103RD GENERAL ASSEMBLY

State of Illinois

2023 and 2024

SB2982

Introduced 1/31/2024, by Sen. Mary Edly-Allen

SYNOPSIS AS INTRODUCED:

New Act

Creates the Dentist and Dental Hygienist Compact Act. Provides that the State of Illinois ratifies and approves the Compact. Provides that the purposes of the Compact are to facilitate the interstate practice of dentistry and dental hygiene and improve public access to dentistry and dental hygiene services by providing dentists and dental hygienists licensed in a participating state the ability to practice in participating states in which they are not licensed. Includes provisions about state participation in the Compact; qualifying licenses that are eligible for Compact privilege, including active military members or their spouses; imposition of adverse actions against a qualified license; establishment and operation of the Commission, including each participating state selecting one commissioner to the Commission; development, maintenance, operation, and utilization of a coordinated database and reporting system containing licensure; rulemaking powers of the Commission; oversight, dispute resolution, and enforcement of the Compact; effective date of and amendment to the Compact; withdrawal from the Compact by a participating state; construction and severability; and effect on and conflict with other state laws.

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AN ACT concerning State government.

2 Be it enacted by the People of the State of Illinois, 3 represented in the General Assembly:

Section 1. Short title. This Act may be cited as the
Dentist and Dental Hygienist Compact Act.

6 Section 5. Dentist and Dental Hygienist Compact. The State 7 of Illinois ratifies and approves the following Compact:

8 DENTIST AND DENTAL HYGIENIST COMPACT

9 SECTION 1. TITLE AND PURPOSE

This statute shall be known and cited as the Dentist and 10 11 Dental Hygienist Compact. The purposes of this Compact are to 12 facilitate the interstate practice of dentistry and dental hygiene and improve public access to dentistry and dental 13 14 hygiene services by providing Dentists and Dental Hygienists 15 licensed in a Participating State the ability to practice in 16 Participating States in which they are not licensed. The 17 Compact does this by establishing a pathway for a Dentists and Dental Hygienists licensed in a Participating State to obtain 18 19 a Compact Privilege that authorizes them to practice in 20 another Participating State in which they are not licensed. The Compact enables Participating States to protect the public 21

health and safety with respect to the practice of such Dentists and Dental Hygienists, through the State's authority to regulate the practice of dentistry and dental hygiene in the State. The Compact:

5 A. Enables Dentists and Dental Hygienists who qualify 6 for a Compact Privilege to practice in other Participating 7 States without satisfying burdensome and duplicative 8 requirements associated with securing a License to 9 practice in those States;

B. Promotes mobility and addresses workforce shortages
through each Participating State's acceptance of a Compact
Privilege to practice in that State;

C. Increases public access to qualified, licensed Dentists and Dental Hygienists by creating a responsible, streamlined pathway for Licensees to practice in Participating States;

D. Enhances the ability of Participating States to
protect the public's health and safety;

E. Does not interfere with licensure requirements
 established by a Participating State;

21 F. Facilitates the sharing of licensure and 22 disciplinary information among Participating States;

G. Requires Dentists and Dental Hygienists who practice in a Participating State pursuant to a Compact Privilege to practice within the Scope of Practice authorized in that State;

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H. Extends the authority of a Participating State to
 regulate the practice of dentistry and dental hygiene
 within its borders to Dentists and Dental Hygienists who
 practice in the State through a Compact Privilege;

5 I. Promotes the cooperation of Participating State in 6 regulating the practice of dentistry and dental hygiene 7 within those States;

J. Facilitates the relocation of military members and
 their spouses who are licensed to practice dentistry or
 dental hygiene.

11 SECTION 2. DEFINITIONS

12 As used in this Compact, unless the context requires 13 otherwise, the following definitions shall apply:

A. "Active Military Member" means any person with full-time duty status in the armed forces of the United States, including members of the National Guard and Reserve.

B. "Adverse Action" means disciplinary action or
encumbrance imposed on a License or Compact Privilege by a
State Licensing Authority.

21 C. "Alternative Program" means a non-disciplinary 22 monitoring or practice remediation process applicable to a 23 Dentist or Dental Hygienist approved by a State Licensing 24 Authority of a Participating State in which the Dentist or 25 Dental Hygienist is licensed. This includes, but is not

limited to, programs to which Licensees with substance
 abuse or addiction issues are referred in lieu of Adverse
 Action.

D. "Clinical Assessment" means examination or process, required for licensure as a Dentist or Dental Hygienist as applicable, that provides evidence of clinical competence in dentistry or dental hygiene.

8 E. "Commissioner" means the individual appointed by a 9 Participating State to serve as the member of the 10 Commission for that Participating State.

F. "Compact" means this Dentist and Dental HygienistCompact.

13 G. "Compact Privilege" means the authorization granted 14 by a Remote State to allow a Licensee from a Participating 15 State to practice as a Dentist or Dental Hygienist in a 16 Remote State.

H. "Continuing Professional Development" means a requirement, as a condition of License renewal to provide evidence of successful participation in educational or professional activities relevant to practice or area of work.

I. "Criminal Background Check" means the submission of fingerprints or other biometric-based information for a License applicant for the purpose of obtaining that applicant's criminal history record information, as defined in 28 C.F.R. § 20.3(d) from the Federal Bureau of

- Investigation and the State's criminal history record
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J. "Data System" means the Commission's repository of information about Licensees, including but not limited to examination, licensure, investigative, Compact Privilege, Adverse Action, and Alternative Program.

repository as defined in 28 C.F.R. § 20.3(f).

K. "Dental Hygienist" means an individual who is
licensed by a State Licensing Authority to practice dental
hygiene.

L. "Dentist" means an individual who is licensed by a
 State Licensing Authority to practice dentistry.

12 M. "Dentist and Dental Hygienist Compact Commission" 13 "Commission" means а joint government or agency 14 established by this Compact comprised of each State that 15 has enacted the Compact and a national administrative body 16 comprised of a Commissioner from each State that has 17 enacted the Compact.

N. "Encumbered License" means a License that a State
 Licensing Authority has limited in any way other than
 through an Alternative Program.

0. "Executive Board" means the Chair, Vice Chair,
Secretary and Treasurer and any other Commissioners as may
be determined by Commission Rule or bylaw.

P. "Jurisprudence Requirement" means the assessment of
an individual's knowledge of the laws and Rules governing
the practice of dentistry or dental hygiene, as

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1 applicable, in a State.

Q. "License" means current authorization by a State, other than authorization pursuant to a Compact Privilege, or other privilege, for an individual to practice as a Dentist or Dental Hygienist in that State.

R. "Licensee" means an individual who holds an
unrestricted License from a Participating State to
practice as a Dentist or Dental Hygienist in that State.

9 S. "Model Compact" the model for the Dentist and 10 Dental Hygienist Compact on file with the Council of State 11 Governments or other entity as designated by the 12 Commission.

13 T. "Participating State" means a State that has 14 enacted the Compact and been admitted to the Commission in 15 accordance with the provisions herein and Commission 16 Rules.

U. "Qualifying License" means a License that is not an
 Encumbered License issued by a Participating State to
 practice dentistry or dental hygiene.

20 V. "Remote State" means a Participating State where a 21 Licensee who is not licensed as a Dentist or Dental 22 Hygienist is exercising or seeking to exercise the Compact 23 Privilege.

W. "Rule" means a regulation promulgated by an entitythat has the force of law.

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X. "Scope of Practice" means the procedures, actions,

and processes a Dentist or Dental Hygienist licensed in a 1 2 State is permitted to undertake in that State and the 3 circumstances under which the Licensee is permitted to undertake those procedures, actions and processes. Such 4 5 procedures, actions and processes and the circumstances 6 under which they may be undertaken may be established 7 through means, including, but not limited to, statute, 8 regulations, case law, and other processes available to 9 the State Licensing Authority or other government agency.

10 Υ. "Significant Investigative Information" means 11 information, records, and documents received or generated 12 а by State Licensing Authority pursuant to an investigation for which a determination has been made that 13 14 there is probable cause to believe that the Licensee has 15 violated a statute or regulation that is considered more 16 than a minor infraction for which the State Licensing 17 Authority could pursue Adverse Action against the Licensee. 18

19 Z. "State" means any state, commonwealth, district, or
20 territory of the United States of America that regulates
21 the practices of dentistry and dental hygiene.

AA. "State Licensing Authority" means an agency or other entity of a State that is responsible for the licensing and regulation of Dentists or Dental Hygienists.

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SECTION 3. STATE PARTICIPATION IN THE COMPACT

A. In order to join the Compact and thereafter continue as
 a Participating State, a State must:

Enact a compact that is not materially different
 from the Model Compact as determined in accordance with
 Commission Rules;

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2. Participate fully in the Commission's Data System;

7 3. Have a mechanism in place for receiving and
8 investigating complaints about its Licensees and License
9 applicants;

4. Notify the Commission, in compliance with the terms
 of the Compact and Commission Rules, of any Adverse Action
 or the availability of Significant Investigative
 Information regarding a Licensee and License applicant;

5. Fully implement a Criminal Background Check
requirement, within a time frame established by Commission
Rule, by receiving the results of a qualifying Criminal
Background Check;

18 6. Comply with the Commission Rules applicable to a19 Participating State;

20 7. Accept the National Board Examinations of the Joint
21 Commission on National Dental Examinations or another
22 examination accepted by Commission Rule as a licensure
23 examination;

8. Accept for licensure that applicants for a Dentist
 License graduate from a predoctoral dental education
 program accredited by the Commission on Dental

Accreditation, or another accrediting agency recognized by the United States Department of Education for the accreditation of dentistry and dental hygiene education programs, leading to the Doctor of Dental Surgery (D.D.S.) or Doctor of Dental Medicine (D.M.D.) degree;

6 9. Accept for licensure that applicants for a Dental 7 Hygienist License graduate from a dental hygiene education 8 accredited by the Commission Dental program on 9 Accreditation or another accrediting agency recognized by Department of Education for the 10 the United States 11 accreditation of dentistry and dental hygiene education 12 programs;

13 10. Require for licensure that applicants successfully14 complete a Clinical Assessment;

15 11. Have Continuing Professional Development
 requirements as a condition for License renewal; and

17 12. Pay a participation fee to the Commission as18 established by Commission Rule.

B. Providing alternative pathways for an individual to obtain an unrestricted License does not disqualify a State from participating in the Compact.

C. When conducting a Criminal Background Check the StateLicensing Authority shall:

Consider that information in making a licensure
 decision;

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2. Maintain documentation of completion of the

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Criminal Background Check and background check information to the extent allowed by State and federal law; and

3 3. Report to the Commission whether it has completed
4 the Criminal Background Check and whether the individual
5 was granted or denied a License.

6 D. А Licensee of a Participating State who has а 7 Qualifying License in that State and does not hold an 8 Encumbered License in any other Participating State, shall be 9 issued a Compact Privilege in a Remote State in accordance 10 with the terms of the Compact and Commission Rules. If a Remote 11 State has a Jurisprudence Requirement a Compact Privilege will 12 not be issued to the Licensee unless the Licensee has satisfied the Jurisprudence Requirement. 13

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SECTION 4. COMPACT PRIVILEGE

A. To obtain and exercise the Compact Privilege under theterms and provisions of the Compact, the Licensee shall:

Have a Qualifying License as a Dentist or Dental
 Hygienist in a Participating State;

Be eligible for a Compact Privilege in any Remote
 State in accordance with D, G and H of this section;

3. Submit to an application process whenever the
Licensee is seeking a Compact Privilege;

4. Pay any applicable Commission and Remote State fees
for a Compact Privilege in the Remote State;

5. Meet any Jurisprudence Requirement established by a

Remote State in which the Licensee is seeking a Compact
 Privilege;

6. Have passed a National Board Examination of the
 Joint Commission on National Dental Examinations or
 another examination accepted by Commission Rule;

6 7. For a Dentist, have graduated from a predoctoral 7 dental education program accredited by the Commission on 8 Dental Accreditation, or another accrediting agency 9 recognized by the United States Department of Education 10 for the accreditation of dentistry and dental hygiene 11 education programs, leading to the Doctor of Dental 12 Surgery (D.D.S.) or Doctor of Dental Medicine (D.M.D.) 13 degree;

14 8. For a Dental Hygienist, have graduated from a 15 dental hygiene education program accredited by the 16 Commission on Dental Accreditation or another accrediting 17 agency recognized by the United States Department of 18 Education for the accreditation of dentistry and dental 19 hygiene education programs;

9. Have successfully completed a Clinical Assessment
 for licensure;

10. Report to the Commission Adverse Action taken by
any non-Participating State when applying for a Compact
Privilege and, otherwise, within thirty (30) days from the
date the Adverse Action is taken;

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11. Report to the Commission when applying for a

1 Compact Privilege the address of the Licensee's primary 2 residence and thereafter immediately report to the 3 Commission any change in the address of the Licensee's 4 primary residence; and

5 12. Consent to accept service of process by mail at the Licensee's primary residence on record with the 6 7 Commission with respect to any action brought against the 8 Licensee by the Commission or a Participating State, and 9 consent to accept service of a subpoena by mail at the 10 Licensee's primary residence on record with the Commission 11 with respect to any action brought or investigation 12 conducted by the Commission or a Participating State.

B. The Licensee must comply with the requirements of subsection A of this section to maintain the Compact Privilege in the Remote State. If those requirements are met, the Compact Privilege will continue as long as the Licensee maintains a Qualifying License in the State through which the Licensee applied for the Compact Privilege and pays any applicable Compact Privilege renewal fees.

20 C. A Licensee providing dentistry or dental hygiene in a 21 Remote State under the Compact Privilege shall function within 22 the Scope of Practice authorized by the Remote State for a 23 Dentist or Dental Hygienist licensed in that State.

D. A Licensee providing dentistry or dental hygiene pursuant to a Compact Privilege in a Remote State is subject to that State's regulatory authority. A Remote State may, in

accordance with due process and that State's laws, by Adverse 1 Action revoke or remove a Licensee's Compact Privilege in the 2 3 Remote State for a specific period of time and impose fines or take any other necessary actions to protect the health and 4 5 safety of its citizens. If a Remote State imposes an Adverse 6 Action against a Compact Privilege that limits the Compact 7 Privilege, that Adverse Action applies to all Compact 8 Privileges in all Remote States. A Licensee whose Compact 9 Privilege in a Remote State is removed for a specified period 10 of time is not eligible for a Compact Privilege in any other 11 Remote State until the specific time for removal of the 12 Compact Privilege has passed and all encumbrance requirements 13 are satisfied.

E. If a License in a Participating State is an Encumbered License, the Licensee shall lose the Compact Privilege in a Remote State and shall not be eligible for a Compact Privilege in any Remote State until the License is no longer encumbered.

F. Once an Encumbered License in a Participating State is restored to good standing, the Licensee must meet the requirements of subsection A of this section to obtain a Compact Privilege in a Remote State.

G. If a Licensee's Compact Privilege in a Remote State is removed by the Remote State, the individual shall lose or be ineligible for the Compact Privilege in any Remote State until the following occur:

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1. The specific period of time for which the Compact

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Privilege was removed has ended; and

All conditions for removal of the Compact Privilege
 have been satisfied.

H. Once the requirements of subsection G of this section
have been met, the Licensee must meet the requirements in
subsection A of this section to obtain a Compact Privilege in a
Remote State.

8 SECTION 5. ACTIVE MILITARY MEMBER OR THEIR SPOUSES

9 An Active Military Member and their spouse shall not be 10 required to pay to the Commission for a Compact Privilege the 11 fee otherwise charged by the Commission. If a Remote State 12 chooses to charge a fee for a Compact Privilege, it may choose 13 to charge a reduced fee or no fee to an Active Military Member 14 and their spouse for a Compact Privilege.

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SECTION 6. ADVERSE ACTIONS

A. A Participating State in which a Licensee is licensed shall have exclusive authority to impose Adverse Action against the Qualifying License issued by that Participating State.

B. A Participating State may take Adverse Action based on
the Significant Investigative Information of a Remote State,
so long as the Participating State follows its own procedures
for imposing Adverse Action.

24 C. Nothing in this Compact shall override a Participating

State's decision that participation in an Alternative Program 1 2 may be used in lieu of Adverse Action and that such 3 participation shall remain non-public if required by the Participating State's laws. Participating States must require 4 5 Licensees who enter any Alternative Program in lieu of discipline to agree not to practice pursuant to a Compact 6 7 Privilege in any other Participating State during the term of 8 the Alternative Program without prior authorization from such 9 other Participating State.

D. Any Participating State in which a Licensee is applying to practice or is practicing pursuant to a Compact Privilege may investigate actual or alleged violations of the statutes and regulations authorizing the practice of dentistry or dental hygiene in any other Participating State in which the Dentist or Dental Hygienist holds a License or Compact Privilege.

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E. A Remote State shall have the authority to:

Take Adverse Actions as set forth in Section 4.D
 against a Licensee's Compact Privilege in the State;

20 2. In furtherance of its rights and responsibilities the Compact and the Commission's Rules issue 21 under 22 subpoenas for both hearings and investigations that 23 require the attendance and testimony of witnesses, and the 24 production of evidence. Subpoenas issued by a State Licensing Authority in a Participating State for the 25 26 attendance and testimony of witnesses, or the production 1 of evidence from another Participating State, shall be 2 enforced in the latter State by any court of competent 3 jurisdiction, according to the practice and procedure of that court applicable to subpoenas issued in proceedings 4 5 pending before it. The issuing authority shall pay any witness fees, travel expenses, mileage, and other fees 6 required by the service statutes of the State where the 7 8 witnesses or evidence are located; and

9 3. If otherwise permitted by State law, recover from 10 the Licensee the costs of investigations and disposition 11 of cases resulting from any Adverse Action taken against 12 that Licensee.

13 F. Joint Investigations

14 In addition to the authority granted to 1. a 15 Participating State by its Dentist or Dental Hygienist 16 licensure act or other applicable State law, а 17 Participating State may jointly investigate Licensees with other Participating States. 18

Participating States shall share any Significant
 Investigative Information, litigation, or compliance
 materials in furtherance of any joint or individual
 investigation initiated under the Compact.

23 G. Authority to Continue Investigation

After a Licensee's Compact Privilege in a Remote
 State is terminated, the Remote State may continue an
 investigation of the Licensee that began when the Licensee

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had a Compact Privilege in that Remote State.

2 2. Ιf the investigation yields what would be 3 Significant Investigative Information had the Licensee continued to have a Compact Privilege in that Remote 4 5 State, the Remote State shall report the presence of such information to the Data System as required by Section 6 7 8.B.6 as if it was Significant Investigative Information.

SECTION 7. ESTABLISHMENT AND OPERATION OF THE COMMISSION.

9 A. The Compact Participating States hereby create and 10 establish a joint government agency whose membership consists 11 of all Participating States that have enacted the Compact. The 12 Commission is an instrumentality of the Participating States 13 acting jointly and not an instrumentality of any one State. 14 The Commission shall come into existence on or after the 15 effective date of the Compact as set forth in Section 11A.

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B. Participation, Voting, and Meetings

Each Participating State shall have and be limited
 to one (1) Commissioner selected by that Participating
 State's State Licensing Authority or, if the State has
 more than one State Licensing Authority, selected
 collectively by the State Licensing Authorities.

22 2. The Commissioner shall be a member or designee of23 such Authority or Authorities.

3. The Commission may by Rule or bylaw establish a
term of office for Commissioners and may by Rule or bylaw

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1 establish term limits.
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4. The Commission may recommend to a State Licensing
Authority or Authorities, as applicable, removal or
suspension of an individual as the State's Commissioner.

5 5. A Participating State's State Licensing Authority, 6 or Authorities, as applicable, shall fill any vacancy of 7 its Commissioner on the Commission within sixty (60) days 8 of the vacancy.

9 6. Each Commissioner shall be entitled to one vote on
10 all matters that are voted upon by the Commission.

11 7. The Commission shall meet at least once during each 12 calendar year. Additional meetings may be held as set 13 forth in the bylaws. The Commission may meet by 14 telecommunication, video conference or other similar 15 electronic means.

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C. The Commission shall have the following powers:

1. Establish the fiscal year of the Commission;

18 2. Establish a code of conduct and conflict of19 interest policies;

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3. Adopt Rules and bylaws;

4. Maintain its financial records in accordance withthe bylaws;

5. Meet and take such actions as are consistent with
the provisions of this Compact, the Commission's Rules,
and the bylaws;

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6. Initiate and conclude legal proceedings or actions

in the name of the Commission, provided that the standing of any State Licensing Authority to sue or be sued under applicable law shall not be affected;

7. Maintain and certify records and information
provided to a Participating State as the authenticated
business records of the Commission, and designate a person
to do so on the Commission's behalf;

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8. Purchase and maintain insurance and bonds;

9 9. Borrow, accept, or contract for services of
10 personnel, including, but not limited to, employees of a
11 Participating State;

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10. Conduct an annual financial review;

13 11. Hire employees, elect or appoint officers, fix 14 compensation, define duties, grant such individuals 15 appropriate authority to carry out the purposes of the 16 Compact, and establish the Commission's personnel policies 17 relating to conflicts of programs interest, and qualifications of personnel, and other related personnel 18 19 matters:

20 12. As set forth in the Commission Rules, charge a fee 21 to a Licensee for the grant of a Compact Privilege in a 22 Remote State and thereafter, as may be established by 23 Commission Rule, charge the Licensee a Compact Privilege 24 renewal fee for each renewal period in which that Licensee 25 exercises or intends to exercise the Compact Privilege in 26 that Remote State. Nothing herein shall be construed to

prevent a Remote State from charging a Licensee a fee for a Compact Privilege or renewals of a Compact Privilege, or a fee for the Jurisprudence Requirement if the Remote State imposes such a requirement for the grant of a Compact Privilege;

6 13. Accept any and all appropriate gifts, donations, 7 grants of money, other sources of revenue, equipment, 8 supplies, materials, and services, and receive, utilize, 9 and dispose of the same; provided that at all times the 10 Commission shall avoid any appearance of impropriety 11 and/or conflict of interest;

12 14. Lease, purchase, retain, own, hold, improve, or 13 use any property, real, personal, or mixed, or any 14 undivided interest therein;

15 15. Sell, convey, mortgage, pledge, lease, exchange,
abandon, or otherwise dispose of any property real,
personal, or mixed;

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16. Establish a budget and make expenditures;

17. Borrow money;

20 18. Appoint committees, including standing committees, 21 which may be composed of members, State regulators, State 22 legislators or their representatives, and consumer 23 representatives, and such other interested persons as may 24 be designated in this Compact and the bylaws;

25 19. Provide and receive information from, and
 26 cooperate with, law enforcement agencies;

20. Elect a Chair, Vice Chair, Secretary and Treasurer
 and such other officers of the Commission as provided in
 the Commission's bylaws;

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21. Establish and elect an Executive Board;

5 22. Adopt and provide to the Participating States an6 annual report;

7 23. Determine whether a State's enacted compact is
8 materially different from the Model Compact language such
9 that the State would not qualify for participation in the
10 Compact; and

24. Perform such other functions as may be necessary
or appropriate to achieve the purposes of this Compact.
D. Meetings of the Commission

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14 1. All meetings of the Commission that are not closed 15 pursuant to this subsection shall be open to the public. 16 Notice of public meetings shall be posted on the 17 Commission's website at least thirty (30) days prior to 18 the public meeting.

19 2. Notwithstanding subsection D.1 of this section, the 20 Commission may convene an emergency public meeting by 21 providing at least twenty-four (24) hours prior notice on 22 the Commission's website, and any other means as provided 23 in the Commission's Rules, for any of the reasons it may 24 dispense with notice of proposed rulemaking under Section 25 9.L. The Commission's legal counsel shall certify that one 26 of the reasons justifying an emergency public meeting has

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1 been met.

3. Notice of all Commission meetings shall provide the
time, date, and location of the meeting, and if the
meeting is to be held or accessible via telecommunication,
video conference, or other electronic means, the notice
shall include the mechanism for access to the meeting
through such means.

8 4. The Commission may convene in a closed, non-public 9 meeting for the Commission to receive legal advice or to 10 discuss:

a. Non-compliance of a Participating State with
its obligations under the Compact;

b. The employment, compensation, discipline or other matters, practices or procedures related to specific employees or other matters related to the Commission's internal personnel practices and procedures;

c. Current or threatened discipline of a Licensee
or Compact Privilege holder by the Commission or by a
Participating State's Licensing Authority;

d. Current, threatened, or reasonably anticipatedlitigation;

e. Negotiation of contracts for the purchase,
lease, or sale of goods, services, or real estate;

f. Accusing any person of a crime or formallycensuring any person;

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Trade secrets or commercial or financial 1 a. 2 information that is privileged or confidential; 3 h. Information of a personal nature where disclosure would constitute a clearly unwarranted 4 5 invasion of personal privacy; 6 i. Investigative records compiled for law 7 enforcement purposes; Information related to any investigative 8 j. 9 reports prepared by or on behalf of or for use of the committee 10 Commission or other charged with 11 responsibility of investigation or determination of 12 compliance issues pursuant to the Compact; 13 k. Legal advice; 1. Matters specifically exempted from disclosure 14 15 to the public by federal or Participating State law; 16 and 17 m. Other matters as promulgated by the Commission 18 by Rule. 5. If a meeting, or portion of a meeting, is closed, 19 20 the presiding officer shall state that the meeting will be closed and reference each relevant exempting provision, 21 22 and such reference shall be recorded in the minutes. 23 6. The Commission shall keep minutes that fully and 24 clearly describe all matters discussed in a meeting and 25 shall provide a full and accurate summary of actions 26 taken, and the reasons therefore, including a description of the views expressed. All documents considered in connection with an action shall be identified in such minutes. All minutes and documents of a closed meeting shall remain under seal, subject to release only by a majority vote of the Commission or order of a court of competent jurisdiction.

E. Financing of the Commission

8 1. The Commission shall pay, or provide for the 9 payment of, the reasonable expenses of its establishment, 10 organization, and ongoing activities.

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

14 3. The Commission may levy on and collect an annual 15 assessment from each Participating State and impose fees 16 Licensees of Participating States when a Compact on 17 Privilege is granted, to cover the cost of the operations and activities of the Commission and its staff, which must 18 19 be in a total amount sufficient to cover its annual budget 20 as approved each fiscal year for which sufficient revenue is not provided by other sources. The aggregate annual 21 22 assessment amount for Participating States shall be 23 allocated based upon a formula that the Commission shall 24 promulgate by Rule.

4. The Commission shall not incur obligations of anykind prior to securing the funds adequate to meet the

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same; nor shall the Commission pledge the credit of any
 Participating State, except by and with the authority of
 the Participating State.

5. The Commission shall keep accurate accounts of all 4 5 receipts and disbursements. The receipts and disbursements 6 of the Commission shall be subject to the financial review 7 and accounting procedures established under its bylaws. All receipts and disbursements of funds handled by the 8 9 Commission shall be subject to an annual financial review 10 by a certified or licensed public accountant, and the 11 report of the financial review shall be included in and 12 become part of the annual report of the Commission.

13 F. The Executive Board

The Executive Board shall have the power to act on
 behalf of the Commission according to the terms of this
 Compact. The powers, duties, and responsibilities of the
 Executive Board shall include:

a. Overseeing the day-to-day activities of the
administration of the Compact including compliance
with the provisions of the Compact, the Commission's
Rules and bylaws;

b. Recommending to the Commission changes to the
Rules or bylaws, changes to this Compact legislation,
fees charged to Compact Participating States, fees
charged to Licensees, and other fees;

26 c. Ensuring Compact administration services are

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e. Maintaining financial records on behalf of the Commission; f. Monitoring Compact compliance of Participating States and providing compliance reports to Commission; Establishing additional committees q. necessary; Exercising the powers and duties of h. Commission during the interim between Commission meetings, except for adopting or amending Rules, adopting or amending bylaws, and exercising any other powers and duties expressly reserved to the Commission by Rule or bylaw; and i. Other duties as provided in the Rules or bylaws of the Commission. 2. The Executive Board shall be composed of up to seven (7) members: a. The Chair, Vice Chair, Secretary and Treasurer of the Commission and any other members of the Commission who serve on the Executive Board shall be voting members of the Executive Board; and b. Other than the Chair, Vice Chair, Secretary, and Treasurer, the Commission may elect up to three (3) voting members from the current membership of the

appropriately provided, including by contract;

d. Preparing and recommending the budget;

1 Commission.

The Commission may remove any member of the
 Executive Board as provided in the Commission's bylaws.

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4. The Executive Board shall meet at least annually.

5 a. An Executive Board meeting at which it takes or 6 intends to take formal action on a matter shall be open 7 to the public, except that the Executive Board may 8 meet in a closed, non-public session of a public 9 meeting when dealing with any of the matters covered 10 under subsection D.4.

b. The Executive Board shall give five (5) business days' notice of its public meetings, posted on its website and as it may otherwise determine to provide notice to persons with an interest in the public matters the Executive Board intends to address at those meetings.

17 5. The Executive Board may hold an emergency meeting18 when acting for the Commission to:

a. Meet an imminent threat to public health,
 safety, or welfare;

21 b. Prevent a loss of Commission or Participating22 State funds; or

c. Protect public health and safety.
 G. Qualified Immunity, Defense, and Indemnification
 1. The members, officers, executive director,

employees and representatives of the Commission shall be

immune from suit and liability, both personally and in 1 2 their official capacity, for any claim for damage to or 3 loss of property or personal injury or other civil liability caused by or arising out of any actual or 4 5 alleged act, error, or omission that occurred, or that the person against whom the claim is made had a reasonable 6 7 basis for believing occurred within the scope of 8 Commission employment, duties or responsibilities; 9 provided that nothing in this paragraph shall be construed 10 to protect any such person from suit or liability for any 11 damage, loss, injury, or liability caused by the 12 intentional or willful or wanton misconduct of that person. The procurement of insurance of any type by the 13 14 Commission shall not in any way compromise or limit the 15 immunity granted hereunder.

16 2. The Commission shall defend any member, officer, 17 executive director, employee, and representative of the Commission in any civil action seeking to impose liability 18 19 arising out of any actual or alleged act, error, or omission that occurred within the scope of Commission 20 21 employment, duties, or responsibilities, or as determined 22 by the Commission that the person against whom the claim 23 is made had a reasonable basis for believing occurred 24 within the scope of Commission employment, duties, or 25 responsibilities; provided that nothing herein shall be 26 construed to prohibit that person from retaining their own

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counsel at their own expense; 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.

5 3. Notwithstanding subsection G.1 of this section, 6 should any member, officer, executive director, employee, 7 or representative of the Commission be held liable for the amount of any settlement or judgment arising out of any 8 9 actual or alleged act, error, or omission that occurred 10 within the scope of that individual's employment, duties, 11 or responsibilities for the Commission, or that the person 12 to whom that individual is liable had a reasonable basis 13 for believing occurred within the scope of the 14 individual's employment, duties, or responsibilities for 15 the Commission, the Commission shall indemnify and hold 16 harmless such individual, provided that the actual or 17 alleged act, error, or omission did not result from the intentional or willful or wanton misconduct of 18 the 19 individual.

4. Nothing herein shall be construed as a limitation
on the liability of any Licensee for professional
malpractice or misconduct, which shall be governed solely
by any other applicable State laws.

5. Nothing in this Compact shall be interpreted to waive or otherwise abrogate a Participating State's state action immunity or state action affirmative defense with respect to antitrust claims under the Sherman Act, Clayton
 Act, or any other State or federal antitrust or
 anticompetitive law or regulation.

6. Nothing in this Compact shall be construed to be a
waiver of sovereign immunity by the Participating States
or by the Commission.

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SECTION 8. DATA SYSTEM

A. The Commission shall provide for the development, maintenance, operation, and utilization of a coordinated database and reporting system containing licensure, Adverse Action, and the presence of Significant Investigative Information on all Licensees and applicants for a License in Participating States.

B. Notwithstanding any other provision of State law to the contrary, a Participating State shall submit a uniform data set to the Data System on all individuals to whom this Compact is applicable as required by the Rules of the Commission, including:

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1. Identifying information;

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2. Licensure data;

3. Adverse Actions against a Licensee, License
applicant or Compact Privilege and information related
thereto;

A. Non-confidential information related to Alternative
 Program participation, the beginning and ending dates of

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such participation, and other information related to such participation;

5. Any denial of an application for licensure, and the reason(s) for such denial, (excluding the reporting of any criminal history record information where prohibited by law);

7 6. The presence of Significant Investigative8 Information; and

9 7. Other information that may facilitate the 10 administration of this Compact or the protection of the 11 public, as determined by the Rules of the Commission.

12 C. The records and information provided to a Participating State pursuant to this Compact or through the Data System, 13 when certified by the Commission or an agent thereof, shall 14 15 constitute the authenticated business records of the 16 Commission, and shall be entitled to any associated hearsay 17 exception in any relevant judicial, guasi-judicial or administrative proceedings in a Participating State. 18

D. Significant Investigative Information pertaining to a
 Licensee in any Participating State will only be available to
 other Participating States.

E. It is the responsibility of the Participating States to monitor the database to determine whether Adverse Action has been taken against a Licensee or License applicant. Adverse Action information pertaining to a Licensee or License applicant in any Participating State will be available to any 1 other Participating State.

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F. Participating States contributing information to the Data System may designate information that may not be shared with the public without the express permission of the contributing State.

G. Any information submitted to the Data System that is subsequently expunded pursuant to federal law or the laws of the Participating State contributing the information shall be removed from the Data System.

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SECTION 9. RULEMAKING

11 A. The Commission shall promulgate reasonable Rules in 12 order to effectively and efficiently implement and administer the purposes and provisions of the Compact. A Commission Rule 13 14 shall be invalid and have no force or effect only if a court of 15 competent jurisdiction holds that the Rule is invalid because 16 the Commission exercised its rulemaking authority in a manner that is beyond the scope and purposes of the Compact, or the 17 18 powers granted hereunder, or based upon another applicable standard of review. 19

B. The Rules of the Commission shall have the force of law in each Participating State, provided however that where the Rules of the Commission conflict with the laws of the Participating State that establish the Participating State's Scope of Practice as held by a court of competent jurisdiction, the Rules of the Commission shall be ineffective - 33 - LRB103 37695 AWJ 67822 b

1 in that State to the extent of the conflict.

2 C. The Commission shall exercise its Rulemaking powers 3 pursuant to the criteria set forth in this section and the 4 Rules adopted thereunder. Rules shall become binding as of the 5 date specified by the Commission for each Rule.

D. If a majority of the legislatures of the Participating States rejects a Commission Rule or portion of a Commission Rule, by enactment of a statute or resolution in the same manner used to adopt the Compact, within four (4) years of the date of adoption of the Rule, then such Rule shall have no further force and effect in any Participating State or to any State applying to participate in the Compact.

E. Rules shall be adopted at a regular or special meetingof the Commission.

F. Prior to adoption of a proposed Rule, the Commission shall hold a public hearing and allow persons to provide oral and written comments, data, facts, opinions, and arguments.

G. Prior to adoption of a proposed Rule by the Commission, and at least thirty (30) days in advance of the meeting at which the Commission will hold a public hearing on the proposed Rule, the Commission shall provide a Notice of Proposed Rulemaking:

23 1. On the website of the Commission or other publicly24 accessible platform;

2. To persons who have requested notice of the
 Commission's notices of proposed rulemaking; and

3. In such other way(s) as the Commission may by Rule
 specify.

H. The Notice of Proposed Rulemaking shall include:

1. The time, date, and location of the public hearing
at which the Commission will hear public comments on the
proposed Rule and, if different, the time, date, and
location of the meeting where the Commission will consider
and vote on the proposed Rule;

9 2. If the hearing is held via telecommunication, video 10 conference, or other electronic means, the Commission 11 shall include the mechanism for access to the hearing in 12 the Notice of Proposed Rulemaking;

3. The text of the proposed Rule and the reason
 therefor;

4. A request for comments on the proposed Rule fromany interested person; and

17 5. The manner in which interested persons may submit18 written comments.

19 I. All hearings will be recorded. A copy of the recording 20 and all written comments and documents received by the 21 Commission in response to the proposed Rule shall be available 22 to the public.

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

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1 K. The Commission shall, by majority vote of all 2 Commissioners, take final action on the proposed Rule based on 3 the rulemaking record.

The Commission may adopt changes to the proposed
 Rule provided the changes do not enlarge the original
 purpose of the proposed Rule.

7 2. The Commission shall provide an explanation of the
8 reasons for substantive changes made to the proposed Rule
9 as well as reasons for substantive changes not made that
10 were recommended by commenters.

11 3. The Commission shall determine a reasonable 12 effective date for the Rule. Except for an emergency as 13 provided in subsection L, the effective date of the Rule 14 shall be no sooner than thirty (30) days after the 15 Commission issuing the notice that it adopted or amended 16 the Rule.

17 L. Upon determination that an emergency exists, the Commission may consider and adopt an emergency Rule with 24 18 19 hours' notice, with opportunity to comment, provided that the 20 usual rulemaking procedures provided in the Compact and in this section shall be retroactively applied to the Rule as 21 22 soon as reasonably possible, in no event later than ninety 23 (90) days after the effective date of the Rule. For the 24 purposes of this provision, an emergency Rule is one that must 25 be adopted immediately in order to:

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1. Meet an imminent threat to public health, safety,

1 or welfare;

2. Prevent a loss of Commission or Participating State
 3 funds;

3. Meet a deadline for the promulgation of a Rule that
is established by federal law or rule; or

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4. Protect public health and safety.

7 The Commission or an authorized committee of the Μ. 8 Commission may direct revisions to a previously adopted Rule 9 for purposes of correcting typographical errors, errors in 10 format, errors in consistency, or grammatical errors. Public 11 notice of any revisions shall be posted on the website of the 12 Commission. The revision shall be subject to challenge by any person for a period of thirty (30) days after posting. The 13 revision may be challenged only on grounds that the revision 14 15 results in a material change to a Rule. A challenge shall be 16 made in writing and delivered to the Commission prior to the 17 end of the notice period. If no challenge is made, the revision will take effect without further action. If the revision is 18 19 challenged, the revision may not take effect without the 20 approval of the Commission.

N. No Participating State's rulemaking requirements shall
 apply under this Compact.

23 SECTION 10. OVERSIGHT, DISPUTE RESOLUTION, AND ENFORCEMENT24 A. Oversight

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1. The executive and judicial branches of State

government in each Participating State shall enforce this
 Compact and take all actions necessary and appropriate to
 implement the Compact.

2. Venue is proper and judicial proceedings by or 4 5 against the Commission shall be brought solely and exclusively in a court of competent jurisdiction where the 6 7 principal office of the Commission is located. The 8 Commission may waive venue and jurisdictional defenses to 9 the extent it adopts or consents to participate in 10 alternative dispute resolution proceedings. Nothing herein 11 shall affect or limit the selection or propriety of venue 12 any action against a Licensee for professional in malpractice, misconduct or any such similar matter. 13

3. The Commission shall be entitled to receive service of process in any proceeding regarding the enforcement or interpretation of the Compact or Commission Rule and shall have standing to intervene in such a proceeding for all purposes. Failure to provide the Commission service of process shall render a judgment or order void as to the Commission, this Compact, or promulgated Rules.

21 B. Default, Technical Assistance, and Termination

If the Commission determines that a Participating
 State has defaulted in the performance of its obligations
 or responsibilities under this Compact or the promulgated
 Rules, the Commission shall provide written notice to the
 defaulting State. The notice of default shall describe the

default, the proposed means of curing the default, and any
 other action that the Commission may take, and shall offer
 training and specific technical assistance regarding the
 default.

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2. The Commission shall provide a copy of the notice of default to the other Participating States.

7 C. If a State in default fails to cure the default, the 8 defaulting State may be terminated from the Compact upon an 9 affirmative vote of a majority of the Commissioners, and all 10 rights, privileges and benefits conferred on that State by this Compact may be terminated on the effective date of 11 12 termination. A cure of the default does not relieve the offending State of obligations or liabilities incurred during 13 14 the period of default.

15 D. Termination of participation in the Compact shall be 16 imposed only after all other means of securing compliance have 17 been exhausted. Notice of intent to suspend or terminate shall be given by the Commission to the governor, the majority and 18 19 minority leaders of the defaulting State's legislature, the 20 defaulting State's State Licensing Authority or Authorities, as applicable, and each of the Participating States' State 21 22 Licensing Authority or Authorities, as applicable.

E. A State that has been terminated is responsible for all assessments, obligations, and liabilities incurred through the effective date of termination, including obligations that extend beyond the effective date of termination.

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F. Upon the termination of a State's participation in this 1 2 Compact, that State shall immediately provide notice to all 3 Licensees of the State, including Licensees of other Participating States issued a Compact Privilege to practice 4 5 within that State, of such termination. The terminated State shall continue to recognize all Compact Privileges then in 6 effect in that State for a minimum of one hundred eighty (180) 7 days after the date of said notice of termination. 8

9 G. The Commission shall not bear any costs related to a 10 State that is found to be in default or that has been 11 terminated from the Compact, unless agreed upon in writing 12 between the Commission and the defaulting State.

H. The defaulting State may appeal the action of the Commission by petitioning the U.S. District Court for the District of Columbia or the federal district where the Commission has its principal offices. The prevailing party shall be awarded all costs of such litigation, including reasonable attorney's fees.

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I. Dispute Resolution

Upon request by a Participating State, the
 Commission shall attempt to resolve disputes related to
 the Compact that arise among Participating States and
 between Participating States and non-Participating States.

24 2. The Commission shall promulgate a Rule providing
25 for both mediation and binding dispute resolution for
26 disputes as appropriate.

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J. Enforcement

The Commission, in the reasonable exercise of its
 discretion, shall enforce the provisions of this Compact
 and the Commission's Rules.

5 2. By majority vote, the Commission may initiate legal action against a Participating State in default in the 6 7 United States District Court for the District of Columbia or the federal district where the Commission has 8 its 9 offices to enforce compliance with principal the 10 provisions of the Compact and its promulgated Rules. The 11 relief sought may include both injunctive relief and 12 damages. In the event judicial enforcement is necessary, the prevailing party shall be awarded all costs of such 13 14 litigation, including reasonable attorney's fees. The 15 remedies herein shall not be the exclusive remedies of the 16 Commission. The Commission may pursue any other remedies 17 available under federal or the defaulting Participating State's law. 18

19 3. A Participating State may initiate legal action against the Commission in the U.S. District Court for the 20 District of Columbia or the federal district where the 21 22 Commission has its principal offices to enforce compliance 23 with the provisions of the Compact and its promulgated 24 Rules. The relief sought may include both injunctive 25 relief and damages. In the event judicial enforcement is 26 necessary, the prevailing party shall be awarded all costs

of such litigation, including reasonable attorney's fees.

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4. No individual or entity other than a Participating State may enforce this Compact against the Commission.

SECTION 11. EFFECTIVE DATE, WITHDRAWAL, AND AMENDMENT
A. The Compact shall come into effect on the date on which
the Compact statute is enacted into law in the seventh
Participating State.

8 1. On or after the effective date of the Compact, the 9 Commission shall convene and review the enactment of each 10 of the States that enacted the Compact prior to the 11 Commission convening ("Charter Participating States") to 12 determine if the statute enacted by each such Charter 13 Participating State is materially different than the Model 14 Compact.

a. A Charter Participating State whose enactment
is found to be materially different from the Model
Compact shall be entitled to the default process set
forth in Section 10.

19 b. If any Participating State is later found to be in default, or is terminated or withdraws from the 20 21 Compact, the Commission shall remain in existence and 22 the Compact shall remain in effect even if the number 23 of Participating States should be less than seven (7). 24 2. Participating States enacting the Compact

25 subsequent to the Charter Participating States shall be

subject to the process set forth in Section 7.C.23 to determine if their enactments are materially different from the Model Compact and whether they qualify for participation in the Compact.

5 3. All actions taken for the benefit of the Commission 6 or in furtherance of the purposes of the administration of 7 the Compact prior to the effective date of the Compact or 8 the Commission coming into existence shall be considered 9 to be actions of the Commission unless specifically 10 repudiated by the Commission.

4. Any State that joins the Compact subsequent to the Commission's initial adoption of the Rules and bylaws shall be subject to the Commission's Rules and bylaws as they exist on the date on which the Compact becomes law in that State. Any Rule that has been previously adopted by the Commission shall have the full force and effect of law on the day the Compact becomes law in that State.

B. Any Participating State may withdraw from this Compact
by enacting a statute repealing that State's enactment of the
Compact.

A Participating State's withdrawal shall not take
 effect until one hundred eighty (180) days after enactment
 of the repealing statute.

24 2. Withdrawal shall not affect the continuing
 25 requirement of the withdrawing State's Licensing Authority
 26 or Authorities to comply with the investigative and

1 2 Adverse Action reporting requirements of this Compact prior to the effective date of withdrawal.

3 3. Upon the enactment of a statute withdrawing from this Compact, the State shall immediately provide notice 4 5 of such withdrawal to all Licensees within that State. 6 Notwithstanding any subsequent statutory enactment to the 7 contrary, such withdrawing State shall continue to 8 recognize all Compact Privileges to practice within that 9 State granted pursuant to this Compact for a minimum of 10 one hundred eighty (180) days after the date of such 11 notice of withdrawal.

12 C. Nothing contained in this Compact shall be construed to 13 invalidate or prevent any licensure agreement or other 14 cooperative arrangement between a Participating State and a 15 non-Participating State that does not conflict with the 16 provisions of this Compact.

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

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SECTION 12. CONSTRUCTION AND SEVERABILITY

A. This Compact and the Commission's rulemaking authority shall be liberally construed so as to effectuate the purposes, and the implementation and administration of the Compact. Provisions of the Compact expressly authorizing or requiring

1 2 the promulgation of Rules shall not be construed to limit the Commission's rulemaking authority solely for those purposes.

3 B. The provisions of this Compact shall be severable and if any phrase, clause, sentence or provision of this Compact 4 5 is held by a court of competent jurisdiction to be contrary to 6 the constitution of any Participating State, a State seeking 7 participation in the Compact, or of the United States, or the 8 applicability thereof to any government, agency, person or 9 circumstance is held to be unconstitutional by a court of 10 competent jurisdiction, the validity of the remainder of this 11 Compact and the applicability thereof to any other government, 12 agency, person or circumstance shall not be affected thereby.

13 C. Notwithstanding subsection B of this section, the 14 Commission may deny a State's participation in the Compact or, 15 in accordance with the requirements of Section 10.B, terminate 16 a Participating State's participation in the Compact, if it 17 determines а constitutional that requirement of а Participating State is a material departure from the Compact. 18 19 Otherwise, if this Compact shall be held to be contrary to the 20 constitution of any Participating State, the Compact shall 21 remain in full force and effect as to the remaining 22 Participating States and in full force and effect as to the 23 Participating State affected as to all severable matters.

24 SECTION 13. CONSISTENT EFFECT AND CONFLICT WITH OTHER 25 STATE LAWS A. Nothing herein shall prevent or inhibit the enforcement of any other law of a Participating State that is not inconsistent with the Compact.

B. Any laws, statutes, regulations, or other legal
requirements in a Participating State in conflict with the
Compact are superseded to the extent of the conflict.

C. All permissible agreements between the Commission and
the Participating States are binding in accordance with their
terms.