

# OCCUPATIONAL THERAPY LICENSURE COMPACT

## 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 and safety through the current system of State licensure.

This Compact is designed to achieve the following objectives:

- 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 Occupational Therapy Practice;
- D. Support spouses of relocating military members;
- E. Enhance the exchange of licensure, investigative, and disciplinary information between Member States;
- F. Allow a Remote State to hold a provider of services with a Compact Privilege in that State accountable to that State's practice standards; and
- G. Facilitate the use of Telehealth technology in order to increase access to Occupational Therapy services.

## 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.
- B. "Adverse Action" means any administrative, civil, equitable, or criminal action permitted by a State's laws which is imposed by a Licensing Board or other authority against an Occupational Therapist or Occupational Therapy Assistant, including actions against an individual's license or Compact Privilege such as censure, revocation, suspension, probation, monitoring of the Licensee, or restriction on the Licensee's practice.

- 31 C. "Alternative Program" means a non-disciplinary monitoring process approved by an  
32 Occupational Therapy Licensing Board.
- 33 D. "Compact Privilege" means the authorization, which is equivalent to a license, granted by a  
34 Remote State to allow a Licensee from another Member State to practice as an  
35 Occupational Therapist or practice as an Occupational Therapy Assistant in the Remote  
36 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.
- 38 E. "Continuing Competence/Education" means a requirement, as a condition of license  
39 renewal, to provide evidence of participation in, and/or completion of, educational and  
40 professional activities relevant to practice or area of work.
- 41 F. "Current Significant Investigative Information" means Investigative Information that a  
42 Licensing Board, after an inquiry or investigation that includes notification and an opportunity  
43 for the Occupational Therapist or Occupational Therapy Assistant to respond, if required by  
44 State law, has reason to believe is not groundless and, if proved true, would indicate more  
45 than a minor infraction.
- 46 G. "Data System" means a repository of information about Licensees, including but not limited  
47 to license status, Investigative Information, Compact Privileges, and Adverse Actions.
- 48 H. "Encumbered License" means a license in which an Adverse Action restricts the Practice of  
49 Occupational Therapy by the Licensee or said Adverse Action has been reported to the  
50 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.
- 53 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.
- 60 N. "Licensee" means an individual who currently holds an authorization from the State to  
61 practice as an Occupational Therapist or as an Occupational Therapy Assistant.
- 62 O. "Member State" means a State that has enacted the Compact.

- 63 P. "Occupational Therapist" means an individual who is licensed by a State to practice  
64 Occupational Therapy.
- 65 Q. "Occupational Therapy Assistant" means an individual who is licensed by a State to assist in  
66 the Practice of Occupational Therapy.
- 67 R. "Occupational Therapy," "Occupational Therapy Practice," and the "Practice of Occupational  
68 Therapy" mean the care and services provided by an Occupational Therapist or an  
69 Occupational Therapy Assistant as set forth in the Member State's statutes and regulations.
- 70 S. "Occupational Therapy Compact Commission" or "Commission" means the national  
71 administrative body whose membership consists of all States that have enacted the  
72 Compact.
- 73 T. "Occupational Therapy Licensing Board" or "Licensing Board" means the agency of a State  
74 that is authorized to license and regulate Occupational Therapists and Occupational  
75 Therapy Assistants.
- 76 U. "Primary State of Residence" means the state (also known as the Home State) in which an  
77 Occupational Therapist or Occupational Therapy Assistant who is not Active Duty Military  
78 declares a primary residence for legal purposes as verified by: driver's license, federal  
79 income tax return, lease, deed, mortgage or voter registration or other verifying  
80 documentation as further defined by Commission Rules.
- 81 V. "Remote State" means a Member State other than the Home State, where a Licensee is  
82 exercising or seeking to exercise the Compact Privilege.
- 83 W. "Rule" means a regulation promulgated by the Commission that has the force of law.
- 84 X. "State" means any state, commonwealth, district, or territory of the United States of America  
85 that regulates the Practice of Occupational Therapy.
- 86 Y. "Single-State License" means an Occupational Therapist or Occupational Therapy Assistant  
87 license issued by a Member State that authorizes practice only within the issuing State and  
88 does not include a Compact Privilege in any other Member State.
- 89 Z. "Telehealth" means the application of telecommunication technology to deliver Occupational  
90 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

- 94 2. Participate fully in the Commission's Data System, including but not limited to using the  
95 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;
- 97 4. Notify the Commission, in compliance with the terms of the Compact and Rules, of any  
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;
- 104 a. A Member State shall, within a time frame established by the Commission,  
105 require a criminal background check for a Licensee seeking/applying for a  
106 Compact Privilege whose Primary State of Residence is that Member State, by  
107 receiving the results of the Federal Bureau of Investigation criminal record  
108 search, and shall use the results in making licensure decisions.
- 109 b. Communication between a Member State, the Commission and among  
110 Member States regarding the verification of eligibility for licensure through the  
111 Compact shall not include any information received from the Federal Bureau of  
112 Investigation relating to a federal criminal records check performed by a Member  
113 State under Public Law 92-544.
- 114 6. Comply with the Rules of the Commission;
- 115 7. Utilize only a recognized national examination as a requirement for licensure  
116 pursuant to the Rules of the Commission; and
- 117 8. Have Continuing Competence/Education requirements as a condition for license  
118 renewal.
- 119 B. A Member State shall grant the Compact Privilege to a Licensee holding a valid  
120 unencumbered license in another Member State in accordance with the terms of the  
121 Compact and Rules.
- 122 C. Member States may charge a fee for granting a Compact Privilege.
- 123 D. A Member State shall provide for the State's delegate to attend all Occupational Therapy  
124 Compact Commission meetings.
- 125 E. Individuals not residing in a Member State shall continue to be able to apply for a Member  
126 State's Single-State License as provided under the laws of each Member State. However,

127 the Single-State License granted to these individuals shall not be recognized as granting the  
128 Compact Privilege in any other Member State.

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

131 **SECTION 4. COMPACT PRIVILEGE**

132 A. To exercise the Compact Privilege under the terms and provisions of the Compact, the  
133 Licensee shall:

- 134 1. Hold a license in the Home State;
- 135 2. Have a valid United States Social Security Number or National Practitioner Identification  
136 number;
- 137 3. Have no encumbrance on any State license;
- 138 4. Be eligible for a Compact Privilege in any Member State in accordance with Section 4D,  
139 F, G, and H;
- 140 5. Have paid all fines and completed all requirements resulting from any Adverse Action  
141 against any license or Compact Privilege, and two years have elapsed from the date of  
142 such completion;
- 143 6. Notify the Commission that the Licensee is seeking the Compact Privilege within a  
144 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);
  - 147 a. The Licensee shall be responsible for the payment of any fee associated with  
148 the completion of a criminal background check.
- 149 9. Meet any Jurisprudence Requirements established by the Remote State(s) in which the  
150 Licensee is seeking a Compact Privilege; and
- 151 10. Report to the Commission Adverse Action taken by any non-Member State within 30  
152 days from the date the Adverse Action is taken.

153 B. The Compact Privilege is valid until the expiration date of the Home State license. The  
154 Licensee must comply with the requirements of Section 4A to maintain the Compact  
155 Privilege in the Remote State.

156 C. A Licensee providing Occupational Therapy in a Remote State under the Compact Privilege  
157 shall function within the laws and regulations of the Remote State.

- 158 D. Occupational Therapy Assistants practicing in a Remote State shall be supervised by an  
159 Occupational Therapist licensed or holding a Compact Privilege in that Remote State.
- 160 E. A Licensee providing Occupational Therapy in a Remote State is subject to that State's  
161 regulatory authority. A Remote State may, in accordance with due process and that State's  
162 laws, remove a Licensee's Compact Privilege in the Remote State for a specific period of  
163 time, impose fines, and/or take any other necessary actions to protect the health and safety  
164 of its citizens. The Licensee may be ineligible for a Compact Privilege in any State until the  
165 specific time for removal has passed and all fines are paid.
- 166 F. If a Home State license is encumbered, the Licensee shall lose the Compact Privilege in any  
167 Remote State until the following occur:
- 168 1. The Home State license is no longer encumbered; and
  - 169 2. Two years have elapsed from the date on which the Home State license is no longer  
170 encumbered in accordance with Section 4(F)(1).
- 171 G. Once an Encumbered License in the Home State is restored to good standing, the Licensee  
172 must meet the requirements of Section 4A to obtain a Compact Privilege in any Remote  
173 State.
- 174 H. If a Licensee's Compact Privilege in any Remote State is removed, the individual may lose  
175 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;
  - 178 3. Two years have elapsed from the date of completing requirements for 4(H)(1) and (2);  
179 and
  - 180 4. The Compact Privileges are reinstated by the Commission, and the compact Data  
181 System is updated to reflect reinstatement.
- 182 I. If a Licensee's Compact Privilege in any Remote State is removed due to an erroneous  
183 charge, privileges shall be restored through the compact Data System.
- 184 J. Once the requirements of Section 4H have been met, the license must meet the  
185 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**

- 188 A. An Occupational Therapist or Occupational Therapy Assistant may hold a Home State  
189 license, which allows for Compact Privileges in Member States, in only one Member State at  
190 a time.
- 191 B. If an Occupational Therapist or Occupational Therapy Assistant changes Primary State of  
192 Residence by moving between two Member States:
- 193 1. The Occupational Therapist or Occupational Therapy Assistant shall file an application  
194 for obtaining a new Home State license by virtue of a Compact Privilege, pay all  
195 applicable fees, and notify the current and new Home State in accordance with  
196 applicable Rules adopted by the Commission.
- 197 2. Upon receipt of an application for obtaining a new Home State license by virtue of  
198 compact privilege, the new Home State shall verify that the Occupational Therapist or  
199 Occupational Therapy Assistant meets the pertinent criteria outlined in Section 4 via the  
200 Data System, without need for primary source verification except for:
- 201 a. an FBI fingerprint based criminal background check if not previously  
202 performed or updated pursuant to applicable Rules adopted by the  
203 Commission in accordance with Public Law 92-544;
- 204 b. other criminal background check as required by the new Home State; and
- 205 c. submission of any requisite Jurisprudence Requirements of the new  
206 Home State.
- 207 3. The former Home State shall convert the former Home State license into a Compact  
208 Privilege once the new Home State has activated the new Home State license in  
209 accordance with applicable Rules adopted by the Commission.
- 210 4. Notwithstanding any other provision of this Compact, if the Occupational Therapist or  
211 Occupational Therapy Assistant cannot meet the criteria in Section 4, the new Home  
212 State shall apply its requirements for issuing a new Single-State License.
- 213 5. The Occupational Therapist or the Occupational Therapy Assistant shall pay all  
214 applicable fees to the new Home State in order to be issued a new Home State license.
- 215 C. If an Occupational Therapist or Occupational Therapy Assistant changes Primary State of  
216 Residence by moving from a Member State to a non-Member State, or from a non-Member  
217 State to a Member State, the State criteria shall apply for issuance of a Single-State License  
218 in the new State.
- 219 D. Nothing in this compact shall interfere with a Licensee's ability to hold a Single-State  
220 License in multiple States; however, for the purposes of this compact, a Licensee shall have  
221 only one Home State license.

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

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

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

#### 230 **SECTION 7. ADVERSE ACTIONS**

231 A. A Home State shall have exclusive power to impose Adverse Action against an  
232 Occupational Therapist's or Occupational Therapy Assistant's license issued by the Home  
233 State.

234 B. In addition to the other powers conferred by State law, a Remote State shall have the  
235 authority, in accordance with existing State due process law, to:

236 1. Take Adverse Action against an Occupational Therapist's or Occupational Therapy  
237 Assistant's Compact Privilege within that Member State.

238 2. Issue subpoenas for both hearings and investigations that require the attendance and  
239 testimony of witnesses as well as the production of evidence. Subpoenas issued by a  
240 Licensing Board in a Member State for the attendance and testimony of witnesses or the  
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  
244 authority shall pay any witness fees, travel expenses, mileage and other fees required  
245 by the service statutes of the State in which the witnesses or evidence are located.

246 C. For purposes of taking Adverse Action, the Home State shall give the same priority and  
247 effect to reported conduct received from a Member State as it would if the conduct had  
248 occurred within the Home State. In so doing, the Home State shall apply its own State laws  
249 to determine appropriate action.

250 D. The Home State shall complete any pending investigations of an Occupational Therapist or  
251 Occupational Therapy Assistant who changes Primary State of Residence during the course  
252 of the investigations. The Home State, where the investigations were initiated, shall also  
253 have the authority to take appropriate action(s) and shall promptly report the conclusions of  
254 the investigations to the OT Compact Commission Data System. The Occupational Therapy  
255 Compact Commission Data System administrator shall promptly notify the new Home State  
256 of any Adverse Actions.



- 257 E. A Member State, if otherwise permitted by State law, may recover from the affected  
258 Occupational Therapist or Occupational Therapy Assistant the costs of investigations and  
259 disposition of cases resulting from any Adverse Action taken against that Occupational  
260 Therapist or Occupational Therapy Assistant.
- 261 F. A Member State may take Adverse Action based on the factual findings of the Remote  
262 State, provided that the Member State follows its own procedures for taking the Adverse  
263 Action.
- 264 G. Joint Investigations
- 265 1. In addition to the authority granted to a Member State by its respective State  
266 Occupational Therapy laws and regulations or other applicable State law, any Member  
267 State may participate with other Member States in joint investigations of Licensees.
- 268 2. Member States shall share any investigative, litigation, or compliance materials in  
269 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  
275 Therapy Assistant's license shall include a Statement that the Occupational Therapist's or  
276 Occupational Therapy Assistant's Compact Privilege is deactivated in all Member States  
277 during the pendency of the order.
- 278 I. If a Member State takes Adverse Action, it shall promptly notify the administrator of the Data  
279 System. The administrator of the Data System shall promptly notify the Home State of any  
280 Adverse Actions by Remote States.
- 281 J. Nothing in this Compact shall override a Member State's decision that participation in an  
282 Alternative Program may be used in lieu of Adverse Action.

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

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

291 the extent it adopts or consents to participate in alternative dispute resolution  
292 proceedings.

293 3. Nothing in this Compact shall be construed to be a waiver of sovereign immunity.

294 B. Membership, Voting, and Meetings

295 1. Each Member State shall have and be limited to one (1) delegate selected by that  
296 Member State's Licensing Board.

297 2. The delegate shall be either:

298 a. A current member of the Licensing Board, who is an Occupational Therapist,  
299 Occupational Therapy Assistant, or public member; or

300 b. An administrator of the Licensing Board.

301 3. Any delegate may be removed or suspended from office as provided by the law of the  
302 State from which the delegate is appointed.

303 4. The Member State board shall fill any vacancy occurring in the Commission within 90  
304 days.

305 5. Each delegate shall be entitled to one (1) vote with regard to the promulgation of Rules  
306 and creation of bylaws and shall otherwise have an opportunity to participate in the  
307 business and affairs of the Commission. A delegate shall vote in person or by such other  
308 means as provided in the bylaws. The bylaws may provide for delegates' participation in  
309 meetings by telephone or other means of communication.

310 6. The Commission shall meet at least once during each calendar year. Additional  
311 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. The 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 5. Meet and take such actions as are consistent with the provisions of this Compact and  
319 the bylaws;

- 320 6. Promulgate uniform Rules to facilitate and coordinate implementation and administration  
321 of this Compact. The Rules shall have the force and effect of law and shall be binding in  
322 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;
- 329 10. Hire employees, elect or appoint officers, fix compensation, define duties, grant such  
330 individuals appropriate authority to carry out the purposes of the Compact, and establish  
331 the Commission's personnel policies and programs relating to conflicts of interest,  
332 qualifications of personnel, and other related personnel matters;
- 333 11. Accept any and all appropriate donations and grants of money, equipment, supplies,  
334 materials and services, and receive, utilize and dispose of the same; provided that at all  
335 times the Commission shall avoid any appearance of impropriety and/or conflict of  
336 interest;
- 337 12. Lease, purchase, accept appropriate gifts or donations of, or otherwise own, hold,  
338 improve or use, any property, real, personal or mixed; provided that at all times the  
339 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;
- 344 16. Appoint committees, including standing committees composed of members, State  
345 regulators, State legislators or their representatives, and consumer representatives, and  
346 such other interested persons as may be designated in this Compact and the bylaws;
- 347 17. Provide and receive information from, and cooperate with, law enforcement agencies;
- 348 18. Establish and elect an Executive Committee; and
- 349 19. Perform such other functions as may be necessary or appropriate to achieve the  
350 purposes of this Compact consistent with the State regulation of Occupational Therapy  
351 licensure and practice.

352 D. The Executive Committee

353 The Executive Committee shall have the power to act on behalf of the Commission according to  
354 the terms of this Compact.

355 1. The Executive Committee shall be composed of nine members:

356 a. Seven voting members who are elected by the Commission from the current  
357 membership of the Commission;

358 b. One ex-officio, nonvoting member from a recognized national Occupational Therapy  
359 professional association; and

360 c. One ex-officio, nonvoting member from a recognized national Occupational Therapy  
361 certification organization.

362 2. The ex-officio members will be selected by their respective organizations.

363 3. The Commission may remove any member of the Executive Committee as provided in  
364 bylaws.

365 4. The Executive Committee shall meet at least annually.

366 5. The Executive Committee shall have the following Duties and responsibilities:

367 a. Recommend to the entire Commission changes to the Rules or bylaws, changes to  
368 this Compact legislation, fees paid by Compact Member States such as annual dues,  
369 and any Commission Compact fee charged to Licensees for the Compact Privilege;

370 b. Ensure Compact administration services are appropriately provided, contractual or  
371 otherwise;

372 c. Prepare and recommend the budget;

373 d. Maintain financial records on behalf of the Commission;

374 e. Monitor Compact compliance of Member States and provide compliance reports to  
375 the Commission;

376 f. Establish additional committees as necessary; and

377 g. Perform other duties as provided in Rules or bylaws.

378 E. Meetings of the Commission

379 1. All meetings shall be open to the public, and public notice of meetings shall be given in  
380 the same manner as required under the Rulemaking provisions in Section 10.

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

#### 410 F. Financing 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, and  
414 grants of money, equipment, supplies, materials, and services.
- 415 3. The Commission may levy on and collect an annual assessment from each Member  
416 State or impose fees on other parties to cover the cost of the operations and activities of  
417 the Commission and its staff, which must be in a total amount sufficient to cover its  
418 annual budget as approved by the Commission each year for which revenue is not  
419 provided by other sources. The aggregate annual assessment amount shall be allocated  
420 based upon a formula to be determined by the Commission, which shall promulgate a  
421 Rule binding upon all Member States.
- 422 4. The Commission shall not incur obligations of any kind prior to securing the funds  
423 adequate to meet the same; nor shall the Commission pledge the credit of any of the  
424 Member States, except by and with the authority of the Member State.
- 425 5. The Commission shall keep accurate accounts of all receipts and disbursements. The  
426 receipts and disbursements of the Commission shall be subject to the audit and  
427 accounting procedures established under its bylaws. However, all receipts and  
428 disbursements of funds handled by the Commission shall be audited yearly by a certified  
429 or licensed public accountant, and the report of the audit shall be included in and  
430 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  
433 Commission shall be immune from suit and liability, either personally or in their official  
434 capacity, for any claim for damage to or loss of property or personal injury or other civil  
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  
437 believing occurred within the scope of Commission employment, duties or  
438 responsibilities; provided that nothing in this paragraph shall be construed to protect any  
439 such person from suit and/or liability for any damage, loss, injury, or liability caused by  
440 the intentional or willful or wanton misconduct of that person.
- 441 2. The Commission shall defend any member, officer, executive director, employee, or  
442 representative of the Commission in any civil action seeking to impose liability arising out  
443 of any actual or alleged act, error, or omission that occurred within the scope of  
444 Commission employment, duties, or responsibilities, or that the person against whom the  
445 claim is made had a reasonable basis for believing occurred within the scope of  
446 Commission employment, duties, or responsibilities; provided that nothing herein shall  
447 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  
451 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  
455 within the scope of Commission employment, duties, or responsibilities, provided that  
456 the actual or alleged act, error, or omission did not result from the intentional or willful or  
457 wanton misconduct of that person.

## 458 **SECTION 9. DATA SYSTEM**

459 A. The Commission shall provide for the development, maintenance, and utilization of a  
460 coordinated database and reporting system containing licensure, Adverse Action, and  
461 Investigative Information on all licensed individuals in Member States.

462 B. A Member State shall submit a uniform data set to the Data System on all individuals to  
463 whom this Compact is applicable (utilizing a unique identifier) as required by the Rules of  
464 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;

470 6. Other information that may facilitate the administration of this Compact, as determined  
471 by the Rules of the Commission; and

472 7. Current Significant Investigative Information.

473 C. Current Significant Investigative Information and other Investigative Information pertaining to  
474 a Licensee in any Member State will only be available to other Member States.

475 D. The Commission shall promptly notify all Member States of any Adverse Action taken  
476 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.

478 E. Member States contributing information to the Data System may designate information that  
479 may not be shared with the public without the express permission of the contributing State.

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

### 483 **SECTION 10. RULEMAKING**

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

487 B. The Commission shall promulgate reasonable rules in order to effectively and efficiently  
488 achieve the purposes of the Compact. Notwithstanding the foregoing, in the event the  
489 Commission exercises its rulemaking authority in a manner that is beyond the scope of the  
490 purposes of the Compact, or the powers granted hereunder, then such an action by the  
491 Commission shall be invalid and have no force and effect.

492 C. If a majority of the legislatures of the Member States rejects a Rule, by enactment of a  
493 statute or resolution in the same manner used to adopt the Compact within 4 years of the  
494 date of adoption of the Rule, then such Rule shall have no further force and effect in any  
495 Member State.

496 D. Rules or amendments to the Rules shall be adopted at a regular or special meeting of the  
497 Commission.

498 E. Prior to promulgation and adoption of a final Rule or Rules by the Commission, and at least  
499 thirty (30) days in advance of the meeting at which the Rule will be considered and voted  
500 upon, the Commission shall file a Notice of Proposed Rulemaking:

- 501 1. On the website of the Commission or other publicly accessible platform; and
- 502 2. On the website of each Member State Occupational Therapy Licensing Board or other  
503 publicly accessible platform or the publication in which each State would otherwise  
504 publish proposed Rules.

505 F. The Notice of Proposed Rulemaking shall include:

- 506 1. The proposed time, date, and location of the meeting in which the Rule will be  
507 considered and voted upon;
- 508 2. The text of the proposed Rule or amendment and the reason for the proposed Rule;
- 509 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.
- 519 I. If a hearing is held on the proposed Rule or amendment, the Commission shall publish the  
520 place, time, and date of the scheduled public hearing. If the hearing is held via electronic  
521 means, the Commission shall publish the mechanism for access to the electronic hearing.
- 522 1. All persons wishing to be heard at the hearing shall notify the executive director of the  
523 Commission or other designated member in writing of their desire to appear and testify  
524 at the hearing not less than five (5) business days before the scheduled date of the  
525 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.
- 529 4. Nothing in this section shall be construed as requiring a separate hearing on each Rule.  
530 Rules may be grouped for the convenience of the Commission at hearings required by  
531 this section.
- 532 J. Following the scheduled hearing date, or by the close of business on the scheduled hearing  
533 date if the hearing was not held, the Commission shall consider all written and oral  
534 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.
- 537 L. The Commission shall, by majority vote of all members, take final action on the proposed  
538 Rule and shall determine the effective date of the Rule, if any, based on the Rulemaking  
539 record and the full text of the Rule.
- 540 M. Upon determination that an emergency exists, the Commission may consider and adopt an  
541 emergency Rule without prior notice, opportunity for comment, or hearing, provided that the  
542 usual Rulemaking procedures provided in the Compact and in this section shall be  
543 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;
- 548 3. Meet a deadline for the promulgation of an administrative Rule that is established by  
549 federal law or Rule; or
- 550 4. Protect public health and safety.

551 N. The Commission or an authorized committee of the Commission may direct revisions to a  
552 previously adopted Rule or amendment for purposes of correcting typographical errors,  
553 errors in format, errors in consistency, or grammatical errors. Public notice of any revisions  
554 shall be posted on the website of the Commission. The revision shall be subject to challenge  
555 by any person for a period of thirty (30) days after posting. The revision may be challenged  
556 only on grounds that the revision results in a material change to a Rule. A challenge shall be  
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  
559 revision is challenged, the revision may not take effect without the approval of the  
560 Commission.

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

### 562 A. Oversight

- 563 1. The executive, legislative, and judicial branches of State government in each Member  
564 State shall enforce this Compact and take all actions necessary and appropriate to  
565 effectuate the Compact's purposes and intent. The provisions of this Compact and the  
566 Rules promulgated hereunder shall have standing as statutory law.
- 567 2. All courts shall take judicial notice of the Compact and the Rules in any judicial or  
568 administrative proceeding in a Member State pertaining to the subject matter of this  
569 Compact which may affect the powers, responsibilities, or actions of the Commission.
- 570 3. The Commission shall be entitled to receive service of process in any such proceeding,  
571 and shall have standing to intervene in such a proceeding for all purposes. Failure to  
572 provide service of process to the Commission shall render a judgment or order void as to  
573 the Commission, this Compact, or promulgated Rules.

### 574 B. Default, Technical Assistance, and Termination

- 575 1. If the Commission determines that a Member State has defaulted in the performance of  
576 its obligations or responsibilities under this Compact or the promulgated Rules, the  
577 Commission shall:
- 578 a. Provide written notice to the defaulting State and other Member States of the nature  
579 of the default, the proposed means of curing the default and/or any other action to be  
580 taken by the Commission; and
- 581 b. Provide remedial training and specific technical assistance regarding the default.
- 582 2. If a State in default fails to cure the default, the defaulting State may be terminated from  
583 the Compact upon an affirmative vote of a majority of the Member States, and all rights,  
584 privileges and benefits conferred by this Compact may be terminated on the effective  
585 date of termination. A cure of the default does not relieve the offending State of  
586 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.
- 591 4. A State that has been terminated is responsible for all assessments, obligations, and  
592 liabilities incurred through the effective date of termination, including obligations that  
593 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

- 602 1. Upon request by a Member State, the Commission shall attempt to resolve disputes  
603 related to the Compact that arise among Member States and between member and non-  
604 Member States.
- 605 2. The Commission shall promulgate a Rule providing for both mediation and binding  
606 dispute resolution for disputes as appropriate.

607 D. Enforcement

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

619 **SECTION 12. DATE OF IMPLEMENTATION OF THE INTERSTATE COMMISSION FOR**  
620 **OCCUPATIONAL THERAPY PRACTICE AND ASSOCIATED RULES, WITHDRAWAL, AND**  
621 **AMENDMENT**

- 622 A. The Compact shall come into effect on the date on which the Compact statute is enacted  
623 into law in the tenth Member State. The provisions, which become effective at that time,  
624 shall be limited to the powers granted to the Commission relating to assembly and the  
625 promulgation of Rules. Thereafter, the Commission shall meet and exercise Rulemaking  
626 powers necessary to the implementation and administration of the Compact.
- 627 B. Any State that joins the Compact subsequent to the Commission's initial adoption of the  
628 Rules shall be subject to the Rules as they exist on the date on which the Compact  
629 becomes law in that State. Any Rule that has been previously adopted by the Commission  
630 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 the  
632 same.
- 633 1. A Member State's withdrawal shall not take effect until six (6) months after enactment of  
634 the repealing statute.
- 635 2. Withdrawal shall not affect the continuing requirement of the withdrawing State's  
636 Occupational Therapy Licensing Board to comply with the investigative and Adverse  
637 Action reporting requirements of this act prior to the effective date of withdrawal.
- 638 D. Nothing contained in this Compact shall be construed to invalidate or prevent any  
639 Occupational Therapy licensure agreement or other cooperative arrangement between a  
640 Member State and a non-Member State that does not conflict with the provisions of this  
641 Compact.

642 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**

646 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  
649 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  
651 applicability thereof to any government, agency, person, or circumstance shall not be  
652 affected thereby. If this Compact shall be held contrary to the constitution of any Member  
653 State, the Compact shall remain in full force and effect as to the remaining Member States  
654 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**

- 656 A. A Licensee providing Occupational Therapy in a Remote State under the Compact Privilege  
657 shall function within the laws and regulations of the Remote State.
- 658 B. Nothing herein prevents the enforcement of any other law of a Member State that is not  
659 inconsistent 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.
- 662 D. Any lawful actions of the Commission, including all Rules and bylaws promulgated by the  
663 Commission, are binding upon the Member States.
- 664 E. All agreements between the Commission and the Member States are binding in accordance  
665 with their terms.
- 666 F. In the event any provision of the Compact exceeds the constitutional limits imposed on the  
667 legislature of any Member State, the provision shall be ineffective to the extent of the conflict  
668 with the constitutional provision in question in that Member State.