

Federal Caregiver Background Check Pilot Program – Quarterly Data Collection Tool

Note: If you have questions about this tool, contact Mary Kinnaird – Phone: 608-243-2051 or kinnamj@dhfs.state.wi.us

a. Entity Name(s):	b. Entity Address(es):	
c. Contact Name and Phone Number:	d. Report Quarter/Year:	e. Entity DOJ Account Number:
f. Entity Type: Submit a separate report for each entity type. <input type="checkbox"/> NURSING HOME <input type="checkbox"/> ICF/MR <input type="checkbox"/> CBRF <input type="checkbox"/> LTC HOSPITAL <input type="checkbox"/> HOME HEALTH <input type="checkbox"/> HOSPICE <input type="checkbox"/> PCW AGENCY		

SECTION I – Total Number of Caregivers Hired/Not Hired Broken Down by Position Title. All caregivers who started the hiring process (completed a BID) after the pilot start date AND who were either hired or not hired within the quarter. Do not include on this quarter’s report caregivers hired “provisionally” pending the background check results. Include these caregivers once the full background check is completed.

1. Total Number of Caregivers Hired/Not Hired:

Subtotal: Of those Hired/Not Hired, how many were:

- Managers
- Administration staff (HR, office staff)
- Doctors
- RNs, LPNs
- Social Workers
- CNAs
- Other Licensed Staff
- Other Direct Care Staff (CBRF staff, PCWs)
- Other Facility Staff (maintenance, housekeeping)

Notes:

- General: If you have no data to report for the quarter, please complete the top section of the form, place a zero in Question 1, and submit the form.
- #1 Subtotal: Indicate the positions applied for – not the caregiver’s credentials. For example, a LPN could apply for an Administration staff position. This person should be listed under Administration staff not LPN.

SECTION II – Total Number of Caregivers Hired/Not Hired Broken Down by Hiring Decision. All caregivers reported in Question 1 above.

2. Total Number Hired:

Subtotal: Of those Hired, how many had:

- No convictions or findings of any type
- Conviction not substantially related to position
- Successful Rehabilitation Review

3. Total Number Disqualified for Non BC Reasons

4. Total Number Disqualified through BC Process

Notes:

- #2/No Convictions Subtotal: No record found in criminal search and no disqualifying info on DHFS letter.
- #3: Non-background check reasons include, but are not limited to, poor references, failure to meet job requirements, voluntary withdrawal/quit.
- #4: Not hired due to background check results or refusal to complete a step in the background check process, such as refusing to be fingerprinted.

Double check – Answers to **Questions 2 + 3 + 4 must equal** the total in **Question 1** “Total Number of Caregivers Hired/Not Hired.” If these numbers do not add up, please review responses and make the necessary adjustments.

SECTION III – COMMENTS

SECTION IV – Total Number of Caregivers Disqualified through Pilot Background Check Process Broken Down by Background Check Steps. All caregivers disqualified through the background check process, i.e., those reported in Question 4. Skip to Section V if no caregivers were disqualified through the background check process.

5. Total Number Disqualified Due to BID

6. Total Number Disqualified in Free Registry Searches

7. Total Number Disqualified in CBC Name Search:

 > Disqualifying Conviction:

 ❖ Conviction on WI Offenses List

 ❖ Conviction on Federal Exclusion List

 ❖ Substantially related conviction

 > Substantiated finding or other licensing limitation

8. Total Number Disqualified in Fingerprint Search:

 > Refused to sign FBI release or verbally refuses to attend appointment

 > Disqualified by State fingerprint check:

 ❖ Conviction on WI Offenses List

 ❖ Conviction on Federal Exclusion List

 ❖ Substantially related conviction

 > Disqualified by Federal (FBI) fingerprint check:

 ❖ Conviction on WI Offenses List

 ❖ Conviction on Federal Exclusion List

 ❖ Substantially related conviction

Notes

- **#5:** Number of caregivers who self-report a disqualifying conviction or finding or who provided false information on the BID that would not on its own disqualify the caregiver. If caregiver fails to disclose an offense on the WI/Federal lists or something substantially related, report that disqualification in the step the information is discovered, e.g., name search (#7).
- **#7:** CBC name-based check completed on DOJ's website <wi-recordcheck.org/>
- **#7 & #8 Subtotal Federal Exclusion List:** Count only convictions on the Federal Exclusion list which are different from those on the WI Offenses List. (If the conviction is found on both lists, count it in the WI Offenses List above.)
- **#8 Subtotal Refused to sign FBI Release or verbally refuses to attend appointment:** Count caregivers who willfully refused to be fingerprinted.
- **#8 Subtotal WI Offenses List:** Count convictions/findings in any jurisdiction (other state, federal, military, etc.) that correspond to a conviction on the WI Offenses List.

Double check – Answers to **Questions 5 + 6 + 7 + 8 must equal** the total in **Question 4** "Total Number Disqualified through BC Process." If these numbers do not add up, please review responses and make the necessary adjustments. Also check to ensure that all subtotals add up correctly.

SECTION V – General Information on Background Check Process. The questions below are based on averages. Please provide your best estimate.

9. Average Number of Working Days to Complete Fingerprint BC Process (choose one):

3 or less 4-6 7-9 10-12 13 or more

10. Average Minutes per BC to Complete Extra Pilot Steps (free registry searches and fingerprint process)

Notes:

- **#9:** Fingerprint BC Process goes from the time the caregiver is sent to be fingerprinted until the entity compares the results to the offenses lists and checks for substantially related convictions.
- **#10:** Estimate of the average number of minutes the HR staff takes to complete the additional pilot steps per caregiver.