses of instruction at schools of barbering and establishing minimum standards for courses of instruction and instructional materials and equipment at schools of barbering.

History: 1987 a. 265; 1991 a. 39; 2007 a. 20; 2011 a. 190; 2013 a. 205, 356; 2015 a. 195; 2017 a. 82.

Cross-reference: See also chs. SPS 60, 61, 62, and 65, and Wis. adm. code.

440.63 Persons providing practical instruction in schools. (1) INSTRUCTORS. (a) No person may provide practical instruction in barbering unless the person holds a current barber license granted by the department or cosmetologist license granted by the cosmetology examining board.

(am) No person may provide practical instruction in cosmetology unless the person holds a current cosmetologist license granted by the cosmetology examining board.

(b) No person may provide practical instruction in aesthetics unless the person holds a current aesthetician license or cosmetologist license granted by the cosmetology examining board.

(c) No person may provide practical instruction in electrology unless the person holds a current electrologist license granted by the cosmetology examining board.

(d) No person may provide practical instruction in manicuring unless the person holds a current manicurist license or cosmetologist license granted by the cosmetology examining board.

(1m) USE OF TITLE. (a) No person may use the title “Wisconsin certified barbering instructor,” use any title that implies that he or she is a Wisconsin certified barbering instructor, or represent himself of herself to be a Wisconsin certified barbering instructor unless the person is certified as a barbering instructor under this subchapter.

(b) No person may use the title “Wisconsin certified cosmetology instructor,” use any title that implies that he or she is a Wisconsin certified cosmetology instructor, or represent himself of herself to be a Wisconsin certified cosmetology instructor unless the person is certified as a cosmetology instructor under this subchapter.

(c) No person may use the title “Wisconsin certified aesthetics instructor,” use any title that implies that he or she is a Wisconsin certified aesthetics instructor, or represent himself of herself to be a Wisconsin certified aesthetics instructor unless the person is certified as an aesthetics instructor under this subchapter.

(d) No person may use the title “Wisconsin certified electrology instructor,” use any title that implies that he or she is a Wisconsin certified electrology instructor, or represent himself of herself to be a Wisconsin certified electrology instructor unless the person is certified as an electrology instructor under this subchapter.

(e) No person may use the title “Wisconsin certified manicuring instructor,” use any title that implies that he or she is a Wisconsin certified manicuring instructor, or represent himself of herself to be a Wisconsin certified manicuring instructor unless the person is certified as a manicuring instructor under this subchapter.

(2) APPLICATIONS. An application for certification under this section shall be submitted to the department on a form provided by the department. An application for certification shall include a one-time certification fee determined by the department using the procedures established under s. 440.03 (9) (a), except that no certification fee is required under this section for an individual who is eligible for the veterans fee waiver program under s. 45.44. The department may not require renewal of a certificate issued under this section.

(3) INSTRUCTOR CERTIFICATIONS. (a) *Barbering instructor certification.* The department shall issue a barbering instructor certificate to each person who meets all of the following requirements:

1. Satisfies the conditions in sub. (2).
2. Completes 2,000 hours of practice as a licensed barber or holds a current barbering manager license issued by the department.
3. Completes 150 training hours of instructor training approved by the department.
4. Passes an examination conducted by the department to determine fitness as a barbering instructor.

(am) *Cosmetology instructor certification.* The department shall issue a cosmetology instructor certificate to each person who meets all of the following requirements:

1. Satisfies the conditions in sub. (2).

2. Completes 2,000 hours of practice as a licensed cosmetologist or holds a current cosmetology manager license issued by the cosmetology examining board.

3. Completes 150 training hours of instructor training approved by the department.

4. Passes an examination conducted by the department to determine fitness as a cosmetology instructor.

(b) *Aesthetics instructor certification.* The department shall issue an aesthetics instructor certificate to each person who meets the following requirements:

1. Satisfies the conditions in sub. (2).

2. Completes 2,000 hours of practice as a licensed aesthetician and 150 training hours of instructor training approved by the department.

3. Passes an examination conducted by the department to determine fitness as an aesthetics instructor.

(c) *Electrology instructor certification.* The department shall issue an electrology instructor certificate to each person who meets the following requirements:

1. Satisfies the conditions in sub. (2).

2. Completes 2,000 hours of practice as a licensed electrologist and 150 training hours of instructor training approved by the department.

3. Passes an examination conducted by the department to determine fitness as an electrology instructor.

(d) *Manicuring instructor certification.* The department shall issue a manicuring instructor certificate to each person who meets the following requirements:

1. Satisfies the conditions in sub. (2).

2. Completes 2,000 hours of practice as a licensed manicurist and 150 training hours of instructor training approved by the department.

3. Passes an examination conducted by the department to determine fitness as a manicuring instructor.

History: 1987 a. 265; 1989 a. 31; 1991 a. 39; 2007 a. 20; 2011 a. 190; 2017 a. 82.
Cross-reference: See also ch. SPS 65, Wis. adm. code.

440.635 Persons providing practical instruction in specialty schools. (1) No person may provide practical instruction in a specialty school of aesthetics unless the person holds a current cosmetologist license or aesthetician license issued by the cosmetology examining board.

(2) No person may provide practical instruction in a specialty school of electrology unless the person holds a current electrologist license issued by the cosmetology examining board.

(3) No person may provide practical instruction in a specialty school of manicuring unless the person holds a current cosmetologist license or manicurist license issued by the cosmetology examining board.

History: 1987 a. 265; 2011 a. 190; 2017 a. 82.

440.64 Regulation of schools and specialty schools.

(1) **DUTIES OF DEPARTMENT.** (a) The department shall investigate the adequacy of the courses of instruction and instructional materials and equipment at schools and specialty schools and review those courses of instruction, instructional materials, and equipment for compliance with minimum standards established by rules of the department or cosmetology examining board, as appropriate.

(b) The department shall promulgate rules:

1. Establishing standards and criteria to prevent fraud and misrepresentation in the sale and advertising of courses and courses of instruction.

2. Regulating the negotiability of promissory instruments received by schools and specialty schools in payment of tuition and other charges.

3. Establishing minimum standards for the refund of portions of tuition, fees and other charges if a student does not enter a

course or course of instruction or withdraws or is discontinued from a course or course of instruction.

4. Requiring schools and specialty schools to furnish information to the department concerning their facilities, curricula, instructors, registration and enrollment policies, enrollment rosters, student training hours, contracts, financial records, tuition and other charges and fees, refund policies and policies concerning the negotiability of promissory instruments received in payment of tuition and other charges.

(2) **AUDITORS AND INSPECTORS.** (a) The department shall appoint auditors and inspectors under the classified service to audit and inspect schools and specialty schools.

(b) An auditor or inspector appointed under par. (a) may enter and audit or inspect any school or specialty school at any time during business hours.

(3) **INVESTIGATIONS, HEARINGS, REPRIMANDS, DENIALS, LIMITATIONS, SUSPENSIONS AND REVOCATIONS.** (a) Subject to the rules promulgated under s. 440.03 (1), the department may make investigations or conduct hearings to determine whether a violation of this subchapter or any rule promulgated under this subchapter has occurred.

(b) Subject to the rules promulgated under s. 440.03 (1), the department may reprimand a licensee or deny, limit, suspend, or revoke a license under this subchapter if it finds that the applicant or licensee has done any of the following:

1. Made a material misstatement in an application for licensure, certification or renewal.

2. Advertised in a manner which is false, deceptive or misleading.

3. Violated this subchapter or any rule promulgated under this subchapter.

(c) In addition to or in lieu of a reprimand or denial, limitation, suspension, or revocation of a license under par. (b), the department may assess against a school or specialty school a forfeiture of not less than \$100 nor more than \$5,000 for each violation enumerated under par. (b).

History: 1987 a. 265; 2011 a. 190; 2017 a. 82.

Cross-reference: See also chs. SPS 60, 61, 62, and 65, Wis. adm. code.

SUBCHAPTER VII

CREMATORY AUTHORITIES

440.70 Definitions. As used in this subchapter:

(1) “Authorization form” means a form specified in s. 440.73.

(3) “Business entity” has the meaning given in s. 452.01 (3j).

(4) “Columbarium” means a building, structure, or part of a building or structure that is used or intended to be used for the inurnment of cremated remains.

(5) “Cremated remains” means human remains recovered from the cremation of a human body or body part and the residue of a container or foreign materials that were cremated with the body or body part.

(6) “Cremation” means the process of using heat to reduce human remains to bone fragments and includes processing or pulverizing the bone fragments.

(7) “Cremation chamber” means an enclosed space within which cremation takes place.

(8) “Crematory” means a building or portion of a building within which a cremation chamber is located.

(9) “Crematory authority” means a person who owns or operates a crematory.

(10) “Funeral director” has the meaning given in s. 445.01 (5).

(11) “Funeral establishment” has the meaning given in s. 445.01 (6).

(12) “Human remains” means the body or part of the body of a deceased individual.

(14) “Niche” means a space in a columbarium that is used or intended to be used for the inurnment of cremated remains.

History: 2005 a. 31, 254.

440.71 Registration; renewal. (1) PROHIBITION. No person may cremate human remains unless the department has registered the person as a crematory authority under sub. (2).

(2) REGISTRATION. The department shall register a person as a crematory authority if the person does all of the following:

(a) Pays the initial credential fee determined by the department under s. 440.03 (9) (a).

(b) Submits an application on a form provided by the department that includes all of the following:

1. The name and address of the applicant or the business entity that the applicant represents.

2. The address of the crematory.

3. A description of the structure and equipment proposed to be used in operating the crematory.

4. Any other information that the department may require.

(3) RENEWAL. Renewal applications shall be submitted to the department on a form provided by the department on or before the applicable renewal date specified under s. 440.08 (2) (a) and shall include the applicable renewal fee determined by the department under s. 440.03 (9) (a).

History: 2005 a. 31; 2007 a. 20.

440.73 Authorization forms. A person who is authorized to direct the cremation of the human remains of a decedent may do so only by completing a form that includes all of the following:

(1) The name of the decedent and the date and time of the decedent’s death.

(2) The name of the person directing the cremation and his or her relationship to the decedent.

(3) A statement that the person directing the cremation has the authority to direct the cremation.

(4) A statement that the person directing the cremation has no reason to believe that the decedent’s remains contain a device that may be hazardous or cause damage to the cremation chamber or an individual performing the cremation.

(5) The name of the funeral director, funeral establishment, or cemetery that the person directing the cremation authorizes to receive the cremated remains or, if alternative arrangements are made for receiving the cremated remains, a description of those arrangements.

(6) If known by the person directing the cremation, the manner in which the cremated remains are to be disposed.

(7) An itemized list of valuables on the decedent’s person that are to be removed prior to cremation and returned to the person directing the cremation.

(8) If a viewing or other services are planned, the date and time of the viewing or services.

(9) The signature of the person directing the cremation attesting to the accuracy of the representations contained on the form.

History: 2005 a. 31.

440.75 Liability of a person who directs the cremation of human remains. A person who directs the cremation of human remains is liable for damages resulting from authorizing the cremation of the human remains of a decedent.

History: 2005 a. 31.

440.76 Revocation of authorization. Before a cremation is performed, a person directing the cremation of human remains may cancel the cremation by providing the crematory authority with a written statement revoking the authorization form. A person who revokes an authorization form shall provide the crematory authority with written instructions regarding the final disposition of the human remains.

History: 2005 a. 31.

440.77 Delivery and acceptance of human remains.

(1) RECEIPT FOR DELIVERY. A crematory authority that receives human remains from a person shall provide the person with a receipt that includes all of the following:

(a) The name of the decedent.

(b) The date and time that the human remains were delivered.

(c) A description of the type of casket or container in which the human remains were delivered.

(d) The name of the person who delivered the human remains and the name of the funeral establishment or other business entity, if any, with which the person is affiliated.

(e) The name of the person who received the human remains on behalf of the crematory authority and the name of the funeral establishment or other business entity, if any, with which the crematory authority is affiliated.

(f) The signature of the person who delivered the human remains.

(g) The signature of the person who received the human remains on behalf of the crematory authority.

(2) ACCEPTANCE OF HUMAN REMAINS. (a) A crematory authority may not refuse to accept delivery of human remains solely on the basis that the human remains have not been placed in a casket or have not been embalmed.

(b) A crematory authority may refuse to accept delivery of human remains if any of the following apply:

1. The casket or other container used for the human remains has evidence of leakage of bodily fluids.

2. The crematory authority has knowledge of a dispute regarding the cremation of the human remains, unless the crematory authority receives a copy of a court order or other documentation indicating that the dispute has been resolved.

3. The crematory authority has reason to believe that a representation of the person directing the cremation of human remains is not true.

4. The crematory authority has reason to believe that the human remains contain a device that may be hazardous or cause damage to the cremation chamber or an individual performing the cremation.

History: 2005 a. 31.

440.78 Cremation requirements. (1) DOCUMENTATION. A crematory authority may not cremate the human remains of a decedent unless the authority has received all of the following:

(a) A completed authorization form.

(b) A copy of the cremation permit issued under s. 979.10 (1) (a).

(c) If a report for final disposition of a human corpse is required under s. 69.18 (3), a copy of the report.

(2) HOLDING FACILITY. (a) Upon accepting delivery of human remains, a crematory authority shall place the human remains in a holding facility until they are cremated, except that, if the crematory authority obtains knowledge of a dispute regarding the cremation of the human remains, the crematory authority may, until the dispute is resolved, return the human remains to the person who delivered the human remains or the funeral establishment or other business entity with which that person is affiliated, neither of which may refuse to accept the human remains.

(b) A crematory authority shall restrict access to a holding facility to authorized personnel.

(3) CASKETS AND OTHER CONTAINERS. (a) A crematory authority may not require human remains to be placed in a casket before cremation or to be cremated in a casket.

(b) Unless a crematory authority obtains the prior written consent of the person directing the cremation, and except as provided in par. (c), a crematory authority shall cremate with human remains the casket or other container holding the human remains or destroy the casket or other container.

(c) A container may be used to hold human remains that are to be cremated only if the container is composed of readily combustible materials that are resistant to leakage and spillage, has the ability to be closed for complete covering of the human remains, is sufficiently rigid to provide ease in handling, and is able to protect the health and safety of crematory personnel.

(4) **VIEWINGS OR OTHER SERVICES.** A crematory authority may not cremate human remains before the date and time specified in an authorization form under s. 440.73 (8).

(5) **SIMULTANEOUS CREMATION.** A crematory authority may not simultaneously cremate the human remains of more than one decedent within the same cremation chamber unless the crematory authority receives the prior written consent of the person directing the cremation of each decedent.

(6) **RESIDUE REMOVAL.** Upon completion of each cremation, a crematory authority shall, insofar as practicable, remove all of the cremated remains from the cremation chamber.

(7) **CONTAINERS FOR CREMATED REMAINS.** A container may be used to hold cremated remains only if all of the following are satisfied:

(a) Except as provided in sub. (8), the container is a single container of sufficient size to hold the cremated remains.

(b) The container may be closed in a manner that prevents the entrance of foreign materials and prevents leakage or spillage of the cremated remains.

(8) **EXCESS REMAINS; ADDITIONAL CONTAINER.** If cremated remains that a crematory authority recovers from a cremation chamber do not fit within the container that the person who directed the cremation has selected, the crematory authority shall return the remainder of the human remains in a separate container to the person who directed the cremation or to that person's designee.

(9) **IDENTIFICATION SYSTEM.** A crematory authority shall maintain an identification system that ensures the identity of human remains throughout all phases of the cremation process.

(10) **CONSTRUCTION OF A CREMATORY.** (a) Any person who constructs a crematory or converts a building or other structure to a crematory shall comply with the rules of the department and shall receive department approval in writing of the plans and specifications prior to construction or conversion. The department may promulgate rules governing the location, material, and construction of any crematory. Any municipality may enact ordinances governing the construction of a crematory that are at least as stringent as this subsection.

(b) The department shall supervise construction of any crematory and conversion of any building or other structure to a crematory. No person may modify departmental construction or conversion requirements without written approval of the department. No crematory authority may operate a crematory unless the department certifies in writing that construction or conversion complied with approved plans.

History: 2005 a. 31; 2015 a. 237 s. 54.

440.79 Deliveries of cremated remains. A crematory authority may deliver cremated remains to another person only by making the delivery in person or by using a delivery service that has a system for tracking the delivery. The crematory authority shall obtain a signed receipt from the person to whom the cremated remains are delivered. The crematory authority shall ensure that the receipt includes all of the following:

(1) The name of the decedent.

(2) The date and time that the cremated remains were delivered.

(3) The name and signature of the person to whom the cremated remains were delivered and the name of the funeral establishment or other business entity, if any, with which the person is affiliated.

(4) The name and signature of the person who delivered the cremated remains on behalf of the crematory authority.

History: 2005 a. 31, 254.

440.80 Disposition of cremated remains. (1) RESPONSIBLE PARTY. (a) Except as provided in par. (b), the person directing the cremation is responsible for determining the manner in which cremated remains are disposed.

(b) If the person directing the cremation fails to determine the manner in which cremated remains are disposed, the crematory authority shall, no sooner than 30 days after cremation, deliver the cremated remains to the person who delivered the human remains to the crematory authority for cremation or the funeral establishment or other business entity with which that person is affiliated, neither of which may refuse to accept the cremated remains. No sooner than 60 days after the cremated remains are delivered under this paragraph, the person to whom they are delivered may determine the manner in which the cremated remains are disposed and shall make a written record of any determination that is made.

(c) The person directing the cremation or the decedent's estate, or both, are liable for all reasonable expenses incurred in delivering and disposing of cremated remains under par. (b).

(2) **MANNER OF DISPOSITION.** A person may dispose of cremated remains only in one of the following manners:

(a) Placing the remains in a grave, niche, or crypt.

(b) Disposing of the remains in any other lawful manner, but only if the remains are reduced to a particle size of one-eighth inch or less.

(3) **COMMINGLING.** Without the prior written consent of each person directing the cremation, no person may place cremated remains of more than one individual in the same container.

(4) **PROHIBITED SALES.** A crematory authority may not do any of the following:

(a) Sell any material or device, including a prosthetic or medical device of a decedent, that is obtained from cremating the human remains of the decedent.

(b) Resell any casket or other container that has been used for cremating human remains.

History: 2005 a. 31.

440.81 Records. (1) A crematory authority shall maintain a permanent record of each cremation at its place of business consisting of the name of the decedent, the date of the cremation, and a description of the manner in which the cremated remains are disposed.

(2) A crematory authority shall maintain as permanent records the documentation specified in s. 440.78 (1) and copies of receipts under ss. 440.77 (1) and 440.79.

History: 2005 a. 31.

440.82 Exemptions from liability. (1) Except as provided in sub. (2), a crematory authority is immune from civil liability for damages resulting from cremating human remains, including damages to prosthetic or medical devices or valuables of the decedent, if the authority has complied with the requirements of this subchapter.

(2) A crematory authority is liable for damages resulting from the authority's intentional misconduct, negligent conduct, or failure to return valuables specified on an authorization form under s. 440.73 (7).

History: 2005 a. 31.

440.83 Electronic transmission permitted. Any statement required to be in writing under s. 440.76, 440.78 (3) (b) or (5), or 440.80 (3) may be transmitted by facsimile.

History: 2005 a. 31.

440.84 Rules. The department may promulgate rules interpreting or administering the requirements of this subchapter.

History: 2005 a. 31.

440.85 Discipline. (1) Subject to the rules promulgated under s. 440.03 (1), the department may make investigations, including inspections, or conduct hearings to determine whether a violation of this subchapter or any rule promulgated under this subchapter has occurred.

(2) Subject to the rules promulgated under s. 440.03 (1), the department may reprimand an individual registered under this subchapter or deny, limit, suspend, or revoke a registration under this subchapter if the department finds that the applicant or individual has done any of the following:

(a) Made a material misstatement in an application for a registration or renewal of a registration.

(b) Engaged in conduct while practicing as a crematory authority that evidences a lack of knowledge or ability to apply professional principles or skills.

(c) Subject to ss. 111.321, 111.322, and 111.335, been arrested or convicted of an offense committed while registered under this subchapter.

(d) Advertised in a manner that is false, deceptive, or misleading.

(e) Advertised, practiced, or attempted to practice as a crematory authority under another person's name.

(f) Violated this subchapter or a rule promulgated under this subchapter.

History: 2005 a. 31.

440.86 Penalties. (1) Any person who violates this subchapter or a rule promulgated under this subchapter may be fined not more than \$1,000 or imprisoned for not more than 6 months or both.

(2) In addition to or in lieu of the penalties under sub. (1) and the remedies under s. 440.85 (2), any person who violates this subchapter or a rule promulgated under this subchapter may be required to forfeit not more than \$1,000 for each violation. Each day of continued violation constitutes a separate violation.

History: 2005 a. 31.

440.87 Exceptions. This subchapter does not apply to a person who is performing his or her duties as an officer of a public institution, medical school, medical college, county medical society, anatomical association, or accredited college of embalming, or to a person acting in accordance with a statute prescribing the conditions under which donated or indigent dead human bodies are held subject for anatomical study, or to a person who is acting according to the burial customs or rites of a religious sect to which the person belongs or subscribes.

History: 2005 a. 31.

SUBCHAPTER VIII

SUBSTANCE ABUSE COUNSELORS, CLINICAL SUPERVISORS, AND PREVENTION SPECIALISTS

440.88 Substance abuse counselors, clinical supervisors, and prevention specialists. (1) **DEFINITIONS.** In this subchapter:

(a) "Clinical supervisor" means a clinical supervisor-in-training, an intermediate clinical supervisor, or an independent clinical supervisor.

(am) "Prevention specialist" means a prevention specialist-in-training or a prevention specialist.

(b) "Substance abuse counselor" means a substance abuse counselor-in-training, a substance abuse counselor, or a clinical substance abuse counselor.

(2) **CERTIFICATION.** Except as provided in sub. (3m) and s. 440.12 or 440.13, the department shall certify as a substance abuse counselor, a clinical supervisor, or a prevention specialist any individual who satisfies the applicable conditions in sub. (3) and who has presented evidence satisfactory to the department that applicable certification standards and qualification of the department, as established by rule, have been met.

(3) **CERTIFICATION; STANDARDS AND QUALIFICATIONS.** (a) Subject to pars. (b) and (c) and except as provided in sub. (3m), the department shall promulgate rules that establish minimum standards and qualifications for the certification of all of the following, including substance abuse counselors and clinical supervisors, as defined by the department of health services by rule:

1. Substance abuse counselors-in-training.

2. Substance abuse counselors.

3. Clinical substance abuse counselors.

4m. Clinical supervisors-in-training.

5. Intermediate clinical supervisors.

6. Independent clinical supervisors.

7. Prevention specialists-in-training.

8. Prevention specialists.

(b) Rules promulgated under par. (a) shall include standards based on demonstrated requisite competency, knowledge, skills, and attitudes of professional practice that are culturally competent and evidence-based.

(c) Before the department may promulgate rules under par. (a), the department shall appoint a certification review committee under s. 227.13 and shall consult with the certification review committee on the proposed rules.

(3m) **EXCEPTION.** This section does not apply to a physician, as defined in s. 448.01 (5), a clinical social worker, as defined in s. 457.01 (1r), a licensed psychologist, as defined in s. 455.01 (4), a marriage and family therapist, as defined in s. 457.01 (3), or a professional counselor, as defined in s. 457.01 (7), who practices as a substance abuse clinical supervisor or provides substance abuse counseling, treatment, or prevention services within the scope of his or her licensure.

(4) **APPLICATIONS; CERTIFICATION PERIOD.** An application for certification as a substance abuse counselor, clinical supervisor, or prevention specialist under this section shall be made on a form provided by the department and filed with the department and shall be accompanied by the initial credential fee determined by the department under s. 440.03 (9) (a). The renewal date for certification as a substance abuse counselor, clinical supervisor, or prevention specialist is specified under s. 440.08 (2) (a) and the renewal fee for such certifications is determined by the department under s. 440.03 (9) (a). Renewal of certification as a substance abuse counselor-in-training, a clinical supervisor-in-training, or a prevention specialist-in-training may be made only twice.

(5) **CERTIFICATION REQUIRED.** Except as provided in sub. (3m) and s. 257.03, no person may represent himself or herself to the public as a substance abuse counselor, clinical supervisor, or prevention specialist or a certified substance abuse counselor, clinical supervisor, or prevention specialist or use in connection with his or her name a title or description that conveys the impression that he or she is a substance abuse counselor, clinical supervisor, or prevention specialist or a certified substance abuse counselor, clinical supervisor, or prevention specialist unless he or she is so certified under sub. (2).

(6) **REVOCATION, DENIAL, SUSPENSION, OR LIMITATION OF CERTIFICATION.** The department may, after a hearing held in conformity with ch. 227, revoke, deny, suspend, or limit under this subchapter the certification of any substance abuse counselor, clinical supervisor, or prevention specialist or reprimand the substance abuse counselor, clinical supervisor, or prevention specialist, for practice of fraud or deceit in obtaining the certification or any unprofessional conduct, incompetence, or professional negligence.

(7) **RECIPROCAL CERTIFICATION.** The department shall, upon application and payment of the required fee, issue certification as a substance abuse counselor, clinical supervisor, or prevention specialist to an individual who holds a similar unexpired certification issued to the individual by another state for which the requirements for certification are of a standard that is not lower than that specified in this subchapter.

(8) **CERTIFICATION OTHER THAN BY DEPARTMENT PROHIBITED.** No entity other than the department may certify substance abuse counselors, clinical supervisors, or prevention specialists.

(9) **CONTINUING EDUCATION.** The department may do all of the following:

(a) Establish the minimum number of hours of continuing education required for renewal of certification under this section and the topic areas that the continuing education must cover.

(b) Require continuing education as part of any disciplinary process for an individual.

(10) **CONTINUING EDUCATION COURSE APPROVAL.** The department shall establish the criteria for the approval of continuing education programs and courses required for renewal of certification of a substance abuse counselor, clinical supervisor, or prevention specialist and the criteria for the approval of the sponsors and cosponsors of those continuing education programs and courses. The department shall approve continuing education programs and courses in accordance with the criteria established under this subsection.

(11) **SCOPE OF PRACTICE.** The department shall promulgate rules establishing minimum standards for the practice of substance abuse counseling, supervision, and prevention.

History: 2005 a. 25; 2005 a. 96 s. 4m; 2005 a. 254 s. 37; 2005 a. 407; 2007 a. 20, 99; 2009 a. 42; 2017 a. 262; 2017 a. 364 s. 49.

Cross-reference: See also chs. SPS 160, 161, 162, 163, 164, 165, 166, 167, and 168, Wis. adm. code.

SUBCHAPTER IX

CEMETERY AUTHORITIES, SALESPERSONS AND PRENEED SELLERS

440.90 Definitions. In this subchapter:

(1b) “Board” means the cemetery board.

(1c) “Business day” has the meaning given in s. 421.301 (6).

(2) “Cemetery authority” has the meaning given in s. 157.061 (2).

(3) “Cemetery services and merchandise” has the meaning given in s. 157.061 (3).

(4) “Human remains” has the meaning given in s. 157.061 (8).

(4m) “Licensed cemetery authority” means a cemetery authority that is licensed under s. 440.91 (1).

(4r) “Licensee” means a person licensed under this subchapter.

(5) “Mausoleum” has the meaning given in s. 157.061 (9).

(6) “Mausoleum space” has the meaning given in s. 157.061 (10).

(6m) “Payment of principal” has the meaning given in s. 157.061 (11r).

(7) “Preneed sales contract” has the meaning given in s. 157.061 (12).

(8) “Preneed seller” means an individual who sells or solicits the sale of cemetery services and merchandise or an undeveloped space under a preneed sales contract or, if such an individual is employed by or acting as an agent for a cemetery authority or any other person, the cemetery authority or other person.

(9) “Preneed trust fund” has the meaning given in s. 157.061 (13).

(10) “Public mausoleum” has the meaning given in s. 157.061 (14).

(11) “Sale” has the meaning given in s. 157.061 (16).

(12) “Undeveloped space” has the meaning given in s. 157.061 (17).

(13) “Warehouse” means a place of storage for cemetery merchandise sold under a preneed sales contract.

(14) “Wholesale cost ratio” means the actual cost to a preneed seller to supply and deliver cemetery services and merchandise or to construct an undeveloped space divided by the price paid by the purchaser, excluding sales tax, finance or interest charges, administrative fees, and insurance premiums.

History: 1989 a. 307; 2005 a. 25; 2015 a. 237; 2017 a. 365 s. 110.

440.905 General duties and powers of board. (1) In addition to the other duties and powers of the board under this subchapter, the board shall advise the secretary of safety and professional services on matters relating to cemeteries, to this chapter, or to the board.

(2) The board has rule-making authority and may promulgate rules relating to the regulation of cemetery authorities, cemetery salespersons, and cemetery preneed sellers. The board may determine, by rule, a fee under s. 440.05 (1) (a) and under s. 440.08 (2) (a) 21. that is sufficient to fund the board’s operating costs.

History: 2005 a. 25; 2011 a. 32.

Cross-reference: See also ch. CB 1, Wis. adm. code.

440.91 Cemetery authorities and cemetery salespersons. (1) (a) Any cemetery authority that operates a cemetery that has \$50,000 or more in trust fund accounts for a cemetery shall apply to the board for a license for that cemetery. A cemetery authority that operates more than one cemetery shall apply for a separate license for each cemetery that has \$50,000 or more in trust fund accounts.

(b) The board shall grant a license to a cemetery authority if all of the following are satisfied:

1. The cemetery authority submits an application for the license to the board on a form provided by the board. The application shall require the cemetery authority to provide the names of the officers of the cemetery authority and to identify a business representative who is primarily responsible for the cemetery authority’s compliance with subch. II of ch. 157 and this subchapter.

2. The cemetery authority pays the initial credential fee determined by the department under s. 440.03 (9) (a).

(c) The renewal dates for licenses granted under par. (b) are specified in s. 440.08 (2) (a) and the renewal fees for such licenses are determined by the department under s. 440.03 (9) (a).

(1m) (a) Except as provided in sub. (6m), any cemetery authority that has less than \$50,000 in trust fund accounts for a cemetery shall register with the board. A cemetery authority that operates more than one cemetery shall submit a separate registration to the board for each cemetery that has less than \$50,000 in trust fund accounts.

(b) The board shall register a cemetery authority if all of the following are satisfied:

1. The cemetery authority submits an application for registration to the board on a form provided by the board. The application shall require the cemetery authority to provide the names and addresses of the officers of the cemetery authority and to identify a business representative who is primarily responsible for the cemetery authority’s compliance with subch. II of ch. 157 and this subchapter.

2. The cemetery authority pays a \$10 fee to the board.

(c) The renewal date and renewal fee for a registration granted under par. (b) are specified in s. 440.08 (2).

(2) Except as provided in sub. (10), every individual who sells or solicits the sale of, or that expects to sell or solicit the sale of, 20 or more cemetery lots or mausoleum spaces per year during 2 consecutive calendar years shall be licensed by the board. An individual may not be licensed as a cemetery salesperson except upon the written request of a cemetery authority and the payment

of the initial credential fee determined by the department under s. 440.03 (9) (a). The cemetery authority shall certify in writing to the board that the individual is competent to act as a cemetery salesperson. An applicant for licensure as a cemetery salesperson shall furnish to the board, in such form as the board prescribes, all of the following information:

- (a) The name and address of the applicant.
- (b) Educational qualifications.
- (c) Prior occupations.
- (d) Any other information which the board may reasonably require to enable it to determine the competency of the salesperson to transact the business of a cemetery salesperson in a manner which safeguards the interest of the public.

(3) Any cemetery salesperson may transfer to the employment of a cemetery authority, other than the cemetery authority that certified the salesperson under sub. (2), by filing a transfer form with the board and paying the transfer fee specified in s. 440.05 (7).

(4) Renewal applications shall be submitted to the board on a form provided by the board on or before the applicable renewal date specified under s. 440.08 (2) (a) and shall include the applicable renewal fee determined by the department under s. 440.03 (9) (a).

(5) Every cemetery authority requesting the registration or transfer of any cemetery salesperson shall be responsible for the acts of that salesperson while acting as a cemetery salesperson.

(6m) A cemetery authority of a cemetery organized, maintained and operated by a town, village, city, church, synagogue or mosque, religious, fraternal or benevolent society or incorporated college of a religious order is not required to be licensed under sub. (1) or registered under sub. (1m).

(7) An individual who solicits the sale of cemetery lots or mausoleum spaces in a cemetery organized, maintained and operated by a town, village, city, church, synagogue or mosque, religious, fraternal or benevolent society or incorporated college of a religious order is not required to be licensed under sub. (2).

(9) No cemetery authority or cemetery salesperson licensed under sub. (1) or (2) may pay a fee or commission as compensation for a referral or as a finder's fee relating to the sale of cemetery merchandise or a burial space to any person who is not licensed under sub. (1) or (2) or who is not regularly and lawfully engaged in the sale of cemetery merchandise or burial spaces in another state or territory of the United States or a foreign country.

(10) Nothing in this section requires an individual who is licensed as a preneed seller under s. 440.92 (1) to be licensed as a cemetery salesperson under sub. (2) if the individual only sells or solicits the sale of cemetery services and merchandise or undeveloped spaces under preneed sales contracts.

History: 1989 a. 307 ss. 75, 80 to 83, 91; 1991 a. 39, 269; 2005 a. 25; 2007 a. 20, 174; 2009 a. 180; 2011 a. 146; 2015 a. 237.

Cross-reference: See also chs. CB 1 and 2, Wis. adm. code.

440.92 Cemetery preneed sellers. (1) LICENSURE. (a) Except as provided in subs. (4), (9) (a), and (10), every individual who sells or solicits the sale of cemetery services and merchandise or an undeveloped space under a preneed sales contract and, if the individual is employed by or acting as an agent for a cemetery authority or any other person, that cemetery authority or other person is also required to be licensed under this subsection.

(b) The board shall issue a certificate of licensure as a cemetery preneed seller to any person who does all of the following:

1. Submits an application to the board on a form provided by the board.
2. Pays the initial credential fee determined by the department under s. 440.03 (9) (a).
3. Subject to ss. 111.321, 111.322, and 111.335, submits evidence satisfactory to the board that the person does not have a conviction record.
4. Meets any other reasonable requirements established by the board by rule to determine fitness to sell cemetery services and

merchandise or an undeveloped space under a preneed sales contract. The rules may not require applicants to meet minimum education, experience, or prior employment requirements or to pass any examination.

(bm) If a cemetery authority that is licensed under this subsection notifies the board that it proposes to take an action specified in s. 157.08 (2) (b) and the board does not object to the action under s. 157.08 (2) (b), the board shall revoke the license and require the cemetery authority to reapply for a license under this subsection.

(c) Renewal applications shall be submitted to the board on a form provided by the board on or before the applicable renewal date specified under s. 440.08 (2) (a) and shall include the applicable renewal fee determined by the department under s. 440.03 (9) (a).

(e) Nothing in this subsection requires an individual who is licensed as a cemetery salesperson under s. 440.91 (2) to be licensed under this subsection if the individual does not conduct or solicit any sale under a preneed sales contract.

(2) PRENEED SALES CONTRACTS. (a) A preneed sales contract for the sale of cemetery services and merchandise shall provide for the delivery of cemetery merchandise in one of the following ways:

1. By physically delivering the merchandise to the purchaser or the beneficiary named in the preneed sales contract.
2. By affixing the cemetery merchandise to the cemetery lot or mausoleum.
3. By storing the cemetery merchandise in a warehouse that is located on the property of the preneed seller if the preneed seller insures the cemetery merchandise and the preneed sales contract requires the preneed seller to ultimately affix the cemetery merchandise to the cemetery lot or mausoleum without additional charge.

3g. By storing the cemetery merchandise anywhere on the property of the preneed seller if the property of the preneed seller is located in this state, the preneed seller insures the cemetery merchandise and the preneed sales contract requires the preneed seller to ultimately affix the cemetery merchandise to a cemetery lot, to the outside of or the grounds surrounding a mausoleum or to any other outdoor location without additional charge.

4. By having the cemetery merchandise stored in a warehouse that is not located on the property of the preneed seller if the warehouse has agreed to ship the cemetery merchandise to the preneed seller, purchaser or beneficiary named in the preneed sales contract without additional charge to the purchaser and the preneed sales contract requires that the cemetery merchandise ultimately be affixed to the cemetery lot or mausoleum without additional charge. If the cemetery merchandise is delivered under this subdivision, all of the following apply:

a. At the time that the preneed sales contract is entered into, the preneed seller shall provide the purchaser with the name, address and telephone number of the warehouse and inform the purchaser that the warehouse is approved by the board.

b. If the name, address, telephone number or approval status of the warehouse changes before the cemetery merchandise is delivered, the preneed seller or warehouse shall notify the purchaser in writing of each change within 30 days after the change.

c. The preneed sales contract shall provide for the cemetery merchandise to be delivered within 30 days after the purchaser or beneficiary requests the preneed seller or warehouse to deliver the cemetery merchandise and shall contain the procedure and any requirements for making the request.

(am) If a preneed sales contract for the sale of cemetery merchandise requires the preneed seller to ultimately affix the cemetery merchandise to a cemetery lot, mausoleum or other location but the purchaser has not informed the preneed seller of the location where the cemetery merchandise is to be affixed and the location where the cemetery merchandise is to be affixed is not specified in the preneed sales contract, the preneed sales contract may

provide that the preneed seller may charge the purchaser an additional fee at the time that the cemetery merchandise is affixed not to exceed the additional costs to the preneed seller that are necessitated by the purchaser's choice of location.

(b) If a preneed sales contract does not require the preneed seller to deliver cemetery merchandise by one of the methods under par. (a), the preneed seller shall deliver the cemetery merchandise under par. (a) 2.

(c) Except as provided in par. (cm), a preneed sales contract shall provide that if the purchaser voids the preneed sales contract at any time within 10 days after the date of the initial payment the preneed seller shall, within 30 days after the date on which the preneed sales contract is voided, refund all money paid by the purchaser for cemetery merchandise that has not been supplied or delivered and for the mausoleum space.

(cm) If a preneed sales contract for the sale of cemetery merchandise requires the preneed seller to physically alter any cemetery merchandise, the preneed sales contract shall provide that if the purchaser voids the preneed sales contract at any time before the preneed seller has physically altered the cemetery merchandise in a manner or to a degree that makes the fair market value of the cemetery merchandise to the general public lower than the sale price of the cemetery merchandise under the preneed sales contract or within 10 days after the date of the initial payment, whichever occurs first, the preneed seller shall, within 30 days after the date on which the preneed sales contract is voided, refund all money paid by the purchaser for cemetery merchandise that has not been supplied or delivered.

(d) A preneed seller may not sell any undeveloped space unless the plans for the construction of the mausoleum have been submitted to the board for approval under s. 157.12 (2) (a) and the preneed sales contract includes the following language in not less than 10–point boldface type: “THE PLANS FOR CONSTRUCTING THE MAUSOLEUM SPACE HAVE BEEN SUBMITTED TO THE CEMETERY BOARD FOR APPROVAL. THE SELLER IS RESPONSIBLE FOR ALL COSTS REQUIRED TO OBTAIN APPROVAL OF THE PLANS BY THE CEMETERY BOARD, COMPLETE THE CONSTRUCTION, AND OBTAIN CERTIFICATION OF THE CONSTRUCTION BY THE CEMETERY BOARD.”

(e) A preneed sales contract for the sale of an undeveloped space shall provide that the purchaser may void the preneed sales contract if any of the following conditions applies:

1. The plans for constructing the mausoleum are not approved under s. 157.12 (2) (a).
2. The construction of the mausoleum does not begin within 3 years after the date of the sale.
3. If the mausoleum is a public mausoleum, the construction of the mausoleum is not certified under s. 157.12 (2) (b) within 6 years after the date of the sale.

(f) If a preneed sales contract is voided under par. (e), the preneed seller shall, within 30 days after the date on which the preneed sales contract is voided, refund all money paid by the purchaser, together with interest calculated at the legal rate of interest as provided under s. 138.04.

(g) A preneed seller may include in a preneed sales contract provisions that do any of the following:

1. Place restrictions on the right of the purchaser to assign his or her interest in any undelivered cemetery merchandise or undeveloped space to any other person, but only if such restrictions are consistent with regulations, established by the cemetery authority of the cemetery in which the cemetery merchandise will ultimately be affixed or in which the undeveloped space is located, that specify who may or may not be buried in the cemetery.

2. Require the purchaser to notify the preneed seller that the purchaser has assigned his or her interest in any undelivered cemetery merchandise or undeveloped space to any other person within a reasonable period of time after the interest has been assigned.

(h) A provision in a preneed sales contract that purports to waive or is in conflict with any part of this section is void.

(i) If a preneed sales contract includes provisions for the sale of cemetery merchandise or an undeveloped space that is subject to the trusting requirements under sub. (3) (a) and (b) and for the sale of other goods or services that are not subject to the trusting requirements under sub. (3) (a) and (b), the sale price of the goods or services that are not subject to the trusting requirements may not be inflated for the purpose of allocating a lower sale price to the cemetery merchandise or undeveloped space that is subject to the trusting requirements.

(j) A preneed sales contract shall be in writing. The preneed seller shall provide the purchaser with a copy of the preneed sales contract at the time that the preneed sales contract is entered into. A provision in a written preneed sales contract that limits the terms of the transaction to those included in the written preneed sales contract and that disclaims any oral agreements pertaining to the transaction creates a rebuttable presumption that no oral preneed sales contract pertaining to the transaction exists. A preneed sales contract that is not in writing may not be voided by the preneed seller, but may be voided by the purchaser at any time before all of the cemetery merchandise purchased has been delivered, before the plans for constructing the mausoleum have been approved under s. 157.12 (2) (a) or, if the mausoleum is a public mausoleum, before the construction of the mausoleum has been certified under s. 157.12 (2) (b). If a preneed sales contract is voided under this paragraph, the preneed seller shall, within 30 days after the date on which the preneed sales contract is voided, refund all money paid by the purchaser, together with interest calculated at the legal rate of interest as provided under s. 138.04.

(k) A preneed sales contract shall include the following language in not less than 10–point boldface type: “SECTION 440.92 (2) OF THE WISCONSIN STATUTES SPECIFIES THE RIGHTS OF THE PURCHASER UNDER THIS CONTRACT. DEPENDING ON THE CIRCUMSTANCES, THESE MAY INCLUDE THE RIGHT TO VOID THE CONTRACT AND RECEIVE A REFUND OR THE RIGHT TO ASSIGN AN INTEREST IN THE CONTRACT TO ANOTHER PERSON.”

(3) DEPOSITS IN PRENEED TRUST FUND AND CARE FUND. (a) A preneed seller shall deposit into a preneed trust fund an amount equal to at least 40 percent of each payment of principal that is received from the sale of cemetery merchandise under a preneed sales contract, or the wholesale cost ratio for the cemetery merchandise multiplied by the amount of the payment of principal that is received, whichever is greater. In addition to the amount required to be deposited under this paragraph for the sale of cemetery merchandise and except as provided in par. (c), if a preneed seller receives payment for the sale of an undeveloped space under a preneed sales contract, the preneed seller shall deposit a percentage of each payment of principal that is received from the sale of the undeveloped space into a preneed trust fund, determined as follows:

1. If the actual cost to the preneed seller of constructing the undeveloped space in accordance with construction plans approved under s. 157.12 (2) (a) has been determined by a registered architect or engineer and accepted in a written construction agreement by both the preneed seller and the person who has agreed to construct the mausoleum, the minimum percentage of each payment of principal that must be deposited into the preneed trust fund is the percentage equal to the wholesale cost ratio for the undeveloped space. In this subdivision, “registered architect or engineer” means a person who is registered as an architect or engineer under ch. 443.

2. If the cost to the preneed seller of constructing the undeveloped space has not been determined as provided in subd. 1., the preneed seller shall deposit at least 40 percent of each payment of principal into the preneed trust fund.

(b) The preneed seller shall make the deposits required under par. (a) within 30 business days after the last day of the month in

which each payment is received. Preneed trust funds shall be deposited and invested as provided in s. 157.19.

(c) A preneed seller is not required to make the deposits required under par. (a) 1. and 2. if any of the following applies:

1. The mausoleum is certified under s. 157.12 (2) (b) within 30 business days after the payment is received.

2. The undeveloped space is located in a mausoleum or project of mausoleums in which at least one mausoleum space was sold before November 1, 1991. In this subdivision, “project of mausoleums” means a group of mausoleums that have been or are intended to be built and arranged in a cemetery according to a single construction plan approved under s. 157.12 (2) (a).

3. The preneed seller files with the board a bond furnished by a surety company authorized to do business in this state or files with the board and maintains an irrevocable letter of credit from a financial institution and the amount of the bond or letter of credit is sufficient to secure the cost to the cemetery authority of constructing the mausoleum.

(d) If payments are received under a preneed sales contract for an undeveloped space, the preneed seller shall make deposits into the care fund required under s. 157.12 (3) in addition to any deposits required under par. (a).

(4) EXCEPTIONS TO REGISTRATION REQUIREMENT. (a) Any person who sells or solicits the sale of cemetery merchandise under a preneed sales contract is not required to be licensed under sub. (1) and the requirements of sub. (3) (a) and (b) do not apply to the sale if all payments received under the preneed sales contract are trusted as required under s. 445.125 (1) (a) 1. or if all of the following conditions are met:

1. The preneed seller guarantees that the cemetery merchandise will be delivered not more than 180 days after the date of the sale.

2. The cemetery merchandise is delivered or the preneed sales contract is voided not more than 180 days after the date of the sale.

(b) If any preneed seller who is not licensed under sub. (1) accepts a payment under a preneed sales contract and the merchandise is not delivered within 180 days after the date of the sale, the preneed seller shall immediately notify the purchaser that the purchaser is entitled to a refund of all money paid by the purchaser, together with interest calculated at the legal rate of interest as provided under s. 138.04, at any time before the merchandise is delivered.

(5) USE OF PRENEED TRUST FUNDS TO COVER COSTS OF CONSTRUCTION OR PARTIAL PERFORMANCE. (a) Before the construction of a mausoleum for which a preneed trust fund has been established is certified under s. 157.12 (2) (b), the trustee of the preneed trust fund shall, upon receipt of a written request for the release of a specified amount of the funds from the preneed seller and the person who is constructing the mausoleum, release the specified amount of the funds, but only if the request is accompanied by a sworn statement, signed by the preneed seller and the person who is constructing the mausoleum, certifying that the specified amount does not exceed the amount charged to the preneed seller by the person who is constructing the mausoleum for labor that has actually been performed and materials that have actually been used in the construction of the mausoleum, and does not include any cost for which preneed trust funds have been previously released under this paragraph.

(b) Before all of the terms of a preneed sales contract for the sale of cemetery merchandise are fulfilled, the trustee of the preneed trust fund shall, upon receipt of a written request for the release of a specified amount of the funds from the preneed seller, release the specified amount of the funds, but only if the request is accompanied by a sworn statement, signed by the preneed seller, certifying that the specified amount does not exceed the actual cost to the preneed seller for any cemetery merchandise that has actually been supplied or delivered and for any cemetery services that have actually been performed, and does not include any

cost for which preneed trust funds have been previously released under this paragraph.

(6) REPORTING; RECORD KEEPING; AUDITS. (a) Every preneed seller licensed under sub. (1) shall file an annual report with the board. The report shall be made on a form prescribed and furnished by the board. The report shall be made on a calendar-year basis unless the board, by rule, provides for other reporting periods. The report is due on or before the 60th day after the last day of the reporting period.

(b) The preneed seller shall include all of the following in the annual report under par. (a):

1. If the preneed seller is a corporation that is required to file a report under s. 180.1622 or 181.1622, a copy of that report and the name, residence address and business address of each shareholder who beneficially owns, holds or has the power to vote 5 percent or more of any class of securities issued by the corporation.

2. An accounting of amounts deposited in, amounts withdrawn from, income accruing to and the balance at the close of the reporting period of each preneed trust fund for which the preneed seller is the trustee.

(c) A preneed seller who is the trustee of any trust fund under s. 445.125 (1) shall include in the report required under par. (a) an accounting of amounts deposited in, amounts withdrawn from, income accruing to and the balance at the close of the reporting period of such trust funds.

(d) All records described under pars. (b) 2. and (c) and maintained by the board are confidential and are not available for inspection or copying under s. 19.35 (1). This paragraph does not apply to any information regarding the name, address or employer of or financial information related to an individual that is requested under s. 49.22 (2m) by the department of children and families or a county child support agency under s. 59.53 (5).

(e) The board shall review each report filed under par. (a) to determine whether the preneed seller is complying with this section.

(f) The preneed seller shall keep a copy of the report required under par. (a) at its principal place of business and, except for those records described under pars. (b) 2. and (c), shall make the report available for inspection, upon reasonable notice, by any person with an interest in purchasing cemetery merchandise or a mausoleum space from the preneed seller or by any person who has entered into or is the beneficiary of a preneed sales contract with the preneed seller.

(g) The preneed seller shall maintain all of the following:

1. The records needed to prepare the reports required under par. (a).

2. Records that show, for each deposit in a trust fund or account specified in pars. (b) 2. and (c), the name of the purchaser or beneficiary of the preneed sales contract relating to the deposit and the item purchased.

3. A copy of each preneed sales contract.

(h) The records under par. (b) 1. shall be permanently maintained by the preneed seller. The records under par. (b) 2. shall be maintained for not less than 3 years after all of the obligations of the preneed sales contract have been fulfilled. The board may promulgate rules to establish longer time periods for maintaining records under this paragraph.

(i) The board may promulgate rules requiring preneed sellers licensed under sub. (1) to maintain other records and establishing minimum time periods for the maintenance of those records.

(j) The board may audit, at reasonable times and frequency, the records, trust funds and accounts of any preneed seller licensed under sub. (1), including records, trust funds and accounts pertaining to services provided by a preneed seller which are not otherwise subject to the requirements under this section. The board may conduct audits under this paragraph on a random basis, and

shall conduct all audits under this paragraph without providing prior notice to the preneed seller.

(k) The board may promulgate rules establishing a filing fee to accompany the report required under par. (a). The filing fee shall be based on the approximate cost of regulating preneed sellers.

(7) **APPROVAL OF WAREHOUSES.** No person may own or operate a warehouse unless the warehouse is approved by the board. Upon application, the board shall approve a warehouse that is located in this state if the person who operates the warehouse is licensed as a public warehouse keeper by the department of agriculture, trade and consumer protection under ch. 99, but may not approve a warehouse that is located in this state unless the person is so licensed. The board shall promulgate rules establishing the requirements for approval of warehouses that are located outside this state. The rules shall require warehouses that are located outside this state to file with the board a bond furnished by a surety company authorized to do business in this state in an amount that is sufficient to guarantee the delivery of cemetery merchandise to purchasers under preneed sales contracts. The board shall compile and keep a current list of the names and addresses of all warehouses approved under this subsection and shall make the list available for public inspection during the times specified in s. 230.35 (4) (f).

(9) **EXEMPTIONS; CERTIFICATION OF COMPLIANCE OF CEMETERY AFFILIATED WITH RELIGIOUS ASSOCIATION.** (a) If the cemetery authority of a cemetery that is affiliated with a religious association or that religious association files an annual certification with the board as provided in this subsection, neither the cemetery authority nor any employee of the cemetery is required to be licensed as a cemetery preneed seller under sub. (1) during the period for which the certification is effective.

(b) A certification under this subsection shall be made on a form prescribed and furnished by the board and include all of the following:

1. The name and address of each cemetery to which the certification applies.

2. The name, address and social security number of each employee of the cemetery who sold or solicited the sale of cemetery merchandise or an undeveloped space under a preneed sales contract for the cemetery during the 12-month period immediately preceding the date on which the certification is filed with the board.

3. A statement of a person who is legally authorized to act on behalf of the religious association under this subsection that, during the 12-month period immediately preceding the date on which the certification is filed with the board, each employee specified under subd. 2. and the cemetery authority have either fully complied or have substantially complied with subs. (2), (3) (a) and (b) and (5).

(c) If the statement under par. (b) 3. includes a statement of substantial compliance, the statement of substantial compliance must also specify those instances when the employee or cemetery authority did not fully comply with sub. (2), (3) (a) or (b) or (5).

(d) A certification under this subsection is effective for the 12-month period immediately following the date on which the certification is filed with the board.

(e) During the effective period specified under par. (d), the board may not audit the preneed trust funds or any records or accounts relating to the preneed trust funds of the cemetery authority or any employee of the cemetery to which a certification under this subsection applies.

(f) The religious association that is affiliated with a cemetery to which a certification under this subsection applies is liable for the damages of any person that result from the failure of any employee specified under par. (b) 2. or the cemetery authority to fully comply with sub. (2), (3) (a) or (b) or (5) during the 12-month period for which such compliance has been certified under this subsection.

(10) **EXEMPTIONS; CERTAIN CEMETERIES.** This section does not apply to a cemetery authority that is not required to be licensed under s. 440.91 (1) or registered under s. 440.91 (1m).

History: 1989 a. 307; 1991 a. 16, 32, 39, 269; 1993 a. 16; 1995 a. 27 ss. 6605, 9116 (5); 1995 a. 295; 1997 a. 79, 191; 1999 a. 9; 2005 a. 25, 213, 254; 2007 a. 20, 174; 2011 a. 32; 2015 a. 237; 2017 a. 329.

Cross-reference: See also chs. CB 1, 2, and 3, Wis. adm. code.

440.93 Disciplinary actions and proceedings. (1) The board may reprimand a licensee or deny, limit, suspend, or revoke a certificate of licensure of a cemetery authority, cemetery salesperson, or preneed seller if it finds that the applicant or licensee, or, if the applicant or licensee is an association, partnership, limited liability company, or corporation, any officer, director, trustee, member, or shareholder who beneficially owns, holds, or has the power to vote 5 percent or more of any class of security issued by the applicant or licensee, has done any of the following:

(a) Made a material misstatement in an application for a certificate or for renewal of a certificate.

(b) Made a substantial misrepresentation or false promise to an individual to influence the individual to purchase a cemetery lot, cemetery merchandise or mausoleum space.

(c) Engaged in any practice relating to the sale of a cemetery lot, cemetery merchandise or mausoleum space which clearly demonstrates a lack of knowledge or ability to apply professional principles or skills.

(d) Subject to ss. 111.321, 111.322 and 111.335, been convicted of an offense the circumstances of which substantially relate to the sale of a cemetery lot, cemetery merchandise or mausoleum space.

(e) Advertised in a manner that is false, deceptive or misleading.

(f) Subject to ss. 111.321, 111.322 and 111.34, engaged in any practice relating to the sale of a cemetery lot, cemetery merchandise or mausoleum space while the person's ability to practice was impaired by alcohol or other drugs.

(g) Violated this subchapter or any rule promulgated under this subchapter.

(2) The board shall determine in each case the period that a limitation, suspension or revocation of a certificate is effective. This subsection does not apply to a limitation or suspension under s. 440.13 (2) (a).

History: 1989 a. 307; 1993 a. 112; 1997 a. 191; 2005 a. 25; 2015 a. 237.

440.945 Cemetery monuments. (1) DEFINITIONS. In this section:

(a) "Installed" means permanently affixed to a cemetery lot.

(b) "Monument" means any object made of granite, bronze, marble, stone, cement or other permanent material that is installed or intended to be installed to identify or memorialize human remains.

(c) "Vendor" means a person who sells, delivers, installs or cares for a monument, other than the cemetery authority of the cemetery in which the monument is installed.

(2) **CEMETERY AUTHORITY POWERS.** A cemetery authority may do any of the following:

(a) Adopt regulations, consistent with this section and with standards that the cemetery authority uses for its own monument installations, prescribing requirements and procedures for the sale, delivery, installation or care of monuments, including requirements that each vendor provide reasonable advance notice to the cemetery authority of the date on which the vendor desires to install a monument; that each vendor carry worker's compensation insurance and a minimum amount of comprehensive general liability insurance, such minimum amount not to exceed \$300,000; and that each owner of a cemetery lot pay all fees and other amounts due the cemetery authority to satisfy any encumbrances pertaining to the cemetery lot before a monument is installed.

(b) Assist a vendor in marking the location for a monument and inspect the installation of the monument to ensure that it is properly installed by the vendor.

(c) Charge either the owner of a cemetery lot or a vendor a reasonable fee to cover the cemetery authority's labor costs. In this paragraph, "labor costs" means the amount, calculated in accordance with generally accepted accounting principles and practices, that is payable to employees of the cemetery authority for wages and fringe benefits for the period that the employees were engaged in marking the location for and inspecting the installation of the monument to ensure that it was properly installed, and may include any general administrative or overhead costs of the cemetery authority or any other costs that are directly related to marking the location for and inspecting the installation of the monument to ensure that it was properly installed.

(3) DISCLOSURE OF INFORMATION TO CONSUMERS. (a) Every cemetery authority shall keep on file and make available for inspection and copying to owners and prospective purchasers of cemetery lots and to other interested persons all of the following information:

1. An itemized list of the amounts charged for any services provided by the cemetery authority relating to the finishing, installation or care of monuments.

2. Any regulations adopted under sub. (2) (a).

(b) Upon the request of any person who is interested in purchasing a monument from a cemetery authority or a vendor, the cemetery authority or vendor shall provide the person with an itemized list of the amount charged for each finished monument in which the person is interested and for any services that may be provided by the cemetery authority or vendor relating to the installation or care of the monument.

(4) PROHIBITED CONDUCT. (a) A cemetery authority may not do any of the following:

1. Require the owner or purchaser of a cemetery lot to purchase a monument or services related to the installation of a monument from the cemetery authority.

2. Restrict the right of the owner or purchaser of a cemetery lot to purchase a monument or services related to the installation of a monument from the vendor of his or her choice.

3. Except as provided in sub. (2) (c), charge the owner or purchaser of a cemetery lot a fee for purchasing a monument or services related to the installation of a monument from a vendor, or charge a vendor a fee for delivering or installing the monument. Nothing in this subdivision shall be construed to prohibit a cemetery authority from charging the owner or purchaser of a cemetery lot a reasonable fee for services relating to the care of a monument.

4. Discriminate against any owner or purchaser of a cemetery lot who has purchased a monument or services related to the installation of a monument from a vendor.

(b) A vendor may not falsely represent to any person any regulations adopted by a cemetery authority under sub. (2) (a) or falsely represent to any person the vendor's relationship with a cemetery authority.

(5) ENFORCEMENT. (a) If the board has reason to believe that any person is violating this section and that the continuation of that activity might cause injury to the public interest, the board may investigate.

(b) The department of justice or any district attorney, upon informing the department of justice, may commence an action in circuit court in the name of the state to restrain by temporary or permanent injunction any violation of this section. The court may, prior to entry of final judgment, make such orders or judgments as may be necessary to restore to any person any pecuniary loss suffered because of the acts or practices involved in the action, if proof of such loss is submitted to the satisfaction of the court. The department of justice may subpoena persons and require the production of books and other documents, and may request the board

to exercise its authority under par. (a) to aid in the investigation of alleged violations of this section.

(c) In lieu of instituting or continuing an action under this subsection, the department of justice may accept a written assurance of discontinuance of any act or practice alleged to be a violation of this section from the person who has engaged in the act or practice. An assurance entered into under this paragraph shall not be considered evidence of a violation of this section, but a violation of the assurance shall be treated as a violation of this section.

History: 1989 a. 95; 1989 a. 307 ss. 84, 86; Stats. 1989 s. 440.945; 2011 a. 32; 2015 a. 237.

440.947 Disclosures and representations for certain sales. (1) In this section:

(a) "Cash advance item" means personal property or a service that is obtained by a person from a 3rd party and that is paid for by the person on behalf of, and subject to reimbursement from, a buyer of a casket, outer burial container or cemetery merchandise from the person. "Cash advance item" includes cemetery or crematory services, pallbearers, public transportation, clergy honoraria, flowers, musicians or vocalists, nurses, obituary notices, gratuities and death certificates.

(b) "Direct cremation service" means the disposition of human remains by cremation without any formal viewing, visitation or ceremony in which the body of the deceased is present.

(c) "Outer burial container" has the meaning given in s. 157.061 (11g).

(d) "Person" does not include a person issued a funeral director's license under ch. 445 or an operator of a funeral establishment, as defined in s. 445.01 (7).

(2) No person may sell or offer for sale a casket, outer burial container or cemetery merchandise unless the person has provided to the buyer, prior to the sale, a price list in a clearly legible and conspicuous format that includes each of the following:

(a) The name, address and telephone number of the person's place of business.

(b) The effective date of the price list.

(c) The price and a description of each type of casket, outer burial container and cemetery merchandise that the person usually offers for sale without special ordering. A description required under this paragraph shall enable a buyer to identify and understand the specific casket, outer burial container or cemetery merchandise that is offered for sale.

(d) If the person usually offers an outer burial container for sale without special ordering, a statement that is identical to the following: "State law does not require that you buy a container to surround the casket in the grave. However, many cemeteries require that you have such a container so that the grave will not sink in. Either a grave liner or a burial vault will satisfy these requirements."

(e) The price and a description of any direct cremation or burial service offered by the person and, if the person offers direct cremation service, a statement that is identical to the following: "If you want to arrange a direct cremation, you can use an alternative container. Alternative containers encase the body and can be made of materials like fiberboard or composition materials (with or without an outside covering). The containers that we provide are [insert a description of the containers offered for direct cremation]."

(f) The price and a description of any service offered by the person for the use any facilities, equipment or staff related to a viewing, funeral ceremony, memorial service or graveside service.

(g) The amount and a description of any basic service fee that is charged in addition to any price described under pars. (c), (e) or (f).

(3) A person who sells a casket, outer burial container or cemetery merchandise shall, immediately after completing the sale,

provide the buyer with a form in a clearly legible and conspicuous format that includes each of the following:

(a) The price and a description of the casket, outer burial container or cemetery merchandise.

(b) The price and a description of any service specified in sub. (2) (e) or (f) that is sold in addition to the casket, outer burial container or cemetery merchandise.

(c) The amount and a description of any basic service fee that is charged in addition to any price described under par. (a) or (b).

(d) A statement that the buyer may be charged only for the items that he or she has selected or that are required by law and a description and explanation of any items that he or she is required by law to purchase.

(e) A description of any charge for a cash advance item, including any commission, discount or rebate that the person receives for a cash advance item from the 3rd party from which the cash advance item is obtained and that the person does not pass on to the buyer.

(4) No person who sells a casket, outer burial container or cemetery merchandise may do any of the following:

(a) Provide inaccurate information regarding the information specified in sub. (2) (c), (e), (f) or (g) to a prospective buyer who contacts the person by telephone.

(b) Represent that state or local law requires a prospective buyer to purchase a casket for a direct cremation service.

(c) Misrepresent to a prospective buyer any requirement under federal, state or local law or under the rules of any cemetery, mausoleum or crematory relating to the use of a casket, outer burial container or cemetery merchandise.

(d) Represent that any casket, outer burial container or cemetery merchandise will delay the natural decomposition of human remains for a long or indefinite period of time.

(e) Require a buyer to pay an additional fee or surcharge if the buyer purchases a casket, outer burial container or cemetery merchandise from a 3rd party.

(f) Alter a price specified in sub. (2) (c), (e), (f) or (g) based on the type of casket, outer burial container or cemetery merchandise purchased by a buyer.

(5) A person who sells a casket, outer burial container or cemetery merchandise shall retain a copy of the price list specified in sub. (2) (intro.) for at least one year after the date of its last distribution to a prospective buyer and shall retain a copy of each form that is provided to a buyer under sub. (3) (intro.) for at least one year after completion of a sale. A person required to retain a copy under this subsection shall make the copy available for inspection by the board upon request.

History: 1999 a. 9; 2015 a. 237.

440.95 Penalties. (1) Any cemetery authority that is required to be licensed under s. 440.91 (1) and that knowingly fails to be licensed may be fined not more than \$100.

(2) Any individual who is required to register as a cemetery salesperson under s. 440.91 (2) and who fails to register may be fined not less than \$25 nor more than \$200 or imprisoned for not more than 6 months or both.

(3) Except as provided in subs. (1) and (2), any person who violates s. 440.91 or 440.947 or any rule promulgated under s. 440.91 may be fined not more than \$5,000 or imprisoned for not more than 6 months, or both, for the first offense and may be fined not more than \$10,000 or imprisoned for not more than 9 months, or both, for each subsequent offense.

(4) Any person who intentionally does any of the following may be fined not more than \$5,000 or imprisoned for not more than 90 days, or both, for the first offense and may be fined not more than \$10,000 or imprisoned for not more than 9 months, or both, for each subsequent offense:

(a) Fails to register as a preneed seller as required under s. 440.92 (1) (a).

(b) Fails to deposit or invest preneed trust funds or care funds as required under s. 440.92 (3).

(c) Fails to file a report or files an incomplete, false or misleading report under s. 440.92 (6).

(d) Files a false or misleading certification under s. 440.92 (9).

(5) Except as provided in sub. (4), any person who violates s. 440.92 or any rule promulgated under s. 440.92 may be required to forfeit not more than \$200 for each offense. Each day of continued violation constitutes a separate offense.

(6) (a) Any cemetery authority or vendor that fails to disclose information to consumers in violation of s. 440.945 (3) may be required to forfeit not more than \$200.

(b) Any cemetery authority or vendor that violates s. 440.945 (4) may be required to forfeit not more than \$200 for the first offense and may be required to forfeit not more than \$500 for the 2nd or any later offense within a year. The period shall be measured by using the dates of the offenses that resulted in convictions.

History: 1989 a. 307 ss. 75, 87; 1999 a. 9; 2005 a. 25; 2015 a. 237.

440.955 Injunctive relief. Notwithstanding s. 440.21, if it appears upon complaint to the board by any person, or if it is known to the board, that any person is operating a cemetery, practicing as a cemetery salesperson, or practicing as a cemetery preneed seller without a license required under this subchapter, the board, the attorney general, or the district attorney of the proper county may investigate and may, in addition to any other remedies, bring an action in the name and on behalf of the state against the person to enjoin the person from such practice.

History: 2015 a. 237 s. 122; 2017 a. 365 s. 110.

SUBCHAPTER X

INTERIOR DESIGNERS

Cross-reference: See also ch. SPS 130, Wis. adm. code.

440.96 Definitions. In this subchapter:

(1) “Interior design” means the design of interior spaces in conformity with public health, safety and welfare requirements, including the preparation of documents relating to space planning, finish materials, furnishings, fixtures and equipment and the preparation of documents relating to interior construction that does not substantially affect the mechanical or structural systems of a building. “Interior design” does not include services that constitute the practice of architecture or the practice of professional engineering.

(2) “Wisconsin registered interior designer” means a person registered as a Wisconsin registered interior designer under this subchapter.

History: 1995 a. 322.

440.961 Use of title. No person may use the title “Wisconsin registered interior designer”, use any title or description that implies that he or she is a Wisconsin registered interior designer or represent himself or herself to be a Wisconsin registered interior designer unless the person is registered as a Wisconsin registered interior designer under this subchapter.

History: 1995 a. 322.

440.962 Registration requirements. The department shall register as a Wisconsin registered interior designer an individual who submits an application to the department on a form provided by the department and who satisfies one of the following requirements:

(1) The individual does all of the following:

(a) Submits to the department evidence satisfactory to the department of any of the following:

1. That he or she is a graduate of a 5-year interior design or architecture program and has at least one year of practical experience in interior design of a character satisfactory to the department.

2. That he or she is a graduate of a 4–year interior design or architecture program and has at least 2 years of practical experience in interior design of a character satisfactory to the department.

3. That he or she has completed at least 3 years of an interior design program and has at least 3 years of practical experience in interior design of a character satisfactory to the department.

4. That he or she is a graduate of a 2–year interior design program and has at least 4 years of practical experience in interior design of a character satisfactory to the department.

(b) Satisfies the applicable requirements under s. 440.964.

(c) Subject to ss. 111.321, 111.322 and 111.335, submits evidence satisfactory to the department that he or she does not have an arrest or conviction record.

(d) Submits the names of at least 5 references, at least 3 of whom shall have personal knowledge of the applicant’s interior designing experience.

(e) Meets any other requirements established by the department by rule.

(2) The individual is registered as an architect under s. 443.03 and submits evidence satisfactory to the department of all of the following:

(a) That he or she is a graduate of a 4–year architecture program.

(b) That he or she has at least 6 years of demonstrated practical experience in interior design of a character satisfactory to the department.

History: 1995 a. 322.

Cross-reference: See also ch. SPS 130, Wis. adm. code.

440.963 Use of title by firms, partnerships and corporations.

(1) A firm, partnership or corporation may use the term “Wisconsin registered interior designer” or “Wisconsin registered interior designers”, or may advertise or make representations that it provides the services of a Wisconsin registered interior designer, only if at least one principal, partner or officer who is in responsible charge of the interior design services provided by the firm, partnership or corporation is a Wisconsin registered interior designer.

(2) No firm, partnership or corporation may be relieved of responsibility for the conduct or acts of its agents, employees or officers by reason of its compliance with this subchapter, nor may any individual practicing interior design be relieved of responsibility for interior designing services performed by reason of his or her employment or relationship with the firm, partnership or corporation.

History: 1995 a. 322.

440.964 Examinations. (1) Except as provided in s. 440.962 (2), no person may be registered as a Wisconsin registered interior designer under this subchapter unless he or she passes one of the following examinations:

(a) An interior design examination administered by a national organization that establishes standards for the interior design profession and that is recognized by the department.

(b) An interior design examination conducted or approved by the department under sub. (2) that is substantially equivalent to an examination specified in par. (a).

(2) Written or written and oral examinations under sub. (1) (b) shall be held at such time and place as the department determines. The scope of the examinations and the methods of procedure shall be prescribed by the department with special reference to the applicant’s ability to design and supervise interior designing work, which shall promote the public welfare and ensure the safety of life, health and property. The examinations shall include questions which require applicants to demonstrate knowledge of the design needs of people with physical disabilities and of the relevant statutes and codes. Such questions shall be developed by the department in consultation with other appropriate state agencies.

(3) A candidate failing an examination given under sub. (2) may, upon application and payment of the required reexamination fee, be examined again by the department. No restrictions may be placed on the number of times an unsuccessful candidate may be reexamined, except that after failure of 3 reexaminations, the department may require a one–year waiting period before further reexamination.

History: 1995 a. 322.

440.965 Reciprocal registration. The department may, upon application and payment of the required fee, grant a permit to use the title “Wisconsin registered interior designer” to a person who is not a resident of and has no established place of business in this state, or who has recently become a resident of this state, if the person holds an unexpired certificate of similar registration issued to the person by the proper authority in any state or territory or possession of the United States or in any country in which the requirements for the registration of interior designers are of a standard not lower than specified in this subchapter.

History: 1995 a. 322.

440.966 Renewal; continuing education. (1) The renewal date for a certificate of registration issued under this subchapter is specified in s. 440.08 (2) (a), and the renewal fee for such certificate of registration is determined by the department under s. 440.03 (9) (a).

(2) A Wisconsin registered interior designer shall, at the time that he or she applies for renewal of a certificate of registration under sub. (1), submit proof of completion of continuing education requirements established by rules promulgated by the department.

History: 1995 a. 322; 2007 a. 20.

Cross-reference: See also ch. SPS 130, Wis. adm. code.

440.967 List of registered persons. The department shall prepare each year a list showing the names and business addresses of all persons registered as a Wisconsin registered interior designer under this subchapter. Upon request, the department shall provide a list prepared under this section to any person at cost.

History: 1995 a. 322.

440.968 Discipline; prohibited acts; penalties. (1) The department may reprimand a Wisconsin registered interior designer, or may limit, suspend or revoke the certificate of registration of a Wisconsin registered interior designer, who has done any of the following:

(a) Committed any fraud or deceit in obtaining or renewing a certificate of registration under this subchapter.

(b) Committed any gross negligence or misconduct, or acted in a grossly incompetent manner, in the practice of interior design as a Wisconsin registered interior designer.

(c) Violated this subchapter or a rule promulgated under this subchapter.

(d) Been convicted of a felony, subject to ss. 111.321, 111.322 and 111.335, or been adjudicated mentally incompetent by a court of competent jurisdiction, a certified copy of the record of conviction or adjudication of incompetency to be conclusive evidence of such conviction or incompetency.

(2) Any person who uses the title “Wisconsin registered interior designer” in this state and who is not registered in accordance with this subchapter, or any person presenting or attempting to use as his or her own the certificate of registration of another, or any person who falsely impersonates any other registrant of like or different name, or any person who attempts to use an expired or revoked certificate of registration, may be fined not less than \$100 nor more than \$500 or imprisoned for not more than 3 months or both.

(3) Any person may allege to the department that he or she believes a person registered under this subchapter has committed an act for which a reprimand or limitation, suspension or revocation of registration is authorized under sub. (1). Such allegations

shall be in writing, and shall be sworn to by the person making them and shall be submitted to the department. The department may, on its own motion, make such charges.

(4) The department may reissue a certificate of registration to any person whose certificate has been revoked under sub. (1) if the person satisfies requirements for reissuance established by the department. The department may issue a new certificate of registration to replace any certificate revoked, lost, destroyed or mutilated, subject to the rules of the department and the payment of the required fee.

History: 1995 a. 322.

440.969 Change of name. No person who is registered as a Wisconsin registered interior designer under this subchapter may practice interior design in this state under any other given name or any other surname than that under which the person was originally registered to use a title in this or any other state if the department, after a hearing, finds that using a title under the changed name operates to unfairly compete with another practitioner or to mislead the public as to identity or to otherwise result in detriment to the profession or the public. This section does not apply to a change of name resulting from marriage or divorce.

History: 1995 a. 322.

SUBCHAPTER XI

HOME INSPECTORS

Cross-reference: See also ch. [SPS 131](#), Wis. adm. code.

440.97 Definitions. In this subchapter:

(1) “Client” means a person who contracts with a home inspector for a home inspection.

(2) “Compensation” means direct or indirect payment, including the expectation of payment whether or not actually received.

(2m) “Defect” means a condition of any component of an improvement that would significantly impair the health or safety of future occupants of a property or that, if not repaired, removed, or replaced, would significantly shorten or adversely affect the expected normal life of the component of the improvement.

(3) “Dwelling unit” means a structure or that part of a structure that is used or intended to be used as a home, residence or sleeping place by one person or by 2 or more persons who are maintaining a common household, to the exclusion of all others.

(4) “Home inspection” means the process by which a home inspector examines the observable systems and components of improvements to residential real property that are readily accessible.

(5) “Home inspection report” means a written opinion of a home inspector concerning all of the following:

(a) The condition of the improvements to residential real property that contains not more than 4 dwelling units.

(b) The condition of mechanical and structural components of the improvements specified in par. (a).

(6) “Home inspector” means an individual who, for compensation, conducts a home inspection.

(7) “Technically exhaustive” means the extensive use of measurements, instruments, testing, calculations and other means to develop scientific or engineering findings, conclusions or recommendations.

History: 1997 a. 81; 2017 a. 338.

440.971 Registry established. The department shall establish a registry of home inspectors.

History: 1997 a. 81.

440.9712 Registration required. (1) Except as provided in s. [440.9715](#), no individual may act as a home inspector, use the title “home inspector”, use any title or description that implies that he or she is a home inspector or represent himself or herself to be

a home inspector unless the individual is registered under this subchapter.

(1m) No business entity may provide home inspection services unless each of the home inspectors employed by the business entity is registered under this subchapter.

(2) No business entity may use, in connection with the name or signature of the business entity, the title “home inspectors” to describe the business entity’s services, unless each of the home inspectors employed by the business entity is registered under this subchapter.

History: 1997 a. 81.

440.9715 Applicability. A registration is not required under this subchapter for any of the following:

(1) An individual who conducts a home inspection while lawfully practicing within the scope of a license, permit or certificate granted to that individual by a state governmental agency.

(2) An individual who constructs, repairs or maintains improvements to residential real property, if the individual conducts home inspections only as part of his or her business of constructing, repairing or maintaining improvements to real property and if the individual does not describe himself or herself as a registered home inspector or convey the impression that he or she is a registered home inspector.

(3) An individual who conducts home inspections in the normal course of his or her employment as an employee of a federal, state or local governmental agency.

History: 1997 a. 81.

440.972 Registration of home inspectors. (1) The department shall register an individual under this subchapter if the individual does all of the following:

(a) Submits an application for registration to the department on a form provided by the department.

(b) Pays the fee specified in s. [440.05](#) (1).

(c) Submits evidence satisfactory to the department that he or she is not subject to a pending criminal charge, or has not been convicted of a felony, misdemeanor or other offense, the circumstances of which substantially relate to the practice of home inspection.

(d) Passes an examination under s. [440.973](#) (1).

(2) The renewal date for certificates granted under this section is specified under s. [440.08](#) (2) (a) 38g., and the renewal fee for such certificates is determined by the department under s. [440.03](#) (9) (a).

History: 1997 a. 81; 2007 a. 20.

Cross-reference: See also ch. [SPS 131](#), Wis. adm. code.

440.973 Examinations. (1) No person may be registered under this subchapter unless he or she passes an examination approved by the department. In approving an examination under this subsection, the department shall consider the use of an examination that is similar to an examination that is required for membership in the American Society of Home Inspectors.

(2) The department shall conduct examinations for home inspector registration at least semiannually at times and places determined by the department.

(3) An individual is not eligible for examination unless the individual has satisfied the requirements for registration under s. [440.972](#) (1) (a) to (c) at least 30 days before the date of the examination.

History: 1997 a. 81.

Cross-reference: See also ch. [SPS 131](#), Wis. adm. code.

440.974 Rules. (1) The department shall promulgate rules necessary to administer this subchapter, including rules to establish all of the following:

(a) Standards for acceptable examination performance by an applicant for registration.

(b) Subject to s. [440.975](#), standards for the practice of home inspection by home inspectors and standards for specifying the

mechanical and structural components of improvements to residential real property that are included in a home inspection. The rules promulgated under this paragraph shall include standards for the inspection of carbon monoxide detectors. The rules promulgated under this paragraph may not require a home inspector to use a specified form for the report required under s. 440.975 (3).

(c) Subject to s. 440.975, the information that a home inspector is required to provide to a client concerning the results of the home inspection conducted by the home inspector.

(2) The department shall promulgate rules establishing continuing education requirements for individuals registered under this subchapter. The rules promulgated under this subsection shall require the completion of at least 40 hours of continuing education every 2 years.

History: 1997 a. 81; 2009 a. 158; 2013 a. 124.

Cross-reference: See also ch. SPS 131, Wis. adm. code.

440.975 Standards of practice. (1) In this section, “reasonably competent and diligent inspection” means an inspection that complies with the standards established under this subchapter or the rules promulgated under this subchapter.

(2) A home inspector shall perform a reasonably competent and diligent inspection to detect observable conditions of an improvement to residential real property. Except for removing an access panel that is normally removed by an occupant of residential real property, this subsection does not require a home inspector to disassemble any component of an improvement to residential real property. A reasonably competent and diligent inspection under this subsection is not required to be technically exhaustive.

(3) After completing a home inspection, a home inspector shall submit a written report to a client that does all of the following:

(a) Lists the components of an improvement to residential real property that the home inspector is required to inspect under the rules promulgated under s. 440.974 (1) (b).

(b) Lists the components of an improvement to residential real property that the home inspector has inspected.

(cm) Describes any defect that is detected by the home inspector during his or her home inspection. A home inspector is not required to use the term “defect” in describing a defect in the written report required under this subsection. A home inspector may not use the term “defect” in a written report required under this subsection unless that use is consistent with s. 440.97 (2m).

(d) Provides any other information that the home inspector is required to provide under the rules promulgated under s. 440.974 (1) (c).

(4) A home inspector is not required to report on any of the following:

(a) The life expectancy of an improvement to residential real property or a component of an improvement to residential real property.

(b) The cause of the need for any major repair to an improvement to residential real property or a component of an improvement to residential real property.

(c) The method of making any repair or correction, the materials needed for any repair or correction or the cost of any repair or correction.

(d) The suitability for any specialized use of an improvement to residential real property.

(e) Whether an improvement to residential real property or a component of an improvement to residential real property complies with applicable regulatory requirements.

(f) The condition of any component of an improvement to residential real property that the home inspector was not required to inspect under the rules promulgated under s. 440.974 (1) (b).

(5) A home inspector may not report, either in writing or verbally, on any of the following:

(a) The market value or marketability of a property.

(b) Whether a property should or should not be purchased.

(6) This section does not require a home inspector to do any of the following:

(a) Offer a warranty or guarantee of any kind.

(b) Calculate the strength, adequacy or efficiency of any component of an improvement to residential real property.

(c) Enter any area or perform any procedure that may damage an improvement to residential real property or a component of an improvement to residential real property, or enter any area or perform any procedure that may be dangerous to the home inspector or to other persons.

(d) Operate any component of an improvement to residential real property that is inoperable.

(e) Operate any component of an improvement to residential real property that does not respond to normal operating controls.

(f) Disturb insulation or move personal items, furniture, equipment, vegetation, soil, snow, ice or debris that obstructs access to or visibility of an improvement to residential real property or a component of an improvement to residential real property.

(g) Determine the effectiveness of a component of an improvement to residential real property that was installed to control or remove suspected hazardous substances.

(h) Predict future conditions, including the failure of a component of an improvement to residential real property.

(i) Project or estimate the operating costs of a component of an improvement to residential real property.

(j) Evaluate acoustic characteristics of a component of an improvement to residential real property.

(k) Inspect for the presence or absence of pests, including rodents, insects and wood-damaging organisms.

(L) Inspect cosmetic items, underground items or items not permanently installed.

(m) Inspect for the presence of any hazardous substances.

(7) A home inspector may not do any of the following:

(a) Perform or offer to perform any act or service contrary to law.

(b) Deliver a home inspection report to any person other than the client without the client’s consent.

(c) Perform a home inspection for a client with respect to a transaction if the home inspector, a member of the home inspector’s immediate family or an organization or business entity in which the home inspector has an interest, is a party to the transaction and has an interest that is adverse to that of the client, unless the home inspector obtains the written consent of the client.

(d) Accept any compensation from more than one party to a transaction for which the home inspector has provided home inspection services without the written consent of all of the parties to the transaction.

(e) Pay or receive, directly or indirectly, in full or in part, for a home inspection or for the performance of any construction, repairs, maintenance or improvements regarding improvements to residential real property that is inspected by him or her, a fee, a commission, or compensation as a referral or finder’s fee, to or from any person who is not a home inspector.

(8) This section does not prohibit a home inspector from doing any of the following:

(a) Reporting observations or conditions in addition to those required under this section or the rules promulgated under this section.

(b) Excluding a component of an improvement to residential real property from the inspection, if requested to do so by his or her client.

(c) Engaging in an activity that requires an occupation credential if he or she holds the necessary credential.

History: 1997 a. 81; 2017 a. 338.

Cross-reference: See also ch. SPS 131, Wis. adm. code.

440.976 Disclaimers or limitation of liability. No home inspector may include, as a term or condition in an agreement to conduct a home inspection, any provision that disclaims the liability, or limits the amount of damages for liability, of the home inspector for his or her failure to comply with the standards of practice prescribed in this subchapter or in rules promulgated under this subchapter.

History: 1997 a. 81.

440.977 Liability of home inspectors. (1) Notwithstanding s. 893.54, an action to recover damages for any act or omission of a home inspector relating to a home inspection that he or she conducts shall be commenced within 2 years after the date that a home inspection is completed or be barred. The period of limitation under this subsection may not be reduced by agreement.

(2) A home inspector is not liable to a person for damages that arise from an act or omission relating to a home inspection that he or she conducts if that person is not a party to the transaction for which the home inspection is conducted.

History: 1997 a. 81.

440.978 Discipline; prohibited acts. (1) Subject to the rules promulgated under s. 440.03 (1), the department may make investigations or conduct hearings to determine whether a violation of this subchapter or any rule promulgated under this subchapter has occurred.

(2) Subject to the rules promulgated under s. 440.03 (1), the department may reprimand a home inspector or deny, limit, suspend or revoke a certificate under this subchapter if the department finds that the applicant or home inspector has done any of the following:

(a) Made a material misstatement in an application for a certificate or renewal of a certificate.

(b) Engaged in conduct while practicing as a home inspector that evidences a lack of knowledge or ability to apply professional principles or skills.

(c) Subject to ss. 111.321, 111.322 and 111.335, been arrested or convicted of an offense committed while registered under this subchapter.

(d) Advertised in a manner that is false, deceptive or misleading.

(e) Advertised, practiced or attempted to practice as a home inspector under another person's name.

(f) Allowed his or her name to be used by another person while the other person was practicing or attempting to practice as a home inspector.

(g) Subject to ss. 111.321, 111.322 and 111.34, practiced as a home inspector while the individual's ability to practice was impaired by alcohol or other drugs.

(h) Acted as a home inspector in connection with a transaction in which he or she was also an appraiser or broker.

(i) Performed, or agreed to perform, for compensation any repairs, maintenance or improvements on any property less than 2 years after he or she conducts a home inspection, without the written consent of the property owner given before the home inspection occurred.

(j) Prevented or attempted to prevent a client from providing a copy of, or any information from, a home inspection report done by the home inspector in connection with a transaction to any interested party to the transaction.

(k) Failed to provide a home inspection report to a client by the date agreed on by the home inspector and the client or, if no date was agreed on, within a reasonable time after completing the inspection.

(m) Violated this subchapter or any rule promulgated under this subchapter.

(3) In addition to or in lieu of proceeding under sub. (2), the department may assess against a person who has engaged in any

of the practices specified in sub. (2) a forfeiture of not more than \$1,000 for each separate offense.

(4) In lieu of proceeding under sub. (1) or (2), the department may place, in a registry information file, a copy of a complaint received by the department against a Wisconsin registered home inspector, the inspector's response to the complaint and a copy of any records of the department concerning the complaint. If the department establishes a registry information file under this subsection, the department shall use the following procedure:

(a) No later than 60 days after the date on which the department receives a complaint alleging that a home inspector has engaged in conduct that is grounds for discipline under sub. (2), the department shall provide the inspector with a copy of the complaint and place a copy of the complaint and a copy of any records of the department concerning the complaint in the registry information file.

(b) After receiving a copy of the complaint under par. (a), the home inspector who is the subject of the complaint, or his or her authorized representative, may place in the registry information file a statement of reasonable length describing the inspector's view of the correctness or relevance of any of the information contained in the complaint.

(c) The department shall make the complaint, the home inspector's response to the complaint, if any, and a copy of any records of the department concerning the complaint placed in a registry information file under this subsection available to the public.

(d) The department shall remove all complaints against and other information concerning a home inspector from the registry information file if, for a period of 2 years from the date of the most recent complaint filed in the registry information file, no further complaints have been filed against the inspector.

(5) The department may, as a condition of removing a limitation on a certificate issued under this subchapter or of reinstating a certificate that has been suspended or revoked under this subchapter, do any of the following:

(a) Require the home inspector to obtain insurance against loss, expense and liability resulting from errors and omissions or neglect in the performance of services as a home inspector.

(b) Require the home inspector to file with the department a bond that is furnished by a company authorized to do business in this state and is in an amount approved by the department.

History: 1997 a. 81.

Cross-reference: See also ch. SPS 131, Wis. adm. code.

440.979 Report by department. The department shall submit an annual report to the legislature under s. 13.172 (2) that describes all of the following:

(1) The number of home inspectors who are registered under this subchapter.

(2) The number and nature of complaints regarding home inspections that are received by the department from clients of home inspectors.

(3) The number and nature of complaints regarding home inspections that are received by the department from persons who are not clients of home inspectors.

(4) An estimate of the cost of complying with this subchapter that is incurred by home inspectors.

(5) The cost incurred by the department in carrying out its duties under this subchapter.

History: 1997 a. 81; 1999 a. 32 s. 311.

Cross-reference: See also ch. SPS 131, Wis. adm. code.

SUBCHAPTER XII

SANITARIANS

440.98 Sanitarians; qualifications, duties, registration. (1) DEFINITIONS. In this section:

(a) "Municipality" means a county, city or village.

(b) “Sanitarian” means an individual who, through education, training or experience in the natural sciences and their application and through technical knowledge of prevention and control of preventable diseases, is capable of applying environmental control measures so as to protect human health, safety and welfare.

(2) **REGISTRATION QUALIFICATIONS.** In order to safeguard life, health and property, to promote public welfare and to establish the status of those persons whose duties in environmental sanitation call for knowledge of the natural sciences, the department may establish minimum standards and qualifications for the registration of sanitarians.

(3) **SANITARIANS; EMPLOYMENT OR CONTRACTUAL SERVICES.** Any agency of the state may employ or contract for the services of sanitarians, registered under this section, who shall enforce the public health statutes under chs. 250 to 256 or rules promulgated under those statutes.

(5) **REGISTRATION.** Except as provided in s. 440.12 or 440.13, the department shall register as a sanitarian any person who satisfies the conditions in sub. (6) and who has presented evidence satisfactory to the department that sanitarian registration standards and qualifications of the department, as established by rule, have been met.

(6) **APPLICATIONS.** An application for a sanitarian registration under this section shall be made on a form provided by the department and filed with the department and shall be accompanied by the initial credential fee determined by the department under s. 440.03 (9) (a). The renewal date for a sanitarian registration is specified under s. 440.08 (2) (a), and the renewal fee for such registration is determined by the department under s. 440.03 (9) (a).

(7) **RECIPROCITY.** The department may by rule set standards for sanitarians registered in other states to practice as registered sanitarians in this state.

(8) **REVOCAION OF REGISTRATION.** The department may, after a hearing held in conformance with ch. 227, revoke, deny, suspend, or limit under this subchapter the registration of any sanitarian, or reprimand the sanitarian, for practice of fraud or deceit in obtaining the registration or any unprofessional conduct, incompetence, or professional negligence.

(9) **FORFEITURE.** In addition to or in lieu of a reprimand or a denial, limitation, suspension, or revocation of a registration under sub. (8), the department may assess against any person a forfeiture of not less than \$100 nor more than \$1,000 for each violation under sub. (8).

History: 1975 c. 414 s. 28; 1977 c. 29, 418; 1983 a. 189; 1985 a. 182 s. 57; 1987 a. 27; 1993 a. 27 s. 223; Stats. 1993 s. 250.05; 1997 a. 191, 237; 1999 a. 9; 2005 a. 25 ss. 2120 to 2128; Stats. 2005 s. 440.70; 2005 a. 25 ss. 2121 to 2130, 2336m, 2337; 2005 a. 254 s. 35; 2007 a. 20, 130.

Cross-reference: See also chs. SPS 174, 175, 176, and 177, Wis. adm. code.

SUBCHAPTER XIII

LICENSED MIDWIVES

Cross-reference: See also chs. SPS 180, 181, 182, and 183, Wis. adm. code.

440.9805 Definitions. In this subchapter:

(1) “Health care provider” means a health care provider, as defined in s. 146.81 (1) (a) to (p), a person licensed or issued a training permit as an emergency medical services practitioner under s. 256.15, or a person certified as an emergency medical responder under s. 256.15 (8) (a).

(2) “Licensed midwife” means a person who has been granted a license under this subchapter to engage in the practice of midwifery.

(3) “Practice of midwifery” means providing maternity care during the antepartum, intrapartum, and postpartum periods.

History: 2005 a. 292; 2007 a. 97 s. 185; 2007 a. 130; 2009 a. 28; 2017 a. 12.

440.981 Use of title; penalty. (1) No person may use the title “licensed midwife,” describe or imply that he or she is a licensed midwife, or represent himself or herself as a licensed

midwife unless the person is granted a license under this subchapter or is licensed as a nurse–midwife under s. 441.15.

(2) Any person who violates sub. (1) may be fined not more than \$250, imprisoned not more than 3 months, or both.

History: 2005 a. 292.

440.982 Licensure. (1) No person may engage in the practice of midwifery unless the person is granted a license under this subchapter, is granted a temporary permit pursuant to a rule promulgated under s. 440.984 (2m), or is licensed as a nurse–midwife under s. 441.15.

(1m) Except as provided in sub. (2), the department may grant a license to a person under this subchapter if all of the following apply:

(a) The person submits an application for the license to the department on a form provided by the department.

(b) The person pays the initial credential fee determined by the department under s. 440.03 (9) (a).

(c) The person submits evidence satisfactory to the department of one of the following:

1. The person holds a valid certified professional midwife credential granted by the North American Registry of Midwives or a successor organization.

2. The person holds a valid certified nurse–midwife credential granted by the American College of Nurse Midwives or a successor organization.

(d) The person submits evidence satisfactory to the department that the person has current proficiency in the use of an automated external defibrillator achieved through instruction provided by an individual, organization, or institution of higher education approved under s. 46.03 (38) to provide such instruction.

(2) The department may not grant a license under this subchapter to any person who has been convicted of an offense under s. 940.22, 940.225, 944.06, 944.15, 944.17, 944.30 (1m), 944.31, 944.32, 944.33, 944.34, 948.02, 948.025, 948.051, 948.06, 948.07, 948.075, 948.08, 948.081, 948.09, 948.095, 948.10, 948.11, or 948.12 or under s. 940.302 (2) if s. 940.302 (2) (a) 1. b. applies.

History: 2005 a. 292; 2007 a. 20, 104, 116; 2013 a. 362; 2017 a. 128.

Cross-reference: See also ch. SPS 181, Wis. adm. code.

440.983 Renewal of licensure. (1) The renewal date for licenses granted under this subchapter is specified in s. 440.08 (2) (a). Renewal applications shall be submitted to the department on a form provided by the department and shall include the renewal fee determined by the department under s. 440.03 (9) (a).

(2) A licensed midwife shall, at the time that he or she applies for renewal of a license under sub. (1), submit proof satisfactory to the department of all of the following:

(a) He or she holds a valid certified professional midwife credential from the North American Registry of Midwives or a successor organization or a valid certified nurse–midwife credential from the American College of Nurse Midwives or a successor organization.

(b) He or she has current proficiency in the use of an automated external defibrillator achieved through instruction provided by an individual, organization, or institution of higher education approved under s. 46.03 (38) to provide such instruction.

History: 2005 a. 292; 2007 a. 20, 104.

440.984 Rule making. (1) The department shall promulgate rules necessary to administer this subchapter. Except as provided in subs. (2), (2m), and (3), any rules regarding the practice of midwifery shall be consistent with standards regarding the practice of midwifery established by the National Association of Certified Professional Midwives or a successor organization.

(2) The rules shall allow a licensed midwife to administer oxygen during the practice of midwifery.

(2m) The rules shall provide for the granting of temporary permits to practice midwifery pending qualification for licensure.

(3) The rules may allow a midwife to administer, during the practice of midwifery, oxytocin (Pitocin) as a postpartum anti-hemorrhagic agent, intravenous fluids for stabilization, vitamin K, eye prophylactics, and other drugs or procedures as determined by the department.

(4) The rules may not do any of the following:

(a) Require a licensed midwife to have a nursing degree or diploma.

(b) Require a licensed midwife to practice midwifery under the supervision of, or in collaboration with, another health care provider.

(c) Require a licensed midwife to enter into an agreement, written or otherwise, with another health care provider.

(d) Limit the location where a licensed midwife may practice midwifery.

(e) Permit a licensed midwife to use forceps or vacuum extraction.

History: 2005 a. 292.

Cross-reference: See also chs. SPS 180, 181, 182, and 183, Wis. adm. code.

440.985 Informed consent. A licensed midwife shall, at an initial consultation with a client, provide a copy of the rules promulgated by the department under this subchapter and disclose to the client orally and in writing all of the following:

(1) The licensed midwife's experience and training.

(2) Whether the licensed midwife has malpractice liability insurance coverage and the policy limits of any such coverage.

(3) A protocol for medical emergencies, including transportation to a hospital, particular to each client.

(4) Any other information required by department rule.

History: 2005 a. 292.

Cross-reference: See also s. SPS 182.01, Wis. adm. code.

440.986 Disciplinary proceedings and actions.

(1) Subject to the rules promulgated under s. 440.03 (1), the department may conduct investigations and hearings to determine whether a violation of this subchapter or any rule promulgated under this subchapter has occurred.

(2) Subject to the rules promulgated under s. 440.03 (1), the department may reprimand a licensed midwife or deny, limit, suspend, or revoke a license granted under this subchapter if the department finds that the applicant or the licensed midwife has done any of the following:

(a) Intentionally made a material misstatement in an application for a license or for renewal of a license.

(b) Subject to ss. 111.321, 111.322, and 111.34, practiced midwifery while his or her ability to engage in the practice was impaired by alcohol or other drugs.

(c) Advertised in a manner that is false or misleading.

(d) In the course of the practice of midwifery, made a substantial misrepresentation that was relied upon by a client.

(e) In the course of the practice of midwifery, engaged in conduct that evidences an inability to apply the principles or skills of midwifery.

(f) Obtained or attempted to obtain compensation through fraud or deceit.

(g) Allowed another person to use a license granted under this subchapter.

(h) Violated any law of this state or federal law that substantially relates to the practice of midwifery, violated this subchapter, or violated any rule promulgated under this subchapter.

(3) Subject to the rules promulgated under s. 440.03 (1), the department shall revoke a license granted under this subchapter if the licensed midwife is convicted of any of the offenses specified in s. 440.982 (2).

History: 2005 a. 292.

Cross-reference: See also ch. SPS 183, Wis. adm. code.

440.987 Advisory committee. If the department appoints an advisory committee under s. 440.042 to advise the department on matters relating to the regulation of licensed midwives, the committee shall consist of only the following:

(1) Two members who are licensed midwives.

(2) One member who is licensed as a nurse–midwife under s. 441.15 and who practices in an out–of–hospital setting.

(3) One member who is a physician specializing in obstetrics and gynecology.

(4) One public member who has received midwifery care in an out–of–hospital setting.

History: 2005 a. 292.

440.988 Vicarious liability. No health care provider shall be liable for an injury resulting from an act or omission by a licensed midwife, even if the health care provider has consulted with or accepted a referral from the licensed midwife.

History: 2005 a. 292.

SUBCHAPTER XIV

UNIFORM ATHLETE AGENTS ACT

440.99 Definitions. In this subchapter:

(1) “Agency contract” means an agreement in which a student athlete authorizes a person to negotiate or solicit on behalf of the student athlete a professional–sports–services contract or an endorsement contract.

(2) (a) “Athlete agent” means an individual, whether or not registered under this subchapter, who does any of the following:

1. Directly or indirectly recruits or solicits or, for compensation, procures employment or offers, promises, attempts, or negotiates to obtain employment for a student athlete as a professional athlete or member of a professional sports team or organization.

2. For compensation or in anticipation of compensation in connection with a student athlete's participation in athletics, does any of the following:

a. Serves the student athlete in an advisory capacity on a matter related to finances, business pursuits, or career management decisions, unless the individual is an employee of an educational institution acting exclusively as an employee of the educational institution for the benefit of the educational institution.

b. Manages the business affairs of the student athlete by providing assistance with bills, payments, contracts, or taxes.

3. In anticipation of representing a student athlete for a purpose related to the student athlete's participation in athletics, does any of the following:

a. Gives consideration to the student athlete or another person.

b. Serves the student athlete in an advisory capacity on a matter related to finances, business pursuits, or career management decisions.

c. Manages the business affairs of the student athlete by providing assistance with bills, payments, contracts, or taxes.

(b) “Athlete agent” does not include the following:

1. An individual who acts solely on behalf of a professional sports team or organization.

2. An individual who is a licensed, registered, or certified professional and offers or provides services to a student athlete customarily provided by members of the profession, unless the individual does any of the following:

a. Recruits or solicits.

b. For compensation, procures employment or offers, promises, attempts, or negotiates to obtain employment for the student athlete as a professional athlete or member of a professional sports team or organization.

c. Receives consideration for providing the services, and the consideration is calculated using a different method than for an individual who is not a student athlete.

(3) “Athletic director” means an individual responsible for administering the overall athletic program of an educational institution or, if an educational institution has separately administered athletic programs for male students and female students, the athletic program for males or the athletic program for females, as appropriate.

(4r) “Educational institution” includes all of the following, whether public or private:

- (a) An elementary school.
- (b) A secondary school.
- (c) A technical or vocational school.
- (d) A community college.
- (e) A college.
- (f) A university.

(5) “Endorsement contract” means an agreement under which a student athlete is employed or receives consideration to use on behalf of the other party any value that the student athlete may have because of publicity, reputation, following, or fame obtained because of athletic ability or performance.

(5d) “Enrolled” means registered for courses and attending athletic practice or class. “Enrolls” has a corresponding meaning.

(6) “Intercollegiate sport” means a sport played at the collegiate level for which eligibility requirements for participation by a student athlete are established by a national association that promotes or regulates collegiate athletics.

(6c) “Interscholastic sport” means a sport played between educational institutions that are not community colleges, colleges, or universities.

(6r) “Licensed, registered, or certified professional” means an individual licensed, registered, or certified as an attorney, dealer in securities, financial planner, insurance agent, real estate broker or sales agent, tax consultant, accountant, or other member of a profession, other than that of athlete agent, who is licensed, registered, or certified by this state or a nationally recognized organization that licenses, registers, or certifies members of the profession on the basis of experience, education, or testing.

(7) “Professional–sports–services contract” means an agreement under which an individual is employed as a professional athlete or agrees to render services as a player on a professional sports team or with a professional sports organization.

(8) “Record” means information that is inscribed on a tangible medium or that is stored in an electronic or other medium and is retrievable in perceivable form.

(8c) “Recruit or solicit” means attempt to influence the choice of an athlete agent or the choice to enter into an agency contract or both by a student athlete or, if the student athlete is a minor, a parent or guardian of the student athlete. The term does not include giving advice with respect to the selection of a particular athlete agent or with respect to entering into an agency contract if the advice is given in a family, coaching, or social situation, unless the individual giving the advice does so because of the receipt or anticipated receipt of an economic benefit, directly or indirectly, from an athlete agent.

(9) “Registration” means registration as an athlete agent under this subchapter.

(9m) “Sign” means any of the following, with present intent to authenticate or adopt a record:

- (a) To execute or adopt a tangible symbol.
- (b) To attach to or logically associate with the record an electronic symbol, sound, or process.

(10) “State” means a state of the United States, the District of Columbia, Puerto Rico, the United States Virgin Islands, or any

territory or insular possession subject to the jurisdiction of the United States.

(11) “Student athlete” means an individual who is eligible to attend an educational institution and engages in, is eligible to engage in, or may be eligible in the future to engage in, any interscholastic or intercollegiate sport. If an individual is permanently ineligible to participate in a particular interscholastic or intercollegiate sport, the individual is not a student athlete for purposes of that sport.

History: 2003 a. 150; 2019 a. 180; s. 35.17 correction in (2) (a) (intro.).

440.9905 Service of process. By acting as an athlete agent in this state, a nonresident individual appoints the secretary of state as the individual’s agent for service of process in any civil action in this state related to the individual’s acting as an athlete agent in this state.

History: 2003 a. 150.

440.991 Athlete agents: registration required; void contracts. (1) Except as otherwise provided in sub. (2), an individual may not act as an athlete agent in this state without holding a certificate of registration under s. 440.992 or 440.993.

(2) Before being issued a certificate of registration, an individual may act as an athlete agent in this state for all purposes except signing an agency contract, if all of the following are satisfied:

(a) A student athlete or another person acting on behalf of the student athlete initiates communication with the individual.

(b) Not later than 7 days after an initial act that requires the individual to register as an athlete agent, the individual submits an application for registration as an athlete agent in this state.

(3) An agency contract resulting from conduct in violation of this section is void and the athlete agent shall return any consideration received under the contract.

History: 2003 a. 150; 2019 a. 180.

440.9915 Registration as athlete agent; form; requirements; reciprocal registration. (1) An applicant for registration as an athlete agent shall submit an application for registration to the department in a form prescribed by the department. The applicant must be an individual, and the application must be signed by the applicant under penalty of perjury. The application must contain at least all of the following:

(a) The name, date, and place of birth of the applicant; the address of the applicant’s principal place of business; the work and mobile telephone numbers of the applicant; and means of communicating electronically with the applicant, including facsimile number, electronic mail address, and personal and business or employer Internet sites.

(b) A description of each business or employer, if applicable, of the applicant, including the name, mailing address, telephone number, organization form, and nature of the business of the applicant’s business or employer.

(bm) Each social media account with which the applicant or the applicant’s business or employer is affiliated.

(c) Each business or occupation in which the applicant engaged within 5 years before the date of the application, including self–employment and employment by others, and any professional or occupational license, registration, or certification held by the applicant during that time.

(d) A description of all of the following:

1. The applicant’s formal training as an athlete agent.
2. The applicant’s practical experience as an athlete agent.
3. The applicant’s educational background relating to his or her activities as an athlete agent.

(e) The name, or if the student athlete is a minor, the name of the parent or guardian of the minor, sport, and last–known team for each individual for whom the applicant acted as an athlete agent within 5 years before the date of the application.

(f) If the athlete agent's business is not a corporation, the names and addresses of the partners, members, officers, managers, associates, or profit sharers of the business and of all persons directly or indirectly holding an equity interest of 5 percent or more of the business.

(g) If the athlete agent is employed by a corporation, the names and addresses of the officers and directors of the corporation and any shareholder of the corporation having an interest of 5 percent or more.

(gm) A description of the status of any application by the applicant, or any person named under par. (f) or (g), for a state or federal business, professional, or occupational license, other than as an athlete agent, from a state or federal agency, including any denial, refusal to renew, suspension, withdrawal, or termination of the license and any reprimand or censure related to the license.

(h) Whether the applicant or any person named under par. (f) or (g) has been convicted of, or has charges pending for, a crime that, if committed in this state, would be a felony, and a description of the crime, the law enforcement agency involved, and, if applicable, the date of the conviction and the fine or penalty imposed.

(he) Whether, within 15 years before the date of the application, the applicant, or any person named under par. (f) or (g), has been a defendant or respondent in a civil proceeding, including a proceeding seeking an adjudication of incompetence and, if so, the date and a full explanation of each proceeding.

(hm) Whether the applicant, or any person named under par. (f) or (g), has an unsatisfied judgment or a judgment of continuing effect, including for child or family support, maintenance, or spousal support that is not current at the date of the application.

(hs) Whether, within 10 years before the date of the application, the applicant, or any person named under par. (f) or (g), was adjudicated bankrupt or was an owner of a business that was adjudicated bankrupt.

(i) Whether there has been any administrative or judicial determination that the applicant or any person named under par. (f) or (g) has made a false, misleading, deceptive, or fraudulent representation.

(j) Each instance in which the conduct of the applicant or any person named pursuant to par. (f) or (g) resulted in the imposition of a sanction, suspension, or declaration of ineligibility to participate in an interscholastic, intercollegiate, or professional sports event on a student athlete or a sanction on an educational institution.

(k) Each sanction, suspension, or disciplinary action taken against the applicant or any person named under par. (f) or (g) arising out of occupational or professional conduct.

(L) Whether there has been any denial of an application for, suspension or revocation of, refusal to renew, or abandonment of, the registration of the applicant or any person named under par. (f) or (g) as an athlete agent in any state.

(m) Each state in which the applicant currently is registered as an athlete agent or has applied to be registered as an athlete agent.

(n) If the applicant is certified or registered by a professional league or players association, all of the following:

1. The name of the league or association.
2. The date of certification or registration, and the date of expiration of the certification or registration, if any.
3. If applicable, the date of any denial of an application for, suspension or revocation of, refusal to renew, withdrawal of, or termination of, the certification or registration or any reprimand or censure related to the certification or registration.

(o) All additional information required by the department.

(2) (a) Instead of proceeding under sub. (1), an individual registered as an athlete agent in another state may apply for registration as an athlete agent in this state by submitting to the department all of the following:

1. A copy of the application for registration in the other state.

2. A statement that identifies any material change in the information on the application for registration in the other state or verifies there is no material change in the information, signed under penalty of perjury.

3. A copy of the certificate of registration from the other state.

(b) The department shall issue a certificate of registration to an individual who complies with par. (a) and pays the initial credential fee determined by the department under s. 440.03 (9) (a) if the department determines that all of the following are true:

1. The application and registration requirements of the other state are substantially similar to or more restrictive than this subchapter.

2. The registration of the other state has not been revoked or suspended and no action involving the individual's conduct as an athlete agent is pending against the individual or the individual's registration in any state.

(c) For purposes of implementing par. (b), the department may do all of the following:

1. Cooperate with national organizations concerned with athlete agent issues and agencies in other states that register athlete agents to develop a common registration form and determine which states have laws that are substantially similar to or more restrictive than this subchapter.

2. Exchange information, including information related to actions taken against registered athlete agents or their registrations, with those organizations and agencies.

History: 2003 a. 150; 2019 a. 180; s. 35.17 correction in (1) (b).

Cross-reference: See also ch. SPS 151, Wis. adm. code.

440.992 Certificate of registration; issuance or denial; renewal. (1) Except as otherwise provided in sub. (2), the department shall issue a certificate of registration to an individual who complies with s. 440.9915 (1) if the individual has paid the initial credential fee determined by the department under s. 440.03 (9) (a).

(2) The department may refuse to issue a certificate of registration to an applicant for registration under s. 440.9915 (1) if the department determines that the applicant has engaged in conduct that significantly adversely reflects on the applicant's fitness to act as an athlete agent. In making the determination, the department may consider whether the applicant has done any of the following:

(a) Subject to ss. 111.321, 111.322, and 111.335, been convicted of a crime that, if committed in this state, would be a felony.

(b) Made a materially false, misleading, deceptive, or fraudulent representation in the application or as an athlete agent.

(c) Engaged in unprofessional conduct or conduct that would disqualify the applicant from serving in a fiduciary capacity.

(d) Engaged in conduct prohibited by s. 440.996.

(e) Had a registration as an athlete agent suspended, revoked, or denied or been refused renewal of registration as an athlete agent in any state.

(f) Engaged in conduct resulting in imposition of a sanction, suspension, or declaration of ineligibility to participate in an interscholastic, intercollegiate, or professional sports event on a student athlete or a sanction on an educational institution.

(g) Engaged in conduct that adversely reflects on the applicant's credibility, honesty, or integrity.

(3) In making a determination under sub. (2), the department shall consider each of the following:

(a) How recently the conduct occurred.

(b) The nature of the conduct and the context in which it occurred.

(c) Any other relevant conduct of the applicant.

(4) An athlete agent registered under sub. (1) may apply to renew the registration by submitting an application for renewal in a form prescribed by the department. The applicant shall sign the application for renewal under penalty of perjury and include current information on all matters required in an original application

for registration. Applications submitted under this subsection shall be open to inspection at all reasonable hours authorized by representatives of the department.

(5) An athlete agent registered under s. 440.9915 (2) may renew the registration by proceeding under sub. (4) or, if the registration in the other state has been renewed, by submitting to the department copies of the application for renewal in the other state and the renewed registration from the other state. The department shall renew the registration if it determines that all of the following are true:

(a) The registration requirements of the other state are substantially similar to or more restrictive than this subchapter.

(b) The renewed registration has not been suspended or revoked and no action involving the athlete agent's conduct as an athlete agent is pending against the athlete agent or his or her registration in any state.

(6) A certificate of registration or a renewal of a registration is valid for 2 years.

History: 2003 a. 150; 2005 a. 25; 2007 a. 20; 2019 a. 180.

Cross-reference: See also chs. SPS 151 and 152, Wis. adm. code.

440.9925 Suspension, revocation, or refusal to renew registration. (1) The department may limit, suspend, revoke, or refuse to renew a registration of an individual issued a certificate of registration under s. 440.992 (1) for conduct that would justify refusal to issue a certificate of registration under s. 440.992 (2).

(1m) The department may suspend or revoke the registration of an individual issued a certificate of registration under s. 440.9915 (2) or renewed under s. 440.992 (5) for any reason for which the department could have refused to grant or renew registration or for conduct that would justify refusal to issue a certificate of registration under s. 440.992 (2).

(2) The department may deny, limit, suspend, revoke, or refuse to renew a certificate of registration only after proper notice and an opportunity for a hearing.

History: 2003 a. 150; 2019 a. 180.

440.993 Temporary registration. The department may issue a temporary certificate of registration while an application for registration or renewal of registration is pending. The department shall promulgate rules establishing requirements and procedures for applying for and issuing temporary certificates of registration.

History: 2003 a. 150.

440.9935 Renewal. The renewal date for certificates of registration issued under this subchapter is specified in s. 440.08 (2) (a), and the renewal fee for such certificates is determined by the department under s. 440.03 (9) (a). Renewal applications shall be submitted to the department on a form provided by the department.

History: 2003 a. 150; 2005 a. 25; 2007 a. 20.

Cross-reference: See also ch. SPS 152, Wis. adm. code.

440.994 Required form of contract. (1) An agency contract must be in a record, signed by the parties.

(2) An agency contract must contain all of the following:

(ag) A statement that the athlete agent is registered as an athlete agent in this state and a list of all other states in which the athlete agent is registered as an athlete agent.

(ar) The amount and method of calculating the consideration to be paid by the student athlete for services to be provided by the athlete agent under the contract and any other consideration that the athlete agent has received or will receive from any other source for entering into the contract or for providing the services.

(b) The name of any person not listed in the application for registration or renewal of registration who will be compensated because the student athlete signed the agency contract.

(c) A description of any expenses that the student athlete agrees to reimburse.

(d) A description of the services to be provided to the student athlete.

(e) The duration of the contract.

(f) The date of execution.

(3) Subject to sub. (6), an agency contract must contain a conspicuous notice in boldface type and, in substantially the same form, the following:

WARNING TO STUDENT ATHLETE

IF YOU SIGN THIS CONTRACT:

1) YOU MAY LOSE YOUR ELIGIBILITY TO COMPETE AS A STUDENT ATHLETE IN YOUR SPORT;

2) IF YOU HAVE AN ATHLETIC DIRECTOR, WITHIN 72 HOURS AFTER SIGNING THIS CONTRACT OR BEFORE THE NEXT SCHEDULED ATHLETIC EVENT IN WHICH YOU MAY PARTICIPATE, WHICHEVER OCCURS FIRST, BOTH YOU AND YOUR ATHLETE AGENT MUST NOTIFY YOUR ATHLETIC DIRECTOR THAT YOU HAVE ENTERED INTO THIS CONTRACT AND PROVIDE THE NAME AND CONTACT INFORMATION OF THE ATHLETE AGENT; AND

3) YOU MAY CANCEL THIS CONTRACT WITHIN 14 DAYS AFTER SIGNING IT. CANCELLATION OF THIS CONTRACT MAY NOT REINSTATE YOUR ELIGIBILITY AS A STUDENT ATHLETE IN YOUR SPORT.

(3m) An agency contract must be accompanied by a separate record signed by the student athlete or, if the student athlete is a minor, the parent or guardian of the student athlete acknowledging that signing the contract may result in the loss of the student athlete's eligibility to participate in the student athlete's sport.

(4) A student athlete or, if the student athlete is a minor, the parent or guardian of the student athlete may void an agency contract that does not conform to this section. If the contract is voided, any consideration received from the athlete agent under the contract to influence entering into the contract is not required to be returned.

(5) At the time an agency contract is executed, the athlete agent shall give the student athlete or, if the student athlete is a minor, the parent or guardian of the student athlete a copy in a record of the signed agency contract and the separate acknowledgement required under sub. (3m).

(6) If a student athlete is a minor, an agency contract must be signed by the parent or guardian of the minor and the notice required by sub. (3) must be revised accordingly.

History: 2003 a. 150, 326; 2019 a. 180.

Cross-reference: See also ch. SPS 153, Wis. adm. code.

440.9945 Notice to educational institution. (1g) In this section, "communicating or attempting to communicate" means contacting or attempting to contact by an in-person meeting, a record, or any other method that conveys or attempts to convey a message.

(1r) Not later than 72 hours after entering into an agency contract or before the next scheduled athletic event in which the student athlete may participate, whichever occurs first, the athlete agent shall give notice in a record of the existence of the contract to the athletic director of the educational institution at which the student athlete is enrolled or the athlete agent has reasonable grounds to believe the student athlete intends to enroll.

(2) Not later than 72 hours after entering into an agency contract or before the next scheduled athletic event in which the student athlete may participate, whichever occurs first, the student athlete shall inform the athletic director of the educational institution at which the student athlete is enrolled that he or she has entered into an agency contract and the name and contact information of the athlete agent.

(3) If an athlete agent enters into an agency contract with a student athlete and the student athlete subsequently enrolls at an edu-

educational institution, the athlete agent shall notify the athletic director of the educational institution of the existence of the contract not later than 72 hours after the athlete agent knew or should have known the student athlete enrolled.

(4) If an athlete agent has a relationship with a student athlete before the student athlete enrolls in an educational institution and receives an athletic scholarship from the educational institution, the athlete agent shall notify the educational institution of the relationship not later than 10 days after the enrollment if the athlete agent knows or should have known of the enrollment and any of the following is true:

(a) The relationship was motivated in whole or part by the intention of the athlete agent to recruit or solicit the student athlete for a future agency contract.

(b) The athlete agent directly or indirectly recruited or solicited the student athlete for the purpose of executing an agency contract before the enrollment.

(5) An athlete agent shall give notice in a record to the athletic director of any educational institution at which a student athlete is enrolled before the athlete agent communicates or attempts to communicate with any of the following:

(a) The student athlete or, if the student athlete is a minor, a parent or guardian of the student athlete, to influence the student athlete or parent or guardian to enter into an agency contract.

(b) Any individual not identified in par. (a) to have that individual influence the student athlete or, if the student athlete is a minor, the parent or guardian of the student athlete, to enter into an agency contract.

(6) If a communication or attempt to communicate with an athlete agent is initiated by a student athlete or another individual on behalf of the student athlete, the athlete agent shall notify in a record the athletic director of any educational institution at which the student athlete is enrolled. The notification must be made not later than 10 days after the communication or attempt.

(7) A notice under subs. (1r) to (6) is exempt from disclosure under s. 19.35 (1).

(8) An educational institution that becomes aware of a violation of this subchapter by an athlete agent shall notify the department and any professional league or players association with which the educational institution is aware the athlete agent is licensed or registered of the violation.

History: 2003 a. 150; 2019 a. 180.

440.995 Student athlete's right to cancel. (1) A student athlete or, if the student athlete is a minor, the parent or guardian of the student athlete may cancel an agency contract by giving notice in a record of the cancellation to the athlete agent not later than 14 days after the contract is signed.

(2) A student athlete or, if the student athlete is a minor, the parent or guardian of the student athlete may not waive the right to cancel an agency contract.

(3) If a student athlete, parent, or guardian cancels an agency contract, the student athlete, parent, or guardian is not required to pay any consideration under the contract or to return any consideration received from the athlete agent to influence the student athlete to enter into the contract.

History: 2003 a. 150; 2019 a. 180.

Cross-reference: See also ch. SPS 153, Wis. adm. code.

440.9955 Required records. (1) An athlete agent shall create and retain for 5 years all of the following records:

(a) The name and address of each individual represented by the athlete agent.

(b) Each agency contract entered into by the athlete agent.

(c) The direct costs incurred by the athlete agent in the recruitment or solicitation of each student athlete.

(2) Records described in sub. (1) are open to inspection by the department during normal business hours. Upon demand, an athlete agent shall provide a copy of such a record to the department.

History: 2003 a. 150; 2019 a. 180.

Cross-reference: See also ch. SPS 153, Wis. adm. code.

440.996 Prohibited conduct. (1) An athlete agent may not intentionally do any of the following or encourage another individual to do or assist another individual in doing any of the following on behalf of the athlete agent:

(a) Give a student athlete or, if the student athlete is a minor, a parent or guardian of the student athlete materially false or misleading information or make a materially false promise or representation with the intent to influence the student athlete, parent, or guardian to enter into an agency contract.

(b) Furnish a thing of value to a student athlete or another individual, if to do so may result in the loss of the student athlete's eligibility to participate in the student athlete's sport, unless both of the following apply:

1. The athlete agent notifies the athletic director of the educational institution at which the student athlete is enrolled or at which the athlete agent has reasonable grounds to believe the student athlete intends to enroll, not later than 72 hours after furnishing the thing of value.

2. The student athlete or, if the student athlete is a minor, the parent or guardian of the student athlete acknowledges to the athlete agent in a record that receipt of the thing of value may result in the loss of the student athlete's eligibility to participate in the student athlete's sport.

(2) An athlete agent may not intentionally do any of the following or encourage another individual to do or assist another individual in doing any of the following on behalf of the athlete agent:

(a) Initiate contact, directly or indirectly, with a student athlete or, if the student athlete is a minor, a parent or guardian of the student athlete, to recruit or solicit the student athlete, parent, or guardian unless registered under this subchapter.

(b) Fail to create or retain or to permit inspection of the records required by s. 440.9955.

(c) Fail to register when required by s. 440.991.

(d) Provide materially false or misleading information in an application for registration or renewal of registration.

(f) Predate or postdate an agency contract.

(g) Fail to notify a student athlete or, if the student athlete is a minor, the parent or guardian of the student athlete before the student athlete, parent, or guardian signs an agency contract for a particular sport that the signing may result in the loss of the student athlete's eligibility to participate in the student athlete's sport.

History: 2003 a. 150; 2019 a. 180.

Cross-reference: See also chs. SPS 153 and 154, Wis. adm. code.

440.9965 Criminal penalties. An athlete agent who violates s. 440.996 may be fined not more than \$10,000 or imprisoned for not more than 9 months or both.

History: 2003 a. 150.

440.997 Civil remedies. (1) An educational institution or student athlete may bring an action against an athlete agent if the educational institution or student athlete is adversely affected by an act or omission of the athlete agent in violation of this subchapter. An educational institution or student athlete is adversely affected by an act or omission of the athlete agent only if, because of the act or omission, the educational institution or an individual who was a student athlete at the time of the act or omission and enrolled in the institution suffers financial damage or is suspended or disqualified from participation in an interscholastic or intercollegiate sports event by or under the rules of a state or national fed-

eration or association that promotes or regulates interscholastic or intercollegiate sports.

(2m) A plaintiff that prevails in an action under this section may recover actual damages, costs, and, notwithstanding s. 814.04, reasonable attorney fees. An athlete agent found liable under this section forfeits any right of payment for anything of benefit or value provided to the student athlete and shall refund any consideration paid to the athlete agent by or on behalf of the student athlete.

(3m) Any violation of this subchapter by an athlete agent is an unfair method of competition and unfair trade practice prohibited under s. 100.20.

History: 2003 a. 150; 2019 a. 180.

440.9975 Administrative forfeiture. The department may directly assess a forfeiture against an athlete agent of not more than \$50,000 for a violation of this subchapter.

History: 2003 a. 150; 2019 a. 180.

440.998 Uniformity of application and construction. In applying and construing this subchapter, consideration must be given to the need to promote uniformity of the law with respect to its subject matter among the states that enact the Uniform Athlete Agents Act and Revised Uniform Athlete Agents Act (2015).

History: 2003 a. 150; 2019 a. 180.

440.9985 Relation to Electronic Signatures in Global and National Commerce Act. This subchapter modifies, limits, or supersedes the Electronic Signatures in Global and National Commerce Act, 15 USC 7001 to 7031, except that this subchapter does not modify, limit, or supersede 15 USC 7001 (c) or authorize electronic delivery of any of the notices described in 15 USC 7003 (b).

History: 2003 a. 150; 2019 a. 180.

440.999 Rules. The department shall promulgate rules that define unprofessional conduct for purposes of s. 440.992 (2) (c).

History: 2003 a. 150.

Cross-reference: See also chs. SPS 150, 151, 152, 153, and 154, Wis. adm. code.