



# State Regulatory Enforcement

State regulatory agencies, boards, and commissions are tasked with identifying issues, tracking complaints, and taking action when workers in regulated industries do not meet established requirements. Tyler's State Regulatory Enforcement application helps to standardize and automate these tasks to support an efficient, fair, and systematic approach to ensuring compliance. This stand-alone application is also a key component of a full Tyler State Regulatory Platform Suite implementation.

## SUPPORTING YOUR ENFORCEMENT PRIORITIES

The functionality within the Enforcement application helps regulatory bodies oversee, investigate, and monitor compliance of license holders when there are complaints or violations. Using the application, regulators can:

- Simplify complaint filing and tracking
- Monitor the number and severity of violations that will trigger disciplinary actions of various levels
- Track and flag people or entities that are not compliant with requirements
- Generate formal notifications of the enforcement actions that are going to be applied, along with the applicable timeframes and the process for appeals
- Track and oversee enforcement actions
- Maintain a record of previous enforcement actions

## STATE ENFORCEMENT WORKFLOW

The Enforcement application streamlines every stage of the enforcement process.

**Complaint or Non-Compliance.** The application creates a case record when regulatory staff inputs information regarding suspected non-compliance or a complaint received from the public.

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### AVAILABLE MODULES



Document Management



Analytics

## WHO USES THE STATE REGULATORY ENFORCEMENT APPLICATION?

Pre-configured user roles mean the application is ready to use for a variety of stakeholders.

- Intake processor
- Project investigator
- Case processor
- Case reviewer
- Scheduler
- Manager/supervisor
- Compliance officer
- Legal (attorney assigned to the case)

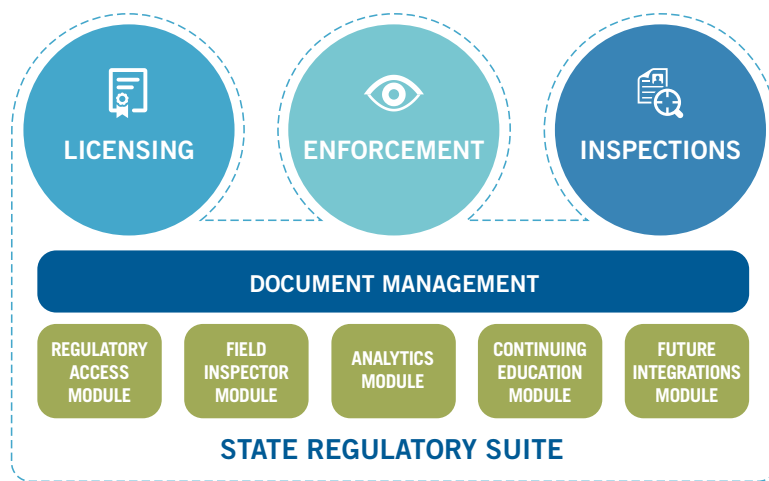
**Investigation.** The application tracks evidence as it is gathered and evaluated. Case-related data that is tracked includes participants (complainants, respondents, witnesses, etc.) and allegations. Data is shared with application users on a role-specific basis.

**Examination.** Informal reviews and formal hearings take place at this stage. The application ensures that every stakeholder has accurate information. It also assists with scheduling meetings.

**Enforcement action.** If there is a violation, the application can record the applied disciplinary actions, such as suspended licensure, fines, or other imposed compliance orders. The application monitors compliance with the enforcement actions.

## STAND-ALONE OR INTEGRATED ENFORCEMENT

The State Enforcement application is part of Tyler's State Regulatory Platform Suite, along with Tyler's State Licensing and State Inspections applications. The whole State Regulatory Platform Suite can be deployed as a complete solution, with options such as the Access module for building a public portal. The components of the State Regulatory suite can be combined and configured to precisely support your processes as well as your legal requirements. This composable architecture allows you to deploy exactly what you need without having to pay for or maintain anything you don't.



All three of the State Regulatory suite's key applications, Licensing, Enforcement, and Inspections, come with full-featured document management functionality.

State Enforcement can also be used as a separate application that is tied to an agency's existing licensing system so appropriate data can transfer back and forth, with role-specific security to limit data access to users who need it.

## TRUSTED BY REGULATORS

Tyler Technologies currently works with state regulatory agencies ranging from large umbrella state agencies that support licensing, enforcement, and inspections for hundreds of license types to smaller offices and boards that support one license type (such as architects or pharmacists).

Contact us for a presentation and demonstration

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