Required Background Checks and Clearances and Web Portal Instructions

INFORMATION ABOUT THIS TRAINING:

Problems with criminal background checks/registry clearances are the most frequently cited findings during Division of Developmental Disabilities/Bureau of Quality Management reviews. In an effort to reduce future findings, this training was developed to provide information and clarification about the criminal background check and registry clearance requirements for all employees of DD-funded provider agencies.
TRAINING OVERVIEW:

This Webinar includes step-by-step instructions for the required fingerprint criminal background check and each of the required registry clearances:

- At the time of hire criminal background check and registry clearances
- Annual registry clearances
- Related required documentation of the background check and clearances and
- Expectations for meeting these requirements are specified in the Community Services Agreement Attachment A, Section VIII.
- Information about the two web portals you will be using (DHS web portal for training completion information and the IDPH web portal for criminal background checks, employment and other entries.)

The Sources Referenced in this Training:

The links below will take you to the source documents referenced in this training:

- Community Services Agreement Attachment A
  http://www.dhs.state.il.us/page.aspx?item=70174
  Note: The CSA/Attachment A is the annually executed contract between DHS and community services providers that deliver Medicaid Waiver and state-funded developmental disabilities services and supports such as CILA, developmental training, service facilitation, children group homes, home-based services, etc. ICFs/DD do not sign Community Services Agreements.
- Health Care Worker Background Check Act
- Paul’s Law (Public Act 097-0441)
- Required Criminal Background Check & Registry Clearances (DHS Web site)
  http://www.dhs.state.il.us/page.aspx?item=48125
Laws Requiring a Criminal Background Check and Annual Clearances

The two laws that govern the criminal background check and annual registry clearance requirements are:
1. The Health Care Worker Background Check Act; and

The next few slides provide information about these laws.
Health Care Worker Background Check Act

• Providers are required by law to perform background checks/clearances to ensure that applicants are in compliance with the Health Care Worker Background Check Act (225 ILCS 46). (Exception- This Act does not apply to individuals who are licensed by the Department of Financial and Professional Regulation or the Department of Public Health under another law of this State.)

Information about this Act can be found at:  

Paul’s Law
and Annual Clearances
Paul’s Law and Annual Clearances

• Paul’s Law (Public Act 097-0441) requires employee names to be cleared **annually** against these 3 registries:
  – Health Care Worker Registry
  – Illinois Sex Offender Registry
  – DCFS Child Abuse & Tracking System (CANTS).
• The requirement for completing/documenting these clearances are in Community Service Agreement Attachment A.

Annual Clearances

• The requirement for 3 annual clearances became effective July 1, 2012.
• By now, every employee should have current annual clearances
• Annual clearances should be completed no more than 13 months after the previous annual or initial clearance.
Is an annual HCWR clearance required if we use fingerprint checks?

- Yes
- Providers may become aware of intervening findings of abuse, neglect or exploitation posted on the Health Care Worker Registry by the DHS OIG.

When Conducting an Annual Clearance, the Employee Must be Terminated if:

- there is a subsequent disqualifying conviction (when there is no waiver).
- there is an Administrative finding of abuse, neglect or exploitation on the HCWR.
- there is a new indication reported by CANTS.
- There is new entry on the Illinois Sex Offender Registry.
What Should Agencies Do If Required Check/Clearances Were Not Completed in the Past?

For required “at time of hire” checks which were not completed: Provider agencies that failed to complete all required checks and clearances at the time of hire or annually thereafter should immediately initiate and document all missing checks/clearances. During review activity by the Division, only checks completed in a timely manner will be credited towards the provider’s score. However, missing checks which were self-identified and corrected by the provider agency prior to the Division review will not result in sanctions by the Division.

Who Needs Background Checks and Clearances?

- **All employees, in any capacity**, need a criminal background check reported to the Health Care Worker Registry (HCWR) and clearances at the time of hire and annually thereafter. **This includes full and part-time employees, custodial, administrative and clerical staffs.**
- Employees on leave (family, medical, education, etc.) are required to have annual clearances while they are on leave. No additional clearances are required when they return to work.
- Employees who terminate employment and later return must be treated as a new hire with all required background check and clearances.
REQUIRED BACKGROUND CHECKS
AND CLEARANCES (with effective dates)

The Division of Developmental Disabilities requires that providers conduct a fingerprint criminal background check and four (4) clearances:

**Criminal Background Check** - Illinois State Police Criminal Background Check
- At the time of Hire (1/1/00)*

**Clearances:**
1. Health Care Worker Registry Clearance
   - At the time of Hire (1/1/00)*
   - **Annually** (7/1/12)
2. Department of Children and Family Services - Child Abuse and Neglect Tracking System (CANTS) Clearance
   - At the time of Hire (7/1/07* – child programs; 7/1/09* – All)
   - **Annually** (7/1/12)
3. Illinois Sex Offender Registry
   - At the time of Hire (7/1/07* – child programs; 7/1/09* – All)
   - **Annually** (7/1/12)
   - At the time of Hire (7/1/08*)

* Employees hired prior to the effective dates above and continuously employed by your agency do not need initial clearances documented but will have to have documentation of required annual clearances after 7/1/12.

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**Defining “Checks” and “Clearances”**

For purposes of this training, references to “checks” mean the initial State Police criminal background check, either a FEE_APP fingerprinting process using the Health Alert Network (HAN) Web Portal or the Uniform Conviction Information Act (UCIA) background check method for agencies that don’t yet have clearance to use the HAN. References to “clearances,” mean looking at the Health Care Worker Registry for administrative findings and training to see if the person has already had an initial criminal background check. Clearances also pertain to making sure the person:

- is not listed on the Illinois Sex Offender Registry;
- has no CANTS indications; and
- has not been sanctioned by the Illinois Department of Healthcare and Family Services for Medicaid/Medicare Fraud.
Background Check/Clearance Results

• The applicant can be “conditionally” hired and employed for up to 3 months while your agency awaits background check and clearance results.

• If the results indicate a disqualifying conviction, the person may not be employed unless a waiver is granted by IDPH including while awaiting the results of a waiver request.

“At the time of hire...”

Typically, background checks/clearances should be initiated or completed no later than the first day in paid status. For purposes of background clearances, the Division of Developmental Disabilities considers “at the time of hire” to be the first day in paid status. They may be completed prior to the first day in paid status but no earlier than 30 calendar days before the employee starts work.
Release of Information Form:

- Before conducting background checks, be sure applicants have read, and signed the Release of Information statement on the Illinois State Police and CANTS background check forms.
- No consent is required for these online clearances that are available to the public:
  - HCWR
  - Illinois Sex Offender Registry
  - HFS OIG Sanctions List.

Conducting Initial Background Clearance

Before hiring staff (including volunteers), providers must:

- First clear their names on the Health Care Worker Registry (HCWR) or Health Alert Network (HAN) for disqualifying criminal offenses, and substantiated administrative findings of abuse, neglect or financial exploitation reported by the DHS Inspector General.
- If the applicant’s name is not on the HCWR/HAN with a FEE_APP check, he/she must obtain an Illinois State Police fingerprint criminal background check from a Livescan vendor for its reporting to the HCWR.
Special Instructions for Conducting Initial HCWR Criminal Background Clearances

The next few slides show examples of what you might see when clearing applicant names on the HCWR. Please note:

- If an applicant is on the HCWR with a UCIA background check, he/she must get a fingerprint (FEE_APP) background check even if there are no criminal convictions or substantiated findings of abuse or neglect reported on the HCWR.
- If the applicant is already on the HCWR with a “FEE_APP” background check, another criminal background check IS NOT needed.
- If the applicant is hired, his or her employment information must be added to the HAN web portal by your Portal Registration Authority so that your agency can be notified immediately of any subsequent disqualifying criminal convictions.

Special Instructions for Conducting Initial HCWR Criminal Background Clearances (cont.)

The initial and annual, background clearances can be done using either the IDPH’s HCWR public website or its Health Alert Network (HAN) web portal. When using the HAN for HCWR background checks and clearances, the person’s SS# must be entered before you can see the training, criminal and administrative information. When there are several people on the registry with the same name, satisfying the SS# validation rule is much quicker using the HAN instead of the HCWR public site which requires you to check all the names until a SSN match is found.

Examples of screens from both sites follow on the next few slides.
Documentation of Initial HCWR Criminal Background Clearances

When a name-based search is conducted at the public website https://hcwrpub.dph.illinois.gov/Search.aspx employers should search by last name only unless such a search returns too many results. If results must be narrowed, searching by last name with first initial (or first few letters of the first name) will result in more accurate results. The documentation (either printed or electronic copy) must include social security number verification if a name match is located. Documented results must include the date the search was completed.

• Searches conducted using DPH’s Health Alert Network web portal are completed using social security number. The documentation (either printed or electronic screen print of the website used to conduct the check) must include the date the search was completed.

• If the pre-employment search was not conducted using search criteria consistent with these guidelines, the check will be considered valid if it was completed in a timely manner (i.e., no later than the first day in paid status) and at least one annual check has been conducted and documented in the specified manner.

Documentation of Initial HCWR Criminal Background Clearances (cont.)

• Criminal Background Check—Results of the criminal background check may be documented in a variety of ways, depending on the timing and type of background check completed. Acceptable forms of documentation are an e-mail from the Illinois State Police showing results by the person’s social security number, copies of results documented on “Verify” forms received from the Illinois State Police, or print out from the Health Care Worker Registry public website or Health Alert Network web portal showing the date the check was conducted and results. Employers must retain evidence of the initiation of the criminal background checks until the results are received and filed at the agency.
HCWR Clearances Using the Health Alert Network (HAN) Web Portal

The next few slides show how to do HCWR clearances using the HAN (which can only be accessed by your agency’s Portal Registration Authority or Additional Users).

After logging into the HAN web portal, Enter the applicant/new hire’s SS#.

Enter the person’s name or SS# here.
The applicant’s SS# must be entered at the validate authorization screen.

This background check shows no criminal convictions.

This person cannot be hired.

Although there are no criminal convictions, there is an OIG Administrative finding of abuse.
EXAMPLE OF SOMEONE WHO CAN BE HIRED

This person can be hired. This FEE_APP background check shows no criminal convictions. The green flag also indicates no convictions. If there are convictions, you will see a red flag.

There are no Administrative Findings of abuse, neglect or theft on this person's record.

Health Alert Network Screen Shot

Click on this box to see if the person has been trained and is designated as a DD Aide.

The "6000" program code means it is a Trained DSP. Hover over the code to see what agency trained the DSP. CNA's certifications start with "0".
This person has completed DSP training, the training information has been submitted via the SIU web portal, and they are now listed as a DD Aide. (DSPs cannot work alone until they are designed as a DD Aide on the HCWR.)

HCWR Clearances Using the Health Care Worker Registry (HCWR) Public Site
The next few slides show how to do HCWR clearances using the public site, which can be accessed by anyone with Internet access. Please note: validating Social Security numbers can take longer using the public site if you find several people with the same name.
This screen shot shows that the applicant (John Doe) is not on the HCWR and will need a fingerprint background check. You should print this screen shot and put it in the person’s file.

This person is on the registry, has had training as a CNA, but cannot be hired because of disqualifying offenses and Waiver denial. Waiver information is here. Training information is here.
This is a screen shot of a CNA with no convictions. The person's CNA training is shown under "Programs" at the bottom of the page. The background check was UCIA so they will need a FEE_APP background check (or updated UCIA check) if starting work at a new agency, or returning after working elsewhere.

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This person's criminal background check was done using the FEE_APP method so another criminal background check is not needed.

This person has completed DSP training and is now designated as a DD Aide.
This person is designated as a DD Aide with no findings, however the background check was done using the UCIA method so a FEE_APP background check should be initiated on the web portal; if agency not on the web portal, another UCIA check is required.

Validating Results on the HCWR Public Site

- If a name match is found using the HCWR public site, always validate the results using the Social Security Number of the applicant.
- If there are several HCWR entries with similar names, you will need to check them all.
- See examples on the next slides.
The applicant's name is the same as a person with an Administrative Finding of Abuse; however, the SS# does not match. This demonstrates why it is important to validate findings with a SS#.

This shows how to validate that the Social Security Number matches the name of the person you are checking on who has an Administrative Finding of Abuse. They cannot be hired.
Search Tips:

- Do not narrow the search by adding too much information in the search field, as the information entered limits the search to only those parameters within the listing.
- Search using the last name only when possible.
- Use only the first initial of the first name.
- Consider name changes and search for maiden name, previous married names, etc.
- Unusual names may have been misspelled when entered, so use only the first few characters when searching.

Background Check Designations - FEE_APP & CAAPP

- The designation “CAAPP” on the HCWR or Health Alert Network (HAN) is a code entered by IDPH to designate a “rapback” finding connected to the FEE_APP. It is the same as a valid fingerprint background check result.
- It may indicate new criminal activity, a change in Waiver status, or merely indicate that IDPH made an administrative correction to the record.
- Whenever there is a CAAPP designation, check the HAN portal to make sure there is no “red flag” showing disqualifying convictions.
Waivers for Disqualifying Convictions

Individuals with disqualifying convictions (as defined by the Health Care Worker Background Check Act) may not work in a DD-funded setting unless a waiver has been granted.

- Waivers for disqualifying criminal convictions are granted by the Illinois Department of Public Health. Persons with criminal convictions may file a Health Care Waiver Application Form with IDPH to reinstate their eligibility for employment with Illinois health care providers.
- For more information, see the IDPH Health Care Worker Registry web site for “Waiver Application Facts” (scroll to the bottom of the screen) at https://hcwrpub.dph.illinois.gov/Default.aspx
- Waivers granted previously by DHS Bureau of Accreditation, Licensure and Certification are honored by Division of DD.
- Employers are under no obligation to hire employees who have a IDPH waiver for a disqualifying conviction.

Illinois State Police
Criminal Background Checks

This section covers:
- What type of check is needed?
  - Name; or
  - Fingerprint.
- How to conduct the check; and
- Examples of disqualifying convictions.
- Documentation
WHAT IS A FEE_APP BACKGROUND CHECK?

The HAN Web Portal to the Health Care Worker registry is used to run "Fee_App" background checks.

Fee_App background checks:

- Must be requested by a government entity, in this case IDPH.
- allow Illinois State Police (ISP) to store the fingerprints in their repository.
- A flag is put on the ISP database that indicates that IDPH was the original requestor of the background check.
- Not only is a background check result sent to IDPH at the time of request but, if there are any future convictions associated with those fingerprints, ISP will send a notification to IDPH. This means that the background check is always up-to-date and the applicant will not be required to have another ISP fingerprint background check as long as they stay active on the registry.
- IDPH will use the information that the facilities enter about employment in the web application to notify all current employers of any future convictions. If a facility no longer employs an individual, the facility will not receive notices about that individual.
- The notices will be in the form of an automatic email. Therefore, as soon as a determination of disqualification is made on the new conviction the facility will receive an email.
- If the conviction is disqualifying, any waivers that have been granted will be revoked.

Job applicants who are either not on the HCWR or have only had a UCIA background check, will need to have a FEE_APP background check done. Your agency should print a Livescan Request Form for applicants or new hires to take to one of the 4 vendors for fingerprint scanning within 10 working days.

This portion is returned to your agency.

Here’s what a Livescan form looks like:
LiveScan FEE_APP Vendors

Agencies with access to the IDPH Health Alert Network Web portal should use the Fingerprint-based fee applicant (FEE_APP) process for conducting background checks. The FEE_APP checks are handled by a contracted vendor (listed below) whose staff do the fingerprinting and send the results to the State Police (posted on DHS Web site at http://www.dhs.state.il.us/page.aspx?item=48125:

- A Fingerprinting US Photo, Inc: 1-312-782-8144 or www.fingerprintingchicago.com
- Anthony’s Mobile Fingerprinting, Inc: 1-888-406-8729 or www.TheFingerPrintMan.com
- Big River Investigations: 1-217-228-9114 or www.bigriverinvestigations.com
- Bushue Human Resources, Inc: 1-217-342-3042 or www.bushuehr.com
- Fact Finders Group, Inc: 1-708-283-4200 or www.factfindersgroup.com
- iTouch Biometrics: 1-847-706-6789 or www.itouchbiometrics.com
- Kevin McClain Investigations, Ltd: 1-618-532-1152 or www.mcclaininvestigations.com
- Morpho Trust USA (formerly L-1 Enrollment Services): 1-800-377-2080 or www.identogo.com

Livescan vendors report fingerprint background check results directly to the Health Care Worker Registry.

10 Day Fingerprint Restriction

What if the job applicant does not get his/her fingerprint scan done within 10 working days?

- The FEE_APP form is only good for 10 working days. The consequence for the applicant not getting their fingerprints taken within 10 working days after they signed the disclosure and authorization form is the agency suspends the applicant from working with individuals served.
Does the applicant have to complete a new Live-Scan form to start the process again?

If the applicant does not get his/her fingerprint scan done within 10 working days, you will need to generate another LiveScan form but the process is much easier the second time. Go to the applicant’s profile page, click on the underlined date and should take you to a screen where you select “click here” to generate another LiveScan form with a current date. The worker is withdrawn from the IDPH web application if the worker fails to have the fingerprinting done within 30 days.

When to Use the Illinois State Police UCIA Background Checks

Agencies that don’t yet have access to the IDPH Health Alert Network (HAN) Web Portal will need to use the Illinois State Police Uniform Conviction Information Act (UCIA) background check method in the interim. There are two types of forms that are used to request UCIA information: a non-fingerprint request form and a fingerprint request form. The forms are available on the Illinois State Police Web site at: http://www.isp.state.il.us/crimhistory/chri.cfm

After the agency’s HAN web portal process is implemented, they cannot not go back to UCIA checks. Soon, only FEE APP background checks will be allowed.
A non-fingerprint background check (name-based) uses identifiers in the search such as name, sex, race, and date of birth. Any criminal history record information found as a result of a non-fingerprint based computerized criminal history check is based solely on a search of the identifiers provided in the request. It is not uncommon for criminal offenders to use alias names and dates of birth which could adversely affect the results of a non-fingerprint based search.

A name-based background check may bring up several people with the same name. If the applicant has the same name as a person with a disqualifying offense, a fingerprint background check could clear the applicant for employment. Or, it might verify that the applicant is, in fact, the person with the disqualifying offense.
UCIA FINGERPRINT CONVICTION INFORMATION REQUEST (Form ISP6-404B)

A fingerprint based criminal history record information search confirms positive identification of the subject to whom the fingerprints belong contained on the fingerprint request form.

The UCIA fingerprint check is more reliable than the name-based check but neither of these State Police UCIA background checks will notify agencies of any future convictions as the FEE_APP Method does.

Fingerprint-based Criminal History Records Check

A fingerprint-based criminal background check is not required for employees who:

– have been continuously employed with the same health care employer since October 1, 2007, and
– met the requirements for a criminal history background check prior to October 1, 2007, and
– have no disqualifying convictions or a IDPH waiver of disqualifying convictions.

The law does not prohibit health care employers from initiating a fingerprint criminal check for these employees or volunteers. Should such employees seek a position with a different health care employer, a fingerprint-based criminal check would be required.
What About Background Checks for Volunteers?

The Health Care Worker Background Check Act (225 ILCS 46/70) specifically excludes physicians and volunteers as individuals that have "direct access" to residents and thus exempts them from the requirements of the Act. This means the law does not require them to have a fingerprint background check or clearance. Nonetheless, we strongly recommend that providers run HCWR, DCFS State Central Register (CANTS), Illinois Sex Offender and HFS OIG Sanction List clearances on volunteers.

What if the Prospective Employee is already Listed on the HCWR?

- Look at the type of background check completed
  - “FEE_APP” indicates a fingerprint check was completed. No additional criminal background check is required. If the person is hired, the provider must update its employment information screen on the Health Alert Network.
  - “UCIA” indicates either a name-based or non FEE_APP fingerprint check was completed. A fingerprint-based (FEE_APP) background check is required when an employee with a UCIA background check changes employment.
Documentation

- Agencies are required to maintain documentation that all employees have had an Illinois State Police criminal background check result (FEE_APP fingerprint or UCIA name-based or fingerprint) reported to the HCWR.
- All new hires must have a fingerprint criminal background check (FEE_APP) reported with no disqualifying criminal convictions and no substantiated findings of abuse or neglect reported to the HCWR.
- Acceptable documentation of this includes print screens of the required registry clearances for all employees at time of hire and annually thereafter.

Documentation (cont.)

The registries requiring documentation of clearances are:
- Health Care Worker Registry: Confirms DSP has had a criminal background check, no substantiated finding of abuse, neglect or exploitation reported by the DHS Inspector General (OIG), and no disqualifying criminal convictions.
- DCFS State Central Register (CANTS): Confirms whether there has been a finding of abuse or neglect adjudicated by DCFS. If so, a waiver from DHS is required before the person can work for DD providers.
- Illinois Sex Offender Registry: Confirms there are no criminal convictions or outstanding warrants for sex-related offenses reported by this registry.
Illinois Sex Offender Registry

This section covers:
• Purpose
• Address
• Search Tips
• Documenting Search Results
• Common Mistakes

Distinguishing Between the Illinois and National Registries

• The HAN FEE_APP Livescan Request Form process requires background clearances of the National Sex Offender Registry and the National HHS-OIG “sanctions list.” The HAN provides links to these sites. However, background clearances required by the FEE_APP process do not automatically meet the DHS/DDD contractual requirements. The DHS/DDD contract requires clearances of the Illinois Sex Offender registry and the Illinois Health and Human Services OIG Sanctions list.
Purpose

- Providers shall not employ an individual in any capacity until the Provider has inquired of and received the results from the Illinois Sex Offender Registry concerning the individual.
- If this registry clearance documents the existence of a conviction, the Provider shall not employ the person in any capacity.

Illinois Sex Offender Registry for Online Clearances:

The Illinois Sex Offender Registry website is:

- free;
- accessible to the public; and
- gives immediate results.

The link is:

http://www.isp.state.il.us/sor/
This is a Picture of the Home Page of the Illinois Sex Offender Registry
Special Instructions for Conducting Illinois Sex Offender Registry Clearances

- When conducting the online search, enter only the person’s last name under “Offender Search.” Entering just the first few letters of the last name is okay.
- Although there are other boxes under the “Offender Search” such as city, zip code, county and offender type, they should not be used when conducting pre-employment or annual searches to meet the Division’s Attachment A expectations as these filters limit the search. However, if the city, zip code, county, or other filter were used at the time of the pre-employment check, the check will be considered valid if it was completed in a timely manner (i.e., no later than the first day in paid status) and at least one annual check has been conducted without the use of filters.

Special Instructions for Conducting Illinois Sex Offender Registry Clearances:

Problems to watch out for:
- When conducting the online search, enter only the last name of the employee in the Offender Search field.
- Do not add a zip code, county or city to the search criteria;
- The National Sex Offender clearance is required by the IDPH, but IDHS/Div. of DD requires clearance of the Illinois Sex Offender Registry.
- Be sure to print (or save electronically) documentation of the clearance;
- Be sure the date of the clearance is on the printed documentation.
Special Instructions for Conducting Illinois Sex Offender Registry Clearances

- If your search results in a long list of names, scroll through the list to confirm the employee is not included on the list.
- For documentation, only a screen print of the page is needed where, alphabetically, the person’s name would have appeared had the person been listed.

This background search is for “Don Tucker.” If “Don Tucker” was on the list, he would appear here. The search shows no sex offender convictions for a person with this name. Print this page for the personnel file.
If a job applicant has the same name as a sex offender, print the picture that shows it is not the same person as the applicant and file it in the personnel file.

This background search show no sex offender convictions. This page should be printed and placed in the applicant’s personnel file.
Documentation - Sex Offender Registration

Both pre-employment and annual checks of the Illinois Sex Offender Registry must be documented by a printed or electronic copy of the website screen print showing the employee’s last name, results and the date completion.

If an employee has the same last name as an offender listed on the website, documentation of the page showing absence of the employee’s name is required. If an employee has the same name as an offender listed in the registry, documentation of the name of the offender with photograph is required.

A check of the U.S. Department of Justice National Sex Offender Public Website may not be substituted for the required check of the Illinois Sex Offender Registry.

Healthcare & Family Services
Office of Inspector General (OIG) Sanctions List

This section covers:
• Purpose
• Address
• Search Tips
• Documenting Results
• Common Mistakes
Purpose

Providers are required to check the Illinois Healthcare and Family Services (HFS) OIG Sanctions list to confirm that the prospective employee is not barred by HFS from receiving Medicaid/Medicare funds (A portion of DD services is funded by Medicaid/Medicare).

HFS OIG Provider Sanction List Clearances

The website for the Illinois Healthcare and Family Services Sanctions list is:

- [http://www.state.il.us/agency/oig/sanctionlist.asp](http://www.state.il.us/agency/oig/sanctionlist.asp)

- It is free.
- It allows public access.
- It gives immediate results.
Use Search link that appears on right side of page.
Special Instructions for Conducting Illinois Healthcare and Family Services (HFS) OIG Sanctions Clearances

When conducting the on-line search:
• Enter only the person’s last name in the name box search page.
• The use of first names and/or punctuation, if not entered in a manner recognized by the site, may result in erroneous results.
• Entering only a few letters will return all the names containing that combination. This method is recommended for long names, or names that could be misspelled.
• If information in addition to the last name was used at the time of the pre-employment check, the check will be considered valid if it was completed in a timely manner (i.e., no later than the first day in paid status) and at least one annual check has been conducted using last name only.

Special Instructions for Conducting Illinois Healthcare and Family Services (HFS) OIG Sanctions Clearances (cont.)

The Illinois Department of Healthcare and Family Services (HFS), Office of Inspector General (OIG) confirms whether the individual is currently terminated, suspended, barred, voluntarily withdrawn or otherwise excluded from participation in the Illinois Medical Assistance Program. If an individual is on the sanctions list, it will be necessary for the agency to confirm the person’s eligibility for employment with HFS per its OIG guidelines.
This screen shows someone who has been sanctioned. It is recommended that you contact HFS/OIG to verify the current status of this individual by e-mailing hfs.oigwebmaster@illinois.gov. This person cannot be hired until HFS/OIG verifies that the person on the sanctions list is no longer barred.

Documentation - Illinois Healthcare and Family Services (HFS) OIG Sanctions Clearances

- The check of the HFS OIG Sanctions List must be documented by a printed or electronic copy of the website screen print showing the employee's last name, results and the date of completion.
- If an employee has the same name as an offender listed in the registry, contact with the site's webmaster is required to validate whether or not the employee and the offender are one and the same.
Common Problems to Watch For When Conducting Illinois Healthcare and Family Services (HFS) OIG Sanctions Clearances:

• Misspelled names.
• Using the National Department of Health and Human Services List of Excluded Individuals/Entities. (The link for this site is at the bottom of the page, the link to the Illinois search information is on the upper right side of the web page.)
• No proof of conducting the check.
• No date on the printout.

What To Do If Your New Employee is on the Sanctions List

If an individual is on the sanctions list, it will be necessary for the agency to confirm the person’s eligibility for employment with the Illinois Department of Healthcare and Family Services (HFS), Office of Inspector General (OIG). They will confirm whether the individual is currently terminated, suspended, barred, voluntarily withdrawn or otherwise excluded from participation in the Illinois Medical Assistance Program. Agencies can e-mail hfs.oigwebmaster@illinois.gov. This person cannot be hired until HFS/OIG verifies that the person on the sanctions list is no longer terminated or barred.
Child Abuse & Neglect Tracking Systems (DCFS CANTS)

The information in this section includes:

- Purpose
- Process
- Indications
- Waivers

Who Needs a DCFS CANTS Clearance?

- The Community Services Agreement Attachment A requires a CANTS clearance on:
  - All employees hired on or after 7/1/09; and
  - All employees working with children who were hired on or after 7/1/07.
Requesting a CANTS Check

• There are two different forms used for CANTS clearances, depending on whether or not the provider is licensed by DCFS.
• The clearance must be initiated no later than first day in paid status.
• The employee may continue to work while awaiting results.

Instructions for Conducting DCFS CANTS Clearances

Agencies are required to complete a DCFS Child Abuse and Neglect (CANTS) background clearance on all DSP job applicants:
• For agencies not licensed by DCFS: CANTS background clearances are requested by submitting a CFS 689 (see example of the form on the next slide).
• For agencies licensed by DCFS: CANTS background clearances are requested by submitting a CFS 718-E (an example of this form follows the CFS 689 form).
• To put CANTS clearances on a “fast track,” Forms CFS 689 must be scanned and attached to an email
• The subject line of the email must include the word “Healthcare”
• Emails must be directed to this address: cfs689background@illinois.gov
• Using this expedited email process allows DCFS to identify and funnel our requests into a priority folder. According to DCFS, agencies should receive CANTS responses within 10 working days. Providers should use this expedited process only for CANTS clearances going forward. They should not resubmit clearance requests already in the DCFS pipeline. This would cause unnecessary extra work for DCFS.
CFS 689
For programs NOT licensed By DCFS

http://www.state.il.us/dcf/docs/CFS_689_Authorization_for_Background_Check_for_Programs_NOT_Licensed_by_DCF5(Fillable).pdf
Revised 7/2012 – Be sure to use the most current form

CFS 718-E
For DCFS licensed child care facilities

http://www.state.il.us/DCFS/docs/cfs718E.pdf
Revised 11/2002
What Does “Indication” Mean?

• “Indication” is the term used by DCFS to describe substantiated abuse or neglect following its investigation.
• DCFS documents the length of time that an indication remains active (5, 20 or 50 years)
• No person may be employed in any capacity in a DD funded program with an active indication unless a waiver is granted by DHS.

This is a report received from DCFS showing the employee has had an indication in the past.

Results may be retained for 5, 20 or 50 years, depending on the type and severity of the finding.

If two codes are listed, the first corresponds to ABUSE and the second to NEGLECT.
When the employee has no findings in the CANTS system, the original form is returned with a “NO PRIORS” stamp and date from DCFS. The “NO PRIORS” information may be stamped or added electronically. Either one is acceptable.

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How to Apply for CANTS Waivers

- CANTS waivers for DD funded programs not licensed by DCFS can be requested from the Division of Developmental Disabilities.

- The instructions for applying for a waiver are posted on the Division of Developmental Disabilities’ web site in the Information Bulletin entitled “Waiver Request Process for Individual Listed on DCFS' State Central Register (CANTS)” at: http://www.dhs.state.il.us/page.aspx?item=65705

- Employees with active CANTS indications cannot work until a waiver is granted.
Documentation – State Central Register/Child Abuse and Neglect Tracking System (CANTS)

Results of both pre-employment and annual checks of this register must be documented with a copy of the report received from DCFS. The provider agency must retain proof of the date the inquiry was submitted to DCFS (via mail, fax or email).

ANNUAL CLEARANCES
3 OPTIONS

Agencies must have a policy on how the three annual clearances will be conducted. Any one of these three options is acceptable:

- Repeat the clearance on the anniversary of the employee’s date of hire.
- Repeat the clearance at the time of the employee’s annual performance evaluation.
- Develop a schedule of clearances that ensures in timely annual completion.
Alternative Record Keeping

- Web page “screen shots” can be saved as PDF files and filed electronically.
- Agencies must be able to access these files in a timely manner if needed by Department reviewers.
- All documentation must be kept in the employee's training or personnel file or a location available for review by Department staff.

DPH Health Alert Network (HAN) and DSP Training Registry Web Portals...What’s the Difference?
Many people are under the assumption there is only one Web portal for entering DSP training and criminal background check results. However, there are 2 web portals, each with separate functions:

- DPH Health Alert Network (HAN)
- DSP Training Registry

**DPH Health Alert Network (HAN) - Main Functions**

- Generating Live Scan forms for employees to obtain fingerprint (Fee_App) criminal background checks.
- Accessing the Health Care Worker Registry to ensure the employee’s criminal background check was posted.
- Completing annually-required Health Care Worker Registry clearances of all employees
- Maintaining a current roster of employees so the Provider can be notified immediately if an employee has a disqualifying criminal conviction posted to Health Care Worker Registry
DSP Training Registry
- Main Function -

• Only one function
• Reporting the completion of DSP training to the Health Care Worker Registry.
• These data are matched with the DSP’s criminal background check result.
• When there is a match, the DSP is designated as a “DD Aide” on the Health Care Worker Registry.

Overview
DPH Health Alert Network (HAN)

• Provider Responsibility for obtaining access
• Steps to register with DPH for access
• HAN portal uses and entry requirements
• How to get technical assistance
Provider Responsibilities
- HAN Portal Access -

- HCWBC Act (225 ILCS 46) requires employers covered by the Act to acquire a secure login to the DPH HAN portal to authorize and report livescan fingerprint criminal background checks to the Health Care Worker Registry.

- It also requires such employers to report employment termination dates and other employment data (i.e., job category, etc.) through the HAN portal.

Registration Steps for HAN Portal Access

If your agency does not yet have access to the DPH Health Alert Network (HAN) Web Portal, immediately contact DPH at: http://portalhome.dph.illinois.gov/

You will need to:
- Complete and sign the IDPH Portal Registration Authority (PRA) Agreement. (A picture of the top part of the form is on the next slide.)
- This registration form is available at the IDPH web site shown above.
The Department of Public Health has some great training resources, including how a person from your agency can register for Portal Registration Authority (PRA) access to its Health Alert Network (HAN) web portal and how to add additional users after the PRA’s account has been established. Agencies are encouraged to apply for at least one additional user in case the PRA is not available to initiate fingerprint background checks. Also, using the HAN web portal instead of the public site for HCWR checks and clearances is faster and easier and could be performed by an “additional user” if the PRA is unavailable. There are currently no restrictions on the number of additional users agencies can have. These instructions, as well as “how to guides” on many other HAN topics can be found at:

- [https://dph.partner.illinois.gov/communities/hcwr/Documents/Forms/AllItems.aspx](https://dph.partner.illinois.gov/communities/hcwr/Documents/Forms/AllItems.aspx) This requires HAN web portal log-in.
How to Initiate a Fee_App Criminal Background Checks Using the IDPH Web Portal

Open Internet Explorer and enter www.idphnet.illinois.gov in the address bar (not the search box) to log into the IDPH HAN Web Portal and the Health Care Worker Registry. Click on the dropdown box and select your facility, then click on the green arrow to the right. If you have access to more than one facility, you will see “Facility List” in the header. You can come back to this screen to select another facility to which you have access.

Print the Authorization and Disclosure Form (see next slide) from the Welcome screen and have the applicant fill it out completely, prior to hiring the individual. This form may also be printed from the New Application page or the background check initiation page. The information on this form is to be used to update the applicant’s demographic information. All this information is required for the Livescan vendor to collect fingerprints for a fee applicant (FEE_APP) inquiry.
This form allows the health care employer to eliminate the individual from the hiring process without and further searches, if the individual discloses disqualifying offenses, for which a waiver has not been granted, or offenses prohibited by the hiring facility’s business policy.

Click on the “Workers” tab and search for the individual. If the screen indicates no worker found, the individual is not on the Registry. The user will have to enter the applicant in the Registry and initiate the FEE_APP fingerprint background check. The user must click on the “Applications” tab.
Click on the "New Application"

This screen gives the user the opportunity to check all the required websites. This is the user’s second opportunity to eliminate the individual from the hiring process before initiating the fingerprint background check. The user must click on each link to check the registry that opens and determine if any registry has disqualifying information on the applicant.

If the user wants to proceed to initiating a fingerprint background check, the user must enter the applicant’s Social Security Number (SSN) twice. It is entered twice in an attempt to prevent typing errors. Click the green arrow to the right.

The user must enter all the demographic information. All the attributes are required for the fingerprint background check. The record has not been saved. DO NOT use the "Back" key or you will lose all your data. Click on the green arrow to the right.
Indicate the Category and Type of position the applicant is seeking. This information is for record keeping and is NOT transferred to the “Training and Work History” section, since the applicant may or may not end up in that position.

If the user did not check the websites before, they now have another opportunity to check the applicant on this page. If there was nothing found on the websites to prevent the individual from holding the indicated position, the user enters a check mark in “No Disqualification Found,” by clicking the checkbox. For additional assistance checking the websites, please see the website link instructions. If something is found to disqualify the individual please print this page as proof of why the individual is not eligible for hire.

If there are no disqualifications, print this page for the facility’s records after entering the date the websites were checked and that the applicant has completed an Authorization and Disclosure Form.

After clicking the save icon, the screen comes back up indicating that the record has been saved. The user must click on the word “here” to view and print the Livescan Request Form.
The user should keep a copy of this form in the employment record. The applicant takes this form to one of the contracted vendors. Be sure that the applicant is instructed to return the bottom portion of the form to your agency. These background checks are electronic from beginning to end. Any vendor other than the contracted vendors is not set up to send the electronic data to the Illinois Department of Public Health that is required for the Illinois State Police response to process in the Registry.

After printing the Livescan Request Form, the user closes the window that holds the form. The user may click on the applicant's name to go to the applicant's profile screen or click on any tab to go to another part of the registry.
After initiating a fingerprint background check, the user is able to print the LiveScan Request Form from the saved Background Check Initiation Page. The user clicks on the word “here” to print the form.

Background Check Clearance Results

- The IDPH will post the fingerprint background check results on its HCWR site upon receipt of same from the Illinois State Police (ISP).
- It is the Agency’s responsibility to check the HCWR to verify that the worker’s fingerprint background check results are posted there. The Agency should do this upon notification of the fingerprint background check results.

Remember, DSPs cannot work alone with the individuals until they are listed on the HCWR with a Program Listing as a DD Aide.
This is a screen shot of the public HCWR that anyone can access at:

http://www.idph.state.il.us/nar/home.htm

This person’s criminal background clearance was done using the FEE_APP method so another criminal background clearance is not needed.

This person is already a trained DSP (see DD Aide designation) so the DHS web portal will not be used.

HAN Portal Technical Assistance

• The link to the IDPH Web Portal is http://portalhome.dph.illinois.gov/

• For 24/7 assistance to reset your password, or other application issues, please, Contact the Customer Service Center by phone at is 1-800-366-8768, Option 1, then Option 1 for password assistance OR Option 7 to reach DPH support personnel, or by e-mail at dph.servicedesk@illinois.gov.

• For questions about the web application, the law, background checks, corrections, or other issues, contact the Health Care Worker Registry’s new toll-free number 1-844-789-3676.

• The “how to” instructions (requires a log-in) at: https://dph.partner.illinois.gov/communities/hcwr/Documents/Forms/AllItems.aspx
Correcting HCWR Information

Division of DD’s Training Requirements Manual Help:
• See “Steps to Correct Criminal Background Check Results & DSP Training Not Reported on Health Care Worker Registry” on the DHS Web site at: http://www.dhs.state.il.us/page.aspx?item=69993

DD Contacts:
• Gloria Heggy at Gloria.Heggy@Illinois.gov or 217-557-7516
• Sandra Bancroft at Sandra.Brancroft@Illinois.gov or 217-558-1511

Overview
DSP Training Registry

• Provider responsibilities for obtaining access
• Steps to register with DHS/Southern Illinois University –Carbondale (SIUC) for access
• DSP Training Registry uses and entry requirements
• How to get technical assistance
Provider Responsibilities
- DSP Training Registry Access -

- The Community Services Agreement (Attachment A I.6.) requires Providers to submit DSP training completions to DPH in a manner it prescribes.
- Providers are responsible for ensuring DSP training is reported timely to the Health Care Worker Registry to have its DSPs designated as "DD Aides."
- If the "DD Aide" designation does not appear for each DSP, it is the Provider’s responsibility to work with DPH to determine the reason(s) and provide the necessary documentation to enable DPH to post the "DD Aide" designation.

DSP Training Requirement

- Timely and accurate entry of DSP training completion data is important.
- The Division of Developmental Disabilities requires at least one fully trained DSP at a program site (CILA, developmental training site, etc.) any time one or more persons is/are receiving services.
- A fully-trained DSP is defined as a person identified on the Health Care Worker Registry as a DD Aide.
Registration Steps for DSP Training Registry

• Providers request login credentials through SIUC

• Contact Steve Sitt at 618-453-1962 or by email at Stevesitt@siu.edu or dsp.email@siu.edu.

DSP Training Registry
Entry of DSP Training Completion

• In January 2012, the Division of Developmental Disabilities, in partnership with SIU, changed the way it collected DSP training completion records from paper Scantron forms to a web-based entry system called the DSP Training Registry.

• Prior to January, 2012, Providers mailed Scranton forms to SIUC for its weekly uploading to the Health Care Worker Registry.

• Now DSP Training Registry entries are uploading to Health Care Worker Registry the next work day.
Introduction

The Direct Support Person Training Registry is an online registry system designed to enter applicant information into the Illinois State DSP Database. A single Program Coordinator is designated for each training program. Each Program Coordinator is responsible for setting up and managing the Instructor accounts for his/her assigned program.

This Quick Start Guide will assist the Program Coordinator in logging into the online registry, updating their account information, managing instructor accounts for their program, and entering applications into the registry.

Welcome Program Coordinators!

If you received this Quick Start Guide as an attachment to an invitation email, you have been designated the Program Coordinator for your training program. That means you have been designated the chief point of contact for your program and you are responsible for managing the instructor accounts for your program in the online registry. If you believe you have received this designation in error, please contact the DSP Project by phone at 618-453-1962.

Getting Started - Your First Visit

The Direct Support Person Training Registry, or DSPR, is a website designed to allow DSPR training programs to enter applicant information online. To begin using the registry, click the link in your invitation email to setup your account, or go to the website:

Direct Support Person Training Registry log-in link: https://dspr.dxrgroup.com

From the Login screen (see below), enter the temporary access credentials provided in the invitation email message.
Update Your Account

Each time you log in to the registry you will first be asked to update your account information. On the Update Account screen you can update the contact information for the Program Coordinator including credentials (email address and password), first and last names, and phone number. Click the Update Account button to continue. If the information is all correct, leave the form as-is and click the Update Account button.

Applicants Screen

Once you have updated your account information, you will arrive at the Applicants screen. This screen allows you as Program Coordinator, to enter applications just as your Instructors can. To enter applications, click the Applicants tab at the top of screen.

On the Applicants screen, enter the applicant's information in the Applicant Information form on the right. Be sure to check the box at the top of the form indicating the applicant has given signed consent to submit his/her information to the DSP Registry. The Public Health number for your program is automatically entered at the bottom of the form and cannot be changed. Remember the DSPR will accept applications ONLY for applicants who have completed their training program in the last 30 days, so it's important to enter applications in a timely manner.

Once you have completed entering an applicant's information, review the information for accuracy, correct any mistakes, and click the Add to Applicants button. The applicant's name will appear in the Pending Applicants list on the left. You may edit or remove an application from the list by clicking the appropriate link next to each applicant's name. Once you are satisfied that each of the applications have been entered correctly, click Submit Applicants to add them to the DSPR database.

Each time any of your program's applicants are submitted to the state registry, you will receive a notification email containing a summary of your program's submissions including applicant's first and last names, date of birth, and the last four numbers of the applicant's social security number. It also includes the name of the person who submitted the application.

Note: This is the same screen that Instructors will see when logging in to enter applications. You may find it helpful to refer to this instruction page when answering your instructors questions about entering applications in the DSP Registry.
History Screen

You will use the History screen to view a table of applications that have been submitted by you or your program's instructors. In this table the applications are sorted in descending order by date/time submitted, and secondarily sorted by last name of applicant. The History table contains the following information for each submitted application: first and last name of applicant, date of birth of applicant, last four numbers in applicant's social security number, name of the person who submitted the application, the date/time submitted, and date/time submitted to the state registry. The History Screen helps you monitor the activity of your program's instructors and provides you a record of which applications have already been submitted. The History Screen displays only applications that have been submitted in the last 90 days.

Instructors Screen

You will use the Instructors screen to manage the accounts of the instructors at your training program. The first step is to create an account for each of your instructors.

Creating Instructor Accounts

To create an instructor account, click the Add Instructor button. Instructions will appear in a dialog box. Read the instructions carefully and then enter the email address of the instructor for whom you are creating an account. Click the Submit button. An invitation email containing a link to the DSPR and temporary credentials will be sent to the instructor email address you entered. The instructor will then use the temporary credentials to complete his/her contact information and begin entering applications for your training program.
When viewing your list of instructors, you can see the status of each instructor’s invitation to the DSPR. If the instructor has not yet registered, “UNREGISTERED” will appear beside his/her email address. If the instructor has registered, you will see the instructor’s name.

Managing Instructor Accounts

On the Instructor screen, there are a number of things you can do to monitor the progress of your instructors.

Beside each instructor’s name, you can see his/her email address as well as the number of submitted and pending applications entered by that instructor. Note: An application is considered to have a status of ‘pending’ after it has been entered but before it has been submitted to database.

If an instructor forgets his/her credentials, you can retrieve them by clicking the Credentials link below the instructor name.

To delete an instructor account, click the Remove link below the instructor’s name. **WARNING:** Removing an instructor account will delete the instructor account. Any pending applications that have been entered using this account will be reassigned to you, the Program Coordinator.

If you want to prevent an instructor from logging in but you don’t want to delete his/her account, click the Deactivate link below the instructor’s name.

To reactivate a deactivated account, click the Activate link below the instructor’s name.

Updating Your Account Info and Logging Out

You can update your account information at any time by clicking your name in the bar at the top of the screen. This returns you to the Update Account screen.

To sign out of the DSPR, click the Sign Out link at the top of the screen.
The DSP completes and signs an Illinois Health Care Worker Registry Application (see next slide).

The form includes a consent to add their personal information to the HCWR.

This information is entered into the DHS Training Registry after the DSP successfully completes training.
Transmitting Data to the Health Care Worker Registry

- DSP personal information and training completion date are entered into the DSP Training Registry.
- SIUC uploads the information to the DPH Health Care Worker Registry.
- Training information is matched with the DSP’s criminal background check information.
- When there is a match, the designation “DD Aide” is added to the DSP record and appears under “Programs.”
- Providers are responsible for checking the HCWR 2 to 3 work days after entry to confirm the DSP is listed as a DD Aide.

Provider Follow-up Reminders

- DSP training data must be entered into the DSP Training registry within **30 days of completing training.**

- Check the Health Care Worker Registry **2-3 work days** after entry to verify the DSP is listed as a DD Aide.

- If the employee’s name and/or SSN are not entered correctly on both the criminal background check and DSP training record, the person will not be designated as a DD Aide.

- DSPs cannot work alone until they are designated as a “DD Aide” on the Health Care Worker Registry (“Certifications” field on the HAN, “Programs” field on the HCWR public site.)
DSP Training Registry Technical Support

- If you have technical questions or problems to report, contact the Technical Support Team at DxR Development Group, Inc.
- Call: 800-453-8040. Support is available 8 AM-4:30 PM (CST) Monday through Friday.
- Email: support@dxrgroup.com

Health Care Worker Registry

If DSP training information does not appear on the HCWR within a few work days of entry, Providers should call the HCWR at: (1-888-713-5139) to determine what needs to be done.
Division of Developmental Disabilities

• Sandra Bancroft at Sandra.Brancroft@Illinois.gov or 217-558-1511 or

• Gloria Heggy at Gloria.Heggy@Illinois.gov or 217-557-7516