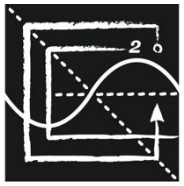
ENFORCEMENT EXCHANGE INSTRUCTION MANUAL

February 2025



NCEES

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National Council of Examiners for Engineering and Surveying®

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FOREWORD

The mission of the National Council of Examiners of Engineering and Surveying (NCEES) is to advance licensure for engineers and surveyors in order to safeguard the health, safety, and welfare of the public. This mission is supported through its member boards—the engineering and surveying licensing boards from all 50 states, the District of Columbia, Guam, Northern Mariana Islands, Puerto Rico, and the U.S. Virgin Islands. In general, the individual members of these state licensing boards are appointed to serve by their respective governors. NCEES member boards, as regulatory agencies, have a mission to safeguard the health, safety, and welfare of the citizens of their respective jurisdictions. That mission includes investigating individuals and firms that compromise the public health, safety, and welfare and ensuring that member boards are licensing qualified individuals and firms to offer and practice engineering and surveying.

Qualifications to practice engineering and surveying are not limited to education, experience, and examination. They also include the character and integrity of the individuals. As part of the licensure process, member boards must determine if individuals and firms applying to practice in their jurisdiction will safeguard the public health, safety, and welfare in the performance of their duties. Disclosure of disciplinary actions by other jurisdictions is one way for member boards to assess the character and integrity of licensure applicants.

NCEES developed its web-based database system, Enforcement Exchange, to assist member boards with entering and tracking disciplinary actions taken against violators and with screening licensee and applicant disciplinary actions posted by other jurisdictions. It has proven to be an effective tool for member boards. When used by member boards, Enforcement Exchange strengthens the application review process and acts as a central repository for member boards to post disciplinary actions, as it is impractical for each member board to review every other member board's newsletter, news releases, and websites for disciplinary actions.

NCEES recommends that member boards perform monthly reviews of Enforcement Exchange to determine if their current licensees have been disciplined in another jurisdiction but failed to report that discipline to their jurisdiction. It also recommends for member boards to add new individuals or firms on a monthly or quarterly basis or whenever a consent order/final action has been finalized by the board.

GETTING STARTED

Contact your member board administrator (MBA) to request access to Enforcement Exchange. You will receive access after the MBA sends the request to NCEES.

Enforcement actions are entered as an individual or firm and are assigned to your member board.

1. To log in to Enforcement Exchange, go to https://connect.ncees.org (see Figure 1).

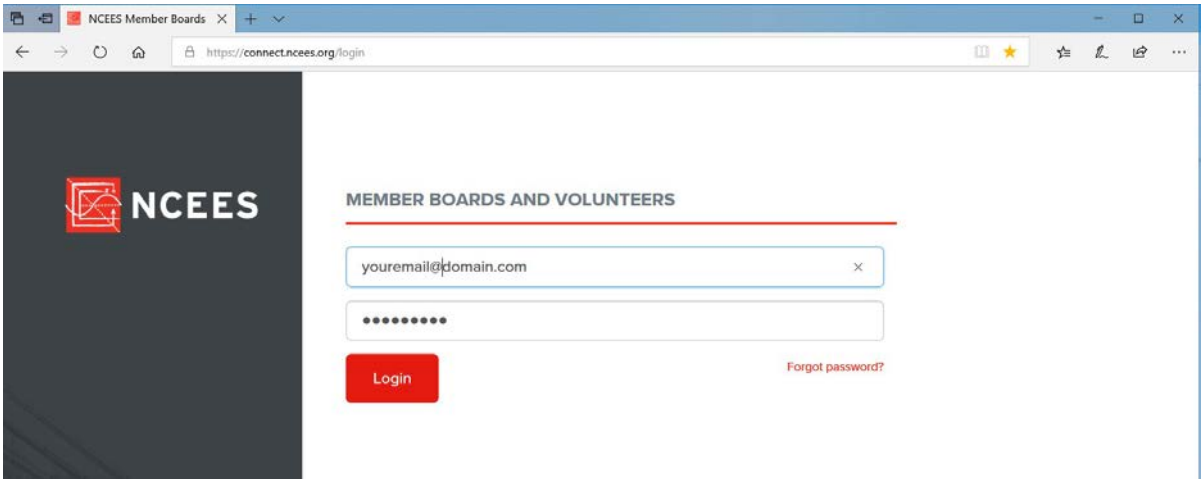

FIGURE 1

2. Enter your username and password.

3. Click **Login** to access your dashboard (see Figure 2). The tabs on your dashboard may vary from the figure below. They will show only the services you have permission to access.

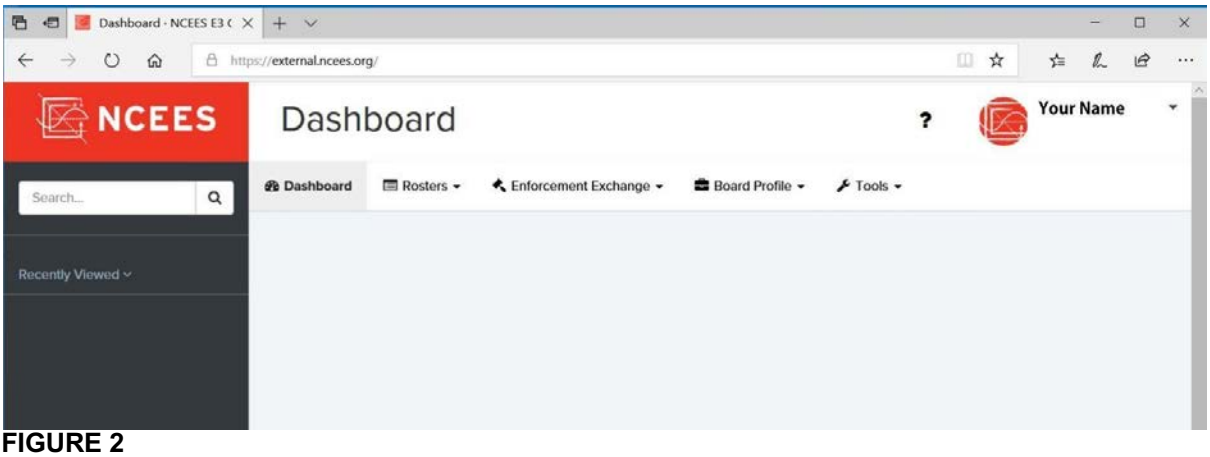

FIGURE 2

4. Click on the **Enforcement Exchange tab**. Select **Violators** from the drop-down menu to access the **Summary** page (see Figure 3).

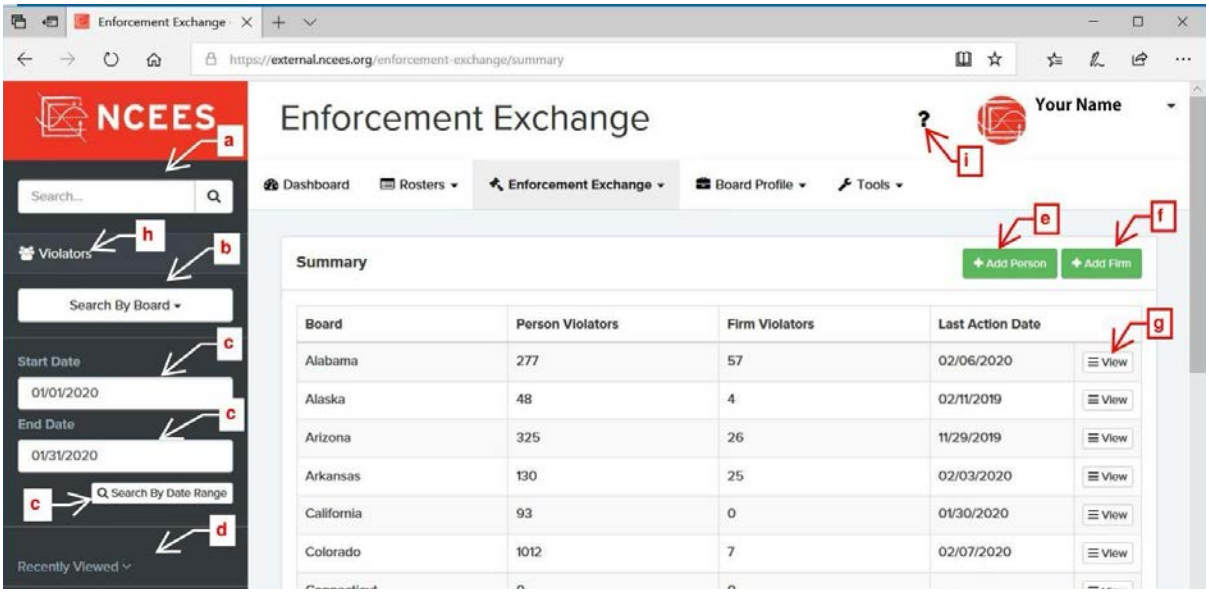

FIGURE 3

5. The **Summary** page shows the number of violators (individuals and firms) for each member board and the date the member board made their last entry. The **Summary** page also includes the following:
   a. Search for an individual or firm (by name). See **Searching for Violators** on page 4.
   b. Search by Board. See **Searching for Violators** on page 4.
   c. Search by Date Range. See **Searching for Violators** on page 4.
   d. Recently Viewed. This list will be active if you have access to other NCEES customer accounts (exams, Records, Credentials Evaluations, etc.).
   e. Add Person. See **Adding Individuals to the Database** starting on page 6.
   f. Add Firm. See **Adding Firms to the Database** on page 13.
   g. View. Lists the violators for that member board.
   h. Violators. Returns you to the Summary page from any other page.
   i. The question mark symbol (**?**) at the top of the page brings up the Help menu. See “Help” starting on page 16.

SEARCHING FOR VIOLATORS

1. As you type a violator's first or last name or the firm's name in the Search box (see **a** in Figure 3 on page 3), a list of people and/or firms will appear. Select a name to view that violator's profile (see Figure 4 on page 5).

2. Select the **Search by Board** drop-down menu (see **b** in Figure 3) to see the list of member boards. Select a member board to see the list of the violators for that member board. There are separate pages for people (individuals) and firms. Click **View** to see that violator's profile (see Figure 4).

3. The **Start Date** and **End Date** boxes (see **c** in Figure 3) are calendars that can be used to specify a search date range. Click each box to select the year, month, and day. When the **Search by Date Range** (see **c** in Figure 3) is selected, the search results will be displayed. The results are for board actions taken by all member boards during that date range. To sort the results, click arrows next to any of the following: **First** name, **Last** name, **DOB**, **Address**, **Board**, and **Violations** for individuals or **Name**, **Address**, **Board**, and **Violations** for firms. To obtain a file (.csv) of the search results (people or firms), click **Export**.

VIOLATOR PROFILE

A violator's profile consists of information used to identify an individual or firm and to record enforcement actions taken by member boards.

1. A **Profile** (see Figure 4) includes a violator's contact/vital information as described in "Adding Individuals to the Database" starting on page 6 or "Adding Firms to the Database" on page 13.

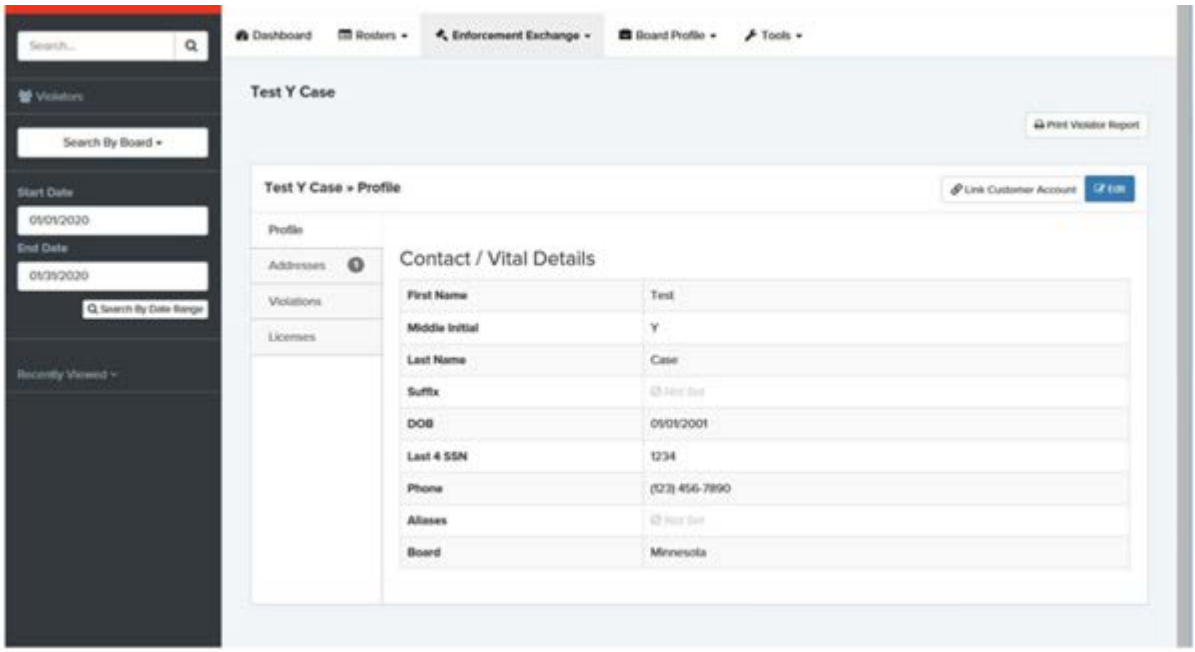

FIGURE 4

2. If you are the originator of a record, click **Edit** to update the violator's contact/vital information.

3. To view the violator's addresses, violations, or licenses, click the links.

4. If an individual has an NCEES customer account (exams, Records, Credentials Evaluations, etc.), a flag (**Heads up! Linked Enforcement Account**) may be added to his or her customer account. The flag indicates that the individual has an enforcement action and that Enforcement Exchange should be reviewed for details. To flag an individual's customer account, click **Link Customer Account**, add the individual's NCEES ID number, and click **Load**. Your request will be sent to an NCEES representative, who will verify your request. NCEES will notify you after the individual's account has been linked.

ADDING INDIVIDUALS TO THE DATABASE

Important: First search for an individual (see **a** in Figure 3) to determine if a record exists for that individual. If a record exists, add the enforcement action to that record (see page 14). Otherwise, you may create a multiple record that makes verification across jurisdictions more difficult.

Go to the **Summary** page (see Figure 3).

1. To add an individual, click **Add Person** (see **e** in Figure 3) to access the **Add New Person Violator** page (see Figure 5). Enter the information as shown; it is best to provide as much information as possible to help other member boards verify an individual's identity.

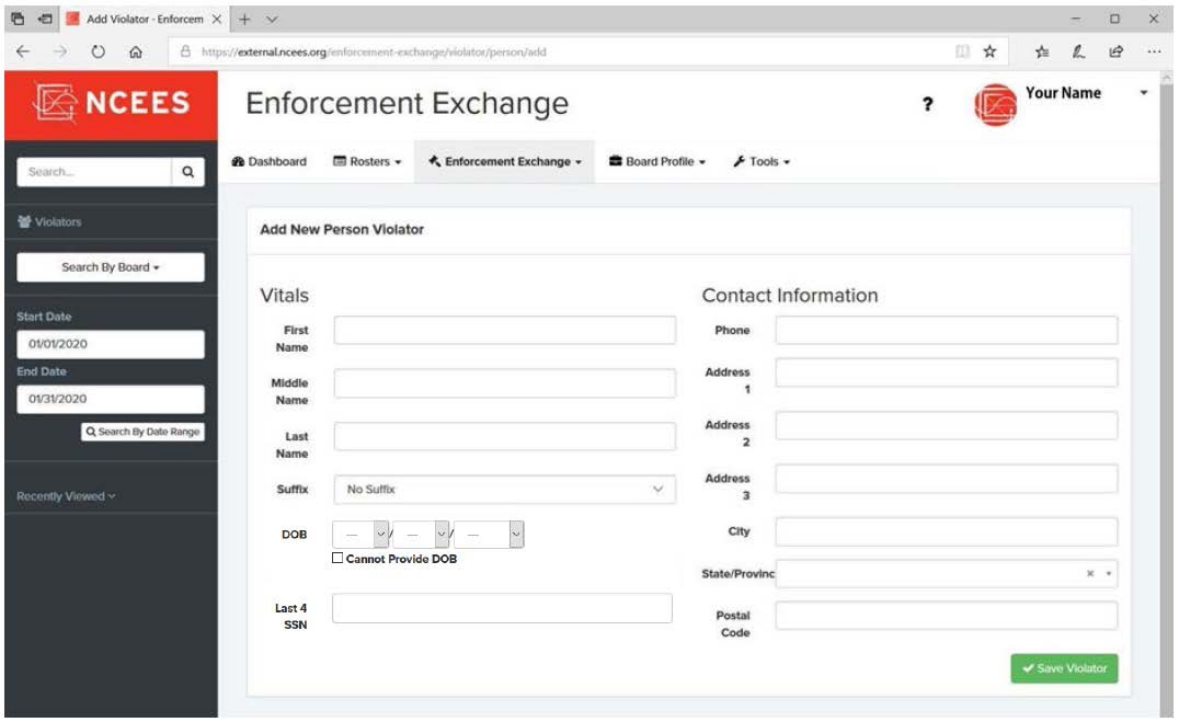

FIGURE 5

2. The information entered on this page forms the basis for an individual's profile. Be sure the name is entered correctly. Once a profile is created, it can be removed only by NCEES. See "Help" beginning on page 16.

3. Add an individual's date of birth (DOB); having a DOB makes the identity verification process easier and more reliable for other member boards. If a DOB is not available or your board rules do not allow you to enter a DOB, click the **Cannot Provide DOB** box and select a reason from the drop-down menu:
   a. Unavailable or no known
   b. Not allowed per board rules

4. Last 4 SSN is an optional entry.

5. Add an individual's **Contact Information**. If your board rules do not allow you to enter this information, contact NCEES to opt out of providing this information. See "Help" beginning on page 16.

6. Click **Save Violator** to add the individual; this creates a record in Enforcement Exchange (see Figure 6).

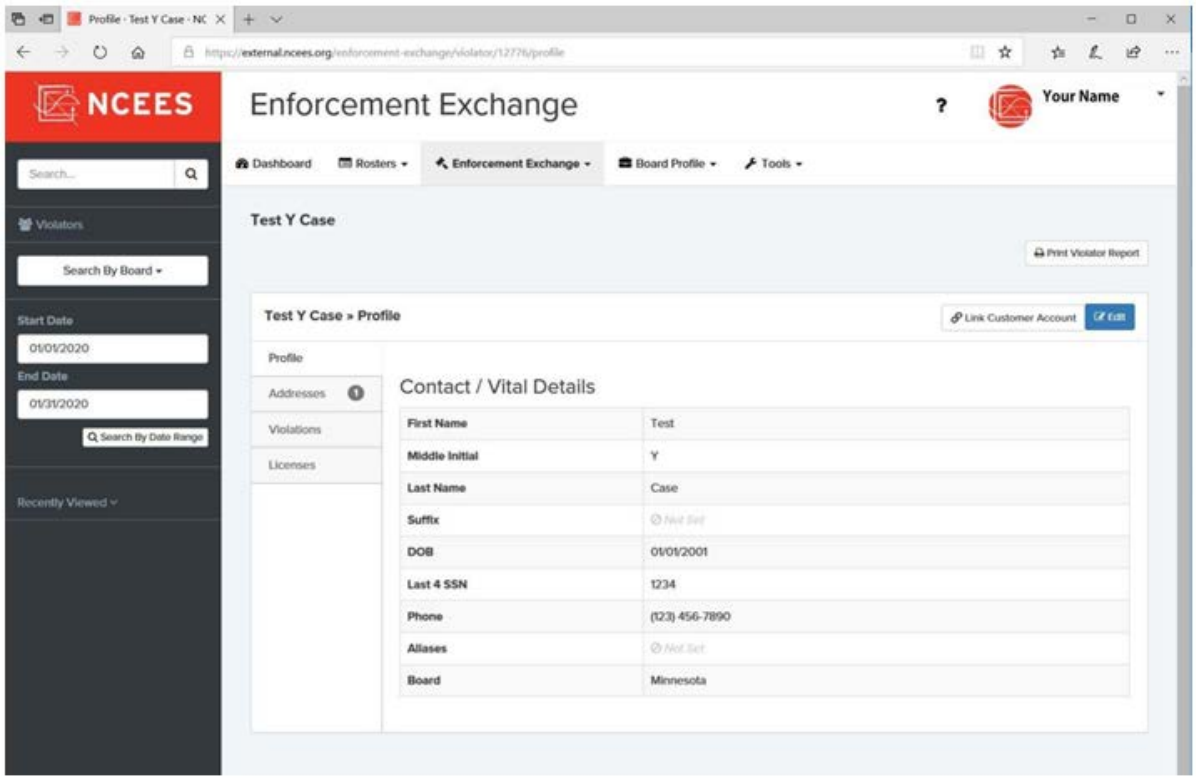

FIGURE 6

7. Click **Edit** to edit the individual's vital information (First Name, Middle Name, Last Name, Suffix, DOB, Last 4 SSN, Phone, or Alias); click **Save Violator** to save your changes. The **Edit** option is available if you are the originator of the violator's contact/vital information.

8. Click the **Addresses** link to edit or add an address. A record may include multiple addresses. Click **Edit** to edit that address; click **Save Address** to save your changes. Click **Add Address** to add an address; click **Save Address** to save that address.

9. Click the **Violations** link to access the **Add Violation** page (see Figure 7). A record may include multiple violations; violations are listed by member board.

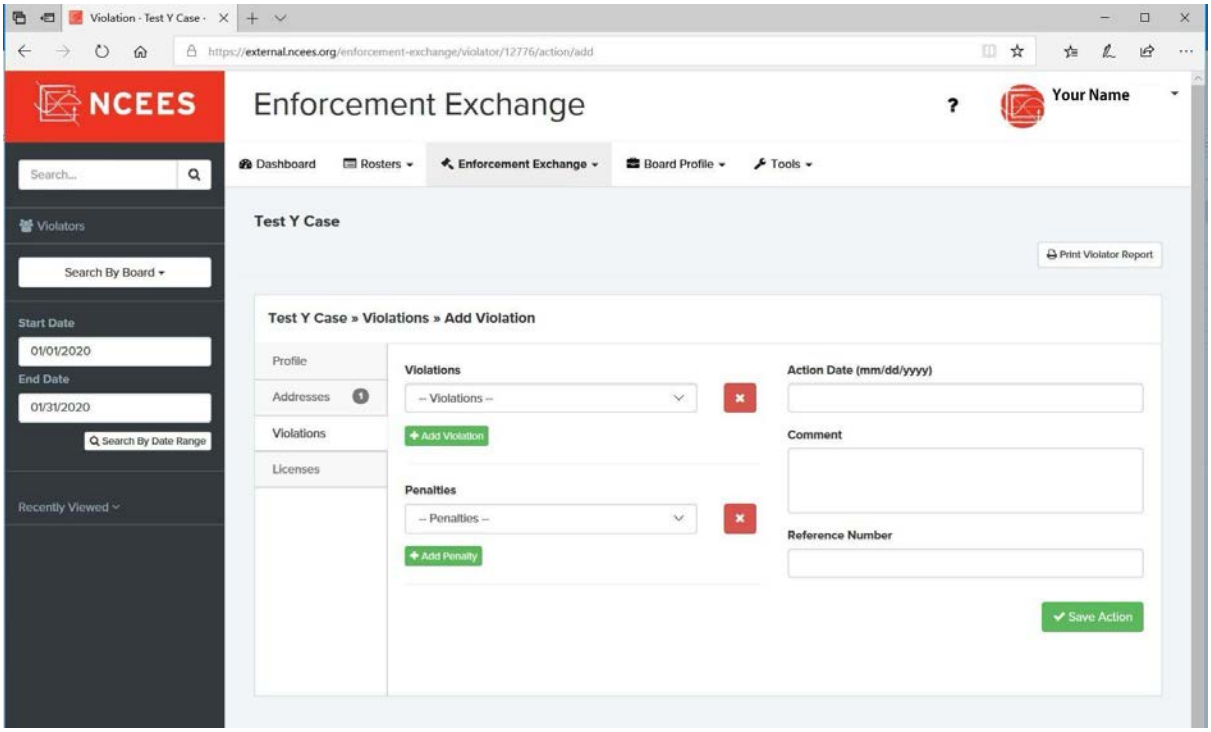

FIGURE 7

10. To add a violation, click the **Violations** box and select one of the following options from the drop-down menu:
    a. Fraud
    b. Negligence/Gross Negligence
    c. Incompetence/Gross Negligence
    d. Misconduct
    e. Unlicensed Practice
    f. Other Violations
    g. Exam Irregularity
    h. CPC Violation
    i. Criminal Conviction
    j. License Denial—Disciplinary
    k. License Denial—Nondisciplinary

    Click **Add Violation** to add the violation. If required, repeat to add more violations. Click **X** to delete an entry.

11. To add a penalty, click the **Penalties** box and select one of the following options from the dropdown menu:
    a. Revocation/Surrender
    b. Suspension
    c. Probation
    d. Fine/Restitution/Cost/Citation
    e. Criminal Sanctions
    f. Other Penalties
    g. Cease and Desist
    h. Educational Course
    i. Refuse to Renew/Reinstate Certificate of Licensure

    Click **Add Penalty** to add the penalty. If required, repeat to add more penalties. Click **X** to delete an entry.

12. The action date is the date when the action was taken, finalized, or approved by your member board. Click the **Action Date** box to select the date: year, month, and day.

13. The **Comment** box is available to add comments, as appropriate.

14. The **Reference Number** box is available to add a reference number or file number from your member board.

15. After you select and enter the appropriate information, click **Save Action** to save the violation.

16. After you save the violation, there is an option to upload the individual's settlement agreement or consent order (see Figure 8). This option is recommended and allows other member boards to review the documentation without having to contact your member board.

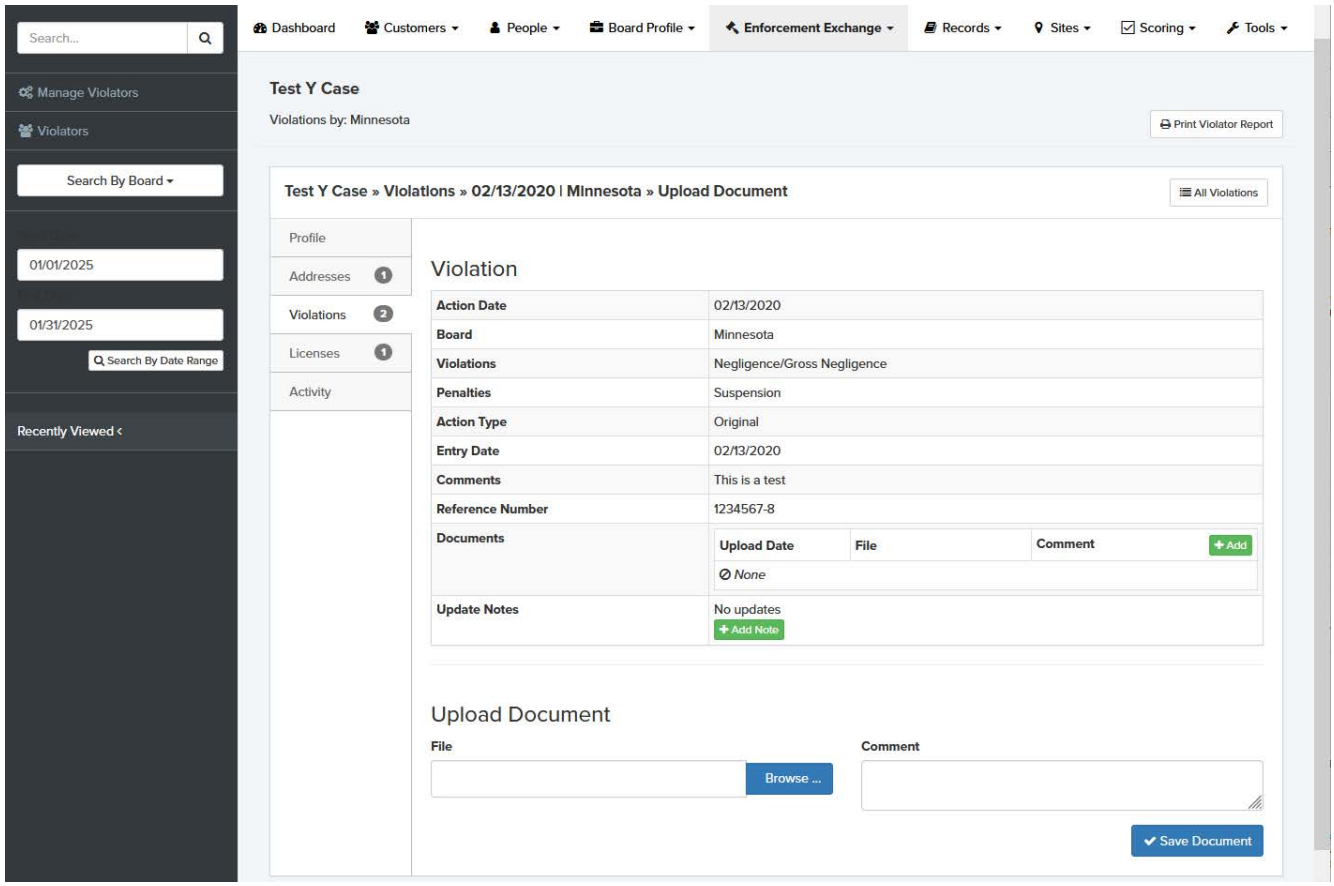

FIGURE 8

17. To add a document, click **Browse** to search for your file and identify the document in the Comment box (not required). Click **Save Document** to upload your document. Your file must have one of the following file extensions: pdf, jpeg, gif, or png. The upload date will be recorded. If required, click **Add** to add more documents.

18. Click **All Violations** to view all the violations that have been entered for this individual.

19. Use the **Update Notes** section to provide new information (additional sanctions, amendments, court order findings, expungements, individual met requirements, etc.) about a violation (see Figure 9). Click **+ Add Notes** to add comments to the **Note** box. To add a new document, click **Browse** to search for your file. Click **Save** to add the note.

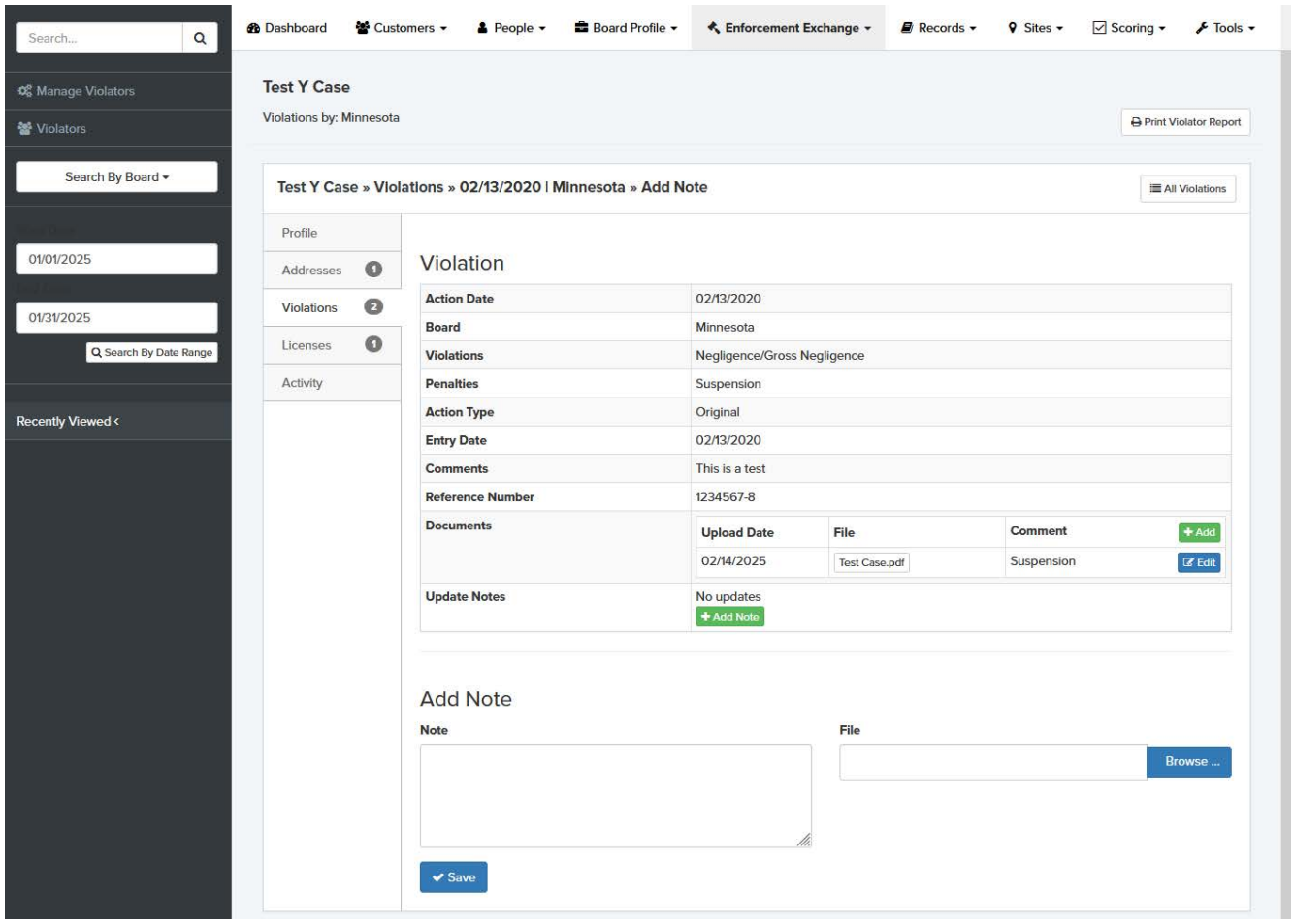

FIGURE 9

20. Click the **Licenses** link to access the **Licenses** page (see Figure 10). A record may include multiple licenses; licenses are listed by member board.

21. Click **Add License** to add an individual's licensure information. Click the **License Type** box and select one of the following options from the drop-down menu:
    a. P.E.
    b. P.S.
    c. S.E.

    Add the individual's license number assigned by your member board in the **Registered Number** box. Click **Save License** to save the licensure information.

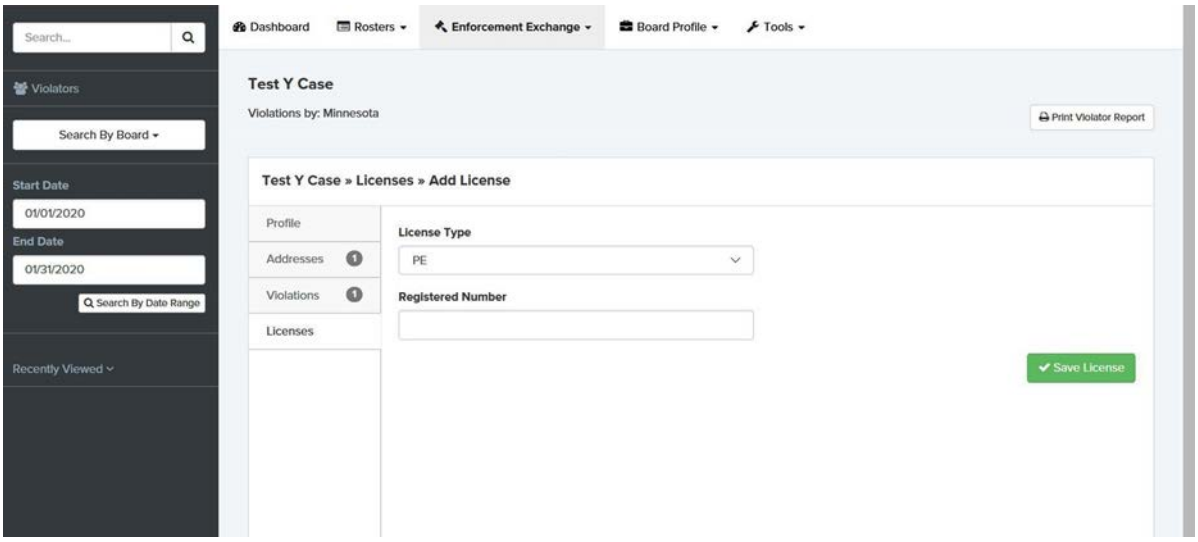

FIGURE 10

ADDING FIRMS TO THE DATABASE

Important: First search for a firm (see **a** in Figure 3) to determine if a record exists for that firm. If a record exists, add the enforcement action to that record (see page 14). Otherwise, you may create a multiple record that makes verification across jurisdictions more difficult.

Go to the **Summary** page (see Figure 3).

1. To add a firm, click **Add Firm** (see **f** in Figure 3) to access the **Add New Firm Violator** page (see Figure 11).

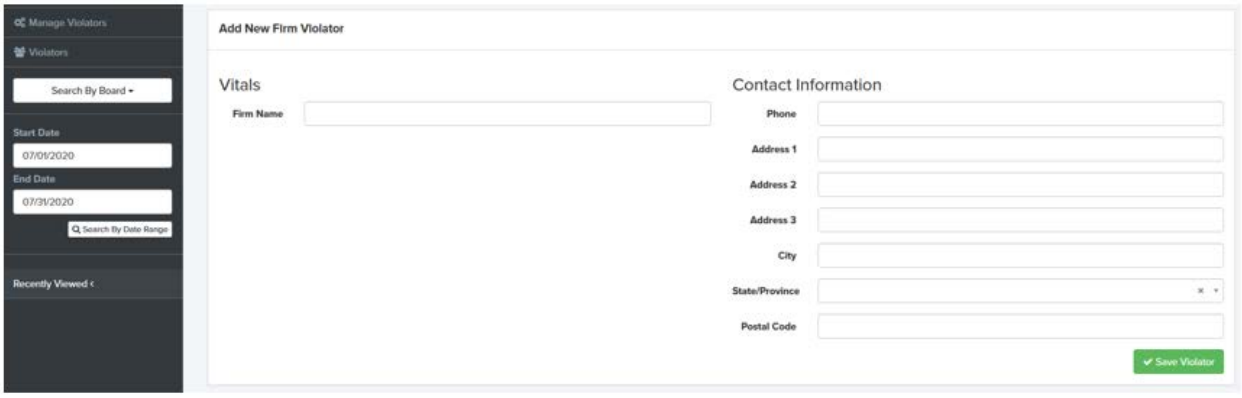

FIGURE 11

2. Enter the information as shown; provide as much information as possible to help other member boards identity the firm.

3. Click **Save Violator** to add the firm; this creates a record in Enforcement Exchange.

4. The Addresses, Violations, Licenses, and Update Notes links are the same as described in "Adding Individuals to the Database" starting on page 6.

ADDING ACTIONS TO VIOLATORS WHO HAVE A RECORD

1. To view the record of an individual or firm, type their name in the Search box (see **a** in Figure 3) to locate that record.

2. Click the Addresses link to verify or add an address. To add an address, click **Add Addresses** and enter the appropriate information. Click **Save Address** to add the address.

3. Click the **Violations** link to add a violation.
   a. To add a violation, click **Add Violation** and select/enter the appropriate information. Click **Save Action** to add the violation. Then upload the violator's settlement agreement or consent order (optional). See pages 8–12 for more information.

   b. To add a reciprocal action (disciplinary action based on another member board's disciplinary action), click **Add Reciprocal Action** and select/enter the appropriate information (see Figure 12). Click **Save Action** to add the violation. Then upload the violator's settlement agreement or consent order (optional). See pages 8–12 for more information.

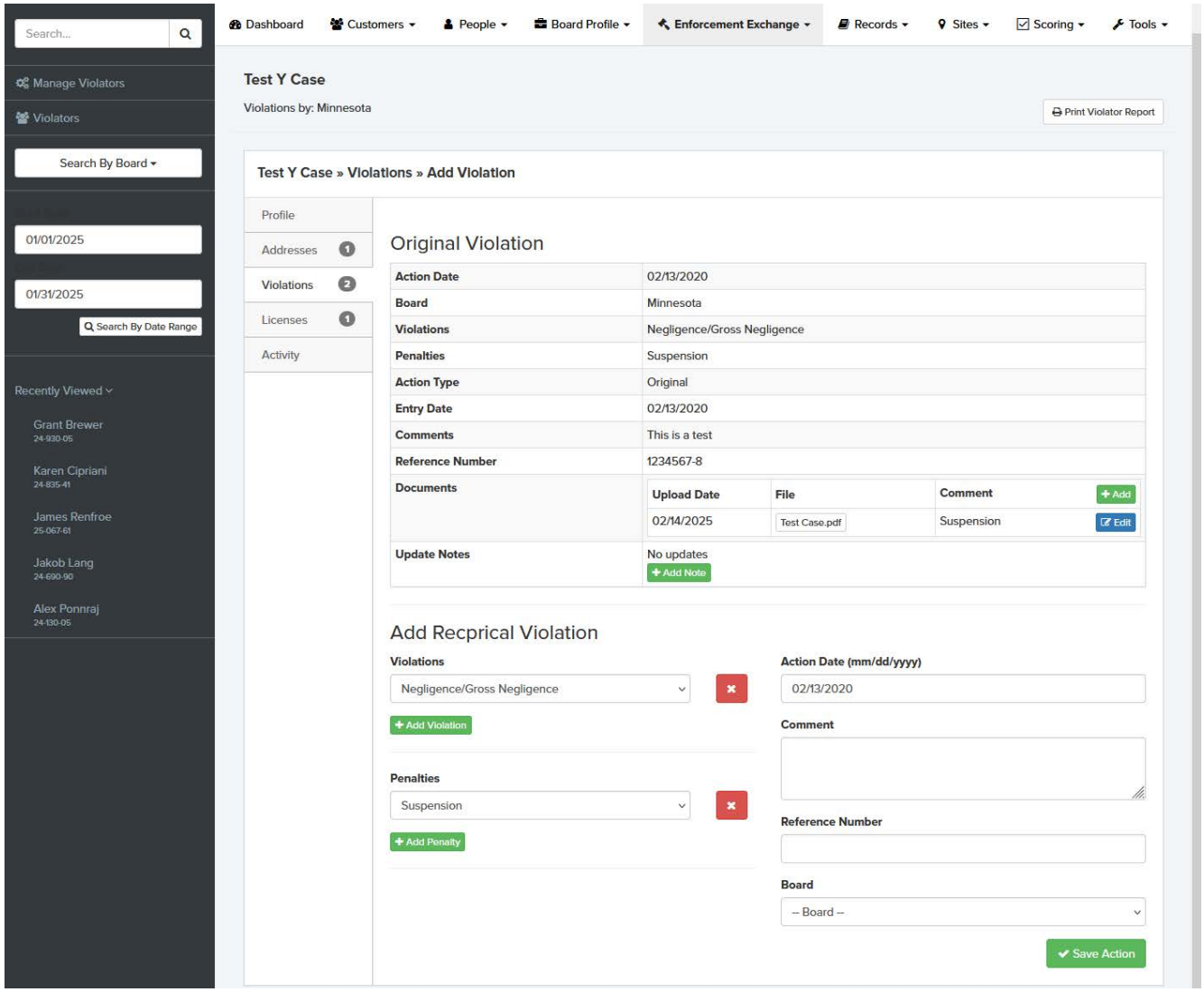

FIGURE 12

4. Click the **Licenses** link to add licensure information. To add licensure information for an individual or firm, click **Add Licenses** and enter the appropriate information. Click **Save License** to add the information. See page 12 for additional information.

HELP

Click the question mark symbol (**?**) (see **i** in Figure 3) at the top of any page to access the Help menu (see Figure 13). A list of frequently asked questions is shown along with a search box.

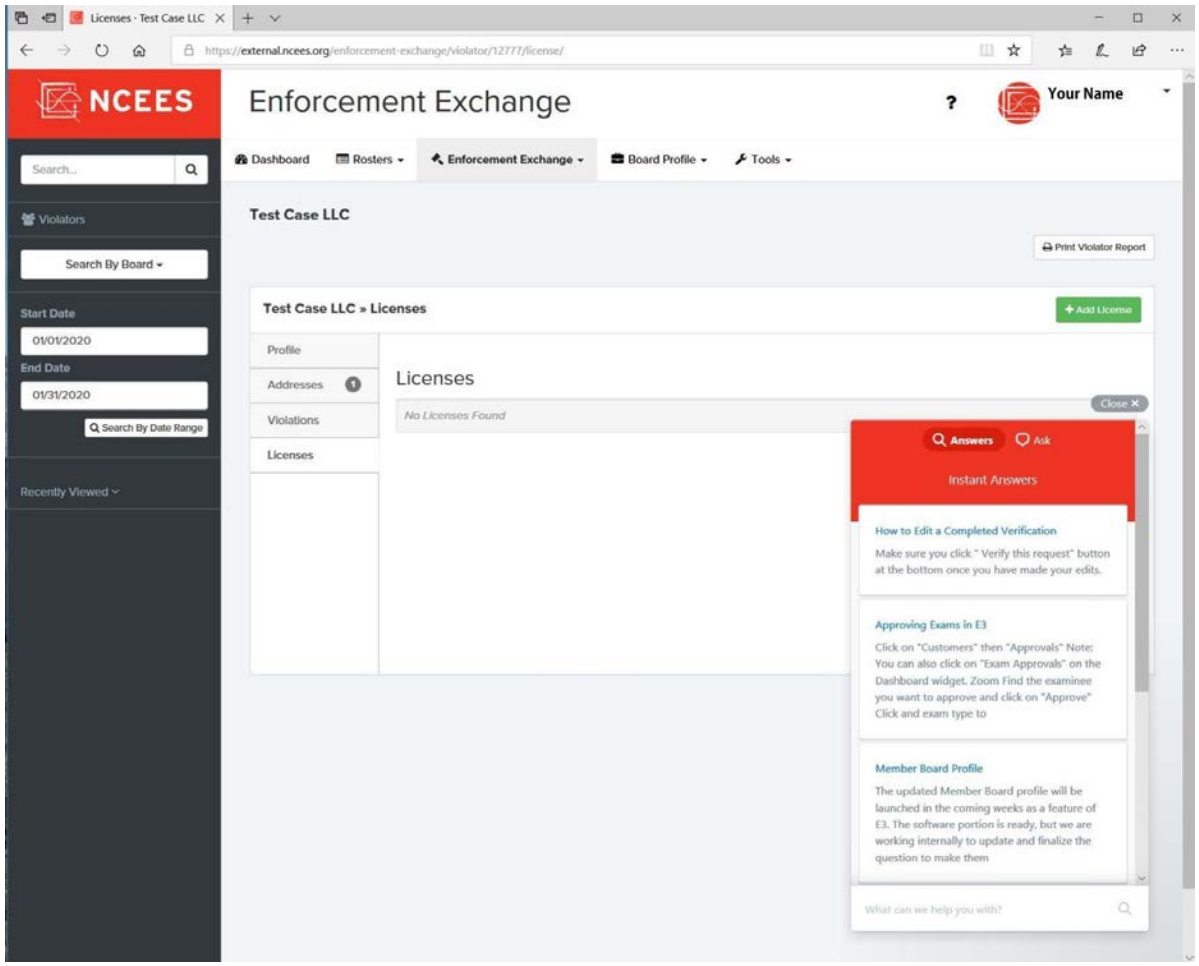

FIGURE 13

1. The search box allows you to search the Help database. Type in the pertinent text and click on the magnifying glass. The system lists the best matches from the Help database.

2. To return to the original Help menu, click **Answers**.

3. If you did not find your answer or need further assistance, click **Get in touch** or **Ask** to send a message to NCEES (see Figure 14).

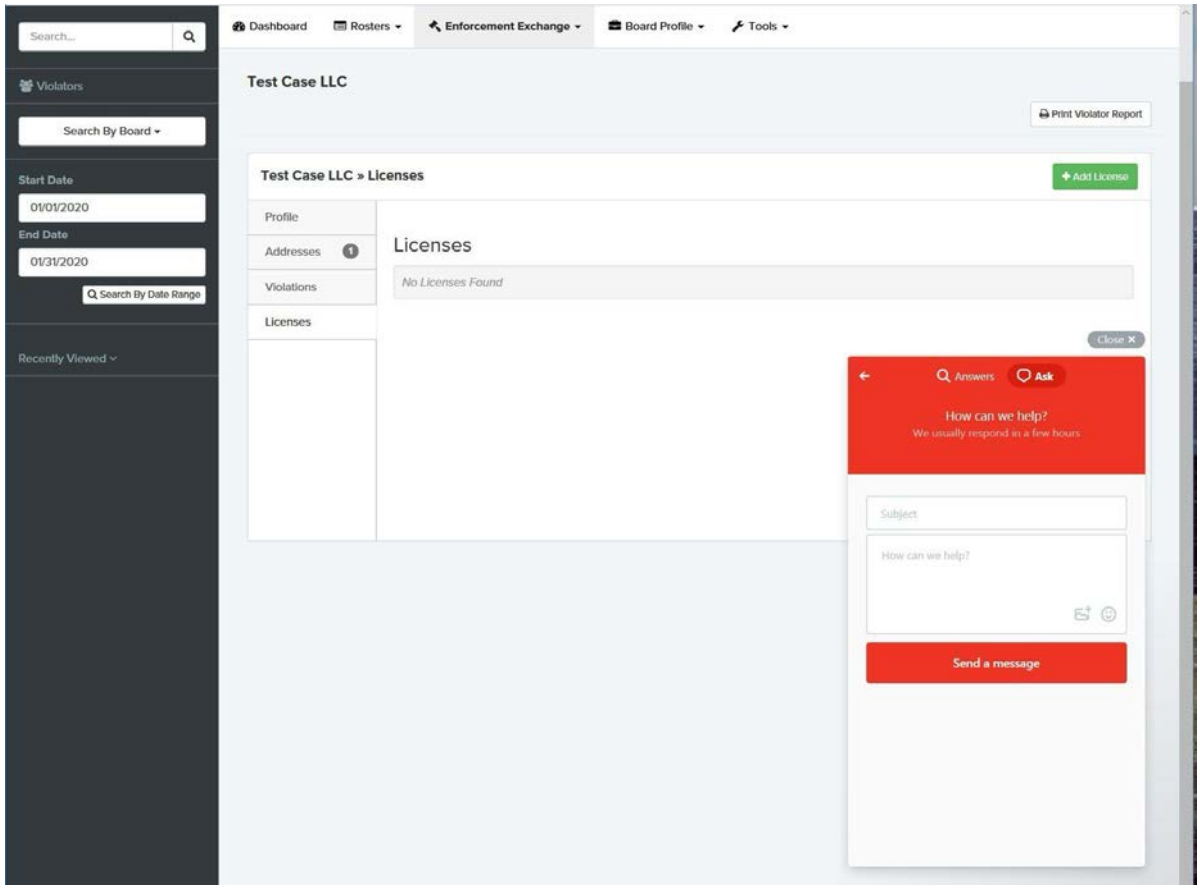

FIGURE 14

4. Enter the subject and your help request. Click **Send a message**, and NCEES will respond, usually within a few hours. If you need to delete an erroneous record, this is the best method to make that request.