



# POLICY & PROCEDURE MANUAL

EFFECTIVE AS OF OCTOBER 24, 2021

# TABLE OF CONTENTS

## Section I: ADMINISTRATION

- 1.1 [Records Retention](#)
- 1.2 [Conflicts of Interest](#)
- 1.3 [Communications](#)
- 1.4 [Member State Withdrawal](#)
- 1.5 [Elections](#)
- 1.6 [Changing State Compact Privilege Fees](#)
- 1.7 [Notification of Compact Privilege Holders in case of Member State Suspension or Termination](#)
- 1.8 [Refunds and Charge Backs](#)
- 1.9 [Verification of Military Service](#)
- 1.10 [Verification of Home State](#)
- 1.11 [Notification of Workplace and Facility Locations](#)
- 1.12 [Minutes Process](#)
- 1.13 [Finance Committee Role](#)
- 1.14 [Rules and Bylaws Committee Role](#)
- 1.15 [Employment](#)
- 1.16 [Financial Practices](#)
- 1.17 [Compliance Committee Role](#)

## Section II: IMPLEMENTATION

- 2.1 [Adoption of PT Compact Model Language](#)
- 2.2 [Requirements for Implementation](#)
- 2.3 [Notification of Home State by Compact Privilege Holders](#)
- 2.4 [Federal Bureau of Investigation Criminal Background Check Guidance](#)

## Section III: DISCIPLINE

- 3.1 [Obtaining Evidence for Investigative and Disciplinary Purposes](#)
- 3.2 [Reporting Adverse Actions](#)
- 3.3 [Reversal of Adverse Actions](#)
- 3.4 [Reporting Encumbrances](#)
- 3.5 [Termination of Compact Privileges](#)
- 3.6 [Termination of Compact Privileges Due to Voluntary Surrender](#)

## Section IV: CHARTS

- 4.1 Dispute Resolution Flow Chart
- 4.2 Non-compliance and Enforcement Flow Chart

POLICY NUMBER: 1.1

AREA: Administration

AUTHORITY: PT Compact – Section 7.C

PURPOSE: To establish the period of time records will be retained and subsequently destroyed by the Physical Therapy Compact Commission (PTCC).

DATE APPROVED: October 28, 2018

Policy:

1. Records are retained at least seven (7) years or as long as is required by law and scanned and stored when appropriate. This must be followed and can only be changed with the approval of the Chief Financial Officer (CFO).
2. When records are stored at an offsite location, they are to be placed in a file storage box with the contents and date clearly noted on the outside of the box to scan and store.
3. The destruction or deletion of records must be approved by the CFO.
4. All files will be maintained in a secure format.
5. Document destruction or deletion, including email, is prohibited if there is any pending or continuing litigation.

POLICY NUMBER: 1.2

AREA: Administration

AUTHORITY: PT Compact – Section 7.C and PT Compact Bylaws Article VI. Section 11

PURPOSE: To establish the process by which conflicts of interest must be disclosed and handled.

DATE APPROVED: October 28, 2018

Policy:

Delegates, Executive Board members, and staff shall disclose all conflicts of interest.

Procedure:

1. Whenever a member of the Executive Board, Delegate, or staff member has a financial or personal interest in any matter coming before the Executive Board or the Physical Therapy Compact Commission (PTCC), the affected person shall:
  - a. Fully disclose the nature of the interest; and
  - b. Recuse themselves from discussion, lobbying, and voting on the matter.
2. At its discretion, a majority of the Executive Board may allow an individual with a conflict of interest to participate in a discussion, if circumstances warrant.
3. Any transaction or vote involving a potential conflict of interest shall be approved only when a majority of delegates who do not have a conflict of interest determine that it is in the best interest of the Executive Board and/or PTCC to do so. The minutes of meetings at which such votes are taken shall record such disclosure, abstention, and/or rationale for approval.
4. While serving as a Delegate, a member of the Executive Board, or a member of a Committee or Task Force of the PTCC, the member's primary fiduciary obligation shall be to act in the best interest of the Commission as a whole, as opposed to the individual state board for which the member is serving as a delegate.

POLICY NUMBER: 1.3

AREA: Administration

AUTHORITY: PT Compact – Section 7.C

PURPOSE: To facilitate an effective and efficient system for communications within the compact, to state boards, and to other groups.

DATE APPROVED: October 28, 2018

DATE AMENDED: October 27, 2019

Policy:

Compact Delegates shall maintain open communication with physical therapy licensing boards and other interested parties.

Procedure:

1. When an issue arises that needs to be considered by the Physical Therapy Compact Commission (PTCC), Compact Delegates should forward the issue to the PTCC Chair and Compact Administrator.
2. General and routine requests for information regarding the PT Compact may be forwarded to the Compact Administrator, who will maintain a repository of information on behalf of the PTCC.
3. All requests for information regarding the PTCC from the public, an agency, an organization, governmental entity, or other body will be evaluated based on their merit, rules and laws governing the PTCC.
4. Requests for information regarding the PT Compact from an agency, an organization, or governmental entity will be forwarded to the Compact Administrator, who will notify the board administrator of the physical therapy board in the state where the request originated.
5. Any Compact Delegate who agrees to speak about the PT Compact to an entity located in a non-compact member state shall send a courtesy email to the PTCC Chair, Compact Administrator, and board administrator of the physical therapy board of the state in which the speech will be given prior to the speech.

6. The Compact Administrator will notify member boards regarding actions taken by the PTCC, as directed by the PTCC Chair or Executive Board.

POLICY NUMBER: 1.4

AREA: Administration

AUTHORITY: PT Compact – Section 11.C

PURPOSE: To describe the process for a member state to withdraw from the compact.

DATE APPROVED: October 28, 2018

Policy:

Any member state may withdraw from the Physical Therapy Compact by enacting legislation repealing the Compact language. As provided in the Compact language, the withdrawal will not take effect until six (6) months after the enactment of the legislation repealing the Compact language.

Procedure:

1. Action by the state wishing to withdraw from the PT Compact
  - a. The state shall send electronic or written notification to the Physical Therapy Compact Commission (PTCC) Chair and Compact Administrator of the intent to withdraw prior to initiating the formal process as described in the state's Compact law.
  - b. The state shall develop a timetable for the withdrawal process and communicate the timetable to all interested parties consistent with the PT Compact.
  - c. The timetable shall provide reasonable time for notification of physical therapists and physical therapist assistants holding active compact privileges or purchasing new compact privileges in the withdrawing state and time for those PTs and PTAs to obtain a license in the withdrawing state.
  - d. The withdrawing state shall forward a copy of the repealing statute to the Compact Administrator.
2. Responsibilities of the Physical Therapy Compact Commission (PTCC)

The PTCC shall notify all states, member and non-member, and all compact privilege holders, who have compact privileges in the withdrawing state or

compact privilege holders who designated the withdrawing state as their home residence, of the state's effective date of withdrawal from the PT Compact.



POLICY NUMBER: 1.5

AREA: Administration

AUTHORITY: PT Compact Bylaws – Article VII. Section 1

PURPOSE: To establish Physical Therapy Compact Commission (PTCC) elections procedure.

DATE APPROVED: October 28, 2018

Procedure:

1. An elections committee, made up of two members not on the Executive Board, will solicit nominations at least two months prior to the PTCC Annual Meeting. Nominations for the Executive Board may be made until one month prior to the PTCC Annual Meeting or from the floor during the annual meeting.
2. The Elections Committee will tally and verify the election and report the results to the PTCC Delegates during the PTCC Annual Meeting. Members of the Executive Board shall be elected by majority vote. Any election resulting in a tie will be decided by lot.

POLICY NUMBER: 1.6

AREA: Administration

AUTHORITY: PT Compact – Section 3.D

PURPOSE: To establish a process by which member states can submit and change state fees required to purchase compact privileges.

DATE APPROVED: October 28, 2018

DATE AMENDED: October 27, 2019

Policy:

Physical Therapy Compact Commission (PTCC) member states establishing or changing the state fees required to obtain a compact privilege in that state must notify the PTCC.

Procedure:

1. A member state may set the state fee to purchase a compact privilege in that state at any amount.
2. A member state must send electronic or written notification to the Compact Administrator of a change to the state fee amount.
3. The PTCC will have up to thirty (30) days from the date the Compact Administrator is notified to implement any state fee changes in the PTCC system. The Compact Administrator will notify the member state once the change is made.

POLICY NUMBER: 1.7

AREA: Administration

AUTHORITY: PT Compact – Section 7.C and PT Compact Rule 8.3 and 8.4

PURPOSE: To establish how and when compact privilege holders will be notified when a compact member state is suspended or terminated.

DATE APPROVED: October 28, 2018

Policy:

Upon a compact member state's suspension or termination, all individuals holding active compact privileges in that state shall be notified by the Physical Therapy Compact Commission (PTCC).

Procedure:

Suspension of a PTCC Member State

1. Thirty (30) days prior to a meeting of the full PTCC to discuss the potential suspension of a PTCC member state, the Compact Administrator shall send electronic notification of the potential of suspension to all individuals holding active compact privileges in the state and all individuals who designated the state as their home state.
2. Within 24 hours of the official vote to suspend by the PTCC, the Compact Administrator shall send an electronic notification to all individuals holding active compact privileges in the suspended state that compact privileges will be deactivated until further notice and thus are no longer valid in the suspended state.
3. Within 24 hours of the official vote to lift a suspension by the PTCC, the Compact Administrator shall send an electronic notification to all individuals with deactivated compact privileges associated with said state notifying them that all unexpired compact privileges will be re-activated within five (5) business days and thus are valid.

Termination of a PTCC Member State

1. Thirty (30) days prior to a meeting of the full PTCC to discuss the potential termination of a PTCC member state, the Compact Administrator shall send electronic notification of the potential of termination to all individuals holding active compact privileges in the state and all individuals who designated the state as their home state.

2. Within 24 hours of the official vote to terminate by the PTCC, the Compact Administrator shall send an electronic notification to all individuals holding active compact privileges for the terminated state that compact privileges are no longer valid and will be terminated immediately.
  
3. Within 24 hours of the official vote to terminate by the PTCC, the Compact Administrator shall send an electronic notification to all individuals with a home state that has been terminated from the PT Compact that any compact privileges associated with their home state license will be terminated immediately.

POLICY NUMBER: 1.8

AREA: Administration

AUTHORITY: PT Compact – Section 7.C

PURPOSE: To establish how refunds and charge backs for compact privileges are processed.

DATE APPROVED: October 28, 2018

Policy:

The Physical Therapy Compact Commission (PTCC) has the ability to approve refunds on a case by case basis in circumstances deemed extraordinary. In addition, if no payment is received due to a credit card charge back, the Compact Administrator shall terminate compact privileges due to non-payment and prevent an individual from purchasing any additional compact privileges until non-payment is remedied in accordance with Rule 3.9.

Procedure:

Refunds

1. Upon electronic or written request for a refund, the Compact Administrator will gather information regarding the specific circumstances. If the Compact Administrator, in consultation with the Chief Financial Officer, determines circumstances warrant a refund, the Compact Administrator will process the refund request. If the request is denied, the Compact Administrator will notify the requesting party of the decision.
2. Once a refund request is approved, the Compact Administrator will notify the state(s) that would be impacted due to the refund.
3. Refund approvals will be documented and include reasons the request was granted.

Charge Backs

1. Upon notification of a credit card charge back, the Compact Administrator will seek a resolution with the credit card holder for payment and notify them that compact privileges will be terminated if no payment is received.

2. If payment is not received within five (5) days, the Compact Administrator shall terminate any compact privileges associated with the non-payment and notify the associated states.
3. The Compact Administrator will block an individual who has an outstanding non-payment issue from purchasing any additional compact privileges until the non-payment issue is remedied.

POLICY NUMBER: 1.9

AREA: Administration

AUTHORITY: PT Compact – Section 5 and PT Compact Rule 4.1

PURPOSE: To establish the process by which military service will be verified by the Physical Therapy Compact Commission (PTCC).

DATE APPROVED: October 28, 2018

Policy:

To demonstrate eligibility for the benefits established in Section 5 of the Compact and/or for eligibility for state compact privilege fee waivers, where appropriate, the PTCC requires the verification of military service for active duty service members and their spouses and veterans from individuals that indicate that status during the compact privilege purchase process.

Procedure:

Active Duty Military Members, Active Duty Military Spouses, and Veterans

1. Any person requesting the status of active duty military or spouse of an active duty military member must send the PTCC a copy of their current and valid military identification card issued by the United States government or other acceptable proof. The required identification must be sent to [military@ptcompact.org](mailto:military@ptcompact.org).
2. Any person requesting the status of military veteran must send the PTCC a copy of their current and valid veteran identification card issued by the United States government or other acceptable proof. The required identification must be sent to [military@ptcompact.org](mailto:military@ptcompact.org).

POLICY NUMBER: 1.10

AREA: Administration

AUTHORITY: PT Compact – Section 4.A and PT Compact Rule 3.1

PURPOSE: To establish the process by which home state may be verified.

DATE APPROVED: October 28, 2018

Policy:

The Physical Therapy Compact Commission (PTCC) requires proof of home state, as defined by Rules, during the verification and purchasing process. The PTCC may require compact privilege seekers and holders to submit additional information to verify home state.

Procedure:

1. Individuals seeking a compact privilege are required to provide their driver's license/state ID number and expiration date to the PTCC system for use in verifying the individual's home state when purchasing a compact privilege. If the individual does not have a driver's license or state ID in the home state, the Compact Administrator will determine if an alternative identification document is acceptable.
2. The Compact Administrator may, at any time, require a compact privilege seeker or holder to submit additional documents in order to verify an individual's home state including, but not limited to, driver's license, state identification card, voter registration card, utility bills, etc. The Compact Administrator will make any necessary changes to home state on record based on the information collected.



POLICY NUMBER: 1.11

AREA: Administration

AUTHORITY: PT Compact – Section 7.C and PT Compact Rule 3.1

PURPOSE: To establish the process by which member states can require compact privileges holders to provide the location of workplaces and facilities where physical therapy is conducted.

DATE APPROVED: October 28, 2018

Policy:

The Physical Therapy Compact Commission (PTCC) allows member states to require compact privilege holders to notify the licensing board of the physical location(s) where the individual is providing physical therapy services within that remote state.

Procedure:

1. A member state physical therapy board may send an electronic or written request to an individual holding a current compact privilege in the state to submit the location(s) where the individual is currently providing physical therapy services within that remote state, if available. However, said information cannot be a requirement to obtain or maintain a compact privilege.
2. Any location information collected shall be maintained by the state.

POLICY NUMBER: 1.12

AREA: Administration

AUTHORITY: PT Compact – Section 7.E and PT Compact Bylaws – Article VI. Section 3.C

PURPOSE: To establish the process by which minutes will be drafted, reviewed, and posted.

DATE APPROVED: October 28, 2018

DATE AMENDED: October 25, 2020

Policy:

Minutes will be drafted, reviewed, and posted in a timely manner following the conclusion of a meeting.

Procedure:

1. Minutes of official Physical Therapy Compact Commission (PTCC) meetings, including Commission, Executive Board, Committees, and Task Forces, will be drafted and submitted to the respective entity for review and comment within (5) business days after the conclusion of the meeting.
2. After review, draft minutes will be posted publicly within ten (10) business days after the conclusion of the meeting by the appointed designee.

POLICY NUMBER: 1.13

AREA: Administration

AUTHORITY: PT Compact Bylaws – Article VII. Section 2

PURPOSE: To establish the role and duties of the Physical Therapy Compact Commission (PTCC) Finance Committee.

DATE APPROVED: October 28, 2018

Policy:

As delegated by the Treasurer, the Finance Committee shall provide support in the performance of the duties of the Treasurer as outlined in Article VI Section 3.C of the Bylaws

Procedure:

The Treasurer may direct the Finance Committee to assist in tasks such as:

1. Serving in an advisory role in developing financial policies and practices.
2. Reviewing quarterly financial reports and annual budget.
3. Other duties as assigned.

POLICY NUMBER: 1.14

AREA: Administration

AUTHORITY: PT Compact Bylaws – Article VII. Section 2

PURPOSE: To establish the role and duties of the Physical Therapy Compact Commission (PTCC) Rules and Bylaws Committee.

DATE APPROVED: October 28, 2018

Procedure:

Annual Review of Rules and Bylaws

1. Annually, at a time determined by the Committee Chair, the Rules and Bylaws Committee will solicit suggestions from PTCC Delegates, member state board Administrators, and PTCC staff for suggested amendments to the PTCC Rules and Bylaws.
2. The Committee will review all submitted suggestions and draft proposed amendments for any suggestions that the Committee mutually agrees should be made.
3. The Committee will then provide both the Executive Board and all PTCC Delegates and member state board Administrators the opportunity for informal review and comment on the proposed draft amendments prior to making any official recommendation.
4. After consideration of informal comments on the proposed draft amendments, the Committee will make changes that it agrees should be made and vote on a final version of the proposed draft amendments to recommend for Executive Board consideration.
5. If the Executive Board does not vote to recommend the proposed draft amendments for consideration by the full Commission, the Committee will review the amendments and revise as necessary before voting again to recommend to the Executive Board.

Emergency Rules and Bylaws Amendments

In the case of the adoption of emergency amendments to the Rules and Bylaws, the Committee will begin the usual rulemaking process no later than ninety (90) days after the effective date of the rule.

POLICY NUMBER: 1.15

AREA: Administration

AUTHORITY: PT Compact – Section 7.C

PURPOSE: To establish the employment policies for Physical Therapy Compact Commission (PTCC) staff.

DATE APPROVED: October 28, 2018

Policy:

PTCC staff will have employment policies provided at the time of employment by the PTCC or, if staff is employed and managed through a third party, said third party employer shall provide a copy of the employment policies governing PTCC staff and administer the employment policies as necessary. A copy of the employment policies will be provided to the PTCC Executive Board upon request.

POLICY NUMBER: 1.16

AREA: Administration

AUTHORITY: PT Compact Bylaws – Article VI. Section 3.C

PURPOSE: To establish financial processes of the Physical Therapy Compact Commission (PTCC).

DATE APPROVED: October 28, 2018

DATE AMENDED: October 25, 2020; October 27, 2019

Policy:

The PTCC finances shall be conducted in accordance with common financial practices and shared with PTCC members.

Procedure:

Financial Reporting

1. Treasurer's Report at Annual Meeting  
The Treasurer of the PTCC, with the assistance of the Chief Financial Officer (CFO), will present an annual report to the PTCC Delegates at the Annual Meeting.
2. Review of Financial Activities  
Financial statements will be prepared in a timely manner at the conclusion of each quarter. Such statements will be distributed to the Treasurer, Finance Committee, and Executive Board.
3. Reporting Financial Matters to Member Boards  
Actual incomes and expenses will be published and shared with the Delegates and member state board Administrators after the end of the fiscal year or after an annual audit is completed.

Annual Budget

1. The CFO and Compact Administrator will summarize and discuss the proposed annual budget with the Treasurer. The Treasurer will submit the annual budget to the Executive Board for consideration.

2. The Executive Board will submit the proposed annual budget for consideration and vote by the full Commission at its annual meeting.

#### Remittal of State Compact Privilege Fees

1. No later than fourteen (14) business days following the conclusion of each month, the CFO will remit back to the appropriate state, in the form of a check, the net of the gross compact privilege fees collected on behalf of the state minus a 3.5% processing charge for each compact privilege purchased rounded up to the nearest dollar.



POLICY NUMBER: 1.17

AREA: Administration

AUTHORITY: PT Compact Bylaws – Article VII. Section 2

PURPOSE: To establish the role and duties of the Physical Therapy Compact Commission (PTCC) Compliance Committee.

DATE APPROVED: October 24, 2021

Policy:

The Compliance Committee shall assist in monitoring compact member state compliance with the requirements of the PT Compact, assist in remediation, and make recommendations to the Executive Board regarding enforcement actions, when necessary.

Procedure:

The Compact Administrator shall be responsible for coordinating the entire process with involvement of members of the Compliance Committee as outlined below.

Compliance Monitoring and Reporting

STEP 1 – Quarterly Compliance Reporting.

- 1) The Compact Administrator shall send each compact state a quarterly report on its compliance with the key factors.
  - a) The report shall highlight compliance and non-compliance for each factor.
  - b) Allow 2 weeks for the member state to proactively contact the Compact Administrator in response to any factors not in compliance.
  - c) If steps are taken to achieve compliance, move the member state off the list of non-compliance and include member state in the report to the Compliance Committee at the next meeting.
  - d) If the member state contact does not proactively contact the Compact Administrator in response to non-compliance within 2 weeks, move forward to next step.

STEP 2 – Quarterly Report to Compliance Committee.

- 1) The Compact Administrator shall send the Compliance Committee a quarterly update on the compliance of compact states.
  - a) The Committee will meet quarterly, if needed, to address compliance issues.

STEP 3 - Discussion with member state regarding non-compliance.

- 1) The Compact Administrator shall request a meeting to discuss the non-compliance member state and understand any barriers the state faces.
- 2) Attendees of the meeting shall be a representative from the member state, the PT Compact Administrator, and a representative from a Compact Member State whose board is of similar structure (independent, umbrella, etc).
  - a) Non-compliance is directly discussed and steps to remediate the non-compliance are identified.
  - b) Per Section 10(B).1b of the compact language, as necessary, the Commission, through the Compact Administrator, will provide remedial training and technical assistance to a non-compliant state.
  - c) A deadline for compliance is established. Deadlines may vary depending on the hierarchy matrix created regarding how concerning non-compliance is in each area.
  - d) If compliance is achieved, move the member state off the list of non-compliance and include member state in the report to the Compliance Committee at the next meeting.
  - e) If deadline is reached and non-compliance persists, move forward to next step.

STEP 4 – Preliminary notification of non-compliance.

- 1) The Compact Administrator and PTCC Chair shall send preliminary notification of non-compliance letter to the compact member state Administrator and Compact Delegate.
  - a) Non-compliance is identified in the letter with a request for a meeting on a scheduled date.
  - b) Meeting is held with member state, Compact Administrator, and PTCC Chair on date scheduled to discuss non-compliance.
  - c) A verbal agreement is made that clearly lists steps to be completed with deadlines associated with each step.
  - d) After the meeting occurs, revised notification is sent by the Compact Administrator documenting the agreed-upon remedial steps to be taken with associated deadlines and notification that, if the compliance is not reached by the deadline, the non-compliance shall be referred to the Compliance Committee for consideration.
  - e) If compliance is achieved, move the member state off the list of non-compliance and include member state in the report to the Compliance Committee at the next meeting.
  - f) If deadline is reached and non-compliance persists, move forward to next step.

STEP 5 - Non-compliance reported to Compliance Committee.

- 1) The Compact Administrator shall notify the Compliance Committee of the non-compliance issue and schedule a committee meeting.

- a) Compact Administrator provides a summary report to the Compliance Committee, including dates of each prior step taken and the associated response by member state.
- b) Committee reviews report for member state in non-compliance and recommendations for compliance enforcement are discussed and voted on by the committee. Recommendation may be to suspend until remediated or termination.
- c) If compliance is achieved during this time period, move the member state off the list of non-compliance and include member state in a report to the Executive Board at its next meeting.
- d) If compliance is not achieved, Committee recommendations are sent to the Executive Board by the Compact Administrator and put on the agenda for the next Executive Board Meeting.

**STEP 6 - Executive Board Action.**

- 1) The Compact Administrator shall notify the Executive Board of the non-compliance issue and schedule a meeting.
  - a) The Compact Administrator shall provide the Executive Board with a summary report and Compliance Committee recommendation. The Executive Board shall vote on action to be taken. Recommendation may be to take no action, suspend the state's membership in the Compact until remediated, or terminate the state's membership in the Compact, to be considered by the full Commission at an emergency meeting of the full Commission or at its next annual meeting.
  - b) The state shall have an opportunity for dispute resolution as provided for in Compact law, rules, and bylaws.
  - c) If compliance is achieved during this time period, move the member state off the list of non-compliance and include member state in a report to the Executive Board at its next meeting.

**STEP 7 – Full Commission Board Action.**

- 1) The Compact Administrator shall notify the full Commission of the non-compliance issue and schedule a meeting.
  - a) The Compact Administrator shall provide the full Commission with a summary report and Executive Board recommendation. The full Commission shall vote on the issue and may take no action, suspend the state's membership in the Compact until the issues are remediated, terminate the state's membership in the Compact, or take other action within their discretion.
  - b) If the full Commission recommends to suspend or terminate the defaulting state, notice shall be sent to all required parties to include the nature of default and means of curing the default, per Section 10B of the physical therapy compact model language.

c) The state shall have an opportunity for dispute resolution as provided for in Compact law, rules, and bylaws.

d) If compliance is achieved during this time period, move the member state off the list of non-compliance and include member state in a report to the Executive Board at its next meeting and notify the full Commission.

POLICY NUMBER: 2.1

AREA: Implementation

AUTHORITY: PT Compact – Section 7.C

PURPOSE: To assure that states prepare/adopt language consistent with the model Physical Therapy Compact language.

DATE APPROVED: October 28, 2018

Policy:

1. Any Compact or enabling statute provisions that require a physical therapist (PT) or physical therapist assistant (PTA) to meet additional requirements to obtain or maintain a compact privilege will be deemed to impose material limitations and conditions on the exercise of the compact privilege and to constitute a material variation from the Compact enacted by the existing member states.
2. Compact or enabling statute provisions that require a PT or PTA, directly or through the employer, to notify the state board of physical therapy that the PT or PTA is practicing in the state so that the state may determine the availability of PTs or PTAs or practice patterns within its jurisdiction, etc. are not deemed to impose a material limitation or condition on the exercise of the compact privilege or to constitute a material variation from the Compact enacted by the existing party states so long as the state does not require registration (other than to access a jurisprudence exam), payment of a fee, and/or satisfaction of background checks or either condition as a precondition to practice on a compact privilege in the state.

Procedure:

1. If PTCC staff or PTCC delegate becomes aware of proposed compact legislation or when the Physical Therapy Compact is enacted by a new state, the Compact Administrator will review the statute adopting the Compact to determine whether the statute imposes material limitations and conditions on the ability to practice in the state pursuant to a compact privilege and whether the Compact, as enacted, contains other material variations from the Compact as enacted by existing member states. All reasonable efforts will be made to notify a state which introduces proposed compact legislation, prior to the enactment of said statute.
2. Where the PTCC Executive Board, in consultation with legal counsel, determines that the Compact statute as enacted by a new state is materially different from the enactments of the other member states, the Compact Administrator will notify the new

state that the PTCC will not recognize it as effectively adopting the Compact and identify the reasons therefore.

3. States enacting compact legislation that are determined to be materially equivalent by the Compact Administrator will automatically be deemed a member of the PTCC. Subsequently, the Compact Administrator will send electronic notification to the Executive Board, Delegates, and the board administrator of the new member state physical therapy board.

POLICY NUMBER: 2.2

AREA: Implementation

AUTHORITY: PT Compact – Section 3 and PT Compact Rule 2.1 and 2.2

PURPOSE: To provide guidance to member states regarding the requirements to complete the implementation of the Physical Therapy Compact (PT Compact) to be ready to issue and accept compact privileges.

DATE APPROVED: October 28, 2018

Policy:

A member state must satisfactorily demonstrate its readiness to begin issuing and accepting compact privileges before physical therapists (PTs) and physical therapist assistants (PTAs) in that state can obtain compact privileges in remote compact member states or PTs and PTAs can obtain compact privileges to practice/work in said state.

Procedure:

Member states must implement the following items and inform the Compact Administrator:

1. Submit the member state approved delegate to serve on the PT Compact Commission.
2. Have member state delegate and appropriate staff participate in the PT Compact implementation calls.
3. Fully implement the FBI Criminal Background Check requirement in accordance with Rule 2.1.
4. Require continuing competence for license renewal for physical therapists and physical therapist assistants.
5. Fully implement the requirements of Rule 6.1 regarding the data system.
6. Establish a state fee for compact privilege (note: the state fee can be set at \$0).
7. Determine the state requirement for jurisprudence, if any.
8. If necessary, adopt any new rules related to the PT Compact.

9. Determine if the state will waive state fees for active duty military members, active duty military spouses, and/or veterans.



POLICY NUMBER: 2.3

AREA: Implementation

AUTHORITY: PT Compact – Section 4.A and PT Compact Rule 3.1

PURPOSE: To establish the process by which compact privilege holders must notify the Physical Therapy Compact Commission (PTCC) of a change in home state.

DATE APPROVED: October 28, 2018

Policy:

Compact privilege holders must notify the PTCC of a change of home state address within thirty (30) days per Rule 3.1.

Procedure:

1. If a compact privilege holder changes home state, as defined in Rules, the individual must update their profile in the PT Compact system by logging into their personal profile at [ptcompact.org](http://ptcompact.org) and submitting the associated change of address and driver's license or state identification information for the new home state.
2. Address changes other than those that affect an individual's home state, such as in the case of temporary relocation, do not need to be made in the PT Compact system as it may incorrectly adversely impact the status of compact privileges.

POLICY NUMBER: 2.4

AREA: Implementation

AUTHORITY: PT Compact – Section 3.A and PT Compact Rule 2.1

PURPOSE: To provide guidance to member states regarding the Federal Bureau of Investigation (FBI) Criminal Background Check.

DATE APPROVED: October 28, 2018

Policy:

A member state must fully implement the FBI Criminal Background Check (FBI CBC) requirement in accordance with Rule 2.1.

Procedure:

1. States with Existing Requirements that May Comply with Rule 2.1

A member state that has existing laws or rules that it believes already comply with Rule 2.1 must get approval from the Compact Administrator that it does meet the requirement in accordance with Rule 2.1.

2. States without Existing Requirements that Comply with Rule 2.1

A member state that does not have existing laws or rules that comply with Rule 2.1 must work with appropriate state agencies and the Federal Bureau of Investigation to get the required approval to receive the FBI CBC information. Once approval is granted the member state must provide the Compact Administrator with an anticipated date the state will meet the requirement in accordance with Rule 2.1.

POLICY NUMBER: 3.1

AREA: Discipline

AUTHORITY: PT Compact – Section 3.A, 6.F and PT Compact Rule 6.7

PURPOSE: To assist party states in obtaining evidence for investigative and disciplinary purposes when an incident occurs in another party state.

DATE APPROVED: October 28, 2018

DATE AMENDED: October 27, 2019

Policy:

Compact member states will assist in obtaining evidence necessary for investigations and disciplinary proceedings in party states, as allowed by state law and Physical Therapy Compact Commission (PTCC) Rules.

Procedure:

1. The party state requesting investigatory information shall communicate directly with the physical therapy licensing authority of the state making the notification of available investigatory information. The designated staff of each state shall come to a mutual agreement on what information will then be formally requested in writing and shared between the states based on their respective state laws.
2. The party state needing the documentary evidence shall request, in writing, that the physical therapy licensing authority of the state where the incident occurred obtain the requested records.
3. The request shall be specific regarding the time frame to be covered and documents needed (medical records, personnel records, policies, time records, etc.)
4. The party state where the incident occurred shall acknowledge the request within 10 business days of receipt and will provide an estimated time within which the information will be provided.
5. Party state will facilitate obtaining requested records as allowed by state law and PTCC rules, including but not limited to subpoenas and formal requests.
6. Those party states allowed by law to issue subpoenas will do so within 10 days of receipt of request.

POLICY NUMBER: 3.2

AREA: Discipline

AUTHORITY: PT Compact Rules - 6.3 and 6.4

PURPOSE: To establish the process by which member states will report adverse actions to the Physical Therapy Compact Commission (PTCC).

DATE APPROVED: October 25, 2020; October 28, 2018

Policy:

Member states must report any new adverse actions taken on a license or compact privilege to the PTCC.

Procedure:

1. Member states will use the jurisdiction interface of the Federation of State Boards of Physical Therapy (FSBPT) Electronic Licensure and Disciplinary Database (ELDD) to log any disciplinary action taken on a license or compact privilege in accordance with the requirements of Rule 6.4.
2. The effective date of the adverse action as reference in Rule 6.4 is to be defined as the date in which the board order officially goes into effect subsequent to any appeals or mandated delays.

POLICY NUMBER: 3.3

AREA: Discipline

AUTHORITY: PT Compact Rules - 6.3 and 6.4

PURPOSE: To establish the procedure for the reversal of adverse actions.

DATE APPROVED: October 25, 2020; October 28, 2018

Policy:

If an adverse action, which has a negative effect on eligibility for compact privileges, is reversed, the member state will notify the Physical Therapy Compact Commission (PTCC).

Procedure:

1. A member state that has reversed an adverse action will use the Federation of State Boards of Physical Therapy (FSBPT) jurisdiction interface to reverse/remove the adverse action within five (5) business days.
2. A member state that has reversed an adverse action will send an email notification to the Compact Administrator within five (5) business days, and subsequently the PTCC will update the individual's record and reactivate any associated unexpired compact privileges within ten (10) business days.

POLICY NUMBER: 3.4

AREA: Discipline

AUTHORITY: PT Compact Rules - 6.3 and 6.4

TOPIC: Reporting of Encumbrances

PURPOSE: To establish the process by which member states will report encumbrances to the Physical Therapy Compact Commission (PTCC).

DATE APPROVED: October 25, 2020; October 28, 2018

Policy:

Member states must report the addition and removal of any encumbrances on a license or licensee or compact privilege or compact privilege holder to the PTCC.

Procedure:

1. Member states will send an electronic notification to the Compact Administrator of any active licensee or compact privilege holder that has an encumbrance on their license.
2. Member states placing new encumbrances on a license or compact privilege must send an electronic notification to the Compact Administrator within two (2) business days of the effective date of the action.
3. Member states removing encumbrances on a license or compact privilege must send an electronic notification to the Compact Administrator within two (2) business days of the effective date of the action.

POLICY NUMBER: 3.5

AREA: Discipline

AUTHORITY: PT Compact – Section 4 and PT Compact Rules – 3.5 and 3.9

PURPOSE: To establish the process by which compact privileges will be terminated.

DATE APPROVED: October 28, 2018

DATE AMENDED: October 25, 2020; October 27, 2019

Policy:

The Physical Therapy Compact Commission (PTCC) will terminate compact privileges, as required by law, when notified by a party state that in accordance with due process the state has taken an adverse action against an individual's license or compact privilege.

Procedure:

1. The Compact Administrator will report any possible violation of PT Compact Law, Rules, Bylaws, or Policies by a compact privilege holder to the appropriate state board(s) to determine what adverse action should be taken, if any.
2. Upon termination of a compact privilege, the PTCC will send electronic notification to the individual that all associated compact privileges were terminated.
3. Upon termination of compact privileges, the PTCC will send electronic notification to the state(s) where the compact privilege was held that the compact privilege was terminated.

POLICY NUMBER: 3.6

AREA: Discipline

AUTHORITY: PT Compact – Section 4 and PT Compact Rules – 3.5 and 3.9

PURPOSE: To establish the process by which compact privileges will be terminated due to a voluntary surrender.

DATE APPROVED: October 25, 2020

Policy:

The Physical Therapy Compact Commission (PTCC) will terminate compact privileges, as required by law, when notified by a compact privilege holder and confirmed by a party state that the individual is voluntarily surrendering a compact privilege but no corresponding reportable adverse action will be taken.

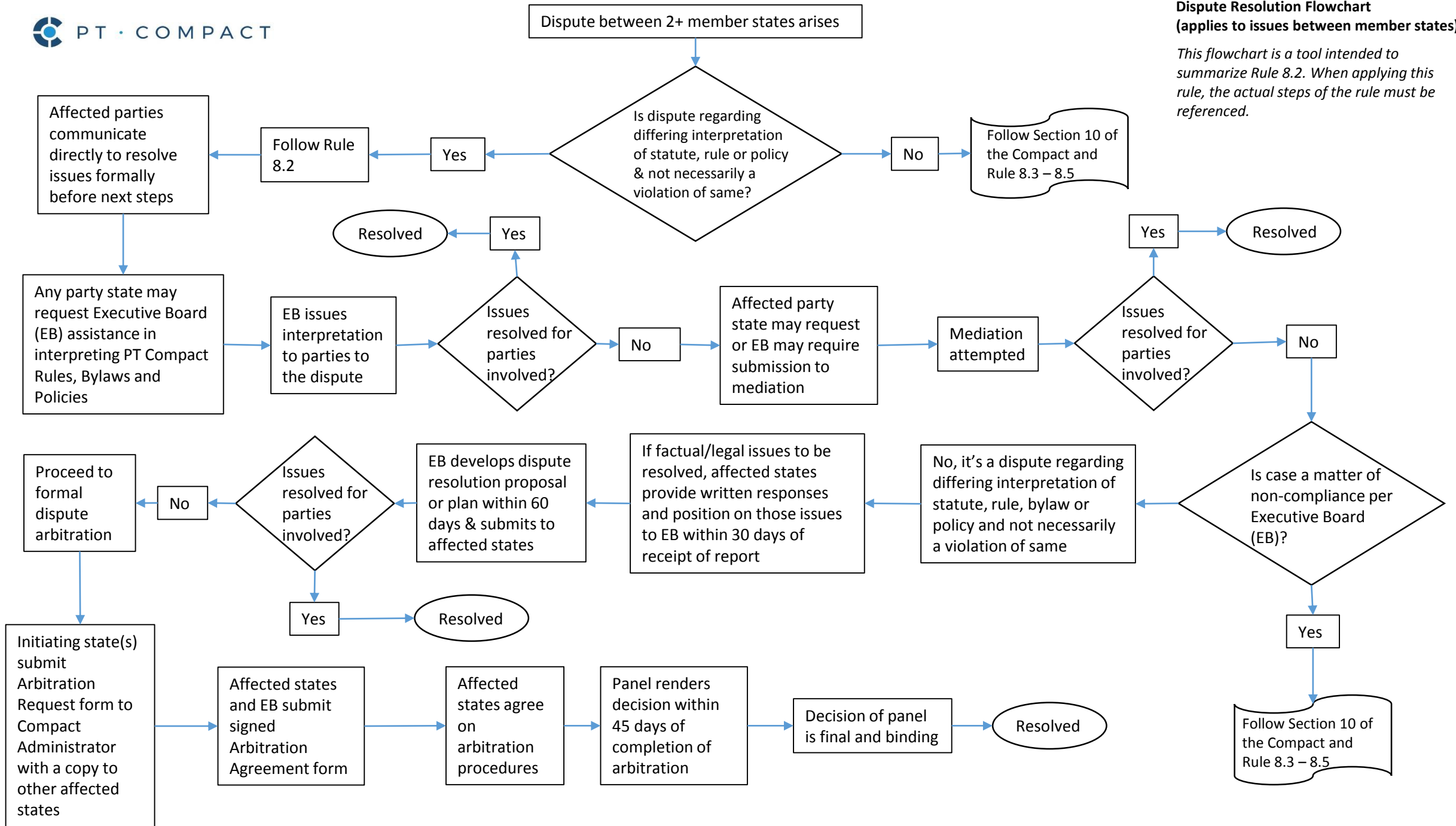
Procedure:

When notified by a compact privilege holder that a party state has asked the individual to voluntarily surrender a compact privilege to the Commission, the Compact Administrator will confirm the request with the appropriate party state. Once confirmed, the Compact Administrator will terminate the compact privilege and send notification to the party state board and individual. Termination of compact privileges through voluntary surrender, which does not have corresponding reportable adverse action, does not adversely impact an individual's eligibility for compact privileges. This policy does not apply to a voluntary surrender that is reported as an adverse action.



**Dispute Resolution Flowchart**  
(applies to issues between member states)

*This flowchart is a tool intended to summarize Rule 8.2. When applying this rule, the actual steps of the rule must be referenced.*



**Non-compliance & Enforcement**

(applies to issues between the Executive Board and a member state)

PT Compact Executive Board (EB) receives allegation of member state non-compliance

Compact Administrator communicate with parties directly to resolve issues informally before next steps

Issues resolved informally?

Yes

Resolved

Does member state alleged to be in non-compliance need assistance with PT Compact interpretation?

Yes

State contacts EB to request interpretation assistance.

Issues resolved to satisfaction of EB. Compact Administrator prepares written report. No further action required.

No

No, issue remains unresolved.

Compact Administrator provides EB report of non-compliance allegations including informal resolution efforts.

Does EB determine that the state may be non-compliant?

Resolved

No

EB provides notice to state(s) citing allegation(s) of non-compliance

Yes

State(s) provide a response regarding alleged noncompliance to EB within 45 days

EB, Compact Administrator, and legal counsel develop/propose plan for voluntary resolution within 60 days

Does state agree with EB's proposed plan for resolution and cures non-compliance?

Yes

Plan Executed

Resolved

Follow Section 10 of Compact, Rules 8.4, 8.5

No

EB conducts investigation to examine evidence relevant to allegation(s)

State provided opportunity to submit response to preliminary findings with 20 days

EB or Investigator prepares report including summary of findings, submits to party state within 45 days after conclusion of investigation

State provides comments or corrections within 14 days

EB determines, base on preponderance of the evidence standard, if violation(s) of Compact exist

If EB substantiates allegations, conference scheduled with non-compliant state to determine if violation(s) may be remedied within 45 days

Is there agreement to resolution?

Yes

Resolved

No

Follow Section 10 of Compact, Rules 8.4, 8.5

EB orders arbitration before 3 member panel

Involved state(s) signs Arbitration Agreement form

All parties shall agree on procedures

The panel renders decision within 45 days of the completion of the arbitration

Decision of panel is final and binding

Resolved

*This flowchart is a tool intended to summarize the Rule 8.3. When applying this Rule, the actual steps of the Rule must be referenced.*