



# ANNUAL REPORT 2020



PT • COMPACT

[PTCOMPACT.ORG](https://ptcompact.org)

# EXECUTIVE SUMMARY

The 2020 Annual Report is an overview of the various activities and growth of the Physical Therapy Compact Commission (PTCC) during the year:

- Enacted PT Compact legislation in three new states
- Completed implementation and began issuance of compact privileges (CPs) in four more states
- Issued more than 2,400 compact privileges to PTs and PTAs
- Reviewed and amended governance documents
- resolved Medicare recognition issue
- Developed new video resources
- Worked with states on requirement compliance
- Dealt with the impact of COVID-19
- Convened PT Compact System Users Task Force
- Improved customer service

- 20 Active States
- 29 Member States
- 2,455 Compact Privileges Issued
- 1,285 PT Users
- 367 PTA Users

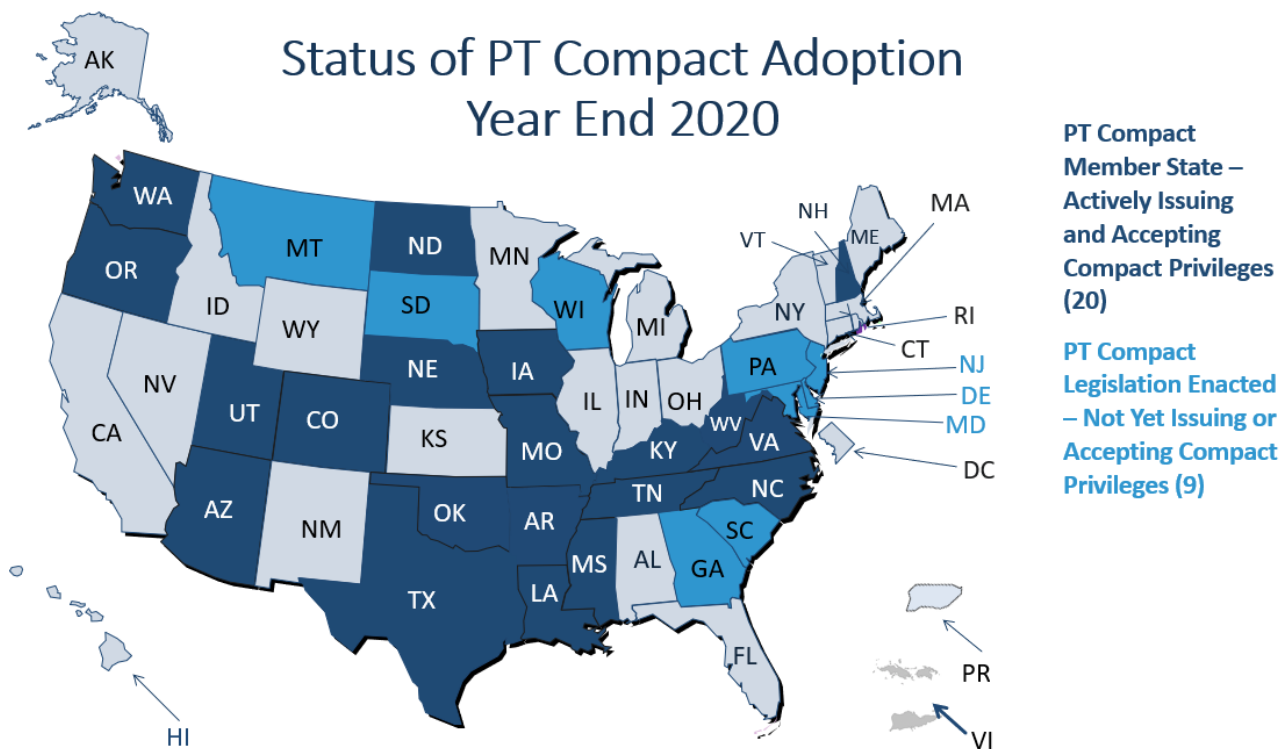
2020 was an unusual and challenging time for the entire world with COVID-19 spreading quickly in the early part of the year and requiring changes to both personal and business routines.

Despite the unprecedented times, the PTCC continued its work virtually. It was not only able to grow and learn, but it also demonstrated its value to physical therapy professionals and the public.

Although the number of compact privileges issued doubled in 2020, the PTCC continues to look for opportunities to improve itself and the service it provides to PTs and PTAs throughout the country.

# LEGISLATIVE ACTIVITY

Ten jurisdictions introduced PT Compact model legislation in 2020 (Alabama, California, Massachusetts, Michigan, Ohio, Pennsylvania, Rhode Island, South Dakota, Washington, D.C., and Wisconsin). However, many states drastically reduced the number of bills actually considered due to shortened sessions caused by COVID-19. Therefore, only three states enacted legislation and joined the PT Compact by the end of 2020 (Pennsylvania, South Dakota, and Wisconsin). These successful efforts were helped greatly by the work of the American Physical Therapy Association (APTA) and its state associations, thus bringing the total number of states in the PTCC to twenty-nine.



# IMPLEMENTATION

After enacting the model physical therapy compact legislation, a state must work to implement all the requirements of the PT Compact before being ready to actively issue and accept compact privileges. The responsibility falls upon the state licensing board, and the amount of time, work, and difficulty to implement the requirements can vary widely.

In 2020, the task of implementing the PT Compact proved even more difficult with the staff of many state licensing boards having to commit their already limited resources to new important efforts to increase accessibility to health care professionals, such as PTs and PTAs, during the COVID-19 pandemic.

Despite the pandemic, four states completed implementation and began issuing and accepting compact privileges in 2020 (Arkansas, Oklahoma, Virginia, and West Virginia). The additional states brought the total number of active compact states to twenty.

Several issues continue to hamper the implementation in the remaining nine states including but not limited to the FBI approval of national criminal background checks, approval of weekly licensee data sharing, and the adoption of new rules. Because of these issues, the implementation process continues to average between eight and twelve months after enactment of legislation.

The PTCC continues to implement lessons learned from previous years to assist newer compact states in reducing their implementation time frames.



# COMPLIANCE ACTIVITIES

As with any maturing organization, the PTCC began the process of improvement through increased focus on compliance with rules, policies, and requirements. In addition to continuing efforts to conduct regular audits of compact privilege holders eligibility, the PTCC began working with compact states to ensure they are in compliance. Staff worked with member states on several key areas including weekly submission of licensee data, timely entry of disciplinary actions, flagging of encumbrances and investigations, and the transition to the FSBPT ID. The goal of the effort is to work collaboratively with the state boards to provide training and remediation to get everyone up to the high standards required by the Compact.

It is expected that these compliance activities will lead to a formalized process for compliance review in 2021.

## AMENDMENTS TO GOVERNANCE DOCUMENTS

The PTCC conducted its annual review of its Rules, Bylaws, and Policies and Procedures to determine if any changes should be considered. The PTCC considered minor amendments and approved the Rules and Policies and Procedures governing documents.\* The PTCC did not make any amendments to the Bylaws in 2020. The most current governance documents are available at [ptcompact.org](http://ptcompact.org).

\*see appendices for details

# COMPACT PRIVILEGE ISSUANCE

The PTCC continued to see incredible growth during 2020. A month-to-month comparison of compact privilege issuance from 2019 and 2020 demonstrates in the majority of months more than double the number of privileges were purchased in 2020. In the month of March alone, seven times the number of compact privileges were purchased compared to the previous year. In total, the PT Compact issued 2,455 compact privileges in 2020.

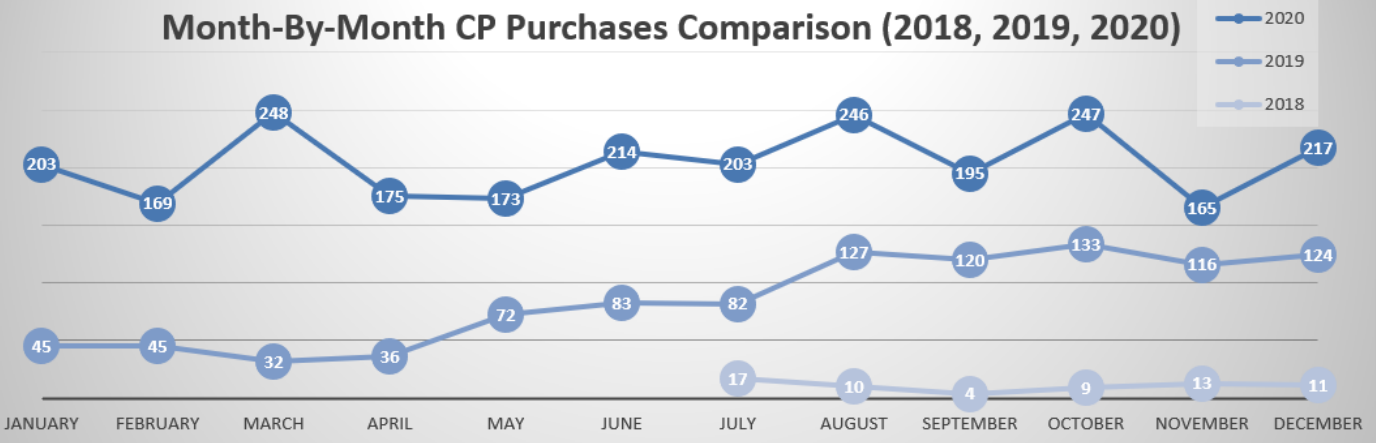
Although the COVID-19 pandemic likely impacted the number of compact privileges issued, it is difficult to determine if that impact was positive, negative, or both. The necessity to have the ability to practice across state lines via telehealth or to treat new patients in other states increased dramatically overnight, and the PT Compact was able to address those immediate needs. However, as states implemented emergency waivers and temporarily lowered some regulatory barriers to improve patient access during the pandemic, the necessity of getting a license or compact privilege in a remote state also decreased.

The activation of four new compact states bordering each other and several other existing active compact states also contributed to the strong growth in 2020.

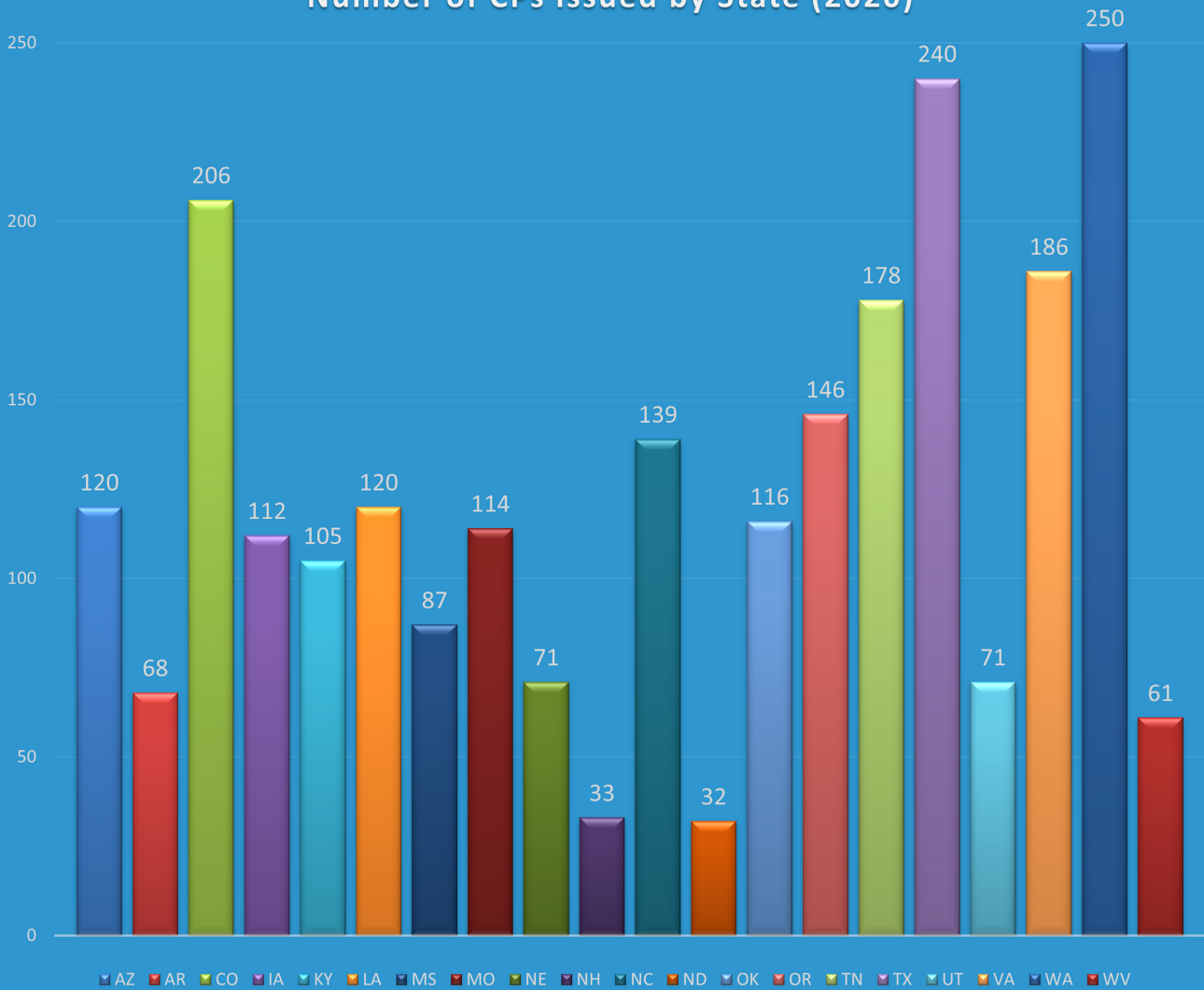
Compact privileges were issued in all twenty active states. Texas and Washington led the way, issuing 240 and 250 compact privileges, respectively. Thirteen of the twenty states issued more than 100 compact privileges.

The following charts provide a variety of breakdowns of 2020 compact privilege issuance.

### Month-By-Month CP Purchases Comparison (2018, 2019, 2020)

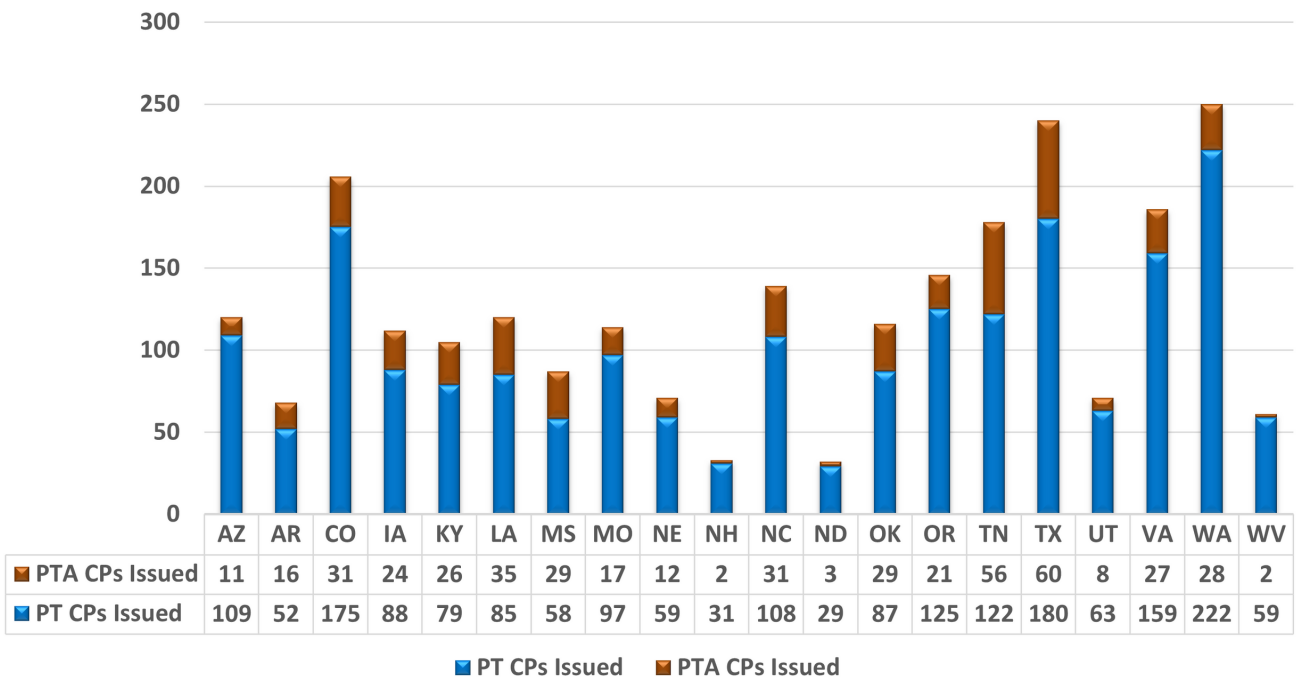


### Number of CPs Issued by State (2020)



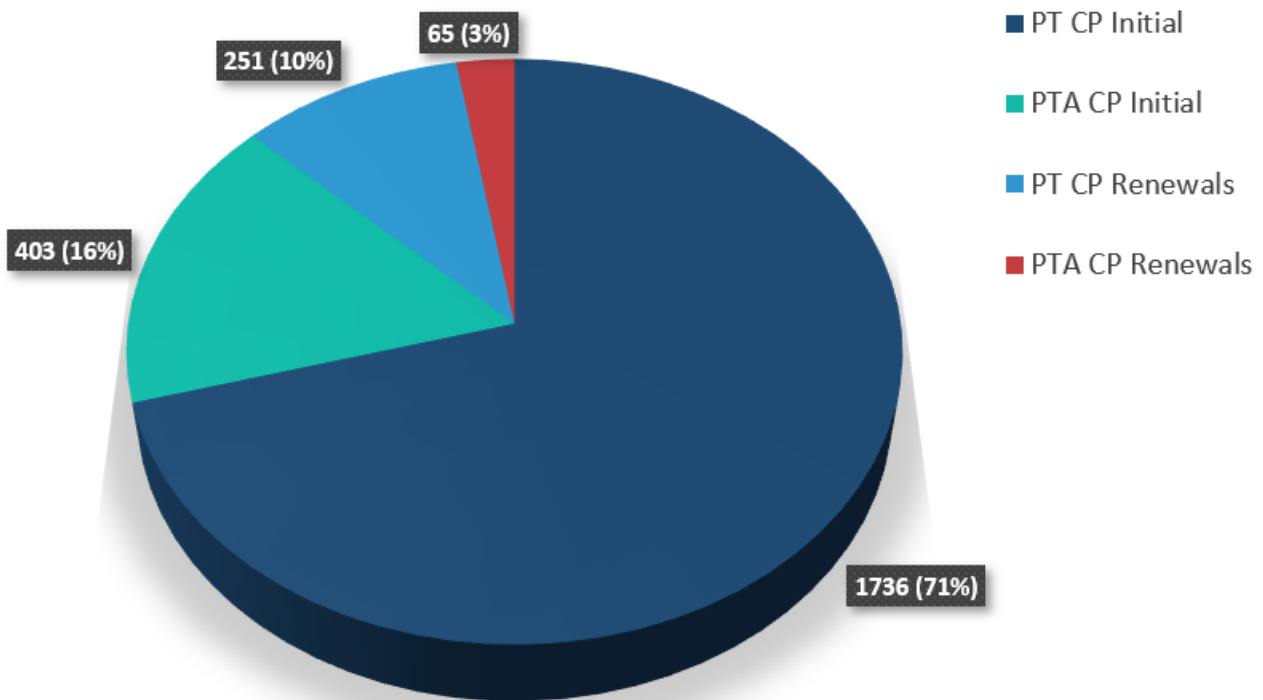
Jurisdiction	CPs Issued	Jurisdiction	CPs Issued	Jurisdiction	CPs Issued	Jurisdiction	CPs Issued
AZ	120	LA	120	NC	139	TX	240
AR	68	MS	87	ND	32	UT	71
CO	206	MO	114	OK	116	VA	186
IA	112	NE	71	OR	146	WA	250
KY	105	NH	33	TN	178	WV	61

Number of PT vs PTA CPs Issued in Each State



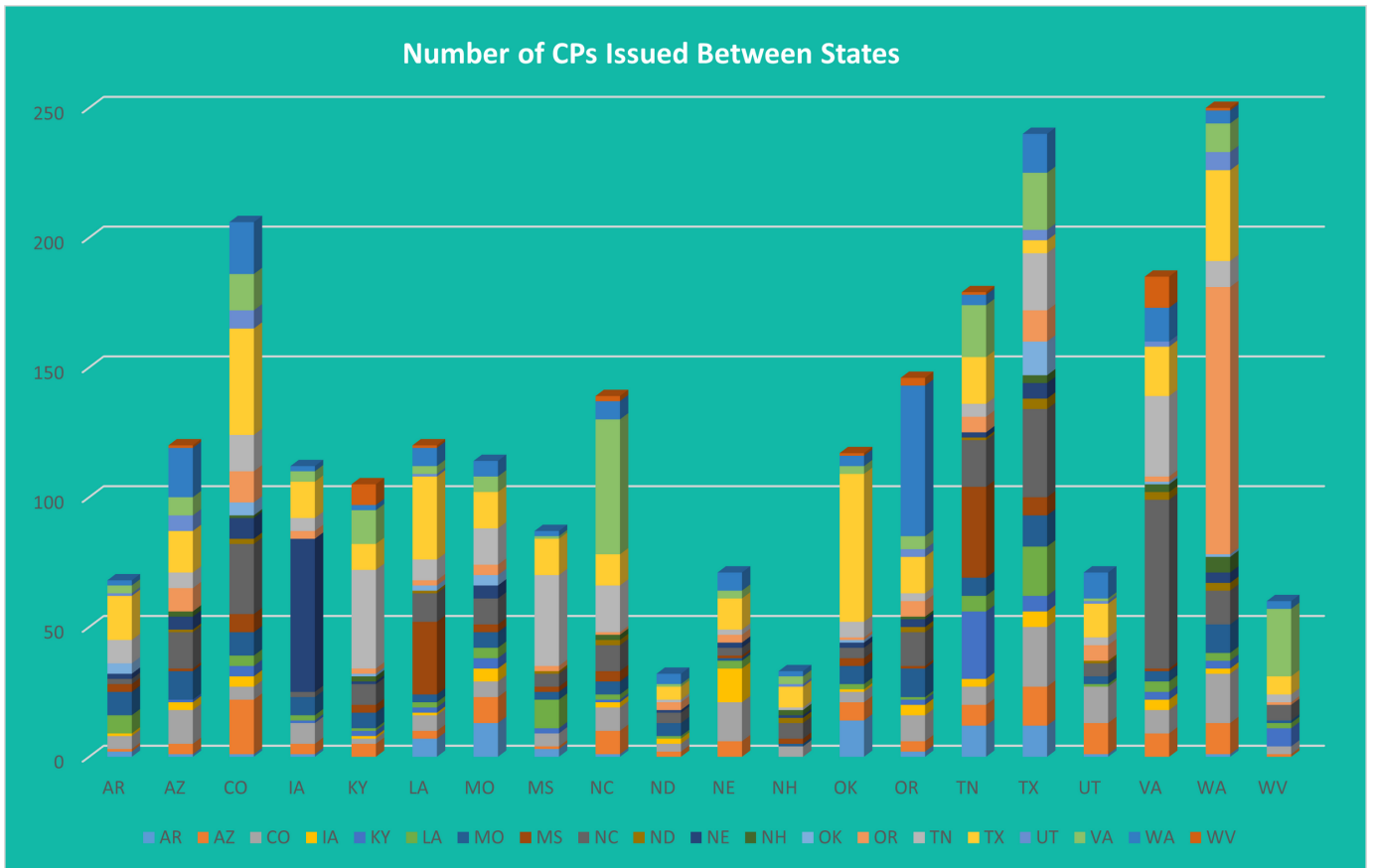
The number of PTs obtaining CPs continues to be much larger than PTAs, which is proportional to the profession. PTAs also continue to use CPs with the majority seeking privileges in Texas and Tennessee in 2020. Consistent with the previous years, 87 percent of CPs issued in 2020 were for initial purchase. Since renewal cycles are tied to a home state license, it is unclear why renewals of compact privileges account for just 13 percent of purchases.

2020 CPs Issued - Initial Vs. Renewal





Number of CPs Issued Between States



CP issuance between states with shared borders remains high. For example, a total of 161 CPs were issued between the states of Oregon and Washington in 2020. However, even states on opposite coasts, such as Washington and Virginia, had compact privileges issued in one another's jurisdictions. The value of the Compact to PTs and PTAs in all jurisdictions is apparent from its widespread use.

2020 Compact Privileges Issued By Home State and CP State

Home State	AR	AZ	CO	IA	KY	LA	MO	MS	NC	ND	NE	NH	OK	OR	TN	TX	UT	VA	WA	WV	Total
AR	2	1	5	1		7	9	3	2		2		4		9	17	1	3	2		68
AZ	1	4	13	3	1		11	1	14	1	5	2		9	6	16	6	7	19	1	120
CO	1	21	5	4	4	4	9	7	27	2	8	1	5	12	14	41	7	14	20		206
IA	1	4	8		1	2	7		2		59			3	5	14		4	2		112
KY		5	2	1	2	1	6	3	8		1	2	1	2	38	10		13	2	8	105
LA	7	3	6	1	2	2	3	28	11	1			2	2	8	32	1	3	7	1	120
MO	13	10	6	5	4	4	6	3	10		5		4	4	14	14		6	6		114
MS	3	1	5		2	11	3	2	5	1				2	35	14		1	2		87
NC	1	9	9	2	1	2	5	4	10	2		2		1	18	12		52	7	2	139
ND		2	3	2		1	5		4		1			3	1	5		1	4		32
NE		6	15	13		3	1	1	3		2			3	2	12		3	7		71
NH			4				1	2	6	2	1	2			1	8	1	3	2		33
OK	14	7	4	1		2	7	3	4		2		1	1	6	57		3	4	1	117
OR	2	4	10	4	2	1	11	1	13	2	3	1		6	3	14	3	5	58	3	146
TN	12	8	7	3	26	6	7	35	18	1	2			6	5	18		20	4	1	179
TX	12	15	23	6	6	19	12	7	34	4	6	3	13	12	22	5	4	22	15		240
UT	1	12	14			1	3		5	1				6	3	13	1	1	10		71
VA		9	9	4	3	4	4	1	65	3		3	1	2	31	19	2		13	12	185
WA	1	12	19	2	3	3	11		13	3	4	6	1	103	10	35	7	11	5	1	250
WV		1	3		7	2	1		6					1	3	7		26	3		60
<b>Total</b>	<b>71</b>	<b>134</b>	<b>170</b>	<b>52</b>	<b>64</b>	<b>75</b>	<b>122</b>	<b>101</b>	<b>260</b>	<b>23</b>	<b>101</b>	<b>22</b>	<b>32</b>	<b>178</b>	<b>234</b>	<b>363</b>	<b>33</b>	<b>198</b>	<b>192</b>	<b>30</b>	<b>2455</b>

# 2020 COMPACT FINANCIALS

(January to December 2020)

## 2020 Budget

Revenue = \$56,430

Expenses = \$208,619

Net = \$(152,189)

## 2020 Actual

Revenue = \$110,475\*

Expenses = \$180,764\*

Net = \$(70,289)\*\*

\*See appendices for details \*\*Excludes waived costs

The increase in compact privilege purchases led to an actual revenue of more than \$110,000, nearly double the amount budgeted. Although some budgeted expenses increased, such as the bank processing fees in correlation with the increased purchases, other budgeted expenses were not realized because of the pandemic. Specifically, travel and meeting expenses were dramatically reduced due to the unexpected restriction on travel and in-person events, which limited staff travel and forced PTCC to hold its annual meeting virtually for the first time. Because of the increase in revenue, the PTCC continued to reduce its withdrawal from the line of credit extended by the Federation of State Boards of Physical Therapy (FSBPT).

The PTCC also collected and remitted a total of more than \$100,000 in compact privilege fees to state physical therapy licensing boards. Again in 2020, the PTCC did not charge a state assessment.

The PTCC continues to work toward self-sustainability through the collection of a \$45 fee on each compact privilege issued.

\*See appendices for 2020 financial review

# COMMUNICATIONS & OUTREACH

Although in-person meetings and travel were restricted during the pandemic, the PTCC continued to connect with a variety of stakeholders in many different forms.

Prior to the start of the pandemic, the PTCC was again able to exhibit at the 2020 APTA Combined Sections Meeting (CSM) in Denver, Colorado. In addition to exhibiting, PTCC and FSBPT staff presented a course on the PT Compact. Staff gave additional presentations about the PT Compact virtually later in 2020 at the APTA National Student Conclave, Education Leadership Conference and regional legislative meetings. The APTA Student Assembly also interviewed PTCC staff for its podcast, which was shared with more than 5,000 subscribers. These opportunities continue to be important tools in spreading the word to students, teachers, new graduates, and experienced PTs and PTAs throughout the country.

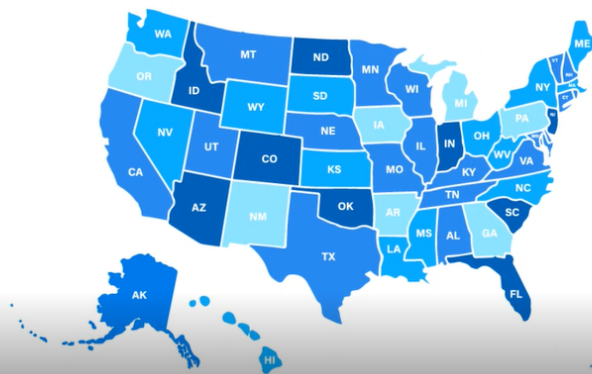
Regular educational webinars continued in 2020 with presentations to several state physical therapy associations and staffing companies. In a first, the University of Missouri invited the PTCC to present to a class of student PTs. The ability to provide virtual presentations was key in continuing outreach during the pandemic.

The PTCC also looked internally in 2020 to see how it could improve the communications and information it provides to its member states. A Compact System User Task Force met and developed several recommendations for possible improvements to the database and reporting system under future development. These insights will help ensure that the PTCC continues to deliver high quality services to PTs, PTAs, and compact state licensing boards.

The PTCC continued its surveys of compact privilege holders to inform the website improvements made throughout the year. Surveys also assisted in the development of additional educational videos focused on areas of interest to PTs and PTAs.

## PT Compact Home State

How is a licensee's home state defined by the PT Compact?



[\(click to view\)](#)

## How to Renew PT Compact Privileges: A Step-by Step Process

How do I renew my PT Compact privilege?

The process to renew compact privileges is very similar to initially getting the privileges....

[\(click to view\)](#)



# CONSUMER EXPERIENCE

Overall, consumer impressions of the PT Compact remained very positive in 2020.

"Getting my compact license was so much easier than getting my regular license. I think this is an excellent service and wish all states would join."

"I love the PT compact , it makes maintaining multiple licenses so much easier. Especially the CEU requirements as all states are different and this is so much easier to keep track ."

"I appreciate the Compact and what it represents. I look forward to the day when ALL of the states get on board with this process."

"This has greatly helped my professional career with being a military spouse!"

"The compact privilege makes traveling as a therapist much less stressful."

"I appreciate this service and that I did not have to wait months to apply for work."

# THANKS TO OUR VOLUNTEERS

The PTCC committees and task forces, consisting of volunteers from compact states, worked diligently to maintain and improve the effectiveness and efficiency of PTCC operations during 2020. (The rosters are as of the 2020 Annual Meeting.)

## Member Board Delegates

Jurisdiction	Name	Jurisdiction	Name
Arkansas	Sam Denton	North Carolina	Kathy Arney
Arizona	Joshua Greer	North Dakota	Jeanne DeKrey
Colorado	Lorey Bratten	Oklahoma	Kelly Berry
Delaware	Devashree Singh	Oregon	Aubree Benson
Georgia	Anne Thompson	South Carolina	Judd Warren
Iowa	Venus Vendoures-Walsh	South Dakota	Margaret Hansen
Kentucky	Scott Majors	Tennessee	David Harris
Louisiana	Charlotte Martin	Texas	Harvey Aikman
Maryland	Laurie Kendall-Ellis	Utah	Mark Steinagel
Mississippi	Deborah McDonald	Virginia	Corie Tillman Wolf
Missouri	Connie Clarkston	Washington	Andy Wodka
Montana	Jenn Noel	West Virginia	Nonnie Ramsey
Nebraska	Claire Covert-Bybee	Wisconsin	Kathryn Zalewski
New Hampshire	Joe Shanley	APTA	Daniel Markels
New Jersey	Richard Stoneking	FSBPT	Dave Relling

## Executive Board

- Kathy Arney, Chair - North Carolina
- Harvey Aikman, Vice Chair - Texas
- Jeanne DeKrey, Secretary/Treasurer - North Dakota
- Scott Majors, Member-At-Large - Kentucky
- Charlotte Martin, Member-At-Large - Louisiana
- Joseph Shanley, Member-At-Large - New Hampshire
- Judd Warren, Member-At-Large - South Carolina
- Daniel Markels, Ex Officio - APTA
- David Relling, Ex Officio - FSBPT

# Rules and Bylaws Committee

- Harvey Aikman, Committee Chair - Texas
- Barbara Behrens - New Jersey
- Scott Majors - Kentucky
- Charlotte Martin - Louisiana
- Joseph Shanley - New Hampshire
- Michelle Sigmund-Gaines - Oregon
- Corie Tillman Wolf - Virginia
- Andrew Wodka - Washington

## Minutes Approval Committee

- Barbara Behrens - New Jersey
- Joseph Shanley - New Hampshire
- Devashree Singh - Delaware
- M. Judd Warren - South Carolina

## Finance Committee

- Jeanne DeKrey, Committee Chair - North Dakota
- Harvey Aikman - Texas
- Claire Covert-Bybee - Nebraska
- Kelly O'Connor - Tennessee
- M. Judd Warren - South Carolina

## Compact System User Task Force

- Scott Majors, Committee Chair - Kentucky
- Jessica Alwell - Louisiana
- John Bull - Maryland
- Carmen Cooper-Oguz - Mississippi
- Lisa Cullen - Oklahoma
- Michelle Sigmund-Gaines - Oregon
- Corie Tillman Wolf - Virginia

## Elections Committee

- Mark Steinagel - Utah
- Andrew Wodka - Washington

## 2020 Meetings

Meeting	Dates
Rules and Bylaws Committee	1/15/2020
Executive Board	1/29/2020
Rules and Bylaws Committee	5/6/2020
Executive Board	5/8/2020
Rules and Bylaws Committee	6/3/2020
Compact System Users Task Force	6/29/2020
Executive Board	7/10/2020
Compact System Users Task Force	8/6/2020
Rules and Bylaws Committee	8/19/2020
Executive Board	9/9/2020
Executive Board	10/15/2020
PT Compact Commission Annual Meeting	10/25/2020
Executive Board	12/15/2020



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For more information contact the  
PT Compact Commission at  
703-562-8500 or  
[info@ptcompact.org](mailto:info@ptcompact.org).





## 2020 PT Compact Annual Report Appendix

- Appendix A – 2020 PT Compact Rules Amendments Adopted by the Commission October 25, 2020
- Appendix B – 2020 PT Compact Commission Bylaws Amendments Adopted by the Commission October 25, 2020
- Appendix C – 2020 PT Compact Commission Policy and Procedure Manual Amendments Adopted by the Commission October 25, 2020
- Appendix D – PT Compact Commission Financial Report (Reviewed) and Financials



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# Appendix A

## 2020 Physical Therapy Compact Commission Rules Amendments Adopted by Commission 10-25-2020

Please note that additions are indicated by red underlined text. Deletions are indicated by ~~red strikethrough~~ text. Black text is existing unchanged text.

### 1) Rule 1.1 – Definitions

Reason: To improve clarity of the rules and Compact by adding a new definition for key words and reorder accordingly based on alphabetical order.

#### Proposed Amendment:

Add new paragraph to Rule 1.1

(P) “Recognized National Exam” as referenced in Section 3.A.6 of the Compact means the National Physical Therapy Examination (NPTE).

(NOTE: Adoption of proposed amendment would reorder other definitions based on alphabetical order)

### 2) Chapter 3 - Compact Privilege Eligibility, Adverse Actions, and Encumbrances

Reason: To add a new rule that would require compact privilege holders to self-report new criminal convictions to the licensing boards where they hold current compact privileges.

#### Proposed Amendment:

Add new Rule 3.10 to Chapter 3

Rule 3.10 – Self-Reporting of a New Criminal Convictions

A compact privilege holder must report any new criminal conviction to the state licensing board(s) in each member state in which the individual has an active compact privilege in accordance with that jurisdiction’s reporting requirements.

### 3) Rule 6.4 – Frequency of Reporting Adverse Actions

Reason: To provide clarification that the provisions of Rule 6.4 also discuss non-disciplinary encumbrances

#### Proposed Amendment:

Change existing title of Rule 6.4

Rule 6.4 – Frequency of Reporting Adverse Actions and Non-Disciplinary Encumbrances

### 4) Rule 6.4 – Frequency of Reporting Adverse Actions

Reason: To align more closely with NPDB requirements and provide more flexibility for compact states to report but still maintain timely reporting of new adverse actions.

#### Proposed Amendment:

Change existing language in 6.4.B

(B) Within ~~ten~~ fourteen business days of the effective date of the adverse action against a licensee or compact privilege holder, the Licensing Board shall, through the interface described

in rule 6.3, complete all required information and select the Save Status.

5) Rule 6.4 – Frequency of Reporting Adverse Actions

Reason: To provide clarification that the rule applies to compact privileges and compact privileges holders as well as licensees.

Proposed Amendment:

Change existing language in 6.4.D

(D) Within two (2) business days of the effective date to impose a non-disciplinary encumbrance on a license or licensee or on a compact privilege or compact privilege holder, the Licensing Board shall report such decision to the Commission through the interface described in rule 6.3.

6) Rule 8.2 - Dispute Resolution Process – Informal, Mediation and Arbitration

Reason: To make language gender neutral

Proposed Amendment:

Change existing language in 8.2.E.2

(2) If a member of the Executive Board is a party to the dispute, that individual must recuse ~~him~~ or herself themselves from participation in the matter.





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# Appendix B

**2020 Physical Therapy Compact Commission Bylaws Amendments Adopted by Commission 10-25-2020**

Please note that additions are indicated by red underlined text. Deletions are indicated by ~~red strikethrough~~ text. Black text is existing unchanged text.

- 1) Bylaw Article VI. Compact Commission, Officers, and Executive Board - Section 4  
Reason: To provide a process by which to fairly decide elections in the event of a tie vote.

Proposed Amendment:

Add new paragraph G

G. In the case of a tie vote, the Chair will toss a coin to decide which candidate will go forward into the next round of elections or to decide which candidate is the winner of the election. Heads and tails will be assigned alphabetically by last name (for example, candidate Baird would be assigned "heads" and candidate Thorton would be assigned "tails.")

- 2) Bylaw Article IX. Qualified Immunity, Defense, and Indemnification – Section 1, 2, and 3  
Reason: To make Bylaws consistent with the corresponding Compact model legislation provisions and to make it gender neutral.

Proposed Amendments:

Amend text in Sections 1, 2, and 3

Section 1. Immunity.

The Commission, its Members, officers, Compact Commission Administrator, and employees shall be immune from suit and liability, either personally or in their official capacity, for any claim for damage to or loss of property or personal injury or other civil liability caused or arising out of or relating to any actual or alleged act, error, or omission that occurred, or that ~~such the~~ person against whom the claim is made had a reasonable basis for believing occurred within the scope of Commission employment, duties, or responsibilities; provided, that nothing in this paragraph shall be construed to protect any such person ~~shall not be protected~~ from suit and/or liability, ~~or both~~, for any damage, loss, injury, or liability caused by the intentional or willful ~~or and~~ wanton misconduct of ~~any such that~~ person.

Section 2. Defense.

Subject to the provisions of the Compact and Rules promulgated thereunder, the Commission shall defend the Delegate of a Member State, their representatives or employees, or the Commission, and its representatives or employees in any civil action seeking to impose liability ~~against such person~~ arising out of ~~or relating to~~ any actual or

alleged act, error, or omission that occurred within the scope of Commission employment, duties, or responsibilities or that ~~such the~~ person against whom the claim is made had a reasonable basis for believing occurred within the scope of Commission employment, duties, or responsibilities; provided, that nothing herein shall be construed to prohibit that person from retaining their own counsel; and provided further, that the actual or alleged act, error, or omission did not result from that person's intentional or willful or wanton misconduct. ~~gross negligence or intentional wrongdoing on the part of such person.~~

### Section 3. Indemnification.

The Commission shall indemnify and hold harmless the Delegate of a Member State, their representatives or employees, or the Commission, and its representatives or employees, ~~harmless in~~ for the amount of any settlement or judgment obtained against ~~such that~~ person arising out of ~~or relating to~~ any actual or alleged act, error, or omission that occurred within the scope of Commission employment, duties, or responsibilities or that such person had a reasonable basis for believing occurred within the scope of Commission employment, duties, or responsibilities; provided, that the actual or alleged act, error, or omission did not result from the intentional or willful or wanton misconduct of that person. ~~gross negligence or intentional wrongdoing on the part of such person.~~

### 3. All Bylaws

Reason: To make Bylaws gender neutral

#### Proposed Amendments:

Change all references to "his or her" to "their"



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# Appendix C

**2020 Physical Therapy Compact Commission Policy and Procedures Amendments Adopted by  
Commission 10-25-2020**

Please note that additions are indicated by red underlined text. Deletions are indicated by ~~red strikethrough~~ text. Black text is existing unchanged text.

- 1) Policy Number 1.12 – To establish the process by which minutes will be drafted, reviewed, and posted.  
Reason: To assure correct and complete references to the authoritative source(s) for the policy.

Proposed Amendment:

Amend Authority text

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

- 2) Policy Number 1.16 – To establish financial processes of the Physical Therapy Compact Commission (PTCC).  
Reason: To assure correct and complete references to the authoritative source(s) for the policy.

Proposed Amendment:

Amend Authority text

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

- 3) Policy Number 3.2 – To establish the process by which member states will report adverse actions to the Physical Therapy Compact Commission (PTCC).  
Reason: To assure correct and complete references to the authoritative source(s) for the policy.

Proposed Amendment #1:

Amend Authority text

AUTHORITY: PT Compact ~~Bylaw~~ Rules - 6.3 and 6.4

Proposed Amendment #2:

Amend Policy text

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

Proposed Amendment #3:

Amend 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.

- 4) Policy Number 3.3 – To establish the procedure for the reversal of adverse actions.  
Reason: To assure correct and complete references to the authoritative source(s) for the policy.

Proposed Amendment:

Amend Authority text

AUTHORITY: PT Compact ~~Bylaw Rules~~ - 6.3 and 6.4

- 5) Policy Number 3.4 – To establish the process by which member states will report encumbrances to the Physical Therapy Compact Commission (PTCC).

Reason: To assure correct and complete references to the authoritative source(s) for the policy.

Proposed Amendment #1:

Amend Authority text

AUTHORITY: PT Compact ~~Bylaw Rules~~ - 6.3 and 6.4

Proposed Amendment #2:

Amend Policy text

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.

- 6) Policy Number 3.4 – To establish the process by which member states will report encumbrances to the Physical Therapy Compact Commission (PTCC).

Reason: To include reference to compact privileges, correct typo, and remove “restriction” since the term is not defined in statute or rules.

Proposed Amendments:

Amend text of procedures 1, 2, and 3

1. Member states will send an electronic notification to the Compact Administrator of an active licensee or compact privilege holder who has an encumbrance ~~or restriction~~ on their license.
  2. Member states placing new encumbrances ~~or restrictions~~ 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 ~~or restrictions~~ 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.
- 7) Policy Number 3.5 – To establish the process by which compact privileges will be terminated.  
Reason: To assure correct and complete references to the authoritative source(s) for the policy.

Proposed Amendment #1:

Amend Authority text

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



- 8) New Policy Number 3.6 – To establish the process by which compact privileges will be terminated.  
Reason: To address how the Commission should handle request for voluntary surrender of compact privileges.

Proposed Amendment:

Add new policy section 3.6

POLICY NUMBER: 3.6

AREA: Discipline

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

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

DATE APPROVED: TBD

DATE AMENDED: TBD

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.



PT • COMPACT

# Appendix D



RSM US LLP

## Independent Accountant's Review Report

Board of Directors  
Physical Therapy Compact Commission

### Report on the Financial Statements

We have reviewed the accompanying financial statements of the business-type activities of Physical Therapy Compact Commission (the Commission), exclusive of component unit, as of and for the year ended December 31, 2020, and the related notes to the financial statements, which collectively comprise the Commission's basic financial statements, as listed in the table of contents. A review includes primarily applying analytical procedures to management's financial data and making inquiries of management. A review is substantially less in scope than an audit, the objective of which is the expression of an opinion regarding the financial statements as a whole. Accordingly, we do not express such an opinion.

### Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

### Accountant's Responsibility

Our responsibility is to conduct the review engagement in accordance with Statements on Standards for Accounting and Review Services promulgated by the Accounting and Review Services Committee of the American Institute of Certified Public Accountants. Those standards require us to perform procedures to obtain limited assurance as a basis for reporting whether we are aware of any material modifications that should be made to the financial statements for them to be in accordance with accounting principles generally accepted in the United States of America. We believe that the results of our procedures provide a reasonable basis for our conclusion.

### Accountant's Conclusion

Based on our review, we are not aware of any material modifications that should be made to the accompanying basic financial statements in order for them to be in accordance with accounting principles generally accepted in the United States of America.

### Emphasis of Matter

As discussed in Note 1, the financial statements referred to above include only the primary government, the Commission. These primary government financial statements do not include financial data for the Commission's legally separate component unit, which accounting principles generally accepted in the United States of America require to be reported with the financial data of the primary government. As a result, the primary government's financial statements do not purport to, and do not present fairly, the financial position of the reporting entity of the Commission as of December 31, 2020, the changes in its financial position, or where applicable, its cash flows thereof for the year then ended in accordance with accounting principles generally accepted in the United States of America. Our conclusion is not modified with respect to this matter.

We have reviewed the financial statements of the reporting entity of the Commission, as of and for the year ended December 31, 2020, and our report thereon, dated March 29, 2021, did not identify any material modifications that should be made to the basic financial statements in order for them to be in accordance with accounting principles generally accepted in the United States of America.

**Other Matter**

Management has omitted the management's discussion and analysis that accounting principles generally accepted in the United States of America require to be presented to supplement the basic financial statements. Such missing information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board, who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic or historical context. Our report on the basic financial statements is not affected by this missing information.

*RSM US LLP*

McLean, Virginia  
March 29, 2021

## 2020 COMPACT BALANCE SHEET

	2020
<b>ASSETS</b>	
Cash & Cash Equivalents	\$ 125,476
Accounts Receivable	\$ 9,331
<b>Total Assets</b>	<b>\$ 134,807</b>
<b>LIABILITIES &amp; NET ASSETS</b>	
Due to LCASO/FSBPT	\$ 161,240
<b>Total Liabilities</b>	<b>\$ 161,240</b>
Net Assets Unrestricted	\$ ( 26,433)
<b>TOTAL LIABILITIES and NET ASSETS</b>	<b>\$ 134,807</b>

## 2019 COMPACT BALANCE SHEET

	2019
<b>ASSETS</b>	
Cash & Cash Equivalents	\$ 38,567
Accounts Receivable	\$ 5,289
<b>Total Assets</b>	<b>\$ 43,856</b>
<b>LIABILITIES &amp; NET ASSETS</b>	
Due to LCASO/FSBPT	\$ 0
<b>Total Liabilities</b>	<b>\$ 0</b>
Net Assets Unrestricted	\$ 43,856
<b>TOTAL LIABILITIES and NET ASSETS</b>	<b>\$ 43,856</b>

## 2020 COMPACT FINANCIALS

	2020
<b>REVENUE</b>	
Compact Privileges	\$ 110,475
Forgiveness of Debt (FSBPT)	\$ 0
<b>Total Revenue</b>	<b>\$ 110,475</b>
<b>EXPENSES</b>	
Professional Fees & Contracted Services	\$ 169,181
Staff Travel, Meals and Lodging	\$ 1,537
Bank Service Charges	\$ 4,969
Booth and Program Costs	\$ 2,201
Insurance	\$ 1,744
Office Supplies, Postage & Misc	
Telephone, Internet & Website	\$ 1,132
<b>Total Expenses</b>	<b>\$ 180,764</b>
<b>Net Income (Loss)</b>	<b>\$ (70,289)</b>

## 2019 COMPACT FINANCIALS

	2019
<b>REVENUE</b>	
Compact Privileges	\$ 45,632
Forgiveness of Debt (FSBPT)	\$ 345,276
<b>Total Revenue</b>	<b>\$ 390,908</b>
<b>EXPENSES</b>	
Professional Fees & Contracted Services	\$ 158,383
Staff Travel, Meals and Lodging	\$ 2,797
Bank Service Charges	\$ 2,047
Booth and Program Costs	\$ 1,144
Insurance	\$ 1,744
Office Supplies, Postage & Misc	\$ 114
Telephone, Internet & Website	\$ 412
<b>Total Expenses</b>	<b>\$ 166,641</b>
<b>Net Income (Loss)</b>	<b>\$ 224,267</b>