

	<p align="center"><b>Policy Number</b></p> <p align="center"><b>01-2019</b></p>
<p align="center"><b>Administrative Policy</b></p> <p align="center">RESOLVING COMPLIANCE ISSUES</p>	<p align="center"><b>Issued:</b> April 17, 2019</p>

**I. Authority**

The objective of this policy is to establish a proactive process for resolving non-compliance prior to a referral to the Compliance Committee. This policy is intended to promote resolution of such issues through positive interaction and seek to invoke punitive sanctions in the most serious cases and/or only as a measure of last resort. While this policy is intended to assist member states with non-compliance problems by promoting positive working relationships and solutions, it is recognized that this may not be applicable in all cases. It is not intended to circumvent the powers and duties of the Commission to enforce the provisions of the Compact as specified by statute or rules.

**II. Applicability**

This policy applies to the National Office and all member states.

**III. Policy**

When a non-compliance matter or complaint comes to the attention of the National Office, the National Office will respond by taking the action identified below, continuing through the process until the issue is considered resolved.

**Level One:** The Executive Director makes contact with the involved Commissioner(s) or other state point of contact and attempts to resolve the matter. If the matter can't be resolved it is advanced to Level Two for additional action.

**Level Two:** At Level Two the Executive Director continues to work to identify an acceptable solution by consulting with the appropriate standing committees, i.e. rules, training etc.

**Level Three:** At Level Three the Executive Director has exhausted attempts to resolve the compliance problem using the methods identified in the first two levels. The Executive Director elevates the matter to the Chair of the Compliance Committee.

**Level Four:** At Level Four the Chair of the Compliance Committee has exhausted attempts to resolve the matter using the methods identified in the first three levels. The

Compliance Chair prepares a report to the Executive Committee for further action, including but not limited to commencing litigation in federal court.

Approved April 17, 2019