REVIEW OF THE MODEL LEGISLATIVE LANGUAGE DEVELOPED BY THE AMERICAN OCCUPATIONAL THERAPY ASSOCIATION THAT IS PROVIDED TO STATES WISHING TO JOIN THE OCCUPATIONAL THERAPY LICENSURE COMPACT (COMPACT) AND POSSIBLE ACTION TO DETERMINE IF THE BOARD WILL INITIATE STEPS TO JOIN THE COMPACT.

## Occupational Therapy Licensure Compact Summary of Key Provisions

ICENSURE COMPACT

#### **Section 1: Purpose**

The purpose of the OT Compact is to facilitate interstate practice of occupational therapy, with the goal of improving public access to occupational therapy services while preserving the regulatory authority of states to protect public health and safety through the current system of state licensure.

The OT Compact:

- Provides for the mutual recognition of other member state licenses.
- Enhances states' abilities to protect public health and safety.
- Encourages cooperation of member states in regulating multi-state OT practice.
- Supports spouses of relocating military members.
- Enhances the exchange of licensure, investigative, and disciplinary information between member states.
- Allows a state to hold a provider practicing in that state via the compact accountable to that state's standards of practice.
- Facilitates the use of telehealth technology to provide OT services across state lines.

#### **Section 2: Definitions**

Establishes the definitions of key terms as used throughout the compact, to alleviate confusion on the part of practitioners and jurisdictions. Defined terms are capitalized throughout the document.

#### **Section 3: State Participation in the Compact**

This section establishes the duties of states participating in the compact.

A member state must:

- License occupational therapists and occupational therapy assistants.
- Participate in the compact commission's licensure database.
- Have a mechanism in place for receiving and investigating complaints against licensees.
- Notify the commission of any adverse action against or investigation of a licensee.
- Conduct criminal background checks of applicants for an initial compact privilege.
- Comply with the rules of the compact commission.
- Utilize only a recognized national exam as a requirement for an occupational therapist's and occupational therapy assistant's licensure.



- Require continuing education for license renewal.
- Grant the compact privilege to a holder of a valid license in another member state.
- Provide for the state's delegate to attend all compact commission meetings.

States may charge a fee for granting the compact privilege.

A licensee may only access the compact privilege if their *primary state of residence* joins the compact.

A state's requirements for issuance of a single-state license are not affected.

#### **Section 4: Compact Privilege**

Section 4 establishes licensees' requirements for exercising the compact privilege to practice occupational therapy in a remote state.

To exercise the compact privilege, a licensee must:

- Hold a license in their state of residence, which *must be a member of the compact*.
- Have a social security number or NPI.
- Have no encumbrance on any state license or compact privilege in the previous two years.
- Notify the compact commission of their intent to seek the compact privilege in a remote state.
- Meet any jurisprudence requirements in the remote state and pay any fees.
- Report to the commission any adverse action taken by a non-member state within 30 days after the action is taken.

A license providing occupational therapy in a remote state under the privilege to practice shall function within the laws and regulations of the remote state.

A licensee providing occupational therapy in a remote state is subject to that state's regulatory authority. A remote state may, in accordance with due process and that state's laws, remove a licensee's compact privilege in the remote state for a specific period of time, impose fines, and/or take any other necessary actions to protect the health and safety of its citizens. The licensee is not eligible for a privilege to practice in any state until the specific time for removal has passed and all fines are paid.

If a practitioner's home state license is encumbered, the practitioner shall remain ineligible for the compact privilege in any remote state until two years have passed from the date the home state license is no longer encumbered.

If a practitioner's compact privilege in any remote state is removed, they may lose the compact privilege in any other remote state. The licensee may remain ineligible for the compact privilege in any other remote state until two years have elapsed for the period which the compact privilege was removed and all fines and conditions, if any, have been met.

#### Section 5: Obtaining a New Home State License by Virtue of Compact Privilege

This section creates an alternative pathway to licensure for compact privilege holders who change their primary state of residence between compact member states.



A licensee may obtain a new home state license by virtue of their compact privilege in their new home state in accordance with Rules established by the Commission.

The licensee will be required to complete a new FBI Fingerprint based criminal background check, any state required criminal background check, and submit to any jurisprudence requirements of the new home state.

If a practitioner moves from a non-member state to a member state, or from a member state to a non-member state, the practitioner must apply for a single-state license in the new state, under the new state's licensure requirements.

Licensees may hold more than one single-state license at the same time, but only the license tied to the primary state of residence may serve as the licensee's "home state" license for the purposes of the compact.

Nothing in the compact affects a member state's requirements for issuance of a *single-state* license.

#### **Section 6: Active Duty Military Personnel or their Spouses**

This section allows an active duty servicemember, or their spouse, to designate a home state where the individual has a current license in good standing. This state then serves as the individual's home state for as long as the servicemember is on active duty.

#### **Section 7: Adverse Actions**

This section clarifies that *only* a licensee's home state may take adverse action against a *home state* license.

However, remote states may take adverse action against a licensee's compact privilege in that state and may issue enforceable subpoenas for witnesses and evidence from other member states.

Home states must take reported adverse action from any member state into account, in accordance with the home state's own laws.

If an occupational therapist or occupational therapy assistant changes their home state during an active investigation by their former home state, the former home state completes the investigation, takes appropriate action under its laws, and then reports its findings to the compact commission's data system. The data system administrator then notifies the licensee's new home state of any adverse action taken by the former home state.

Member states may initiate joint investigations of licensees and are required to share investigative materials in furtherance of any joint *or* single-state investigation of a licensee.

Member states must report any adverse action to the compact data system, which then promptly alerts the home state of this adverse action.

Any member state may take adverse action based on the factual findings of a remote state.

Member states retain the right to require a licensee to participate in an alternative program for health-related concerns in lieu of adverse action.



#### Section 8: Establishment of the Occupational Therapy Compact Commission

This section outlines the composition and powers of the compact commission and executive committee. The compact is not a waiver of sovereign immunity.

- Each member state is entitled to exactly one delegate, who is selected by the member state's licensing board from among the board's members and employees.
- Each delegate has one (1) vote on commission rules and bylaws.
- The commission may establish a term of office, code of ethics, bylaws, rules, a budget and financial records in order to carry out the compact.
- The commission may elect an executive committee composed of seven delegates, one member of a national occupational therapy professional organization, and one member of a national occupational therapy certification organization.
- All commission meetings shall be open to the public unless confidential or privileged information must be discussed.

#### Section 9: Data System

This section requires the sharing of licensee information by all compact states.

A compact state shall submit a uniform dataset to the data system on all occupational therapists and occupational therapy assistants to whom this compact is applicable as required by the rules of the commission. This database will allow for the expedited sharing of disciplinary information.

Investigative information pertaining to a licensee in any member state will only be available to other Member States.

A member state may designate information submitted to the data system that may not be shared with the public without the express permission of that member state.

#### **Section 10: Rulemaking**

- Rules carry the force of law in all member states.
- A simple majority of member state legislatures may veto a rule of the commission.
- Changes to rules require a 30-day notice of proposed rulemaking, with an opportunity for a public hearing if one is requested by 25 people, by an association having at least 25 members, or by a government agency.
- If the commission takes an action that is beyond the scope of the compact, the action is invalid and has no force and effect.

#### Section 11: Oversight, Dispute Resolution, and Enforcement

Ensures compliance with the compact by member states. The procedures to be followed in the event of a failure by a member state to comply with the compact include:

- A period of technical assistance in remedying the situation;
- Dispute resolution, including mediation and binding processes; and
- Termination from the compact if no other means of compliance is successful.



The commission shall attempt to resolve any compact-related disputes that may arise between states.

#### Section 12: Date of Implementation, Withdrawal, and Amendment

The compact takes effect on the date of enactment by the tenth state.

States that join after this date are subject to the rules of the commission as they exist on the date when the compact becomes law in that state.

Member states may enact a law to repeal their membership in the compact. A state's withdrawal takes effect 6 months after enactment of such law.

#### **Section 13: Construction and Severability**

The compact is to be liberally construed to effectuate its purposes.

The compact's provisions are severable, meaning that:

- If a provision is declared to conflict with the United States constitution, all other provisions remain valid for all member states, and
- If a provision is held contrary to a member state's constitution, the compact retains its full force in all other states, and all other provisions remain valid in the affected state.

#### Section 14: Binding Effect of Compact and Other Laws

This section reiterates that occupational therapists and occupational therapy assistants are subject to the scope of practice of the state in which they are exercising the compact privilege.

Reiterates that rules and bylaws of the commission are binding on member states.

According to legal precedent, if a conflict exists between a state law and the compact, the state law is superseded to the extent of the conflict.

The Occupational Therapy Licensure Compact is a joint initiative by AOTA and NBCOT®







### **Occupational Therapy Licensure Compact Model Legislation**

Revised February 4, 2021

The following language must be enacted into law by a state to officially join the Occupational Therapy Licensure Compact.

<u>No substantive changes should be made to the model language</u>. Any substantive changes may jeopardize the enacting state's participation in the Compact.

The Council of State Governments National Center for Interstate Compacts reviews state Compact legislation to ensure consistency with the model language. Please direct inquiries to Isabel Eliassen at ieliassen@csg.org.

#### OCCUPATIONAL THERAPY LICENSURE COMPACT

#### 2 SECTION 1. PURPOSE

- The purpose of this Compact is to facilitate interstate practice of Occupational Therapy with the goal of improving public access to Occupational Therapy services. The Practice of Occupational Therapy occurs in the State where the patient/client is located at the time of the patient/client encounter. The Compact preserves the regulatory authority of States to protect public health
- 7 and safety through the current system of State licensure.
- 8 This Compact is designed to achieve the following objectives:
- 9 A. Increase public access to Occupational Therapy services by providing for the mutual
   recognition of other Member State licenses;
- B. Enhance the States' ability to protect the public's health and safety;
- C. Encourage the cooperation of Member States in regulating multi-State OccupationalTherapy Practice;
- 14 D. Support spouses of relocating military members;
- E. Enhance the exchange of licensure, investigative, and disciplinary information betweenMember States;
- F. Allow a Remote State to hold a provider of services with a Compact Privilege in that Stateaccountable to that State's practice standards; and
- G. Facilitate the use of Telehealth technology in order to increase access to OccupationalTherapy services.

#### 21 SECTION 2. DEFINITIONS

- As used in this Compact, and except as otherwise provided, the following definitions shall apply:
- A. "Active Duty Military" means full-time duty status in the active uniformed service of the
   United States, including members of the National Guard and Reserve on active duty orders
   pursuant to 10 U.S.C. Chapter 1209 and 10 U.S.C. Chapter 1211.
- 26 B. "Adverse Action" means any administrative, civil, equitable, or criminal action permitted by a
- 27 State's laws which is imposed by a Licensing Board or other authority against an
- 28 Occupational Therapist or Occupational Therapy Assistant, including actions against an
- 29 individual's license or Compact Privilege such as censure, revocation, suspension,
- 30 probation, monitoring of the Licensee, or restriction on the Licensee's practice.

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- C. "Alternative Program" means a non-disciplinary monitoring process approved by an
   Occupational Therapy Licensing Board.
- D. "Compact Privilege" means the authorization, which is equivalent to a license, granted by a
   Remote State to allow a Licensee from another Member State to practice as an
   Occupational Therapist or practice as an Occupational Therapy Assistant in the Remote
   State under its laws and rules. The Practice of Occupational Therapy occurs in the Member
- 37 State where the patient/client is located at the time of the patient/client encounter.
- E. "Continuing Competence/Education" means a requirement, as a condition of license
  renewal, to provide evidence of participation in, and/or completion of, educational and
  professional activities relevant to practice or area of work.
- F. "Current Significant Investigative Information" means Investigative Information that a
  Licensing Board, after an inquiry or investigation that includes notification and an opportunity
  for the Occupational Therapist or Occupational Therapy Assistant to respond, if required by
  State law, has reason to believe is not groundless and, if proved true, would indicate more
  than a minor infraction.
- G. "Data System" means a repository of information about Licensees, including but not limited
   to license status, Investigative Information, Compact Privileges, and Adverse Actions.
- H. "Encumbered License" means a license in which an Adverse Action restricts the Practice of
  Occupational Therapy by the Licensee or said Adverse Action has been reported to the
  National Practitioners Data Bank (NPDB).
- 51 I. "Executive Committee" means a group of directors elected or appointed to act on behalf of, 52 and within the powers granted to them by, the Commission.
- J. "Home State" means the Member State that is the Licensee's Primary State of Residence.
- 54 K. "Impaired Practitioner" means individuals whose professional practice is adversely affected 55 by substance abuse, addiction, or other health-related conditions.
- 56 L. "Investigative Information" means information, records, and/or documents received or 57 generated by an Occupational Therapy Licensing Board pursuant to an investigation.
- 58 M. "Jurisprudence Requirement" means the assessment of an individual's knowledge of the 59 laws and rules governing the Practice of Occupational Therapy in a State.
- N. "Licensee" means an individual who currently holds an authorization from the State to
   practice as an Occupational Therapist or as an Occupational Therapy Assistant.
- 62 O. "Member State" means a State that has enacted the Compact.

- P. "Occupational Therapist" means an individual who is licensed by a State to practiceOccupational Therapy.
- Q. "Occupational Therapy Assistant" means an individual who is licensed by a State to assist inthe Practice of Occupational Therapy.
- R. "Occupational Therapy," "Occupational Therapy Practice," and the "Practice of Occupational
   Therapy" mean the care and services provided by an Occupational Therapist or an
   Occupational Therapy Assistant as set forth in the Member State's statutes and regulations.
- S. "Occupational Therapy Compact Commission" or "Commission" means the national
   administrative body whose membership consists of all States that have enacted the
   Compact.
- T. "Occupational Therapy Licensing Board" or "Licensing Board" means the agency of a State
   that is authorized to license and regulate Occupational Therapists and Occupational
   Therapy Assistants.
- U. "Primary State of Residence" means the state (also known as the Home State) in which an
  Occupational Therapist or Occupational Therapy Assistant who is not Active Duty Military
  declares a primary residence for legal purposes as verified by: driver's license, federal
  income tax return, lease, deed, mortgage or voter registration or other verifying
  documentation as further defined by Commission Rules.
- V. "Remote State" means a Member State other than the Home State, where a Licensee is
   exercising or seeking to exercise the Compact Privilege.
- 83 W. "Rule" means a regulation promulgated by the Commission that has the force of law.
- X. "State" means any state, commonwealth, district, or territory of the United States of America
   that regulates the Practice of Occupational Therapy.
- Y. "Single-State License" means an Occupational Therapist or Occupational Therapy Assistant
   license issued by a Member State that authorizes practice only within the issuing State and
   does not include a Compact Privilege in any other Member State.
- Z. "Telehealth" means the application of telecommunication technology to deliver Occupational
   Therapy services for assessment, intervention and/or consultation.

#### 91 SECTION 3. STATE PARTICIPATION IN THE COMPACT

- 92 A. To participate in the Compact, a Member State shall:
- 93 1. License Occupational Therapists and Occupational Therapy Assistants

- Participate fully in the Commission's Data System, including but not limited to using the
   Commission's unique identifier as defined in Rules of the Commission;
- 96 3. Have a mechanism in place for receiving and investigating complaints about Licensees;
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  98 Adverse Action or the availability of Investigative Information regarding a Licensee;
- 99 5. Implement or utilize procedures for considering the criminal history records of applicants
  100 for an initial Compact Privilege. These procedures shall include the submission of
  101 fingerprints or other biometric-based information by applicants for the purpose of
  102 obtaining an applicant's criminal history record information from the Federal Bureau of
  103 Investigation and the agency responsible for retaining that State's criminal records;
- 104a. A Member State shall, within a time frame established by the Commission,105require a criminal background check for a Licensee seeking/applying for a106Compact Privilege whose Primary State of Residence is that Member State, by107receiving the results of the Federal Bureau of Investigation criminal record108search, and shall use the results in making licensure decisions.
- 109b. Communication between a Member State, the Commission and among110Member States regarding the verification of eligibility for licensure through the111Compact shall not include any information received from the Federal Bureau of112Investigation relating to a federal criminal records check performed by a Member113State under Public Law 92-544.
- 114 6. Comply with the Rules of the Commission;
- 1157. Utilize only a recognized national examination as a requirement for licensure116pursuant to the Rules of the Commission; and
- 117 8. Have Continuing Competence/Education requirements as a condition for license118 renewal.

B. A Member State shall grant the Compact Privilege to a Licensee holding a valid
unencumbered license in another Member State in accordance with the terms of the
Compact and Rules.

122 C. Member States may charge a fee for granting a Compact Privilege.

D. A Member State shall provide for the State's delegate to attend all Occupational TherapyCompact Commission meetings.

E. Individuals not residing in a Member State shall continue to be able to apply for a Member
 State's Single-State License as provided under the laws of each Member State. However,

- the Single-State License granted to these individuals shall not be recognized as granting theCompact Privilege in any other Member State.
- F. Nothing in this Compact shall affect the requirements established by a Member State for theissuance of a Single-State License.

#### 131 SECTION 4. COMPACT PRIVILEGE

- A. To exercise the Compact Privilege under the terms and provisions of the Compact, theLicensee shall:
- 134 1. Hold a license in the Home State;
- Have a valid United States Social Security Number or National Practitioner Identification
   number;
- 137 3. Have no encumbrance on any State license;
- Be eligible for a Compact Privilege in any Member State in accordance with Section 4D,
   F, G, and H;
- 5. Have paid all fines and completed all requirements resulting from any Adverse Action
  against any license or Compact Privilege, and two years have elapsed from the date of
  such completion;
- 143 6. Notify the Commission that the Licensee is seeking the Compact Privilege within a144 Remote State(s);
- 145 7. Pay any applicable fees, including any State fee, for the Compact Privilege;
- 146 8. Complete a criminal background check in accordance with Section 3A(5);
- 147a. The Licensee shall be responsible for the payment of any fee associated with148the completion of a criminal background check.
- Meet any Jurisprudence Requirements established by the Remote State(s) in which the
   Licensee is seeking a Compact Privilege; and
- 10. Report to the Commission Adverse Action taken by any non-Member State within 30days from the date the Adverse Action is taken.
- B. The Compact Privilege is valid until the expiration date of the Home State license. The
  Licensee must comply with the requirements of Section 4A to maintain the Compact
  Privilege in the Remote State.
- C. A Licensee providing Occupational Therapy in a Remote State under the Compact Privilegeshall function within the laws and regulations of the Remote State.

- D. Occupational Therapy Assistants practicing in a Remote State shall be supervised by an
   Occupational Therapist licensed or holding a Compact Privilege in that Remote State.
- E. A Licensee providing Occupational Therapy in a Remote State is subject to that State's
  regulatory authority. A Remote State may, in accordance with due process and that State's
  laws, remove a Licensee's Compact Privilege in the Remote State for a specific period of
  time, impose fines, and/or take any other necessary actions to protect the health and safety
  of its citizens. The Licensee may be ineligible for a Compact Privilege in any State until the
  specific time for removal has passed and all fines are paid.
- F. If a Home State license is encumbered, the Licensee shall lose the Compact Privilege in anyRemote State until the following occur:
- 168 1. The Home State license is no longer encumbered; and
- Two years have elapsed from the date on which the Home State license is no longer
   encumbered in accordance with Section 4(F)(1).
- G. Once an Encumbered License in the Home State is restored to good standing, the Licensee
  must meet the requirements of Section 4A to obtain a Compact Privilege in any Remote
  State.
- H. If a Licensee's Compact Privilege in any Remote State is removed, the individual may lose
   the Compact Privilege in any other Remote State until the following occur:
- 176 1. The specific period of time for which the Compact Privilege was removed has ended;
- 177 2. All fines have been paid and all conditions have been met;
- Two years have elapsed from the date of completing requirements for 4(H)(1) and (2);
   and
- The Compact Privileges are reinstated by the Commission, and the compact Data
   System is updated to reflect reinstatement.
- If a Licensee's Compact Privilege in any Remote State is removed due to an erroneous
   charge, privileges shall be restored through the compact Data System.
- J. Once the requirements of Section 4H have been met, the Licensee must meet the
   requirements in Section 4A to obtain a Compact Privilege in a Remote State.

## 186 SECTION 5: OBTAINING A NEW HOME STATE LICENSE BY VIRTUE OF COMPACT 187 PRIVILEGE

- A. An Occupational Therapist or Occupational Therapy Assistant may hold a Home State
   license, which allows for Compact Privileges in Member States, in only one Member State at
   a time.
- B. If an Occupational Therapist or Occupational Therapy Assistant changes Primary State ofResidence by moving between two Member States:
- The Occupational Therapist or Occupational Therapy Assistant shall file an application
   for obtaining a new Home State license by virtue of a Compact Privilege, pay all
   applicable fees, and notify the current and new Home State in accordance with
   applicable Rules adopted by the Commission.
- Upon receipt of an application for obtaining a new Home State license by virtue of
   compact privilege, the new Home State shall verify that the Occupational Therapist or
   Occupational Therapy Assistant meets the pertinent criteria outlined in Section 4 via the
   Data System, without need for primary source verification except for:
- 201a.an FBI fingerprint based criminal background check if not previously202performed or updated pursuant to applicable Rules adopted by the203Commission in accordance with Public Law 92-544;
- b. other criminal background check as required by the new Home State; and
- 205c.submission of any requisite Jurisprudence Requirements of the new206Home State.
- The former Home State shall convert the former Home State license into a Compact
   Privilege once the new Home State has activated the new Home State license in
   accordance with applicable Rules adopted by the Commission.
- 4. Notwithstanding any other provision of this Compact, if the Occupational Therapist or
   Occupational Therapy Assistant cannot meet the criteria in Section 4, the new Home
   State shall apply its requirements for issuing a new Single-State License.
- 2135. The Occupational Therapist or the Occupational Therapy Assistant shall pay all214applicable fees to the new Home State in order to be issued a new Home State license.
- C. If an Occupational Therapist or Occupational Therapy Assistant changes Primary State of
   Residence by moving from a Member State to a non-Member State, or from a non-Member
   State to a Member State, the State criteria shall apply for issuance of a Single-State License
   in the new State.
- D. Nothing in this compact shall interfere with a Licensee's ability to hold a Single-State
  License in multiple States; however, for the purposes of this compact, a Licensee shall have
  only one Home State license.

E. Nothing in this Compact shall affect the requirements established by a Member State for the issuance of a Single-State License.

#### 224 SECTION 6. ACTIVE DUTY MILITARY PERSONNEL OR THEIR SPOUSES

- A. Active Duty Military personnel, or their spouses, shall designate a Home State where the
- individual has a current license in good standing. The individual may retain the Home State
- designation during the period the service member is on active duty. Subsequent to
- designating a Home State, the individual shall only change their Home State through
- application for licensure in the new State or through the process described in Section 5.

#### 230 SECTION 7. ADVERSE ACTIONS

- A. A Home State shall have exclusive power to impose Adverse Action against an
- Occupational Therapist's or Occupational Therapy Assistant's license issued by the HomeState.
- B. In addition to the other powers conferred by State law, a Remote State shall have theauthority, in accordance with existing State due process law, to:
- Take Adverse Action against an Occupational Therapist's or Occupational Therapy
   Assistant's Compact Privilege within that Member State.
- 238 2. Issue subpoenas for both hearings and investigations that require the attendance and testimony of witnesses as well as the production of evidence. Subpoenas issued by a 239 Licensing Board in a Member State for the attendance and testimony of witnesses or the 240 241 production of evidence from another Member State shall be enforced in the latter State 242 by any court of competent jurisdiction, according to the practice and procedure of that 243 court applicable to subpoenas issued in proceedings pending before it. The issuing authority shall pay any witness fees, travel expenses, mileage and other fees required 244 by the service statutes of the State in which the witnesses or evidence are located. 245
- C. For purposes of taking Adverse Action, the Home State shall give the same priority and
  effect to reported conduct received from a Member State as it would if the conduct had
  occurred within the Home State. In so doing, the Home State shall apply its own State laws
  to determine appropriate action.
- D. The Home State shall complete any pending investigations of an Occupational Therapist or
   Occupational Therapy Assistant who changes Primary State of Residence during the course
   of the investigations. The Home State, where the investigations were initiated, shall also
   have the authority to take appropriate action(s) and shall promptly report the conclusions of
   the investigations to the OT Compact Commission Data System. The Occupational Therapy
   Compact Commission Data System administrator shall promptly notify the new Home State
   of any Adverse Actions.

- E. A Member State, if otherwise permitted by State law, may recover from the affected
   Occupational Therapist or Occupational Therapy Assistant the costs of investigations and
   disposition of cases resulting from any Adverse Action taken against that Occupational
   Therapist or Occupational Therapy Assistant.
- F. A Member State may take Adverse Action based on the factual findings of the Remote
  State, provided that the Member State follows its own procedures for taking the Adverse
  Action.
- 264 G. Joint Investigations
- In addition to the authority granted to a Member State by its respective State
   Occupational Therapy laws and regulations or other applicable State law, any Member
   State may participate with other Member States in joint investigations of Licensees.
- Member States shall share any investigative, litigation, or compliance materials in
   furtherance of any joint or individual investigation initiated under the Compact.
- 270 H. If an Adverse Action is taken by the Home State against an Occupational Therapist's or 271 Occupational Therapy Assistant's license, the Occupational Therapist's or Occupational 272 Therapy Assistant's Compact Privilege in all other Member States shall be deactivated until 273 all encumbrances have been removed from the State license. All Home State disciplinary 274 orders that impose Adverse Action against an Occupational Therapist's or Occupational Therapy Assistant's license shall include a Statement that the Occupational Therapist's or 275 276 Occupational Therapy Assistant's Compact Privilege is deactivated in all Member States 277 during the pendency of the order.
- If a Member State takes Adverse Action, it shall promptly notify the administrator of the Data
   System. The administrator of the Data System shall promptly notify the Home State of any
   Adverse Actions by Remote States.
- J. Nothing in this Compact shall override a Member State's decision that participation in an
   Alternative Program may be used in lieu of Adverse Action.

## 283 SECTION 8. ESTABLISHMENT OF THE OCCUPATIONAL THERAPY COMPACT 284 COMMISSION.

- A. The Compact Member States hereby create and establish a joint public agency known asthe Occupational Therapy Compact Commission:
- 287 1. The Commission is an instrumentality of the Compact States.
- Venue is proper and judicial proceedings by or against the Commission shall be brought
   solely and exclusively in a court of competent jurisdiction where the principal office of the
   Commission is located. The Commission may waive venue and jurisdictional defenses to

291 292			the extent it adopts or consents to participate in alternative dispute resolution proceedings.
293		3.	Nothing in this Compact shall be construed to be a waiver of sovereign immunity.
294	В.	M	embership, Voting, and Meetings
295 296		1.	Each Member State shall have and be limited to one (1) delegate selected by that Member State's Licensing Board.
297		2.	The delegate shall be either:
298 299			a. A current member of the Licensing Board, who is an Occupational Therapist, Occupational Therapy Assistant, or public member; or
300			b. An administrator of the Licensing Board.
301 302		3.	Any delegate may be removed or suspended from office as provided by the law of the State from which the delegate is appointed.
303 304		4.	The Member State board shall fill any vacancy occurring in the Commission within 90 days.
305 306 307 308 309		5.	Each delegate shall be entitled to one (1) vote with regard to the promulgation of Rules and creation of bylaws and shall otherwise have an opportunity to participate in the business and affairs of the Commission. A delegate shall vote in person or by such other means as provided in the bylaws. The bylaws may provide for delegates' participation in meetings by telephone or other means of communication.
310 311		6.	The Commission shall meet at least once during each calendar year. Additional meetings shall be held as set forth in the bylaws.
312		7.	The Commission shall establish by Rule a term of office for delegates.
313	C.	Tł	ne Commission shall have the following powers and duties:
314		1.	Establish a Code of Ethics for the Commission;
315		2.	Establish the fiscal year of the Commission;
316		3.	Establish bylaws;
317		4.	Maintain its financial records in accordance with the bylaws;
318 319		5.	Meet and take such actions as are consistent with the provisions of this Compact and the bylaws;

- Fromulgate uniform Rules to facilitate and coordinate implementation and administration
  of this Compact. The Rules shall have the force and effect of law and shall be binding in
  all Member States;
- 323 7. Bring and prosecute legal proceedings or actions in the name of the Commission,
  324 provided that the standing of any State Occupational Therapy Licensing Board to sue or
  325 be sued under applicable law shall not be affected;
- 326 8. Purchase and maintain insurance and bonds;
- 327 9. Borrow, accept, or contract for services of personnel, including, but not limited to,
  328 employees of a Member State;
- 10. Hire employees, elect or appoint officers, fix compensation, define duties, grant such
   individuals appropriate authority to carry out the purposes of the Compact, and establish
   the Commission's personnel policies and programs relating to conflicts of interest,
   qualifications of personnel, and other related personnel matters;
- 11. Accept any and all appropriate donations and grants of money, equipment, supplies,
   materials and services, and receive, utilize and dispose of the same; provided that at all
   times the Commission shall avoid any appearance of impropriety and/or conflict of
   interest;
- 12. Lease, purchase, accept appropriate gifts or donations of, or otherwise own, hold,
   improve or use, any property, real, personal or mixed; provided that at all times the
   Commission shall avoid any appearance of impropriety;
- 340 13. Sell, convey, mortgage, pledge, lease, exchange, abandon, or otherwise dispose of any
   341 property real, personal, or mixed;
- 342 14. Establish a budget and make expenditures;
- 343 15. Borrow money;
- Appoint committees, including standing committees composed of members, State
   regulators, State legislators or their representatives, and consumer representatives, and
   such other interested persons as may be designated in this Compact and the bylaws;
- 17. Provide and receive information from, and cooperate with, law enforcement agencies;
- 348 18. Establish and elect an Executive Committee; and
- 19. Perform such other functions as may be necessary or appropriate to achieve the
   purposes of this Compact consistent with the State regulation of Occupational Therapy
   licensure and practice.

#### 352 D. The Executive Committee

- The Executive Committee shall have the power to act on behalf of the Commission according to the terms of this Compact.
- 1. The Executive Committee shall be composed of nine members: 355 356 a. Seven voting members who are elected by the Commission from the current membership of the Commission; 357 b. One ex-officio, nonvoting member from a recognized national Occupational Therapy 358 professional association; and 359 c. One ex-officio, nonvoting member from a recognized national Occupational Therapy 360 certification organization. 361 2. The ex-officio members will be selected by their respective organizations. 362 The Commission may remove any member of the Executive Committee as provided in 363 bylaws. 364 365 The Executive Committee shall meet at least annually. 5. The Executive Committee shall have the following Duties and responsibilities: 366 a. Recommend to the entire Commission changes to the Rules or bylaws, changes to 367 this Compact legislation, fees paid by Compact Member States such as annual dues, 368 369 and any Commission Compact fee charged to Licensees for the Compact Privilege; b. Ensure Compact administration services are appropriately provided, contractual or 370 otherwise: 371 c. Prepare and recommend the budget; 372 d. Maintain financial records on behalf of the Commission; 373 e. Monitor Compact compliance of Member States and provide compliance reports to 374 the Commission; 375 f. Establish additional committees as necessary; and 376 g. Perform other duties as provided in Rules or bylaws. 377 378 E. Meetings of the Commission 1. All meetings shall be open to the public, and public notice of meetings shall be given in 379 the same manner as required under the Rulemaking provisions in Section 10. 380

381 382 383		2.	The Commission or the Executive Committee or other committees of the Commission may convene in a closed, non-public meeting if the Commission or Executive Committee or other committees of the Commission must discuss:
384			a. Non-compliance of a Member State with its obligations under the Compact;
385 386 387			<ul> <li>The employment, compensation, discipline or other matters, practices or procedures related to specific employees or other matters related to the Commission's internal personnel practices and procedures;</li> </ul>
388			c. Current, threatened, or reasonably anticipated litigation;
389 390			<ul> <li>Negotiation of contracts for the purchase, lease, or sale of goods, services, or real estate;</li> </ul>
391			e. Accusing any person of a crime or formally censuring any person;
392 393			f. Disclosure of trade secrets or commercial or financial information that is privileged or confidential;
394 395			<ul> <li>Disclosure of information of a personal nature where disclosure would constitute a clearly unwarranted invasion of personal privacy;</li> </ul>
396			n. Disclosure of investigative records compiled for law enforcement purposes;
397 398 399			Disclosure of information related to any investigative reports prepared by or on behalf of or for use of the Commission or other committee charged with responsibility of investigation or determination of compliance issues pursuant to the Compact; or
400			. Matters specifically exempted from disclosure by federal or Member State statute.
401 402 403		3.	If a meeting, or portion of a meeting, is closed pursuant to this provision, the Commission's legal counsel or designee shall certify that the meeting may be closed and shall reference each relevant exempting provision.
404 405 406 407 408 409		4.	The Commission shall keep minutes that fully and clearly describe all matters discussed in a meeting and shall provide a full and accurate summary of actions taken, and the reasons therefore, including a description of the views expressed. All documents considered in connection with an action shall be identified in such minutes. All minutes and documents of a closed meeting shall remain under seal, subject to release by a majority vote of the Commission or order of a court of competent jurisdiction.
410 F	=.	Fin	incing of the Commission
411		1.	The Commission shall pay, or provide for the payment of, the reasonable expenses of its

412 establishment, organization, and ongoing activities.

413 2. The Commission may accept any and all appropriate revenue sources, donations, and414 grants of money, equipment, supplies, materials, and services.

3. The Commission may levy on and collect an annual assessment from each Member
State or impose fees on other parties to cover the cost of the operations and activities of
the Commission and its staff, which must be in a total amount sufficient to cover its
annual budget as approved by the Commission each year for which revenue is not
provided by other sources. The aggregate annual assessment amount shall be allocated
based upon a formula to be determined by the Commission, which shall promulgate a
Rule binding upon all Member States.

- 4. The Commission shall not incur obligations of any kind prior to securing the funds
  adequate to meet the same; nor shall the Commission pledge the credit of any of the
  Member States, except by and with the authority of the Member State.
- 5. The Commission shall keep accurate accounts of all receipts and disbursements. The
  receipts and disbursements of the Commission shall be subject to the audit and
  accounting procedures established under its bylaws. However, all receipts and
  disbursements of funds handled by the Commission shall be audited yearly by a certified
  or licensed public accountant, and the report of the audit shall be included in and
  become part of the annual report of the Commission.
- 431 G. Qualified Immunity, Defense, and Indemnification

432 1. The members, officers, executive director, employees and representatives of the Commission shall be immune from suit and liability, either personally or in their official 433 capacity, for any claim for damage to or loss of property or personal injury or other civil 434 435 liability caused by or arising out of any actual or alleged act, error or omission that 436 occurred, or that the person against whom the claim is made had a reasonable basis for believing occurred within the scope of Commission employment, duties or 437 responsibilities; provided that nothing in this paragraph shall be construed to protect any 438 such person from suit and/or liability for any damage, loss, injury, or liability caused by 439 440 the intentional or willful or wanton misconduct of that person.

2. The Commission shall defend any member, officer, executive director, employee, or
representative of the Commission in any civil action seeking to impose liability arising out
of any actual or alleged act, error, or omission that occurred within the scope of
Commission employment, duties, or responsibilities, or that the person against whom the
claim is made had a reasonable basis for believing occurred within the scope of
Commission employment, duties, or responsibilities; provided that nothing herein shall
be construed to prohibit that person from retaining his or her own counsel; and provided

- 448 further, that the actual or alleged act, error, or omission did not result from that person's 449 intentional or willful or wanton misconduct.
- 450 3. The Commission shall indemnify and hold harmless any member, officer, executive
- director, employee, or representative of the Commission for the amount of any
- 452 settlement or judgment obtained against that person arising out of any actual or alleged
- 453 act, error or omission that occurred within the scope of Commission employment, duties,
- 454 or responsibilities, or that such person had a reasonable basis for believing occurred
- within the scope of Commission employment, duties, or responsibilities, provided that
  the actual or alleged act, error, or omission did not result from the intentional or willful or
  wanton misconduct of that person.

#### 458 SECTION 9. DATA SYSTEM

- A. The Commission shall provide for the development, maintenance, and utilization of a
  coordinated database and reporting system containing licensure, Adverse Action, and
  Investigative Information on all licensed individuals in Member States.
- B. A Member State shall submit a uniform data set to the Data System on all individuals to
  whom this Compact is applicable (utilizing a unique identifier) as required by the Rules of
  the Commission, including:
- 465 1. Identifying information;
- 466 2. Licensure data;
- 467 3. Adverse Actions against a license or Compact Privilege;
- 468 4. Non-confidential information related to Alternative Program participation;
- 469 5. Any denial of application for licensure, and the reason(s) for such denial;
- 6. Other information that may facilitate the administration of this Compact, as determinedby the Rules of the Commission; and
- 472 7. Current Significant Investigative Information.
- C. Current Significant Investigative Information and other Investigative Information pertaining toa Licensee in any Member State will only be available to other Member States.
- D. The Commission shall promptly notify all Member States of any Adverse Action taken
  against a Licensee or an individual applying for a license. Adverse Action information
- 477 pertaining to a Licensee in any Member State will be available to any other Member State.
- E. Member States contributing information to the Data System may designate information thatmay not be shared with the public without the express permission of the contributing State.

F. Any information submitted to the Data System that is subsequently required to be expunded
by the laws of the Member State contributing the information shall be removed from the
Data System.

#### 483 SECTION 10. RULEMAKING

A. The Commission shall exercise its Rulemaking powers pursuant to the criteria set forth in
this Section and the Rules adopted thereunder. Rules and amendments shall become
binding as of the date specified in each Rule or amendment.

- B. The Commission shall promulgate reasonable rules in order to effectively and efficiently
  achieve the purposes of the Compact. Notwithstanding the foregoing, in the event the
  Commission exercises its rulemaking authority in a manner that is beyond the scope of the
  purposes of the Compact, or the powers granted hereunder, then such an action by the
  Commission shall be invalid and have no force and effect.
- C. If a majority of the legislatures of the Member States rejects a Rule, by enactment of a
  statute or resolution in the same manner used to adopt the Compact within 4 years of the
  date of adoption of the Rule, then such Rule shall have no further force and effect in any
  Member State.
- 496 D. Rules or amendments to the Rules shall be adopted at a regular or special meeting of the497 Commission.
- E. Prior to promulgation and adoption of a final Rule or Rules by the Commission, and at least
   thirty (30) days in advance of the meeting at which the Rule will be considered and voted
   upon, the Commission shall file a Notice of Proposed Rulemaking:
- 501 1. On the website of the Commission or other publicly accessible platform; and
- On the website of each Member State Occupational Therapy Licensing Board or other
   publicly accessible platform or the publication in which each State would otherwise
   publish proposed Rules.
- 505 F. The Notice of Proposed Rulemaking shall include:
- 5061. The proposed time, date, and location of the meeting in which the Rule will be507considered and voted upon;
- 2. The text of the proposed Rule or amendment and the reason for the proposed Rule;
- 3. A request for comments on the proposed Rule from any interested person; and
- 510 4. The manner in which interested persons may submit notice to the Commission of their 511 intention to attend the public hearing and any written comments.

- 512 G. Prior to adoption of a proposed Rule, the Commission shall allow persons to submit written 513 data, facts, opinions, and arguments, which shall be made available to the public.
- 514 H. The Commission shall grant an opportunity for a public hearing before it adopts a Rule or 515 amendment if a hearing is requested by:
- 516 1. At least twenty five (25) persons;
- 517 2. A State or federal governmental subdivision or agency; or
- 518 3. An association or organization having at least twenty five (25) members.
- If a hearing is held on the proposed Rule or amendment, the Commission shall publish the
   place, time, and date of the scheduled public hearing. If the hearing is held via electronic
   means, the Commission shall publish the mechanism for access to the electronic hearing.
- All persons wishing to be heard at the hearing shall notify the executive director of the
   Commission or other designated member in writing of their desire to appear and testify
   at the hearing not less than five (5) business days before the scheduled date of the
   hearing.
- 526 2. Hearings shall be conducted in a manner providing each person who wishes to comment 527 a fair and reasonable opportunity to comment orally or in writing.
- 528 3. All hearings will be recorded. A copy of the recording will be made available on request.

4. Nothing in this section shall be construed as requiring a separate hearing on each Rule.
Rules may be grouped for the convenience of the Commission at hearings required by
this section.

- J. Following the scheduled hearing date, or by the close of business on the scheduled hearing
  date if the hearing was not held, the Commission shall consider all written and oral
  comments received.
- 535 K. If no written notice of intent to attend the public hearing by interested parties is received, the 536 Commission may proceed with promulgation of the proposed Rule without a public hearing.
- L. The Commission shall, by majority vote of all members, take final action on the proposed
  Rule and shall determine the effective date of the Rule, if any, based on the Rulemaking
  record and the full text of the Rule.
- M. Upon determination that an emergency exists, the Commission may consider and adopt an
  emergency Rule without prior notice, opportunity for comment, or hearing, provided that the
  usual Rulemaking procedures provided in the Compact and in this section shall be
  retroactively applied to the Rule as soon as reasonably possible, in no event later than

- 544 ninety (90) days after the effective date of the Rule. For the purposes of this provision, an 545 emergency Rule is one that must be adopted immediately in order to:
- 546 1. Meet an imminent threat to public health, safety, or welfare;
- 547 2. Prevent a loss of Commission or Member State funds;
- 5483. Meet a deadline for the promulgation of an administrative Rule that is established by549federal law or Rule; or
- 550 4. Protect public health and safety.

N. The Commission or an authorized committee of the Commission may direct revisions to a 551 previously adopted Rule or amendment for purposes of correcting typographical errors. 552 553 errors in format, errors in consistency, or grammatical errors. Public notice of any revisions shall be posted on the website of the Commission. The revision shall be subject to challenge 554 by any person for a period of thirty (30) days after posting. The revision may be challenged 555 only on grounds that the revision results in a material change to a Rule. A challenge shall be 556 557 made in writing and delivered to the chair of the Commission prior to the end of the notice 558 period. If no challenge is made, the revision will take effect without further action. If the revision is challenged, the revision may not take effect without the approval of the 559 Commission. 560

#### 561 SECTION 11. OVERSIGHT, DISPUTE RESOLUTION, AND ENFORCEMENT

- 562 A. Oversight
- The executive, legislative, and judicial branches of State government in each Member
   State shall enforce this Compact and take all actions necessary and appropriate to
   effectuate the Compact's purposes and intent. The provisions of this Compact and the
   Rules promulgated hereunder shall have standing as statutory law.
- All courts shall take judicial notice of the Compact and the Rules in any judicial or
   administrative proceeding in a Member State pertaining to the subject matter of this
   Compact which may affect the powers, responsibilities, or actions of the Commission.
- The Commission shall be entitled to receive service of process in any such proceeding,
  and shall have standing to intervene in such a proceeding for all purposes. Failure to
  provide service of process to the Commission shall render a judgment or order void as to
  the Commission, this Compact, or promulgated Rules.
- B. Default, Technical Assistance, and Termination

- If the Commission determines that a Member State has defaulted in the performance of
   its obligations or responsibilities under this Compact or the promulgated Rules, the
   Commission shall:
- 578a. Provide written notice to the defaulting State and other Member States of the nature579of the default, the proposed means of curing the default and/or any other action to be580taken by the Commission; and
- b. Provide remedial training and specific technical assistance regarding the default.
- If a State in default fails to cure the default, the defaulting State may be terminated from
  the Compact upon an affirmative vote of a majority of the Member States, and all rights,
  privileges and benefits conferred by this Compact may be terminated on the effective
  date of termination. A cure of the default does not relieve the offending State of
  obligations or liabilities incurred during the period of default.
- 587 3. Termination of membership in the Compact shall be imposed only after all other means
  588 of securing compliance have been exhausted. Notice of intent to suspend or terminate
  589 shall be given by the Commission to the governor, the majority and minority leaders of
  590 the defaulting State's legislature, and each of the Member States.
- 4. A State that has been terminated is responsible for all assessments, obligations, and
  liabilities incurred through the effective date of termination, including obligations that
  extend beyond the effective date of termination.
- 594 5. The Commission shall not bear any costs related to a State that is found to be in default 595 or that has been terminated from the Compact, unless agreed upon in writing between 596 the Commission and the defaulting State.
- 597 6. The defaulting State may appeal the action of the Commission by petitioning the U.S.
  598 District Court for the District of Columbia or the federal district where the Commission
  599 has its principal offices. The prevailing member shall be awarded all costs of such
  600 litigation, including reasonable attorney's fees.
- 601 C. Dispute Resolution
- Upon request by a Member State, the Commission shall attempt to resolve disputes
   related to the Compact that arise among Member States and between member and non Member States.
- 6052. The Commission shall promulgate a Rule providing for both mediation and binding606dispute resolution for disputes as appropriate.
- 607 D. Enforcement

- The Commission, in the reasonable exercise of its discretion, shall enforce theprovisions and Rules of this Compact.
- By majority vote, the Commission may initiate legal action in the United States District
  Court for the District of Columbia or the federal district where the Commission has its
  principal offices against a Member State in default to enforce compliance with the
  provisions of the Compact and its promulgated Rules and bylaws. The relief sought may
  include both injunctive relief and damages. In the event judicial enforcement is
  necessary, the prevailing member shall be awarded all costs of such litigation, including
  reasonable attorney's fees.
- 6173. The remedies herein shall not be the exclusive remedies of the Commission. The618Commission may pursue any other remedies available under federal or State law.

# SECTION 12. DATE OF IMPLEMENTATION OF THE INTERSTATE COMMISSION FOR OCCUPATIONAL THERAPY PRACTICE AND ASSOCIATED RULES, WITHDRAWAL, AND AMENDMENT

- A. The Compact shall come into effect on the date on which the Compact statute is enacted
   into law in the tenth Member State. The provisions, which become effective at that time,
   shall be limited to the powers granted to the Commission relating to assembly and the
   promulgation of Rules. Thereafter, the Commission shall meet and exercise Rulemaking
   powers necessary to the implementation and administration of the Compact.
- B. Any State that joins the Compact subsequent to the Commission's initial adoption of the
  Rules shall be subject to the Rules as they exist on the date on which the Compact
  becomes law in that State. Any Rule that has been previously adopted by the Commission
  shall have the full force and effect of law on the day the Compact becomes law in that State.
- 631 C. Any Member State may withdraw from this Compact by enacting a statute repealing the632 same.
- A Member State's withdrawal shall not take effect until six (6) months after enactment ofthe repealing statute.
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  Ccupational Therapy Licensing Board to comply with the investigative and Adverse
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  Action reporting requirements of this act prior to the effective date of withdrawal.
- D. Nothing contained in this Compact shall be construed to invalidate or prevent any
   Occupational Therapy licensure agreement or other cooperative arrangement between a
   Member State and a non-Member State that does not conflict with the provisions of this
   Compact.

- E. This Compact may be amended by the Member States. No amendment to this Compact
- 643 shall become effective and binding upon any Member State until it is enacted into the laws
- 644 of all Member States.

#### 645 SECTION 13. CONSTRUCTION AND SEVERABILITY

This Compact shall be liberally construed so as to effectuate the purposes thereof. The

647 provisions of this Compact shall be severable and if any phrase, clause, sentence or

- 648 provision of this Compact is declared to be contrary to the constitution of any Member State
- or of the United States or the applicability thereof to any government, agency, person, or
- 650 circumstance is held invalid, the validity of the remainder of this Compact and the
- applicability thereof to any government, agency, person, or circumstance shall not be
- affected thereby. If this Compact shall be held contrary to the constitution of any Member
- State, the Compact shall remain in full force and effect as to the remaining Member States
- and in full force and effect as to the Member State affected as to all severable matters.

#### 655 SECTION 14. BINDING EFFECT OF COMPACT AND OTHER LAWS

- A. A Licensee providing Occupational Therapy in a Remote State under the Compact Privilegeshall function within the laws and regulations of the Remote State.
- B. Nothing herein prevents the enforcement of any other law of a Member State that is notinconsistent with the Compact.
- 660 C. Any laws in a Member State in conflict with the Compact are superseded to the extent of the 661 conflict.
- D. Any lawful actions of the Commission, including all Rules and bylaws promulgated by theCommission, are binding upon the Member States.
- E. All agreements between the Commission and the Member States are binding in accordancewith their terms.
- F. In the event any provision of the Compact exceeds the constitutional limits imposed on the
   legislature of any Member State, the provision shall be ineffective to the extent of the conflict
   with the constitutional provision in question in that Member State.