

MAINE STATE LEGISLATURE

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L D 717

Date 6/20/23

(Filing No S-373)

HEALTH COVERAGE, INSURANCE AND FINANCIAL SERVICES

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**STATE OF MAINE
SENATE
131ST LEGISLATURE
FIRST SPECIAL SESSION**

COMMITTEE AMENDMENT "A" to S P 275, L D 717, "An Act to Adopt the
Audiology and Speech-Language Pathology Interstate Compact"

Amend the bill by striking out everything after the enacting clause and inserting the
following

'Sec. 1. 32 MRSA c. 137, sub-c. 5 is enacted to read

SUBCHAPTER 5

**AUDIOLOGY AND SPEECH-LANGUAGE PATHOLOGY INTERSTATE
COMPACT**

§17501. Short title, legislative intent and declaration of purpose

1. Short title This subchapter may be known and cited as "the Audiology and Speech-
Language Pathology Interstate Compact "

2. Legislative intent. This compact is the Maine enactment of the "Audiology and
Speech-Language Pathology Interstate Compact," which is referred to in this subchapter as
"the compact " The form, format and text of the compact have been changed minimally so
as to conform to the Maine Revised Statutes The changes to the compact are technical in
nature, and this Act must be interpreted as substantively the same as the compact that is
enacted by other compact states

3. Declaration of purpose The purpose of this compact is to facilitate interstate
practice of audiology and speech-language pathology with the goal of improving public
access to audiology and speech-language pathology services The practice of audiology and
speech-language pathology occurs in the state where the client is located at the time of the
client encounter The compact preserves the regulatory authority of states to protect public
health and safety through the current system of state licensure The compact is designed to
achieve the following objectives

- 1 A Increase public access to audiology and speech-language pathology services by
- 2 providing for the mutual recognition of other member state licenses,
- 3 B Enhance the states' ability to protect the public's health and safety,
- 4 C Encourage the cooperation of member states in regulating multistate audiology and
- 5 speech-language pathology practice,
- 6 D Support spouses of relocating active duty military personnel,
- 7 E Enhance the exchange of licensure, investigative and disciplinary information
- 8 between member states,
- 9 F Allow a remote state to hold a provider of services with a compact privilege in that
- 10 state accountable to that state's practice standards, and
- 11 G Allow for the use of telehealth technology to facilitate increased access to audiology
- 12 and speech-language pathology services

§17502. Definitions

14 As used in this subchapter, unless the context otherwise indicates, the following terms

15 have the following meanings

16 1. Active duty military. "Active duty military" means full-time duty status in the

17 active uniformed service of the United States, including members of the National Guard

18 and Reserve on active duty orders pursuant to 10 United States Code, Chapter 1209 and 10

19 United States Code, Chapter 1211

20 2. Adverse action. "Adverse action" means any administrative, civil, equitable or

21 criminal action permitted by a state's laws that is imposed by a licensing board or other

22 authority against an audiologist or speech-language pathologist, including actions against

23 an individual's license or privilege to practice such as revocation, suspension, probation,

24 monitoring of the licensee or restriction on the licensee's practice

25 3. Alternative program. "Alternative program" means a nondisciplinary monitoring

26 process approved by an audiology or speech-language pathology licensing board to address

27 impaired practitioners

28 4 Audiologist. "Audiologist" means an individual who is licensed by a state to

29 practice audiology

30 5 Audiology "Audiology" means the care and services provided by a licensed

31 audiologist as set forth in the member state's statutes and rules

32 6. Audiology and Speech-Language Pathology Compact Commission. "Audiology

33 and Speech-Language Pathology Compact Commission" or "commission" means the

34 national administrative body whose membership consists of all states that have enacted the

35 compact

36 7. Audiology and speech-language pathology licensing board. "Audiology and

37 speech-language pathology licensing board," "audiology licensing board," "speech-

38 language pathology licensing board" or "licensing board" means the agency of a state that

39 is responsible for the licensing and regulation of audiologists and speech-language

40 pathologists

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- 1 **8. Client.** "Client" means a recipient of audiology or speech-language pathology
2 services
- 3 **9. Compact privilege.** "Compact privilege" means the authorization granted by a
4 remote state to allow a licensee from another member state to practice as an audiologist or
5 speech-language pathologist in the remote state under its laws and rules The practice of
6 audiology or speech-language pathology occurs in the member state where the patient,
7 client or student is located at the time of the patient, client or student encounter
- 8 **10. Current significant investigative information.** "Current significant investigative
9 information" means investigative information that a licensing board, after an inquiry or
10 investigation that includes notification and an opportunity for the audiologist or speech-
11 language pathologist to respond, if required by state law, has reason to believe is not
12 groundless and, if proved true, would indicate more than a minor infraction
- 13 **11. Data system.** "Data system" means a repository of information about licensees,
14 including, but not limited to, continuing education, examination, licensure, investigative,
15 compact privilege and adverse action
- 16 **12. Encumbered license.** "Encumbered license" means a license in which an adverse
17 action restricts the practice of audiology or speech-language pathology by the licensee and
18 the adverse action has been reported to the National Practitioners Data Bank
- 19 **13. Executive committee.** "Executive committee" means a group of members elected
20 or appointed to act on behalf of, and within the powers granted to them by, the commission
- 21 **14. Home state.** "Home state" means the member state that is the licensee's primary
22 state of residence
- 23 **15. Impaired practitioner.** "Impaired practitioner" means an individual whose
24 professional practice is adversely affected by substance use disorder, addiction or other
25 health-related conditions
- 26 **16 Licensee.** "Licensee" means an individual who currently holds an authorization
27 from the state licensing board to practice as an audiologist or speech-language pathologist
- 28 **17. Member state.** "Member state" means a state that has enacted the compact
- 29 **18. Privilege to practice.** "Privilege to practice" means a legal authorization
30 permitting the practice of audiology or speech-language pathology in a remote state
- 31 **19. Remote state** "Remote state" means a member state other than the home state
32 where a licensee is exercising or seeking to exercise the compact privilege
- 33 **20. Rule** "Rule" means a regulation, principle or directive promulgated by the
34 commission that has the force of law
- 35 **21. Single-state license.** "Single-state license" means an audiology or speech-
36 language pathology license issued by a member state that authorizes practice only within
37 the issuing state and does not include a privilege to practice in any other member state
- 38 **22. Speech-language pathologist.** "Speech-language pathologist" means an
39 individual who is licensed by a state to practice speech-language pathology
- 40 **23. Speech-language pathology.** "Speech-language pathology" means the care and
41 services provided by a licensed speech-language pathologist as set forth in the member
42 state's statutes and rules



1 **24. State.** "State" means any state, commonwealth, district or territory of the United
2 States of America that regulates the practice of audiology and speech-language pathology

3 **25. State practice laws.** "State practice laws" means a member state's laws, rules and
4 regulations that govern the practice of audiology or speech-language pathology, define the
5 scope of audiology or speech-language pathology practice and create the methods and
6 grounds for imposing discipline

7 **26. Telehealth.** "Telehealth" means the application of telecommunications technology
8 to deliver audiology or speech-language pathology services at a distance for assessment,
9 intervention or consultation

10 **§17503. State participation in the compact**

11 To participate in the compact, a member state shall meet the requirements of this
12 section

13 **1. Recognition of compact privilege.** A member state shall recognize a license issued
14 to an audiologist or speech-language pathologist by a home state to a resident in that state
15 as authorizing an audiologist or speech-language pathologist to practice audiology or
16 speech-language pathology, under a privilege to practice, in each member state

17 **2. Home state license.** A member state shall require an applicant to obtain or retain a
18 license in the home state and meet the home state's qualifications for licensure or renewal
19 of licensure, as well as all other applicable state laws

20 **3. Audiologist requirements.** A member state must require that to be granted a
21 compact privilege, an audiologist must

22 **A Meet one of the following educational requirements**

23 (1) On or before December 31, 2007, have graduated with a master's degree or
24 doctorate in audiology, or equivalent degree, regardless of degree name, from a
25 program that is accredited by an accrediting agency recognized by the Council for
26 Higher Education Accreditation, or its successor, or by the United States
27 Department of Education and operated by a college or university accredited by a
28 regional or national accrediting organization recognized by the board,

29 (2) On or after January 1, 2008, have graduated with a doctorate in audiology, or
30 equivalent degree, regardless of degree name, from a program that is accredited by
31 an accrediting agency recognized by the Council for Higher Education
32 Accreditation, or its successor, or by the United States Department of Education
33 and operated by a college or university accredited by a regional or national
34 accrediting organization recognized by the board, or

35 (3) Have graduated from an audiology program that is housed in an institution of
36 higher education outside of the United States

37 (a) For which the program and institution have been approved by the
38 authorized accrediting body in the applicable country,

39 (b) For which the degree program has been verified by an independent
40 credentials review agency to be comparable to a state licensing board-approved
41 program, and

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- 1 (c) For which the audiologist has completed a supervised clinical practicum
- 2 experience from an accredited educational institution or its cooperating
- 3 programs as required by the commission.
- 4 B Have successfully passed a national examination approved by the commission.
- 5 C Hold an active, unencumbered license.
- 6 D Have not been convicted or found guilty, and have not entered into an agreed
- 7 disposition, of a felony related to the practice of audiology, under applicable state or
- 8 federal criminal law, and
- 9 E Have a valid social security number or National Practitioner Identification number
- 10 **4. Speech-language pathologist requirements. A member state must require that to**
- 11 **be granted a compact privilege, a speech-language pathologist must**
- 12 **A Meet one of the following educational requirements**
- 13 (1) Have graduated with a master's degree from a speech-language pathology
- 14 program that is accredited by an organization recognized by the United States
- 15 Department of Education and operated by a college or university accredited by a
- 16 regional or national accrediting organization recognized by the board, or
- 17 (2) Have graduated from a speech-language pathology program that is housed in
- 18 an institution of higher education outside of the United States
- 19 (a) For which the program and institution have been approved by the
- 20 authorized accrediting body in the applicable country, and
- 21 (b) For which the degree program has been verified by an independent
- 22 credentials review agency to be comparable to a state licensing board-approved
- 23 program.
- 24 B Have completed a supervised clinical practicum experience from an educational
- 25 institution or its cooperating programs as required by the commission.
- 26 C Have completed a supervised postgraduate professional experience as required by
- 27 the commission.
- 28 D Have successfully passed a national examination approved by the commission.
- 29 E Hold an active, unencumbered license.
- 30 F Have not been convicted or found guilty, and have not entered into an agreed
- 31 disposition, of a felony related to the practice of speech-language pathology, under
- 32 applicable state or federal criminal law, and
- 33 G Have a valid social security number or National Practitioner Identification number
- 34 **5. Consideration of criminal history records. A member state must implement or**
- 35 **utilize procedures for considering the criminal history records of applicants for initial**
- 36 **privilege to practice. These procedures must include the submission of fingerprints or other**
- 37 **biometric-based information by applicants for the purpose of obtaining an applicant's**
- 38 **criminal history record information from the Federal Bureau of Investigation and the**
- 39 **agency responsible for retaining that state's criminal records**

- 1 A A member state must fully implement a criminal background check requirement,
- 2 within a time frame established by rule, by receiving the results of the Federal Bureau
- 3 of Investigation record search on criminal background checks and using the results in
- 4 making licensure decisions
- 5 B Communication between a member state and the commission and among member
- 6 states regarding the verification of eligibility for licensure through the compact may
- 7 not include any information received from the Federal Bureau of Investigation relating
- 8 to a federal criminal records check performed by a member state under the federal
- 9 Departments of State, Justice, and Commerce, the Judiciary, and Related Agencies
- 10 Appropriation Act, 1973, Title II, Public Law 92-544 (1972)
- 11 6. Other state information. Upon application for a privilege to practice, the licensing
- 12 board in the issuing remote state shall ascertain, through the data system, whether the
- 13 applicant has ever held, or is the holder of, a license issued by any other state, whether there
- 14 are any encumbrances on any license or privilege to practice held by the applicant and
- 15 whether any adverse action has been taken against any license or privilege to practice held
- 16 by the applicant
- 17 7. Privilege to practice. The privilege to practice is derived from the home state
- 18 license
- 19 8. Compliance with practice laws; client location An audiologist or speech-
- 20 language pathologist practicing in a member state must comply with the state practice laws
- 21 of the state in which the client is located at the time service is provided The practice of
- 22 audiology and speech-language pathology must include all audiology and speech-language
- 23 pathology practice as defined by the state practice laws of the member state in which the
- 24 client is located The practice of audiology and speech-language pathology in a member
- 25 state under a privilege to practice subjects an audiologist or speech-language pathologist to
- 26 the jurisdiction of the licensing board, the courts and the laws of the member state in which
- 27 the client is located at the time service is provided
- 28 9. Nonresidents. An individual not residing in a member state is able to apply for a
- 29 member state's single-state license as provided under the laws of that member state
- 30 However, the single-state license granted to these individuals may not be recognized as
- 31 granting the compact privilege in any other member state
- 32 10. No effect on single-state license authority. Nothing in this compact affects the
- 33 requirements established by a member state for the issuance of a single-state license
- 34 11. Fee. A member state may charge a fee for granting a compact privilege
- 35 §17504. Compact privilege
- 36 1. Exercise of compact privilege. To exercise the compact privilege under the terms
- 37 and provisions of the compact, an audiologist or speech-language pathologist must
- 38 A Hold an active license in the home state,
- 39 B Have no encumbrance on any state license,
- 40 C Be eligible for a compact privilege in any member state in accordance with section
- 41 17503,

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- 1 D Have not had any adverse action against any license or compact privilege within the
2 previous 2 years from date of application,
- 3 E Notify the commission that the licensee is seeking the compact privilege within a
4 remote state,
- 5 F Pay any applicable fees, including any state fee, for the compact privilege, and
- 6 G Report to the commission adverse action taken by any nonmember state within 30
7 days from the date the adverse action is taken
- 8 **2. Validity of compact privilege.** The compact privilege is valid until the expiration
9 date of the home state license The licensee must comply with the requirements of
10 subsection 1 to maintain the compact privilege in the remote state
- 11 **3. Exercising compact privilege in remote state.** A licensee providing audiology or
12 speech-language pathology services in a remote state under the compact privilege shall
13 function within the laws and regulations of the remote state
- 14 **4 Regulatory authority of remote state.** A licensee providing audiology or speech-
15 language pathology services in a remote state is subject to that state's regulatory authority
16 A remote state may, in accordance with due process and that state's laws, remove a
17 licensee's compact privilege in the remote state for a specific period of time, impose fines
18 or take any other necessary actions to protect the health and safety of its citizens The
19 licensee may be ineligible for a compact privilege in any state until the specific time for
20 removal has passed and all fines are paid
- 21 **5. Loss of compact privilege.** If a home state license is encumbered, the licensee
22 loses the compact privilege in any remote state until the following occur
- 23 A The home state license is no longer encumbered, and
- 24 B Two years have elapsed from the date on which the home state license is no longer
25 encumbered in accordance with paragraph A
- 26 **6. Restoration of compact privilege.** Once an encumbered license in the home state
27 is restored to good standing, the licensee must meet the requirements of subsection 1 to
28 obtain a compact privilege in any remote state
- 29 **§17505. Compact privilege to practice telehealth**
- 30 A member state shall recognize the right of an audiologist or speech-language
31 pathologist, licensed by a home state in accordance with section 17503 and under rules
32 promulgated by the commission, to practice audiology or speech-language pathology in
33 any member state through telehealth under a privilege to practice as provided in the
34 compact and rules promulgated by the commission
- 35 **§17506 Active duty military personnel or spouses**
- 36 Active duty military personnel, or the military member's spouse, shall designate a home
37 state where the individual has a current license in good standing The individual may retain
38 the home state designation during the period the service member is on active duty
39 Subsequent to designating a home state, the individual may change the individual's home
40 state only through application for licensure in the new state
- 41 **§17507. Adverse actions**

- 1 **1. Authority of home state.** A home state has exclusive power to impose adverse
- 2 action against an audiologist's or speech-language pathologist's license issued by the home
- 3 state
- 4 **2. Authority of remote state.** In addition to the other powers conferred by state law,
- 5 a remote state has the authority, in accordance with existing state due process law, to
 - 6 **A** Take adverse action against an audiologist's or speech-language pathologist's
 - 7 compact privilege within that member state, and
 - 8 **B** Issue subpoenas for both hearings and investigations that require the attendance and
 - 9 testimony of witnesses as well as the production of evidence A subpoena issued by a
 - 10 licensing board in a member state for the attendance and testimony of witnesses or the
 - 11 production of evidence from another member state may be enforced in the latter state
 - 12 by any court of competent jurisdiction, according to the practice and procedure of that
 - 13 court applicable to subpoenas issued in proceedings pending before it The issuing
 - 14 authority shall pay any witness fees, travel expenses, mileage and other fees required
 - 15 by the service statutes of the state in which the witnesses or evidence are located
- 16 **3. Application of law in home state.** For the purposes of taking adverse action, the
- 17 home state shall give the same priority and effect to reported conduct received from a
- 18 member state as it would if the conduct had occurred within the home state and shall apply
- 19 its own state laws to determine appropriate action
- 20 **4. Investigations.** The home state shall complete any pending investigations of an
- 21 audiologist or speech-language pathologist who changes the audiologist's or speech-
- 22 language pathologist's primary state of residence during the course of the investigations
- 23 The home state where the investigations were initiated also has the authority to take
- 24 appropriate action and shall promptly report the conclusions of the investigations to the
- 25 administrator of the data system The data system administrator shall promptly notify the
- 26 new home state of any adverse action
- 27 **5. Recovery of costs of investigations.** A member state, if otherwise permitted by
- 28 state law, may recover from the affected audiologist or speech-language pathologist the
- 29 costs of investigations and disposition of cases resulting from any adverse action taken
- 30 against that audiologist or speech-language pathologist
- 31 **6. Factual findings.** A member state may take adverse action based on the factual
- 32 findings of a remote state, as long as the member state follows its own procedures for taking
- 33 the adverse action
- 34 **7. Joint investigations.** The following requirements apply to joint investigations
 - 35 **A** In addition to the authority granted to a member state by its respective state
 - 36 audiology or speech-language pathology laws and regulations or other applicable state
 - 37 law, any member state may participate with other member states in joint investigations
 - 38 of licensees
 - 39 **B** Member states shall share any investigative, litigation or compliance materials in
 - 40 furtherance of any joint or individual investigation initiated under the compact
- 41 **8. Deactivation of compact privilege.** If an adverse action is taken by the home state
- 42 against an audiologist's or speech-language pathologist's license, the audiologist's or
- 43 speech-language pathologist's compact privilege in all other member states must be

1 deactivated until all encumbrances have been removed from the state license All home
 2 state disciplinary orders that impose adverse action against an audiologist's or speech-
 3 language pathologist's license must include a statement that the audiologist's or speech-
 4 language pathologist's compact privilege is deactivated in all member states during the
 5 pendency of the order

6 **9. Notice of adverse action.** If a member state takes adverse action, it shall promptly
 7 notify the administrator of the data system The administrator of the data system shall
 8 promptly notify the home state of any adverse actions by remote states

9 **10. Alternative program.** This compact does not override a member state's decision
 10 that participation in an alternative program may be used in lieu of adverse action

11 **§17508. Establishment of Audiology and Speech-Language Pathology Compact**
 12 **Commission**

13 **1. Commission established.** The member states hereby create a joint public agency
 14 known as the Audiology and Speech-Language Pathology Compact Commission as
 15 follows

- 16 A The commission is an instrumentality of the compact states
- 17 B Venue is proper, and judicial proceedings by or against the commission must be
 18 brought solely and exclusively in a court of competent jurisdiction where the principal
 19 office of the commission is located The commission may waive venue and
 20 jurisdictional defenses to the extent it adopts or consents to participate in alternative
 21 dispute resolution proceedings
- 22 C This compact may not be construed to be a waiver of sovereign immunity

23 **2 Membership, voting and meetings.** This subsection governs the membership,
 24 voting and meetings of the commission

- 25 A Each member state has 2 delegates selected by that member state's licensing board
- 26 B A delegate under paragraph A must be a current member of the member state's
 27 licensing board, and one delegate must be an audiologist and one delegate must be a
 28 speech-language pathologist
- 29 C A member state's delegate may be removed or suspended from office as provided
 30 by the law of the state from which the delegate is appointed
- 31 D A member state's licensing board shall fill any vacancy occurring in the commission
 32 within 90 days
- 33 E Each delegate is entitled to one vote with regard to the promulgation of rules and
 34 creation of bylaws and must otherwise have an opportunity to participate in the
 35 business and affairs of the commission A delegate shall vote in person or by such
 36 other means as provided in the bylaws The bylaws may provide for delegates'
 37 participation in meetings by telephone or other means of communication
- 38 F The commission shall meet at least once during each calendar year Additional
 39 meetings may be held as set forth in the bylaws

40 **3. Powers and duties of commission.** The commission has the following powers and
 41 duties

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COMMITTEE AMENDMENT "A" to S P 275, L D 717

- 1 A Establish a code of ethics for the commission,
- 2 B Establish the fiscal year of the commission,
- 3 C Establish bylaws,
- 4 D Maintain the commission's financial records in accordance with the bylaws,
- 5 E Meet and take such actions as are consistent with the provisions of this compact and
- 6 the bylaws,
- 7 F Promulgate uniform rules to facilitate and coordinate implementation and
- 8 administration of this compact. The rules have the force and effect of law and are
- 9 binding in all member states,
- 10 G Bring and prosecute legal proceedings or actions in the name of the commission,
- 11 except that the standing of any state audiology or speech-language pathology licensing
- 12 board to sue or be sued under applicable law is not affected,
- 13 H Purchase and maintain insurance and bonds,
- 14 I Borrow, accept or contract for services of personnel, including, but not limited to,
- 15 employees of a member state,
- 16 J Hire employees, elect or appoint officers, fix compensation, define duties, grant such
- 17 individuals appropriate authority to carry out the purposes of the compact and establish
- 18 the commission's personnel policies and programs relating to conflicts of interest,
- 19 qualifications of personnel and other related personnel matters,
- 20 K Accept any and all appropriate donations and grants of money, equipment, supplies,
- 21 materials and services and receive, use and dispose of the same, as long as at all times
- 22 the commission avoids any appearance of impropriety or conflict of interest,
- 23 L Lease, purchase, accept appropriate gifts or donations of or otherwise own, hold,
- 24 improve or use any property, real, personal or mixed, as long as at all times the
- 25 commission avoids any appearance of impropriety,
- 26 M Sell, convey, mortgage, pledge, lease, exchange, abandon or otherwise dispose of
- 27 any property, real, personal or mixed,
- 28 N Establish a budget and make expenditures,
- 29 O Borrow money,
- 30 P Appoint committees, including standing committees, composed of members and
- 31 other interested persons as may be designated in this compact and the bylaws,
- 32 Q Provide and receive information from, and cooperate with, law enforcement
- 33 agencies,
- 34 R Establish and elect an executive committee, and
- 35 S Perform such other functions as may be necessary or appropriate to achieve the
- 36 purposes of this compact consistent with the state regulation of audiology and speech-
- 37 language pathology licensure and practice.
- 38 **4. Executive committee.** The executive committee has the power to act on behalf of
- 39 the commission according to the terms of this compact in accordance with this subsection
- 40 A The executive committee is composed of the following 10 members

COMMITTEE AMENDMENT

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COMMITTEE AMENDMENT "A" to S P 275, L D 717

- 1 (1) Seven voting members who are elected by the commission from the current
- 2 membership of the commission,
- 3 (2) One ex officio, nonvoting member from a recognized national audiology
- 4 professional association,
- 5 (3) One ex officio, nonvoting member from a recognized national speech-language
- 6 pathology professional association, and
- 7 (4) One ex officio, nonvoting member from the recognized membership
- 8 organization of the audiology and speech-language pathology licensing boards
- 9 B The ex officio members under paragraph A must be selected by their respective
- 10 organizations
- 11 C The commission may remove any member of the executive committee as provided
- 12 in the bylaws
- 13 D The executive committee shall meet at least annually
- 14 E The executive committee shall
- 15 (1) Recommend to the entire commission changes to the rules or bylaws, changes
- 16 to this compact, fees paid by member states such as annual dues and any
- 17 commission compact fee charged to licensees for the compact privilege,
- 18 (2) Ensure compact administration services are appropriately provided,
- 19 contractually or otherwise,
- 20 (3) Prepare and recommend the budget,
- 21 (4) Maintain financial records on behalf of the commission,
- 22 (5) Monitor compact compliance of member states and provide compliance reports
- 23 to the commission,
- 24 (6) Establish additional committees as necessary, and
- 25 (7) Perform other duties as provided in the rules or bylaws
- 26 5. Public and nonpublic meetings. This subsection governs the requirements for
- 27 public and nonpublic meetings of the commission
- 28 A All meetings must be open to the public, and public notice of meetings must be
- 29 given in the same manner as required under the rule-making provisions in section
- 30 17510
- 31 B The commission or the executive committee or other committees of the commission
- 32 may convene in a closed, nonpublic meeting if the commission or executive committee
- 33 or other committees of the commission must discuss
- 34 (1) Noncompliance of a member state with its obligations under the compact,
- 35 (2) The employment, compensation, discipline or other matters, practices or
- 36 procedures related to specific employees or other matters related to the
- 37 commission's internal personnel practices and procedures,
- 38 (3) Current, threatened or reasonably anticipated litigation,

COMMITTEE AMENDMENT

- 1 (4) Negotiation of contracts for the purchase, lease or sale of goods, services or
- 2 real estate,
- 3 (5) Accusing any person of a crime or formally censuring any person,
- 4 (6) Disclosure of trade secrets or commercial or financial information that is
- 5 privileged or confidential,
- 6 (7) Disclosure of information of a personal nature if disclosure would constitute a
- 7 clearly unwarranted invasion of personal privacy,
- 8 (8) Disclosure of investigative records compiled for law enforcement purposes,
- 9 (9) Disclosure of information related to any investigative reports prepared by or
- 10 on behalf of or for use of the commission or other committee charged with
- 11 responsibility of investigation or determination of compliance issues pursuant to
- 12 the compact, or
- 13 (10) Matters specifically exempted from disclosure by federal or member state
- 14 statute

15 C If a meeting, or portion of a meeting, is closed pursuant to this subsection, the
 16 commission's legal counsel or legal counsel's designee shall certify that the meeting
 17 may be closed and shall reference each relevant exempting provision

18 D The commission shall keep minutes that fully and clearly describe all matters
 19 discussed in a meeting and shall provide a full and accurate summary of actions taken,
 20 and the reasons for those actions, including a description of the views expressed All
 21 documents considered in connection with an action must be identified in the minutes
 22 All minutes and documents of a closed meeting must remain under seal, subject to
 23 release by a majority vote of the commission or order of a court of competent
 24 jurisdiction

25 **6 Financing of commission.** This subsection governs the financial operations of the
 26 commission

27 A The commission shall pay, or provide for the payment of, the reasonable expenses
 28 of its establishment, organization and ongoing activities

29 B The commission may accept any and all appropriate revenue sources, donations and
 30 grants of money, equipment, supplies, materials and services

31 C The commission may levy on and collect from each member state an annual
 32 assessment or impose fees on other parties to cover the cost of the operations and
 33 activities of the commission and its staff, which must be in a total amount sufficient to
 34 cover its annual budget as approved by the commission each year for which revenue is
 35 not provided by other sources The aggregate annual assessment amount must be
 36 allocated based upon a formula to be determined by the commission, which shall
 37 promulgate a rule binding upon all member states

38 D The commission may not incur obligations of any kind prior to securing the funds
 39 adequate to meet the obligations, and the commission may not pledge the credit of any
 40 of the member states, except by and with the authority of the member state

41 E The commission shall keep accurate accounts of all receipts and disbursements
 42 The receipts and disbursements of the commission are subject to the audit and

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1 accounting procedures established under its bylaws However, all receipts and
2 disbursements of funds handled by the commission must be audited yearly by a
3 certified or licensed public accountant, and the report of the audit must be included in
4 and become part of the annual report of the commission

5 **7. Qualified immunity, defense and indemnification.** This subsection governs
6 immunity provisions and defense and indemnification requirements of the commission

7 A The members, officers, executive director, employees and representatives of the
8 commission are immune from suit and liability, either personally or in their official
9 capacity, for any claim for damage to or loss of property or personal injury or other
10 civil liability caused by or arising out of any actual or alleged act, error or omission
11 that occurred, or that the person against whom the claim is made had a reasonable basis
12 for believing occurred, within the scope of commission employment, duties or
13 responsibilities, except that nothing in this paragraph may be construed to protect any
14 such person from suit or liability for any damage, loss, injury or liability caused by the
15 intentional or willful or wanton misconduct of that person

16 B The commission shall defend any member, officer, executive director, employee or
17 representative of the commission in any civil action seeking to impose liability arising
18 out of any actual or alleged act, error or omission that occurred within the scope of
19 commission employment, duties or responsibilities, or that the person against whom
20 the claim is made had a reasonable basis for believing occurred within the scope of
21 commission employment, duties or responsibilities, as long as the actual or alleged act,
22 error or omission did not result from that person's intentional or willful or wanton
23 misconduct and except that nothing in this paragraph may be construed to prohibit that
24 person from retaining that person's own counsel

25 C The commission shall indemnify and hold harmless any member, officer, executive
26 director, employee or representative of the commission for the amount of any
27 settlement or judgment obtained against that person arising out of any actual or alleged
28 act, error or omission that occurred within the scope of commission employment, duties
29 or responsibilities, or that the person had a reasonable basis for believing occurred
30 within the scope of commission employment, duties or responsibilities, as long as the
31 actual or alleged act, error or omission did not result from the intentional or willful or
32 wanton misconduct of that person

33 **§17509. Data system**

34 This section governs the requirements for the data system used by the commission

35 **1. Data system.** The commission shall provide for the development, maintenance and
36 utilization of a coordinated database and reporting system containing licensure, adverse
37 action and investigative information on all licensed individuals in member states

38 **2. Uniform data set.** Notwithstanding any other provision of state law to the contrary,
39 a member state shall submit a uniform data set to the data system on all individuals to whom
40 this compact is applicable using a unique identifier as required by the rules of the
41 commission, including

42 A Identifying information,

43 B Licensure data,

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- 1 C Adverse actions against a license or compact privilege.
- 2 D Nonconfidential information related to alternative program participation.
- 3 E Any denial of application for licensure and the reason for the denial, and
- 4 F Other information that may facilitate the administration of this compact, as
- 5 determined by the rules of the commission.

6 **3. Availability of investigative information.** Current significant investigative
7 information pertaining to a licensee in any member state may be available only to other
8 member states.

9 **4. Notification of adverse action.** The commission shall promptly notify all member
10 states of any adverse action taken against a licensee or an individual applying for a license.
11 Adverse action information pertaining to a licensee in any member state must be available
12 to any other member state.

13 **5. Designation of nonpublic information.** A member state contributing information
14 to the data system may designate information that may not be shared with the public
15 without the express permission of the contributing member state.

16 **6. Expungement of information.** Any information submitted to the data system that
17 is subsequently required to be expunged by the laws of the member state contributing the
18 information must be removed from the data system.

19 **§17510. Rulemaking**

20 **1. Rule-making authority** The commission shall exercise its rule-making powers
21 pursuant to the criteria set forth in this section and the rules adopted pursuant to this section.
22 Rules and amendments become binding as of the date specified in each rule or amendment.

23 **2. Rejection of rules.** If a majority of the legislatures of the member states rejects a
24 rule, by enactment of a statute or resolution in the same manner used to adopt the compact
25 within 4 years of the date of adoption of the rule, the rule has no further force and effect in
26 any member state.

27 **3. Adoption at meeting.** Rules or amendments to the rules must be adopted at a
28 regular or special meeting of the commission.

29 **4. Notice.** Prior to promulgation and adoption of a final rule or rules by the
30 commission, and at least 30 days in advance of the meeting at which the rule will be
31 considered and voted upon, the commission shall file a notice of proposed rulemaking.

32 A On the publicly accessible website of the commission or other publicly accessible
33 platform, and

34 B On the publicly accessible website of each member state audiology or speech-
35 language pathology licensing board or other publicly accessible platform or the
36 publication in which each state would otherwise publish proposed rules.

37 **5. Notice requirements.** The notice of proposed rulemaking under subsection 4 must
38 include

39 A The proposed time, date and location of the meeting at which the rule will be
40 considered and voted upon,

41 B The text of the proposed rule and the reason for the proposed rule,

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- 1 C A request for comments on the proposed rule from any interested person, and
2 D The manner in which interested persons may submit notice to the commission of
3 their intention to attend the public hearing and any written comments
- 4 6. Comments. Prior to adoption of a proposed rule, the commission shall allow
5 persons to submit written data, facts, opinions and arguments, which must be made
6 available to the public
- 7 7. Opportunity for public hearing. The commission shall grant an opportunity for a
8 public hearing before it adopts a rule or amendment if a hearing is requested by
- 9 A At least 25 persons,
10 B A state or federal governmental subdivision or agency, or
11 C An association or organization having at least 25 members
- 12 8. Notice of hearing. If a hearing is held on the proposed rule or amendment, the
13 commission shall publish the place, time and date of the scheduled public hearing. If the
14 hearing is held via electronic means, the commission shall publish the mechanism for
15 access to the electronic hearing
- 16 A A person wishing to be heard at the hearing shall notify the executive director of
17 the commission or other designated member in writing of the person's desire to appear
18 and testify at the hearing not less than 5 business days before the scheduled date of the
19 hearing
- 20 B A hearing must be conducted in a manner that provides each person who wishes to
21 comment a fair and reasonable opportunity to comment orally or in writing
- 22 C All hearings must be recorded. A copy of the recording must be made available on
23 request
- 24 D Nothing in this subsection may be construed as requiring a separate hearing on each
25 rule. Rules may be grouped for the convenience of the commission at hearings required
26 by this section
- 27 9. Consideration of comments. Following the scheduled hearing date, or by the close
28 of business on the scheduled hearing date if the hearing was not held, the commission shall
29 consider all written and oral comments received
- 30 10. No public hearing. If no written notice of intent to attend the public hearing by
31 interested persons is received, the commission may proceed with promulgation of the
32 proposed rule without a public hearing
- 33 11. Final action. The commission shall, by majority vote of all members, take final
34 action on the proposed rule and shall determine the effective date of the rule, if any, based
35 on the rule-making record and the full text of the rule
- 36 12. Emergency rules. Upon determination that an emergency exists, the commission
37 may consider and adopt an emergency rule without prior notice, opportunity for comment
38 or hearing, as long as the usual rule-making procedures provided in the compact and in this
39 section are retroactively applied to the rule as soon as reasonably possible, in no event later
40 than 90 days after the effective date of the rule. For the purposes of this subsection, an
41 emergency rule is a rule that must be adopted immediately in order to

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- 1 A Meet an imminent threat to public health, safety or welfare,
- 2 B Prevent a loss of commission or member state funds, or
- 3 C Meet a deadline for the promulgation of an administrative rule that is established
- 4 by federal law or regulation

5 **13. Revisions.** The commission or an authorized committee of the commission may
6 direct revisions to a previously adopted rule or amendment for purposes of correcting
7 typographical errors, errors in format, errors in consistency or grammatical errors Public
8 notice of any revisions must be posted on the publicly accessible website of the
9 commission The revision is subject to challenge by any person for a period of 30 days
10 after posting The revision may be challenged only on grounds that the revision results in
11 a material change to a rule A challenge must be made in writing and delivered to the chair
12 of the commission prior to the end of the notice period If no challenge is made, the revision
13 takes effect without further action If the revision is challenged, the revision may not take
14 effect without the approval of the commission

15 **§17511. Oversight, dispute resolution and enforcement**

16 **1. Dispute resolution.** This subsection governs dispute resolution under the compact

17 A Upon request by a member state, the commission shall attempt to resolve disputes
18 related to the compact that arise among member states and between member and
19 nonmember states

20 B The commission shall promulgate a rule providing for both mediation and binding
21 dispute resolution for disputes as appropriate

22 **2 Enforcement.** This subsection governs enforcement under the compact

23 A The commission, in the reasonable exercise of its discretion, shall enforce the
24 provisions and rules of the compact

25 B By majority vote, the commission may initiate legal action in the United States
26 District Court for the District of Columbia or the federal district where the commission
27 has its principal offices against a member state in default to enforce compliance with
28 the provisions of the compact and its promulgated rules and bylaws The relief sought
29 may include both injunctive relief and damages If judicial enforcement is necessary,
30 the prevailing member must be awarded all costs of such litigation, including
31 reasonable attorney's fees

32 C The remedies in this chapter are not the exclusive remedies of the commission The
33 commission may pursue any other remedies available under federal or state law

34 **§17512. Date of implementation of Audiology and Speech-Language Pathology**
35 **Interstate Compact and associated rules, withdrawal and amendment**

36 **1. Effective date.** This compact becomes effective on the date on which the compact
37 statute is enacted into law in the 10th member state The provisions, which become
38 effective at that time, are limited to the powers granted to the commission relating to
39 assembly and the promulgation of rules Thereafter, the commission shall meet and
40 exercise rule-making powers necessary to the implementation and administration of the
41 compact

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1 2. Effect of rules adopted by compact on member states. A state that joins the
2 compact subsequent to the commission's initial adoption of the rules is subject to the rules
3 as they exist on the date on which the compact becomes law in that state Any rule that has
4 been previously adopted by the commission has the full force and effect of law on the date
5 the compact becomes law in that state

6 3. Withdrawal. A member state may withdraw from this compact by enacting a
7 statute repealing the compact

8 A A member state's withdrawal does not take effect until 6 months after enactment of
9 the repealing statute

10 B Withdrawal does not affect the continuing requirement of the state's audiology or
11 speech-language pathology licensing board to comply with the investigative and
12 adverse action reporting requirements of this compact prior to the effective date of
13 withdrawal

14 4. Construction. Nothing in this compact may be construed to invalidate or prevent
15 any audiology or speech-language pathology licensure agreement or other cooperative
16 arrangement between a member state and a nonmember state that does not conflict with the
17 provisions of this compact

18 5. Amendments. This compact may be amended by the member states An
19 amendment to this compact does not become effective and binding upon any member state
20 until it is enacted into the statutes of all member states

21 §17513. Construction and severability

22 This compact must be liberally construed so as to effectuate its purposes The
23 provisions of this compact are severable and if any phrase, clause, sentence or provision of
24 this compact is declared to be contrary to the constitution of any member state or of the
25 United States or the applicability of this compact to any government, agency, person or
26 circumstance is held invalid, the validity of the remainder of this compact and the
27 applicability of this compact to any government, agency, person or circumstance are not
28 affected If this compact is held to be contrary to the constitution of any member state, the
29 compact remains in full force and effect as to the remaining member states and in full force
30 and effect as to the member state affected as to all severable matters

31 §17514. Binding effect of compact and other laws

32 Nothing in this compact prevents the enforcement of any other law of a member state
33 that is not inconsistent with the compact Any laws in a member state in conflict with the
34 compact are superseded to the extent of the conflict Any lawful actions of the commission,
35 including all rules and bylaws promulgated by the commission, are binding upon the
36 member states All agreements between the commission and the member states are binding
37 in accordance with their terms If any provision of the compact exceeds the constitutional
38 limits imposed on the legislature of any member state, the provision is ineffective to the
39 extent of the conflict with the constitutional provision in question in that member state

40 **Sec. 2. Appropriations and allocations.** The following appropriations and
41 allocations are made

42 **PROFESSIONAL AND FINANCIAL REGULATION, DEPARTMENT OF**
43 **Administrative Services - Professional and Financial Regulation 0094**

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COMMITTEE AMENDMENT "A" to S P 275, L D 717

1 Initiative Provides ongoing funds for the technology and other administrative costs
2 associated with adding one Comprehensive Health Planner II position to support the
3 anticipated increase in workload associated with joining the Audiology and Speech-
4 Language Pathology Interstate Compact

5	OTHER SPECIAL REVENUE FUNDS	2023-24	2024-25
6	All Other	\$3,285	\$4,325
7			
8	OTHER SPECIAL REVENUE FUNDS TOTAL	<u>\$3,285</u>	<u>\$4,325</u>

9 **Office of Professional and Occupational Regulation 0352**

10 Initiative Provides ongoing funds for one Comprehensive Health Planner II position and
11 related All Other costs to support the anticipated increase in workload associated with
12 joining the Audiology and Speech-Language Pathology Interstate Compact

13	OTHER SPECIAL REVENUE FUNDS	2023-24	2024-25
14	POSITIONS - LEGISLATIVE COUNT	1 000	1 000
15	Personal Services	\$73,946	\$104,273
16	All Other	\$12,267	\$8,834
17			
18	OTHER SPECIAL REVENUE FUNDS TOTAL	<u>\$86,213</u>	<u>\$113,107</u>

19
20 **PROFESSIONAL AND FINANCIAL**
21 **REGULATION, DEPARTMENT OF**
22 **DEPARTMENT TOTALS**

23		2023-24	2024-25
24	OTHER SPECIAL REVENUE FUNDS	\$89,498	\$117,432
25			
26	DEPARTMENT TOTAL - ALL FUNDS	<u>\$89,498</u>	<u>\$117,432</u>

27
28 Amend the bill by relettering or renumbering any nonconsecutive Part letter or section
29 number to read consecutively

30 **SUMMARY**

31 This amendment replaces the bill, which is a concept draft. The amendment enacts the
32 Audiology and Speech-Language Pathology Interstate Compact, an interstate compact
33 designed to facilitate the practice of audiology and speech-language pathology across state
34 boundaries to improve access to these services where the patient is located at the time of
35 the encounter and to provide for the mutual recognition of licenses from other states that
36 are members of the interstate compact

37 **FISCAL NOTE REQUIRED**

38 (See attached)



131st MAINE LEGISLATURE

LD 717

LR 1876(02)

An Act to Adopt the Audiology and Speech-Language Pathology Interstate Compact

Fiscal Note for Bill as Amended by Committee Amendment "A" (S 373)
 Committee: Health Coverage, Insurance and Financial Services

Fiscal Note Required: Yes

Fiscal Note

Current biennium revenue increase - Other Special Revenue Funds

	FY 2023-24	FY 2024-25	Projections FY 2025-26	Projections FY 2026-27
Propriations/Allocations				
Other Special Revenue Funds	\$89,498	\$117,432	\$123,688	\$130,320

Fiscal Detail and Notes

This bill includes ongoing Other Special Revenue Funds allocations totaling \$89,498 in fiscal year 2023-24 and \$117,432 in fiscal year 2024-25 to the Department of Professional and Financial Regulation to support the additional costs to the Board of Speech, Audiology and Hearing associated with joining the Audiology and Speech-Language Pathology Interstate Compact beginning in fiscal year 2023-24. Of that amount, ongoing Other Special Revenue Funds allocations of \$86,213 in fiscal year 2023-24 and \$113,107 in fiscal year 2024-25 are provided to the Office of Professional and Occupational Regulation within the department for one Comprehensive Health Planner II position and related All Other costs to support the anticipated increase in workload associated with the board joining the interstate compact. Additionally, ongoing Other Special Revenue allocations of \$3,285 in fiscal year 2023-24 and \$4,325 in fiscal year 2024-25 are provided to the Administrative Services - Professional and Financial Regulation program for the technology and other administrative costs associated with adding the position.

The department has indicated that the revenue generated from current licensing and other fees will not be sufficient to support the additional costs associated with this bill and licensing fees will need to be increased. The amount and timing of the fee increase cannot be determined at this time.