

# INDEX

Interstate Medical Licensure Compact  
Policies

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# INTERSTATE MEDICAL LICENSURE COMPACT

## Policies

### #1 – Policy on Policies

ADOPTED: APRIL 1, 2016

EFFECTIVE: APRIL 1, 2016

AMENDMENT HISTORY (LIST WHEN AMENDED AND CITE SECTION NUMBER):

- None

#### I. Policy Statement

The Interstate Medical Licensure Compact (IMLC) Commission is committed to providing policies that clearly interpret and provide guidance on its actions in the interpretation, application and administration of the IMLC. Policies are not legally binding, but are intended to provide clarity, guide decisions, or implement a procedure or protocol.

#### II. PURPOSE

The purpose of this policy is to establish:

1. A formal mechanism to create, approve, rescind and periodically review IMLC policies.
2. A central policy archive that is accessible and easy to use.

#### III. DEFINITIONS

**Policy** – A policy is a governing set of principals that guide the IMLC Commission in its actions in the application and administration of the IMLC. It helps to ensure compliance with applicable laws and regulations, promotes operational efficiencies, and provides a basis for consistent decision-making, resources allocations or a method of action selected to guide and determine present and future decisions. It mandates actions or constraints and contains specific procedures to follow.

**Policy action** – A policy may be created, amended or rescinded.

42 **Policy development** – Commissioners or IMLC Commission committees may  
43 propose policy action. The IMLC Commission will determine the need for policy  
44 action pertaining to the interpretation or application of the language and provisions of  
45 the IMLC. The IMLC Commission may delegate authority to the executive director to  
46 determine the need for policy action for the administration of the IMLC.

47  
48 **Policy approval** – The authority to determine which policy action requires approval  
49 of the IMLC Commission rests with the executive committee, which shall review  
50 proposed policy action and decide to recommend it with or without amendments,  
51 return it for further study and analysis, or reject it all together. The Commission may  
52 review any approved or rejected policy and choose to vote to approve, rescind or  
53 reject such action of the executive committee.

54  
55 **Policy maintenance** – All policies will be maintained centrally and will be accessible  
56 to all interested persons through the IMLC Commission website. Anyone  
57 responsible for creating, distributing or revising IMLC policy shall follow the  
58 procedures outlined in this policy.

#### 60 **IV. DEVELOPMENT**

61  
62 Proposed policy actions shall be presented in a format that includes:

- 63  
64 1. *Policy Statement* – This is a summary of the policy action.
- 65  
66 2. *Purpose* – This section addresses what the policy action intends to accomplish.
- 67  
68 3. *Definitions* – This section lists and defines specific terms in the policy action.
- 69  
70 4. *Development* – This section lists the format of a policy action.
- 71  
72 5. *Requirements* – This section delineates the requirements of a policy.

#### 73 74 **V. REQUIREMENTS**

- 75  
76 1. An IMLC policy shall be clearly written and understandable and be accessible  
77 to the IMLC Commission, member states, and the public.
- 78  
79 2. An IMLC policy shall be consistent with applicable laws and regulations and  
80 case law.
- 81  
82 3. An IMLC policy is effective upon adoption, or shall express an effective date,  
83 and the policy shall remain in effect until amended or rescinded by the

84 authorized authority, or as expressed in the policy, such as a sunset clause.  
85 The date of amendment(s) to an existing policy shall be expressed, but the  
86 original policy adoption date shall be retained.

- 87
- 88 4. All IMLC policies shall be reviewed and updated every five fiscal years or earlier  
89 as needed.
- 90
- 91 5. All IMLC policies shall be maintained on the IMLC Commission's website.  
92 Policies that are rescinded shall be removed on the effective date of the policy  
93 action.
- 94
- 95 6. An IMLC policy action shall be announced in a press release created and  
96 distributed by the communications committee.
- 97

## 98 **VI. RESPONSIBILITY**

99

100 The executive committee shall be responsible for ensuring that all IMLC policies are  
101 current, compliant with all statutory requirements and case law, and consistent with  
102 other applicable standards. The executive committee may delegate this responsibility to  
103 the executive director.

104

### 105 **#2 – Policy on Conflict of Interest**

106

107

108 ADOPTED: JUNE 24, 2016

109

110 EFFECTIVE: JUNE 24, 2016

111

112 AMENDMENT HISTORY (LIST WHEN AMENDED AND CITE SECTION NUMBER):

- 113
- 114 • None
- 115

## 116 **I. POLICY STATEMENT**

117 Interstate Medical Licensure Compact (IMLC) commissioners and staff members occupy  
118 positions of trust and good faith and are obligated to act in the best interest of the IMLC and its  
119 member boards without regard to their personal benefit or the interests of other organizations  
120 with which they are associated. IMLC commissioners and staff member shall disclose all actual  
121 or perceived conflicts of interest and shall recuse themselves from all discussions and decisions  
122 when a conflict of interest has been disclosed or identified, unless a majority of the quorum of the  
123 IMLC Commission determines otherwise.

124

## 125 **II. PURPOSE**

126 The purpose of the conflict of interest policy is to foster public confidence and trust in  
127 the IMLC Commission and to protect the interests of the IMLC Commission as it  
128 conducts its business. This policy is intended to prevent actual or perceived conflicts of  
129 from influencing IMLC commissioners or staff members in the performance of their  
130 duties.

131

### 132 III. DEFINITIONS

133

134 **Conflict of Interest** – An actual or perceived conflict of interest exists when a  
135 financial or other relationship might directly or indirectly benefit the private or  
136 personal interests of an IMLC commissioner or staff member, or prejudice an IMLC  
137 commissioner or staff member in business before the IMLC Commission. A majority  
138 of the quorum of the IMLC Commission may determine if an actual or perceived  
139 conflict of interest exists for an IMLC commissioner or staff member

140

141 **Financial Interest** – Is an interest, whether through commitment, investment,  
142 relationship, obligation, involvement, loan, donation, exchange transaction, or  
143 otherwise, direct or indirect, that may influence a person’s judgement.

144

145 **Gift** – Is any item or service with monetary value in excess of \$50.00 offered to the  
146 IMLC Commission, an IMLC commissioner or an IMLC staff member without the  
147 expectation of compensation to the contributor. The gift might be tangible or  
148 intangible.

149

### 150 IV. REQUIREMENTS

151

152 1. **Duty to Disclose.** IMLC commissioners and staff members have a duty to  
153 disclose all actual and perceived conflicts of interest for themselves or other  
154 IMLC commissioners or staff members.

155

156 2. **Personal recusal.** IMLC commissioners and staff members who disclose a  
157 personal conflict of interest shall recuse themselves from all discussions and  
158 decisions, on the matter, unless otherwise determined by a majority of the  
159 quorum of the IMLC Commission, or by a majority of a committee designated  
160 by the IMLC Commission. The recusal shall be recorded in the IMLC  
161 Commission minutes or in a disclosure form provided by the IMLC  
162 Commission at the initiation of a meeting.

163

164 3. **Commission-directed recusal.** If an IMLC commissioner or staff member  
165 becomes aware of the existence of an actual or perceived conflict of interest,  
166 the IMLC commissioner or staff member shall provide this information to the  
167 IMLC Commission or a committee designated by the IMLC Commission.

168 Upon the commissioner’s own motion, or motion of a party, a majority of the  
169 quorum of the IMLC Commission may recuse a commission upon a  
170 determination that the actual or perceived conflict of interest raises an  
171 unacceptable risk of bias or prejudgment in matters before the IMLC  
172 Commission. The recusal shall be recorded in the IMLC Commission minutes  
173 or in a disclosure form provided by the IMLC Commission at the initiation of a  
174 meeting.  
175

176 **4. Gifts.** The IMLC Commission shall maintain a public listing of all gifts.  
177

178 **5. Annual review of this policy.** Each IMLC commissioner and staff member  
179 shall annually sign a statement which affirms such person:  
180

- 181 a. Has received a copy of the conflict of interest policy,
- 182 b. Has read and understands the policy, and
- 183 c. Has agreed to comply with the policy.  
184

185 **6. Administration of this policy.** The IMLC Commission executive committee  
186 shall be responsible for administering this policy and ensuring that this policy is  
187 current, compliant with all statutory requirements and case law, and consistent  
188 with other applicable standards. The executive committee may delegate  
189 administration and maintenance of this policy to the IMLC executive director.  
190

### 191

192 **#3 – Policy on Executive Committee Spending Authority**  
193

194 ADOPTED: FEBRUARY 22, 2017  
195

196 EFFECTIVE: FEBRUARY 22, 2017  
197

198 AMENDMENT HISTORY (LIST WHEN AMENDED AND CITE SECTION NUMBER):  
199

- 200 • None

## 201 **I. POLICY STATEMENT** 202

203 The Interstate Medical Licensure Compact (IMLC) commissioners and staff members are  
204 committed to efficiently and responsibility procuring goods and service necessary to carry out the  
205 operations of the IMLC; paying bills and expenses; and monitoring all expenditures for  
206 compliance with applicable laws, regulations and policies. In order to assure timely, effective  
207 business operations, it may be advantageous to delegate limited spending authority to certain  
208 groups or individuals.  
209

210 **II. PURPOSE**

211

212 The purpose of this policy is to establish:

213

214 • A formal mechanism to empower the Executive Committee spending authority for  
215 goods and services **up to \$5,000** without IMLC Commission approval.

216

217 • A formal process for the Executive Committee to delegate signature authority to  
218 appropriate parties for purchasing goods or services pursuant to this policy.

219

220 • A definition of qualified expenditures under this policy.

221

222 • A process for reporting expenditures authorized by the Executive Committee or  
223 its designees(s) to the IMLC Commission.

224

225 **III. DEFINITIONS**

226

227 **Qualified expenditure** – Any type of goods or services totaling **up to \$5,000**  
228 necessary to carry out the day-to-day operations of the IMLC.

229

230 **Signature authority** – Delegation to a designated individual or individuals to sign  
231 contracts or other documents authorizing expenditures made pursuant to this policy.

232

233 **IV. REQUIREMENTS**

234

235 **1. Documentation of expenditures.** All expenditures made in accordance with  
236 this policy shall be immediately documented in a format established and  
237 approved by the IMLC Commission and maintained by the Executive  
238 Committee.

239

240 **2. Report.** The Executive Committee shall prepare a report of all expenditures  
241 made under this policy to be presented to the IMLC Commission annually, or  
242 more frequently if requested by the IMLC Commission.

243

244 **3. Annual review of this policy.** The IMLC Commission Bylaws and Rules  
245 Committee shall review this policy each year and make recommendations to  
246 the IMLC Commission for continuation or modification of this policy.

247

248 **4. Administration of this policy.** The Executive Committee shall be responsible  
249 for administering this policy and ensuring that this policy is current, compliant  
250 with all statutory requirements and case law, and consistent with other

251 applicable standards. The Executive Committee may delegate administration  
252 and maintenance of this policy to the IMLC executive director.  
253

254

255 **#4 – Policy on Annual Report**

256

257 ADOPTED: MARCH 20, 2018

258

259 EFFECTIVE: MARCH 20, 2018

260

261 AMENDMENT HISTORY (LIST WHEN AMENDED AND CITE SECTION NUMBER):

- 262 • None

263

264 **VII. Policy Statement**

265

266 The Interstate Medical Licensure Compact (IMLC) Statute Section 12, paragraph “q”  
267 states that the Interstate Commission shall report annually to the legislatures and  
268 governors of the member states concerning the activities of the Interstate Commission  
269 during the preceding year.

270

271 **VIII. PURPOSE**

272

273 The purpose of this policy is to:

274

275 A. Assign to the Communications Committee the responsibility for creation,  
276 production, and distribution of the annual report.

277

278 B. Establish the date the annual report shall be released.

279

280 C. Identify the mandatory content of the annual report.

281

282

283 **IX. DEFINITIONS**

284

285 **Year** – The annual report shall cover the activities of the Interstate Commission  
286 during the established fiscal year which is the period of time between July 1 of a  
287 given year to June 30 of the following year.

288

289 **X. DEVELOPMENT**

290

291 Proposed policy actions shall be presented in a format that includes:

292



- 293 A. The Communications Committee shall be responsible for the creation, production  
294 and distribution of the annual report. The committee may delegate  
295 responsibilities to the executive director.  
296
- 297 B. The annual report shall be release not later than 120 days after the end of the  
298 fiscal year. The 2017 Annual Report will be considered a transition report as the  
299 reporting cycle moves from a calendar year reporting cycle to a fiscal year cycle.  
300 The result is that the 2017 Annual Report will reflect the activities of the Interstate  
301 Commission from January 1, 2017 to June 30, 2017.  
302
- 303 C. Content of the annual report shall be determined by the Communications  
304 Committee, which will include as a minimum:  
305
- 306 1. Reports of financial audits and any recommendations that may have been  
307 adopted by the Interstate Commission;  
308
  - 309 2. A report of the budget;  
310
  - 311 3. A summary of policies, amendments to the bylaws, amendments to the  
312 rules, and advisory opinions that were issued or renewed by the Interstate  
313 Commission;  
314
  - 315 4. Information on licenses issued, including renewals, through the Compact;  
316
  - 317 5. Information on compliance actions through the Compact;  
318
  - 319 6. A Roster of Compact member boards and their appointed commissioners;  
320
  - 321 7. A summary of committee activities; and  
322
  - 323 8. A report from the executive director.  
324

## 325 **XI. RESPONSIBILITY**

326  
327 The executive committee shall be responsible for administering this policy and  
328 ensuring that this policy is current, compliant with all statutory requirements and  
329 case law, and consistent with other applicable standards. The executive committee  
330 may approve the publication of the annual report as presented by the  
331 Communications Committee. The executive committee may delegate administration  
332 and maintenance of this policy to the executive director.  
333