Wisconsin Childcare Regulatory System (WISCCRS)

User Guide

Background Checks

January 2024

Division of Early Care and Education

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Background

The Department of Children and Families (DCF) conducts background checks on Applicant/Licensees, household members, employees for regulated programs.

Most of the screens in this module are only updatable by the DCF Childcare Background Unit (CBU) and DCF Central Office staff. When taking screen prints for this guide, a CBU security user profile was used. Certifiers, Regional staff, and inquiry users cannot update most of the screens.

Types of Background Checks

The department conducts the following checks on individuals associated with child care programs. The details for each check below are explained later in this guide.

1. FBI Finger Print Checks
    a. Initial
    b. 5-Year
    c. Out-of-State Annual (Individuals residing outside Wisconsin)
2. Annual name-based checks (DOJ)
3. Ad Hoc
4. Monthly matches
5. Initial DOJ (Minor employees)
6. Minor Household Member (CCAP)

Background Check Levels by Roles

The individuals associated with childcare programs have four levels:

1. Applicant/Licensee
2. Caregiver
3. Non-Caregiver Employees
4. CBC Exempt: Individuals who are not required to have a background check done.

Below is a list of roles and which type they fall under. The roles under CBC Exempt are not included in the background check automation.

Note that Applicant/Licensee value is not available in the role list in CCPP and can only be entered in WISCCRS by CBU or region/county/tribe. Applicant/ licensee is a role available in iCC.

Role	Applicant / Licensee	Caregiver	Non - Caregiver	CBC Exempt
Administrative staff			Y	
Administrator		Y		
Applicant/Licensee	Y			
Contracted teaching staff		Y		
Director		Y		
Director - Assistant		Y		
Driver		Y		
Employee (Historical value)		Y		
Facilities Staff			Y	
Foster Child				Y
Government/Tribal Representative		Y		Y
Household Member		Y		

Role	Applicant / Licensee	Caregiver	Non - Caregiver	CBC Exempt
Human Resources			Y	
Kitchen Staff			Y	
Other Caregiver		Y		
Other Non- Caregiver			Y	
Provider		Y		
Site Supervisor		Y		
Student Intern		Y		
Student Teacher		Y		
Teacher - Assistant		Y		
Teacher - Lead		Y		
Teacher - Substitute		Y		
Trainer		Y		
Volunteer		Y		

Minor Employees

A DOJ name-based checks is automatically conducted on minor employees ages 10 to 17. The process is almost identical to the Initial FBI process (Episodes, Background Check Request, 180-day gap between employments as well as the background check notices). No SOR and CPS checks are completed on minors.

Once the minor has been entered into CCPP or WISCCRS with a complete Background Check Request (BCR) form, the nightly batch will request a DOJ name-based check on the minor. Once the minor turns 18, the system triggers the Finger Print Instructional letter.

Minor Household Members – CCAP Check

The system checks the CCAP files for minor household members between 10 and 17 years of age. When the minor is added into WISCCRS, the nightly batch checks the current CCAP file for childcare related offenses. Minor Household Member Episode Type is created. If no childcare related offenses are found, the Preliminary and Final Decisions are set at Eligible. Once the minor turns 18, the system triggers the Fingerprint Instructional letter. The Minor Household Member episode is not shown in the CCPP.

Notices:
No individual or facility decision letter is generated for this episode type for minor household members. If a denial is needed, CBU creates an Ad Hoc episode that triggers the letters.

Common Details for all Background Check Types

This section explains common functionality for all background check types.

Episode/Background Check Determination

A group of background checks is called an episode or background check determination. WISCCRS has the following types of episodes:

1. **Initial FBI:** All adult individuals must first have an FBI check completed. This check is also conducted on individuals who have not had an Initial or 5-Year FBI check done within the last 5 years, or the person has been detached from a childcare center for more than 180 days (from the last employment/residency end date).
2. **Annual Name-Based**: WISCCRS triggers the annual DOJ check 12 months after the Initial/5-Year FBI Episode Start Date and then every 12 months for individuals who reside in Wisconsin. See Annual Name-Based DOJ section for further details.
3. **Annual – Out-of-State:** WISCCRS triggers the Fingerprint Instruction letter after 12 months from the Initial FBI Episode Start Date to individuals whose home address is out-of-state. The checks are run 12 months from the previous annual check. The Annual Name-Based DOJ check is not run-on individuals whose home address is outside Wisconsin. See Annual FBI – Out-of-State section for further detail.
4. **Initial DOJ:** Applies to minor employees only. The system automatically triggers the DOJ name- based check once the minor employee has been entered into CCPP or WISCCRS.
5. **Ad hoc: Examples**
    a. CPS checks for minor household members who have indicated a concern on their BCR form.
    b. Ad hoc checks can be triggered for adults anytime, if a reason for an additional check exists, such as a record brought over by the monthly CCAP or eWISACWIS match.
6. **5-Year FBI:** This check is triggered 5 years after the Initial FBI Episode Start Date. CBU staff can trigger this check earlier if warranted. See 5-Year FBI section for further detail.
7. **Monthly CPS/CCAP/WI SOR Match:** If a potential match is found during a monthly matching between WISCCRS individuals and the following systems, system creates this episode:
    a. Maltreaters in the eWiSACWIS system.
    b. Foster Parent denial record in the eWiSACWIS system.
    c. CCAP interface brings an update to an existing record or there is a new charge.
    This episode type is not brought into CCPP and iCC.
    d. Wisconsin Sex Offender Registry Match (by facility location address)
8. **Minor Household Member:** When a minor household member is added to WISCCRS, the system conducts a check in the latest CCAP file.

The background check episodes are explained below in more detail.

Checks Required for each Episode Type

The following checks must be completed for each episode before the Final Decision can be switched to Eligible. The details on the checks below are explained later in this guide.

Episode Type	FBI / DOJ	DOJ / DHS	NSOR	CCAP	CPS (maltreater/ foster care)	SOR	OOS	Regulatory History
Initial FBI and 5-Year FBI	Included in information from DOJ	Included in information from DOJ	Automatically created when FBI/DOJ results come in.	AC	AC	AC	If OOS address or 'yes' on BCR, the check is created in pending status	AC
Initial DOJ – Minor Employees	N/A	Included in information from DOJ	N/A	AC	N/A	N/A	No	N/A

Episode Type	FBI / DOJ	DOJ / DHS	NSOR	CCAP	CPS (maltreater/ foster care)	SOR	OOS	Regulatory History
Annual Name-Based DOJ	N/A	Included in information from DOJ	N/A	No	No	No	No	N0
Annual FBI – Out-of-State	Included in information from DOJ	Included in information from DOJ	Included in information from DOJ	No	No	No	Yes	No
Minor Household Member	N/A	N/A	N/A	AC	N/A	N/A	N/A	N/A

AC = Automatically Created

Alias – A Record brought over from DOJ/FBI

If the DOJ/FBI records brought over include an alias that is not listed on the Alias screen in WISCCRS, the system creates a new alias record. After the alias record is added into WISCCRS, the system conducts the remaining checks using the alias brought over from DOJ/FBI.

Fingerprint Checks (Initial and 5-Year) Process

This section explains the process for fingerprint-based checks.

The Federal law requires the states to conduct fingerprint-based FBI checks on individuals 18 years and older who are associated with childcare programs. Because the FBI database does not include records on minors.

Fingerprint Instruction Letter

The process starts with an automated Fingerprint Instruction Letter that is sent to the childcare provider location(s) for the individuals associated with the program. The system automatically triggers the letter to the childcare center if the following is true:

1. The request is for a new/prospective individual if the person has not had an automated FBI check done by DCF in WISCCRS in the last 5 years or they have been separated from childcare in the system for more than 180 days.
2. The Individual Details page (including home/mailing address for the individual) and the Background Check Request Form (BCR) page in WISCCRS are complete. Note that all questions on the BCR form must have an answer and the form signed. If questions have been skipped and/or signature is missing, the system does not send a Fingerprint Instruction Letter.
3. The Primary or Secondary role of the individual is not an exempt role (governmental agencies, foster children).
4. The provider location that the individual is attached to has one of the following application types. The individual must have active employment/residency status (Status: Prospective or Current. If Current, Employment/Residency Begin Date is after 9/30/18).
    a. Licensed Camp
    b. Licensed Group
    c. Licensed Family
    d. Certified Family
    e. Public School Program (PSCH)
    f. Training Facility
    g. Contracted Service
    h. Unaffiliated (Individuals who have submitted the request via iChildCare)
5. The individual record has not been inserted into the Discrepancy Module (records coming from the Childcare Provider Portal (CCPP).

The Fingerprint Code and Instruction Letter can be viewed immediately in the Provider Portal and iChildCare Portals if the individual meets the criteria under 1-5 above.

The Fingerprint Instruction Letter batch runs every night at 10 p.m., except on Saturdays. The letters are mailed to the child care program's location address (Licensing/Certification Mailing address, if it exists) if the provider has not opted-in for paperless option. A PDF copy of the letter is available/viewable under the Batch Documents section in WISCCRS and under Communication Documents in CCPP. The maximum number of system-generated letters that are sent out each day is 1,000. If more than 1,000 background check requests are received in a day, those that exceed 1,000 are processed the following day.

Once the fingerprint letter is triggered, the Fingerprint Request Status for the individual is automatically changed to Fingerprint Materials Sent.

The letter also has a unique code for each individual who has requested a background check. All individuals associated with childcare programs use the same Fieldprint Code: FPWIDCFLicensee. The Reference code is unique for each individual and it should not be shared. This ensures the results automatically go to the correct individual in WISCCRS. Using an incorrect code sends the results to the Fieldprint discrepancy module and must be manually reviewed and resolved.

Name: ASSISTANT, ADDIE	**DOB**: 10/09/1993
Fieldprint Code: FPWIDCFLicensee	**Reference Code**: AS2000661

Once the fingerprints are successfully taken, the Fieldprint/WISCCRS interface brings the TCN code (a unique identifier issued to the fingerprints) into WISCCRS during the nightly batch. Once the TCN number has been received from Fieldprint, the system creates a new Background Check Episode for the individual and puts it in Awaiting Results status. The Fingerprint Request status for the individual is changed to FBI Check Requested.

After the TCN has been received, the interface between WISCCRS and the Wisconsin Department of Justice (DOJ) sends the TCN to DOJ and retrieves the results, usually, overnight. Once the results have been received (if records were found) from DOJ, a task is generated to the CBU Dashboard that alerts the CBU staff to review the results and conduct additional checks needed before the individual can be approved.

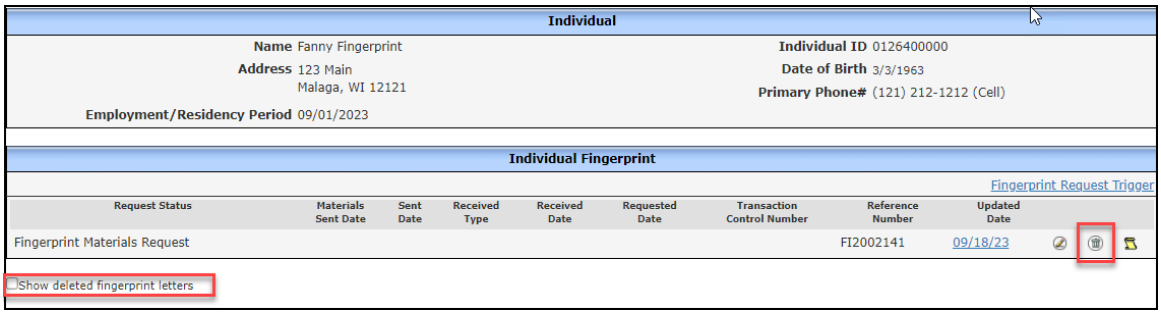
NOTE: Individuals submitting requests using iChildCare or the Childcare Provider Portal can immediately generate the Fingerprint code and the fingerprint instruction letter. Requests entered in WISCCRS will generate a letter overnight.

Note: Certification workers and regional staff do not need to submit a special request for Fingerprint Instructional Letters to be sent. The letters are automatically triggered during the night batch after the individual details and Request Form responses have been entered into WISCCRS.

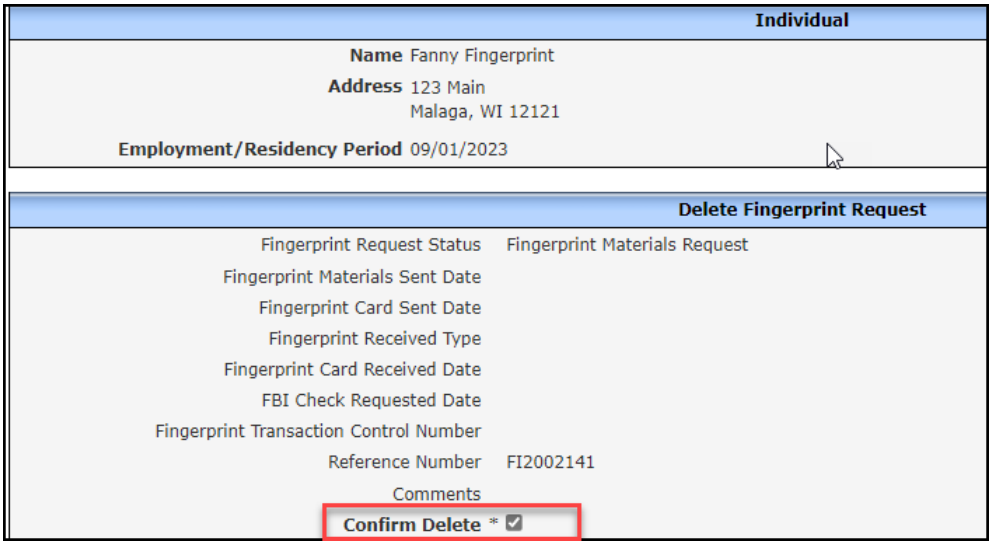
Deleting Fingerprint Instruction Letter – CBU Staff Only

When the Fingerprint Instruction Letter is triggered in error, the system will not automate the annual background check. These letters can now be deleted by the CBU and DCF Central Office staff. The records that have Request status Fingerprint Materials Requested or Fingerprint Materials Sent can be deleted. If a record has been received (request pending or other status), those cannot be deleted.

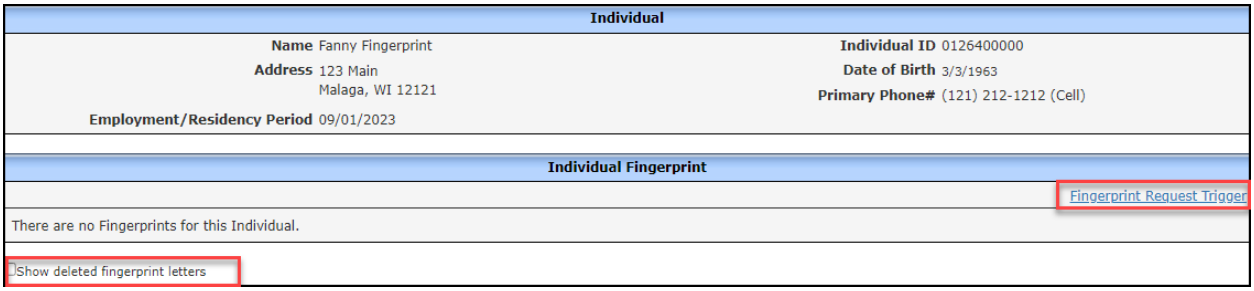
To delete a request, access the Finger Print page for the individual:



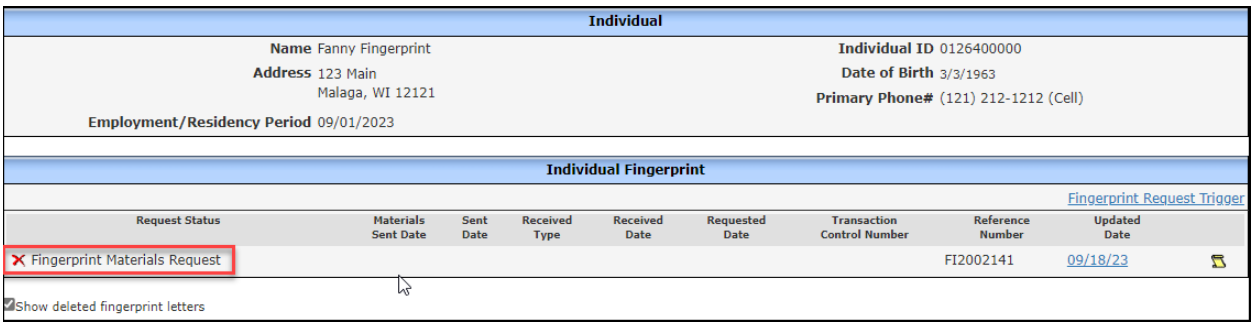
Then confirm the deletion.



The Fingerprint page now shows that there are no records for the individual. Also, the link to trigger a new request has been activated.



The deleted records can be viewed by selecting Show deleted fingerprint letters.



Initial FBI

This check must be completed first for a new individual (adults). This check is also needed for individuals who have had the Initial FBI check, but more than 180 days has passed from the time the individual was associated with a childcare program. After the FBI/DOJ/IBIS results have been received, the following checks are completed before a final background check determination can be made:

1. eWISACWIS: The CPS Maltreater and Foster Care License Denial/Revocation check has been automated. See Child Protective Services Matching section for details.
2. Sex Offender Registry (SOR): The SOR check has been automated. See SOR Matching section for details.
3. Out-of-State Criminal check if the person is currently living or has lived outside WI within the last 5 years.
4. Out-of-State CPS if the person is currently living or has lived outside WI within the last 5 years.
5. Regulatory History: The system checks if the individual has been denied/revoked a childcare license/certification in the past.

The initial FBI check process starts when an individual is added to WISCCRS provider location or in CCPP/iCC. Below are the automated and manual steps needed to approve the person for regulatory approval, employment, or residency:

1. Once the individual has been added and the Background Check Request Form has been completed for an individual, the night batch creates the Fingerprint Instruction Letter if the individual is age 18 or older. The letter is generated for and mailed to the provider location the individual is associated with. A soft copy is available in WISCCRS under Batch Documents and viewable in the Childcare Provider Portal. The letter includes steps the individual must complete to have the fingerprints taken. The letter also has a unique code for each individual who needs the fingerprints taken. If the individual is entered via CCPP or iCC, the fingerprint instruction letter is immediately available/viewable.
2. The individual has fingerprints taken at Fieldprint.
3. The Fieldprint/WISCCRS interface brings in the TCN code for the individual and matches it with the individual in WISCCRS using the unique code listed on the letter. **Note** that records may be inserted into the Fieldprint Discrepancy module in WISCCRS if the match is questionable. The discrepancies must be cleared before Step 4 below. Initial FBI episode is automatically created. Status will be Awaiting Results.
4. DOJ/WISCCRS interface sends the TCN code overnight to DOJ and retrieves the results.

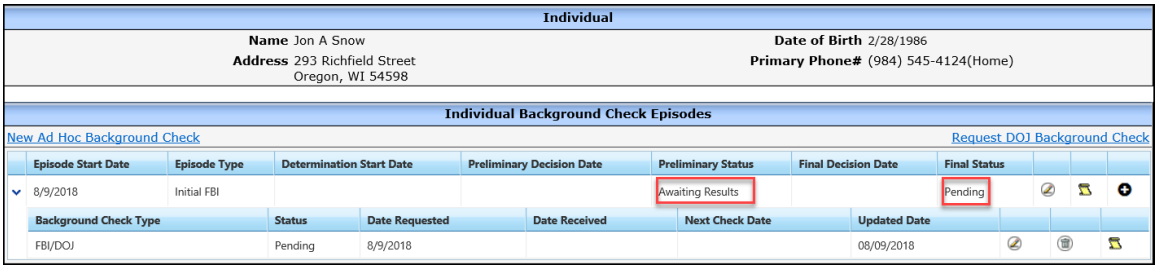
5. If the results bring a concern from DOJ, CCAP, CPS, etc., system creates a task in the CBU Dashboard to alert CBU staff that the results have been received and should be reviewed. If no record is found in any of the sources, the system automatically approves the Preliminary and Final Eligibility Determination Decision.
6. The background check episode Preliminary Decision status is changed to Pending (or Eligible) once the results are brought in as follows:
    a. **No Record Found/Automatic Approval**: If no concerns are brought in from any of the sources, the system automatically changes the Preliminary and Final Decision to Eligible and sends the eligibility letters to the individual and the center.
    b. **Record Found**: If the results include a potentially concerning record (non-barred), the system automatically changes the Preliminary Decision to Eligible and sends the Preliminary eligibility letter to the center and individual. A task is generated to the CBU inbox alerting the CBU staff to review the results. After reviewing the results, they change the Preliminary Status to Ineligible or Eligible. In either scenario, the system generates a letter to the individual and the provider.
    c. **Barred offense:** If the DOJ/FBI interface brings in an offense that potentially bars the person from being an applicant, caregiver or non-caregiver, the Preliminary and Final Decisions are set at Pending and a task is generated to the CBU inbox.

7. CBU reviews the rest of the checks required for the Initial FBI background check episode. Once complete, the Final Decision Date and Decision Status are entered. If the person is approved, the system sends separate approval letters to the individual and the provider the following day. If the decision is to deny, system generates the Preliminary and Final Decision letters in certain scenarios. See Individual Ineligibility Letters section for detail. The provider receives an automated denial letter.

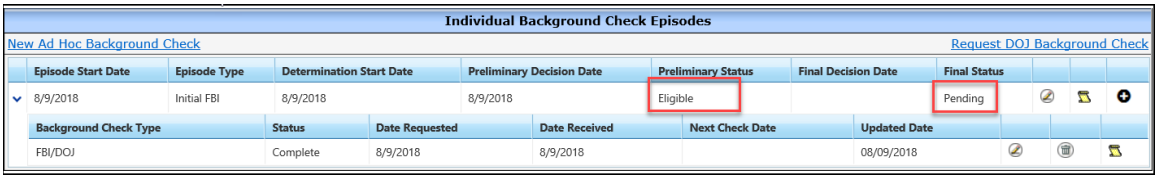
Initial/5-Year FBI – Episode Creation

Below are steps on how the fingerprint episodes are created:

1. When the TCN number is received from Fieldprint, the system creates an episode and sets the Preliminary status to Awaiting Results.



2. The following night, the FBI/DOJ/IBIS results are pulled from DOJ using the TCN. The episode is updated, and the Determination Start Date is generated.



If the FBI and DOJ results indicate No Record Found, or there is no record of a barred offense, the Preliminary Status is automatically changed to Eligible and a notice to the individual and the provider is sent automatically. If the individual is associated with a certified program, a message is sent to the Dashboard. The center and individual notices are available in WISCCRS and in CCPP in PDF format. If the results include a potentially barred offense, the Preliminary Status is set to Pending. When the results are received from DOJ, the system also creates a task to the CBU Dashboard to alert the staff to review the remaining checks. See the Dashboard User Guide for further details.

Child Protective Services (CPS) check:

Individuals associated with childcare programs must be clear of substantiated incidents in eWiSACWIS, the Child Protective Services (CPS) system. The CPS checks (maltreater and foster care license denial/revocation) have been automated.

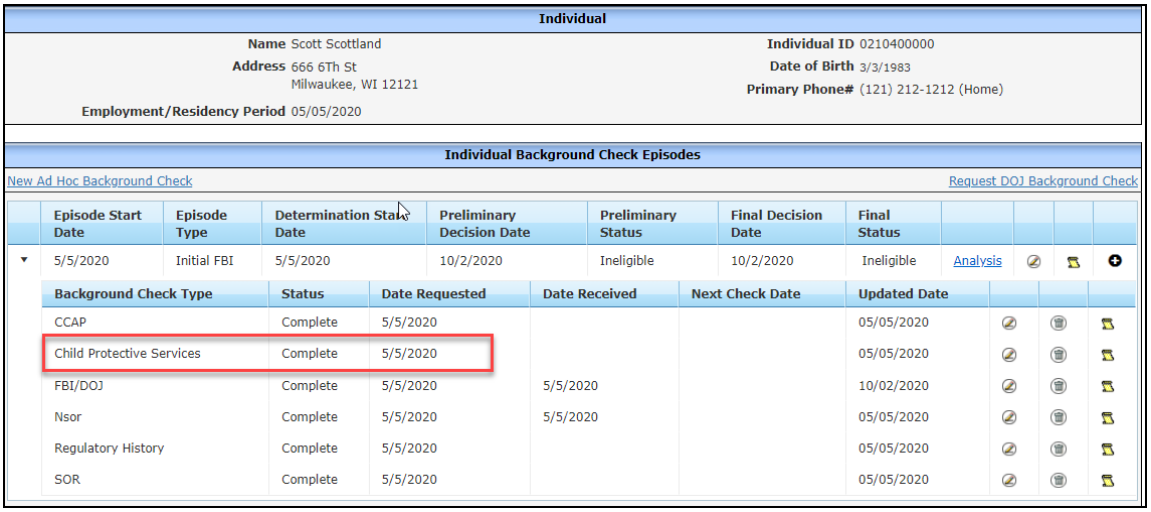
eWISACWIS Data Retrieval

The eWISACWIS data used for matching is received and potential matches inserted into WISCCRS as follows:

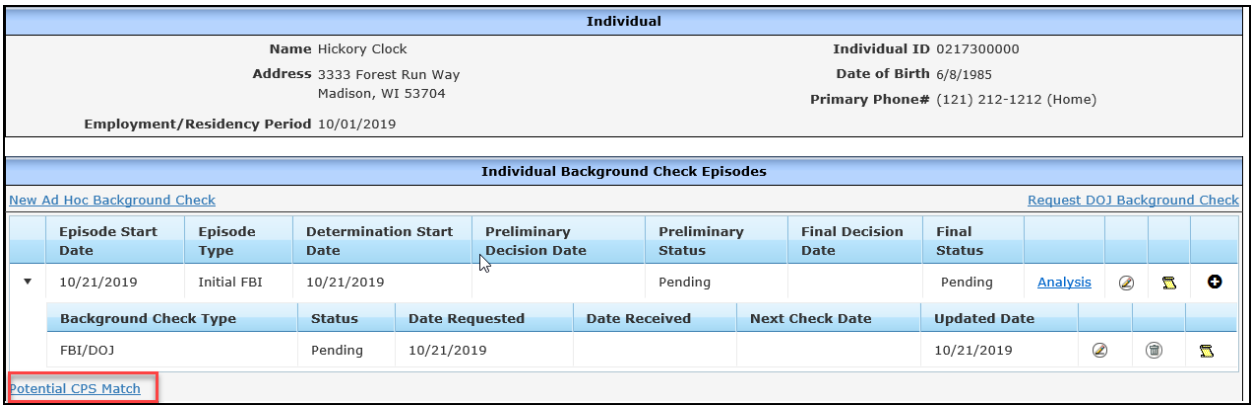
1. Weekly file: Friday nights (both Maltreater and Foster Parent License Denials/Revocation information)
2. Monthly file: Around the 20th of each month (maltreaters only)

After the FBI/DOJ results have been received from DOJ for an individual, the CPS batch matches the individuals with the latest eWISACWIS file (from previous Friday).

No match found:
If **no** match is found in the most recent eWISACWIS match file, the system automatically creates a CPS check in Complete status. The Record Found? field is set at No.



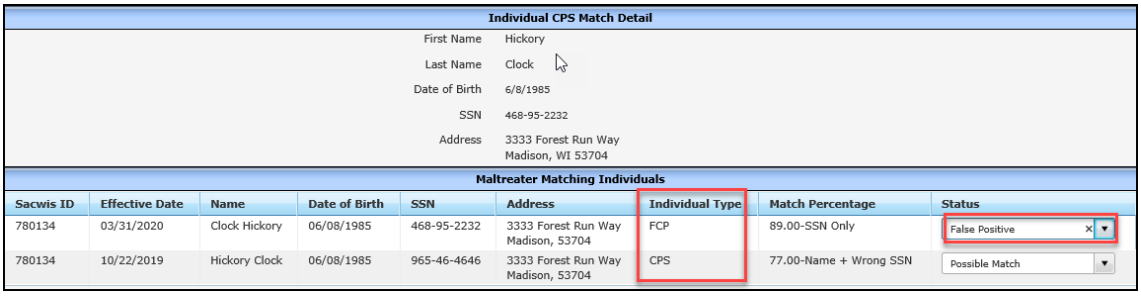
A potential match was found:
If a match is found in the most recent CPS match file, no CPS check is automatically created. Instead, a link to a potential CPS matches page is displayed.



The above link takes the user to a page that lists all potential matches.

- CPS: This is a potential match in the maltreater file

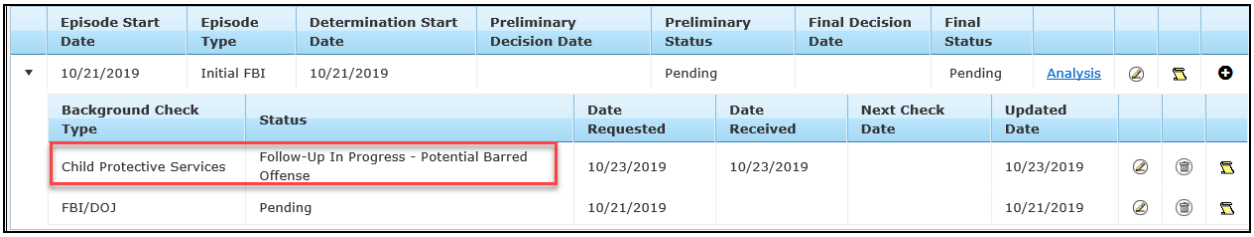
- FCP: This is a potential match in the Foster Care License file (denial/revocation).



Note that this page is only accessible by the CBU staff.

Note: When processing the matches, the status cannot be changed once it is submitted.

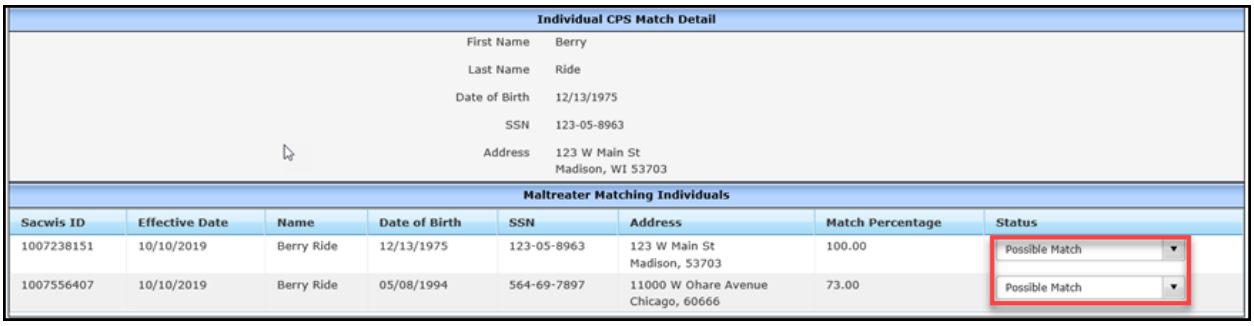
True Match:
When a match is confirmed as a true match on the Individual CPS Match Details page, the system creates a CPS check under the episode in Follow-up in Progress – Potential Barred Offense status. The Record Found is set at 'Yes'.



False Positive:
If the match is marked False Positive, a check is created in Complete Status with Record Found set as No.

Individuals are excluded if the episode already has a CPS background check or if a Potential Match exists for the individual.

Multiple potential matches:
An individual with a common name can have multiple potential matches. The status for each record must be changed to either a False Positive or a Match before the system creates the CPS check for the episode.



Sex Offender Registry (SOR) check:

Before an individual associated with a childcare program can be approved, the individual must be checked in the Department of Corrections SOR system. If the automated interface finds potential matches, those are reviewed by the Childcare Background Unit (CBU) and confirmed.

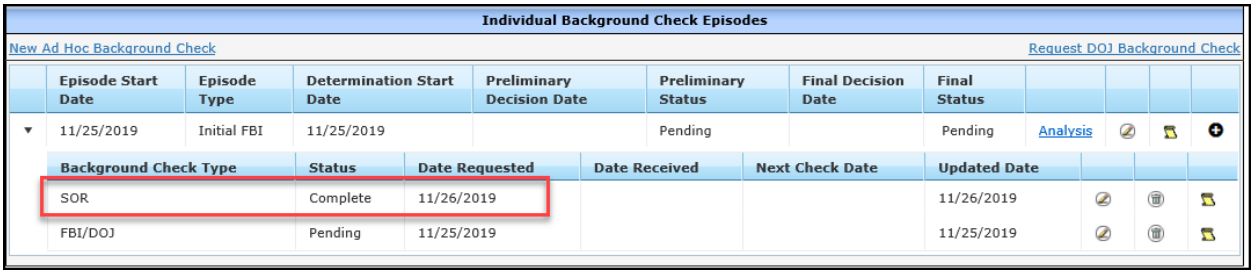
The SOR data used for matching is received and potential matches inserted into WISCCRS as follows:

- Weekly file: Friday nights
- Monthly file: Around the 20th of each month (address check only)

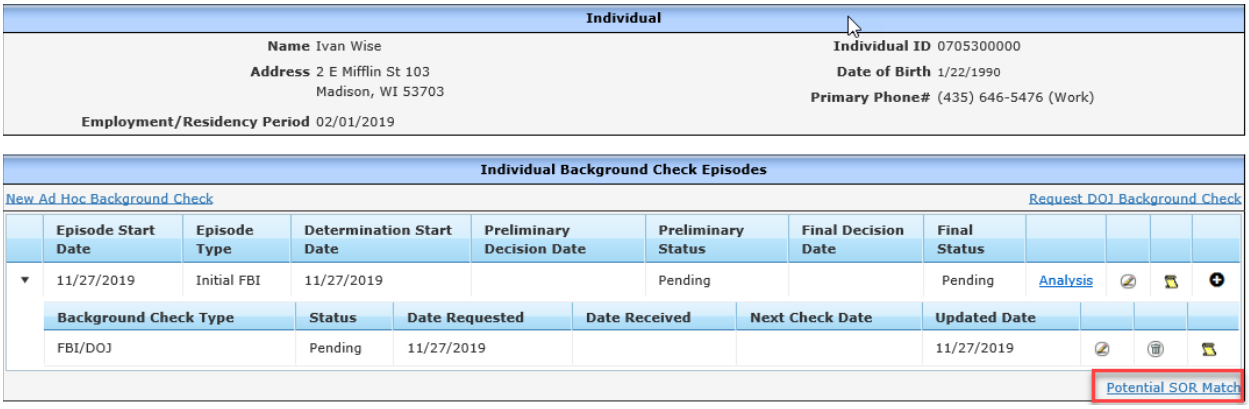
After the FBI/DOJ results have been received from DOJ for an individual, the SOR batch matches the individuals with the latest SOR file (from the previous Friday).

If the role is Applicant/Licensee, the system also conducts a check using the facility address.

No match found:
If **no** match is found in the most recent SOR match file, the system automatically creates a SOR check in Complete status. The Record Found? field is set at No.

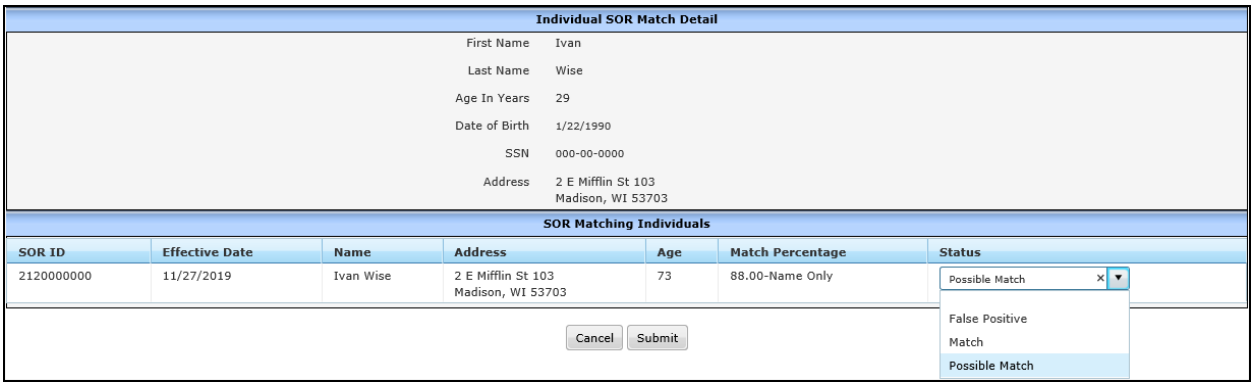


If a match is found in the most recent SOR match file, no SOR check is automatically created. Instead, a link to a potential SOR matches page is displayed.

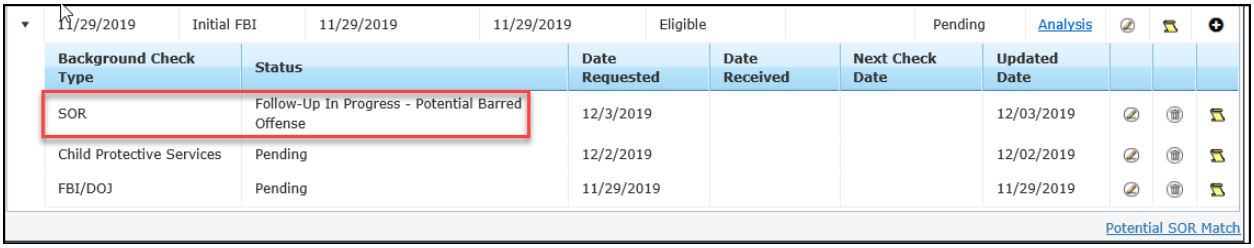


The above link takes the user to a page that lists the potential matches. The status of the match is defaulted as Possible Match. After investigating the case, the worker changes the status to Match or False Positive.

NOTE: When processing the matches, the status cannot be changed once it is submitted.



A potential match was found:
When a match is confirmed as a true match on the Individual SOR Match Details page, the system creates an SOR check under the episode to Follow-up in Progress – Potential Barred Offense status. The Record Found is set at Yes.



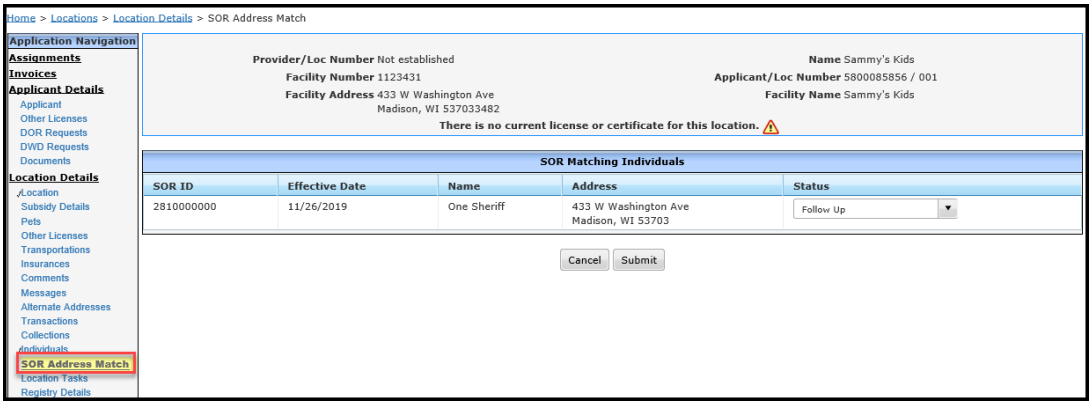
If the match is marked False Positive, an SOR check is created in Complete Status with Record Found set as No.

Individuals are excluded in the daily matching if the episode already has an SOR check or if a Potential Match exists for the individual.

Multiple potential matches:
An individual with a common name can have multiple potential matches. The status for each record must be changed to either a False Positive or a Match before the system creates the SOR check for the episode.

Address match

When the system conducts an SOR check on the Applicant/Licensee, the system also runs a match using the facility address.



The results are posted on a new page under the Location Details header in WISCCRS. When screening the matches, the status field has the following values:

Value	Description
Address Match	Use this when a substantiated match has been established. A registered sex offender is currently residing in the address.
Address Mismatch	Use this if the address is not identical. Example: A match is brought for 123 Main Street (apartment building). The childcare is located in Apartment A but there is an offender living in the same building but in a different residence.
Follow-up	This value is a default value when the system discovers a potential match.

Value	Description
Not Residing	Choose this value when an unsubstantial (false positive) match has been established. Example: An offender lived in the address prior to the applicant applying for regulation but has moved out. Typically, the offender failed to notify DOC on the address change.

If there is an address match, a task is created to alert the CBU.

Consolidated Court Automation Programs (CCAP) Check

Before an individual associated with a childcare program can be approved, the individual must be checked in the CCAP system. The CCAP check has been automated. If the individual has history of offenses that match the list of statutes (potential bar or substantially related), the interface brings the list of court cases into WISCCRS.

The first CCAP matching of an individual is triggered by the returned results of the fingerprint background check (sent from DOJ). This occurs in the initial background check process when an individual is new to the system (Initial FBI and Initial DOJ) and at the 5-year background check process. The second CCAP matching of an individual occurs during the monthly batch process (active individuals).

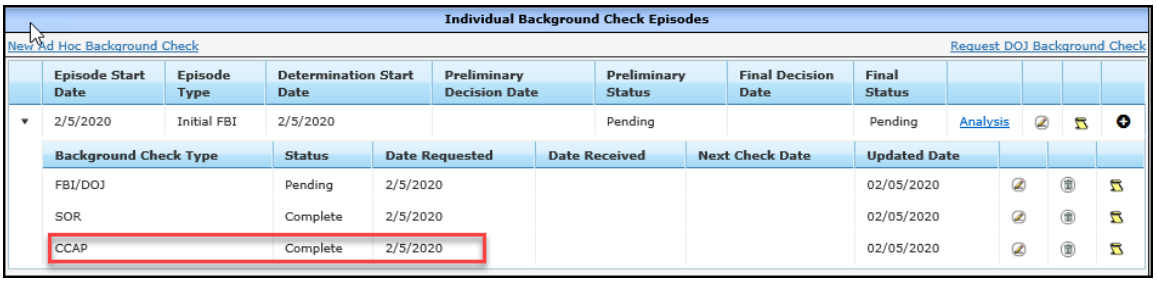
The matching logic is the same for both processes. The matching of individuals is done by using WISCCRS individuals' first names, last names, dates of birth, and any aliases we have recorded. This information is passed to a CCAP web service, which in turn passes back any matched cases. For returned cases, our system queries the web service further to find out about criminal cases: any charges associated with those cases, and any judgments for those charges. The system then flags the matching individuals if the statutes are in our barred or substantiated list and the case is either closed or pending (that is, the court has yet to decide or is reconsidering the case).

The data received is stored in WISCCRS so the system compares future searches with the data the system has already evaluated. This means that only updates for a previously received court case or new chargers are brought in for an individual. When evaluating if the data has been previously received, the automation also considers data received from DOJ during annual checks.

The CCAP data is received and inserted into WISCCRS as follows:

- Daily: CCAP results are brought in for an individual after the FBI/DOJ results are brought in.
- Monthly file: Around the 20th of each month

For an individual whose Initial FBI/DOJ or 5-Year FBI is in pending status, the system brings in the CCAP results and creates a new CCAP row.



The check has the following statuses:

1. No court case found: Status is marked Complete and Record Found check box is marked No.
2. Barred offense: If a potentially barred match is found in CCAP system, the system sets the CCAP status in Follow-up Required. Record found check box is set at Yes.

3. Substantially related: If an offense is found that is potentially substantially related, the status is set at Follow-up Required. Record found check box is set at Yes.

Individual Background Check Episodes

New Ad Hoc Background Check | Request DOJ Background Check

Episode Start Date	Episode Type	Determination Start Date	Preliminary Decision Date	Preliminary Status	Final Decision Date	Final Status				
2/3/2020	Five Year FBI	2/3/2020	2/3/2020	Eligible		Pending	Analysis			

Background Check Type	Status	Date Requested	Date Received	Next Check Date	Updated Date			
CCAP	Follow-Up In Progress - Potential Barred Offense	2/5/2020			02/05/2020			
Child Protective Services	Pending	1/23/2020			01/23/2020			
SOR	Complete	1/23/2020			01/23/2020			
Nsor	Complete	1/17/2020	1/17/2020		05/07/2019			
FBI/DOJ	Complete	1/16/2020	1/26/2020		01/16/2020			

The Modify icon above takes you to the Modify Check page where all potential matches for the individual can be viewed.

Multiple CCAP records:
An individual can have multiple cases in CCAP that can be of potential concern. All court cases are listed on the Modify Check page with links to the actual court record.

List of Events for CCAP

Event	Event Date	Comments	Updated Date
CCAP New Charge	02/05/20	During automated data matching, an offense/conviction was found for the following person: [redacted] (Location Individual): SUBST. RELATED - CARE OF CHILDREN. **Case:** 2018CM000230 **County:** 71 Case Status: Closed **Statute:** 940.19(1) **Charge:** Battery **Filed:** 04/03/2018 **Offense Date:** 3/3/2018 **Conviction Date:** 8/31/2018. View In CCAP	02/05/20
CCAP New Charge	02/05/20	During automated data matching, an offense/conviction was found for the following person: [redacted] (Location Individual): SUBST. RELATED - CARE OF CHILDREN. **Case:** 2018CF000275 **County:** 71 Case Status: Closed **Statute:** 940.19(1) **Charge:** Battery **Filed:** 04/25/2018 **Offense Date:** 4/24/2018 **Conviction Date:** 8/31/2018. View In CCAP	02/05/20
CCAP New Charge	02/05/20	During automated data matching, an offense/conviction was found for the following person: [redacted] (Location Individual): SUBST. RELATED - CARE OF CHILDREN. **Case:** 2016CM000138 **County:** 71 Case Status: Closed **Statute:** 947.01(1) **Charge:** Disorderly Conduct **Filed:** 02/29/2016 **Offense Date:** 2/28/2016 **Conviction Date:** 6/30/2016. View In CCAP	02/05/20
CCAP New Charge	02/05/20	During automated data matching, an offense/conviction was found for the following person: [redacted] (Location Individual): SUBST. RELATED - CARE OF CHILDREN. **Case:** 2013CM001821 **County:** 37 Case Status: Closed **Statute:** 947.01(1) **Charge:** Disorderly Conduct **Filed:** 10/02/2013 **Offense Date:** 10/1/2013 **Conviction Date:** 12/17/2013. View In CCAP	02/05/20
CCAP New Charge	02/05/20	During automated data matching, an offense/conviction was found for the following person: [redacted] (Location Individual): SUBST. RELATED - CARE OF CHILDREN. **Case:** 2011CM001335 **County:** 44 Case Status: Closed **Statute:** 944.30(1) **Charge:** Prostitution-Nonmarital Sex. Intercourse **Filed:** 12/09/2011 **Offense Date:** 12/7/2011 **Conviction Date:** 1/5/2012. View In CCAP	02/05/20
CCAP New Charge	02/05/20	During automated data matching, an offense/conviction was found for the following person: [redacted] (Location Individual): SUBST. RELATED - CARE OF CHILDREN. **Case:** 2011CM000124 **County:** 20 Case Status: Closed **Statute:** 944.30(1) **Charge:** Prostitution-Nonmarital Sex. Intercourse **Filed:** 02/23/2011 **Offense Date:** 2/22/2011 **Conviction Date:** 3/3/2011. View In CCAP	02/05/20
CCAP New Charge	02/05/20	During automated data matching, an offense/conviction was found for the following person: [redacted] (Location Individual): SUBST. RELATED - CARE OF CHILDREN. **Case:** 2010CM000011 **County:** 10 Case Status: Closed **Statute:** 947.01 **Charge:** Disorderly Conduct **Filed:** 01/11/2010 **Offense Date:** 1/11/2010 **Conviction Date:** 2/4/2010. View In CCAP	02/05/20

The event column shows New Charge when the record is brought into WISCCRS for the first time for the individual. If there is an update to a previously received court record, the column shows Disposition Change.

The magnifying glass (view) icon shows details about the offense.

Modify Individual Background Check Event

Type of Check	CCAP
Date Requested	02/05/2020
Date Received	
Next Check Date	
Status	Follow-Up In Progress - Potential Barred Offense
Event Type *	CCAP New Charge
Event Date	2/5/2020
Comments	During automated data matching, an offense/conviction was found for the following person: [redacted] (Location Individual): SUBST. RELATED - CARE OF CHILDREN. **Case:** 2018CM000230 **County:** 71 Case Status: Closed **Statute:** 940.19(1) **Charge:** Battery **Filed:** 04/03/2018 **Offense Date:** 3/3/2018 **Conviction Date:** 8/31/2018. View In CCAP

The View in CCAP link points to the actual records on the CCAP system.

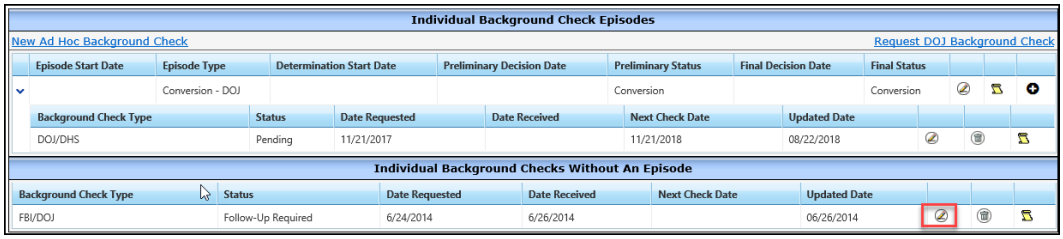
Once the CCAP records have been reviewed, change the CCAP status to Complete.

Viewing FBI Background Check Details

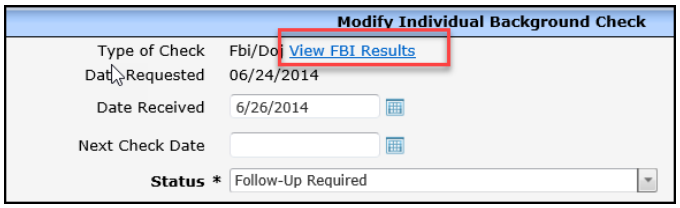
The FBI, DOJ and IBIS results are automatically brought over from DOJ. According to the FBI regulations, FBI results can only be viewed by DCF employees. The county/tribal certifiers can view the DOJ and IBIS results.

To access the FBI/DOJ results, take the following steps:

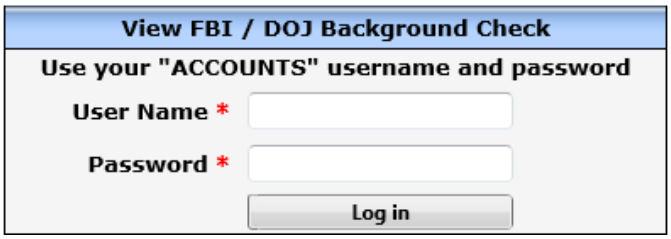
1. Click on the Background Check link below the individual name.
2. Then choose the Modify icon for the check you want to see.



Then click on the View FBI Results link.



3. If you are a DCF employee, the following screen is displayed. Enter your 'accounts' user ID and password.



4. After logging into the results page, you are able to view all types. National Sex Offender Registry results display for all checks conducted after 4/1/19. On 5/18/19, the NSOR results were brought in for all individuals who have had the FBI conducted between 10/1/18 and 3/29/19.

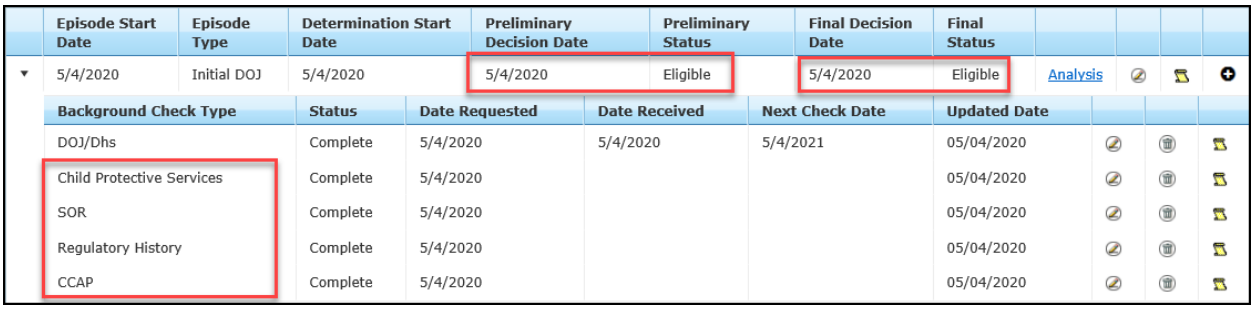
If you are a **certifier or have inquiry access** to WISCCRS, you can view the DOJ Criminal, Juvenile and IBIS results, but not FBI results.

Automated Eligibility Decision

The background check is fully automated in the following scenarios:

1. Episode type is Initial/5-Year FBI or Annual DOJ.
2. 5-Year FBI: No change from the previous record.
3. No NSOR record
4. CPS: No potential match found in the Maltreater or Foster Care file.
5. CCAP: No record found (new individual), no new record found (ongoing checks)
6. Regulatory History: No record found.
7. County Reference Letter (CRL):
    a. If the individual's Date of Birth is after 12/31/1994 the CRL is automatically marked Completed.
    b. If the person's DOB is prior to 1/1/1995 and the County/Tribe is listed as not needing a manual check in the CRL table in the end of this manual, the background check is automated.
8. Person does not live outside WI or has not indicated on his/her BCR that s/he has lived outside WI within the last five years.

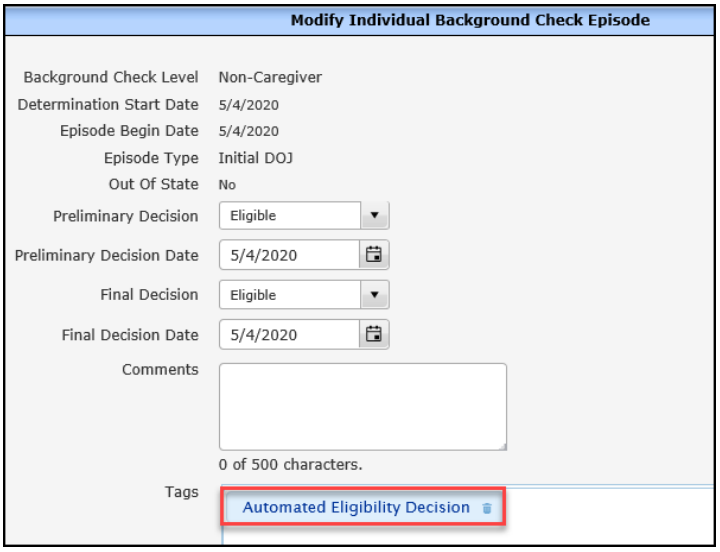
When no record or match is found, the system automatically creates a new background check episode in Complete status for the sources checked. The Preliminary and Final Status are set at Eligible. Only the Final Decision letter is sent to the individual and the facility.



Episode Start Date	Episode Type	Determination Start Date	Preliminary Decision Date	Preliminary Status	Final Decision Date	Final Status	
5/4/2020	Initial DOJ	5/4/2020	5/4/2020	Eligible	5/4/2020	Eligible	Analysis

Background Check Type	Status	Date Requested	Date Received	Next Check Date	Updated Date
DOJ/Dhs	Complete	5/4/2020	5/4/2020	5/4/2021	05/04/2020
Child Protective Services	Complete	5/4/2020			05/04/2020
SOR	Complete	5/4/2020			05/04/2020
Regulatory History	Complete	5/4/2020			05/04/2020
CCAP	Complete	5/4/2020			05/04/2020

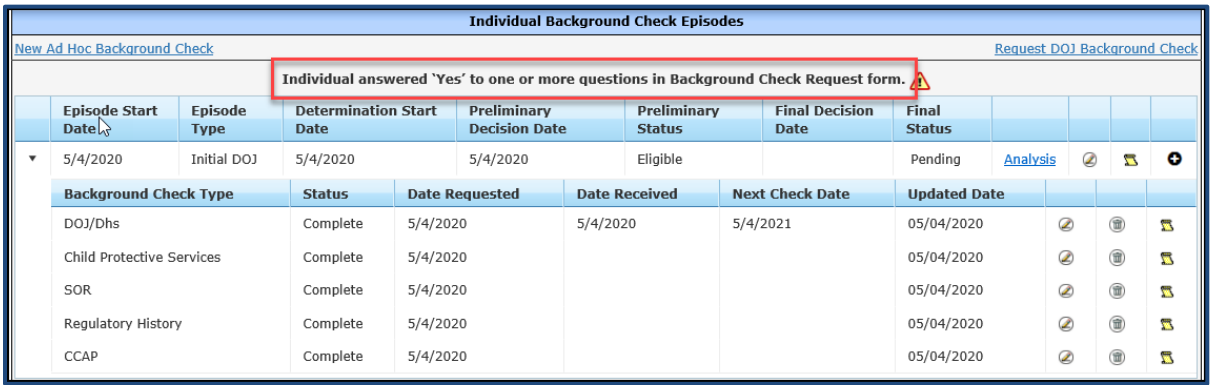
The Modify Episode page as a tag that shows that the decision was auto-approved.



Eligibility Decisions that are not automated

If the episode has one or more 'hits', the Final Decision is not automated. In those scenarios, the system creates a Background Check Type in Pending or Follow-Up Required status.

If the individual answered Yes to any of the questions on the Background Check Request form but all other checks came back without records/matches, the episode page shows the following alert.



Annual Name-Based (DOJ)

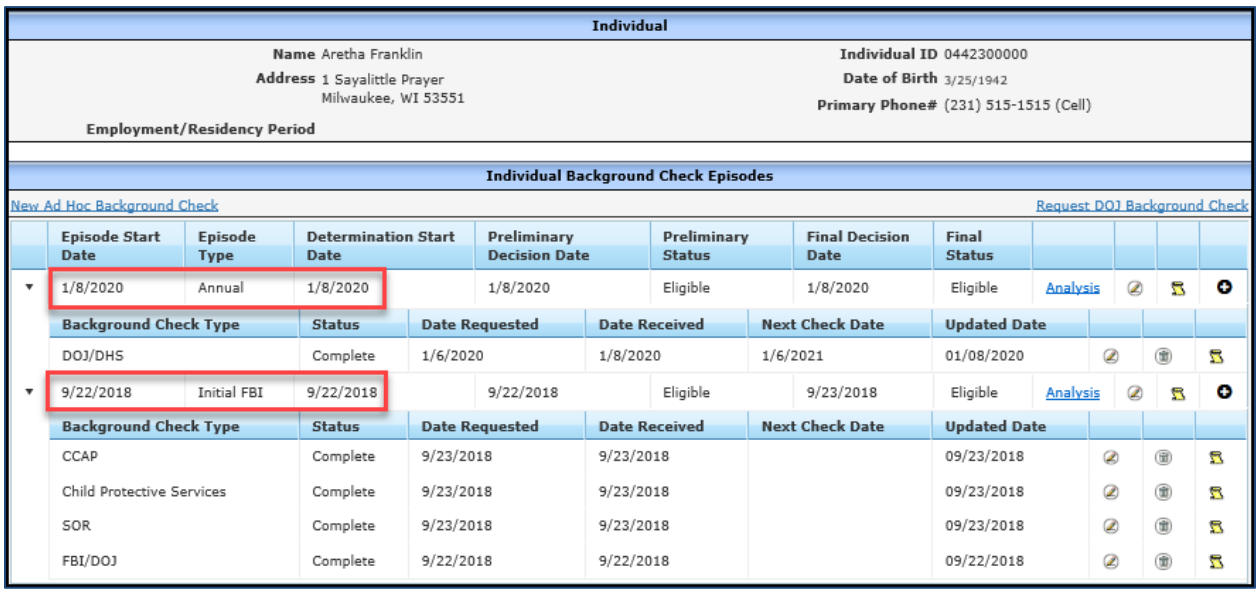
The annual name-based DOJ check automatically runs for all individuals who are associated with an active provider location and who do not have an Employment/Residency End Date in WISCCRS. The annual check is not conducted on minor household members, but minor employees are included.

The system schedules the DOJ annual name-based check 12 months after the Initial FBI check. Episode Start Date and annually thereafter. The annual DOJ check is skipped during the calendar year the 5-year FBI is done. No individual will have both the DOJ and FBI due within the same calendar year. The annual check does not trigger if there is a current Fieldprint letter issued but no fingerprint record received for the individual.

If the Final Decision on an individual is ineligible, the annual check is skipped (no Fingerprint Instructional letter is sent) and a task is generated to the CBU inbox.

Individuals Residing in Wisconsin:

As mentioned above, the system automatically conducts the Annual DOJ name-based check 12 months after the Initial FBI check (or after an annual check).



Individual

Name Aretha Franklin
Address 1 Sayalittle Prayer
Milwaukee, WI 53551
Employment/Residency Period

Individual ID 0442300000
Date of Birth 3/25/1942
Primary Phone# (231) 515-1515 (Cell)

Individual Background Check Episodes

New Ad Hoc Background Check | Request DOJ Background Check

Episode Start Date	Episode Type	Determination Start Date	Preliminary Decision Date	Preliminary Status	Final Decision Date	Final Status	
1/8/2020	Annual	1/8/2020	1/8/2020	Eligible	1/8/2020	Eligible	Analysis

Background Check Type	Status	Date Requested	Date Received	Next Check Date	Updated Date
DOJ/DHS	Complete	1/6/2020	1/8/2020	1/6/2021	01/08/2020

Episode Start Date	Episode Type	Determination Start Date	Preliminary Decision Date	Preliminary Status	Final Decision Date	Final Status	
9/22/2018	Initial FBI	9/22/2018	9/22/2018	Eligible	9/23/2018	Eligible	Analysis

Background Check Type	Status	Date Requested	Date Received	Next Check Date	Updated Date
CCAP	Complete	9/23/2018	9/23/2018		09/23/2018
Child Protective Services	Complete	9/23/2018	9/23/2018		09/23/2018
SOR	Complete	9/23/2018	9/23/2018		09/23/2018
FBI/DOJ	Complete	9/22/2018	9/22/2018		09/22/2018

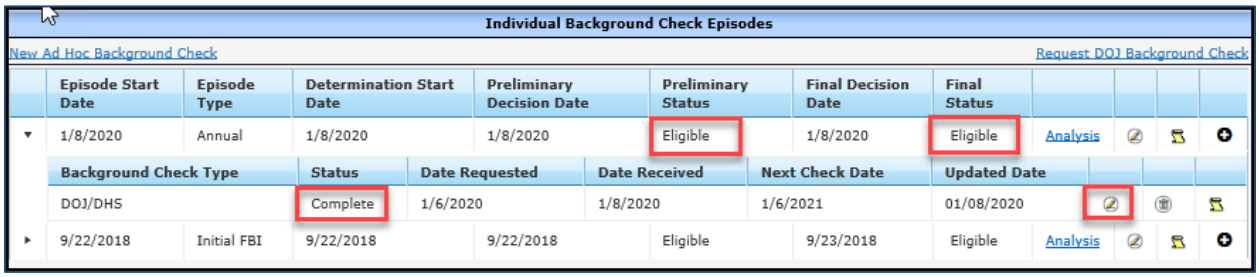
In certain scenarios, a break in the individual's association with a center may delay the Annual check due date. See example below.

> Example:
> The Initial FBI check was conducted on an employee in Center A on 1/29/19. The first Annual check is due on 1/29/20. The employee resigns from Center A effective 12/31/19 but starts a new job in Center B on 3/1/20. As soon as the employee is added to Center B, the batch will conduct the Annual background check.

If the break is more than 6 months, a new Initial FBI check is required. A new fingerprint instruction letter is sent to adults or the Initial DOJ is automatically scheduled for minor employees.

Results – Annual Checks:

Once the results have been received, the system creates a new Annual background check episode. The results can be viewed on the background check page by clicking the Modify icon.



Individual Background Check Episodes

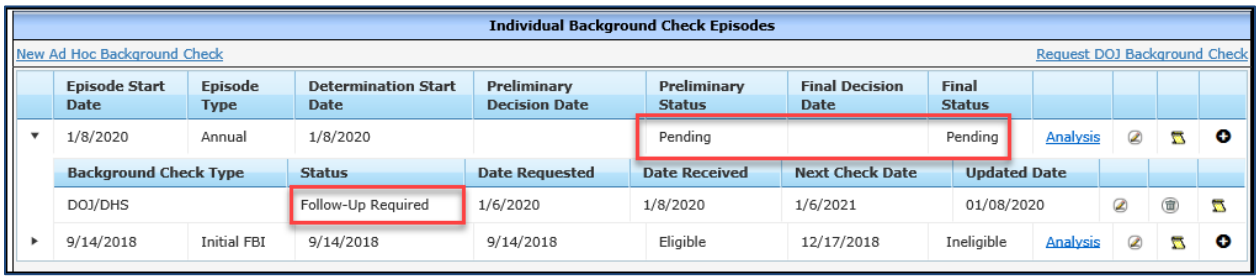
New Ad Hoc Background Check | Request DOJ Background Check

Episode Start Date	Episode Type	Determination Start Date	Preliminary Decision Date	Preliminary Status	Final Decision Date	Final Status				
1/8/2020	Annual	1/8/2020	1/8/2020	Eligible	1/8/2020	Eligible	Analysis			
9/22/2018	Initial FBI	9/22/2018	9/22/2018	Eligible	9/23/2018	Eligible	Analysis			

Background Check Type	Status	Date Requested	Date Received	Next Check Date	Updated Date
DOJ/DHS	Complete	1/6/2020	1/8/2020	1/6/2021	01/08/2020

If there is no criminal record found in DOJ (or there has not been an update in results received in the previous checks), the system automatically sets the Preliminary and Final Status to Eligible, and the DOJ/DHS status is set at Complete. No notices are sent for these annual background checks. Providers can view the episode details on the Background Check page in CCPP.

If a criminal record is found (or there is a change to a previously received record), a task is created in the CBU inbox, and the system sets the DOJ/DHS check in Follow-up Required status and the Preliminary and Final Status are set as Pending. If the Final Status is changed to Ineligible, an Ineligibility letter is trigged and sent to the center and to the individual.



Individual Background Check Episodes

New Ad Hoc Background Check | Request DOJ Background Check

Episode Start Date	Episode Type	Determination Start Date	Preliminary Decision Date	Preliminary Status	Final Decision Date	Final Status				
1/8/2020	Annual	1/8/2020		Pending		Pending	Analysis			
9/14/2018	Initial FBI	9/14/2018	9/14/2018	Eligible	12/17/2018	Ineligible	Analysis			

Background Check Type	Status	Date Requested	Date Received	Next Check Date	Updated Date
DOJ/DHS	Follow-Up Required	1/6/2020	1/8/2020	1/6/2021	01/08/2020

Transactions – Annual Checks

Once the Annual background check has been conducted for an individual, the system inserts the $10 Background Check Fee into the WISCCRS Transactions module. If the individual is associated with multiple sites, the fee is inserted to the site that has the 'Apply ongoing background check fee to this location' set to Yes.

Note that the program is liable to pay for the CBC fee even if the individual's employment/residency end date was back-dated to a date prior to the annual check.

One Background Check per Calendar Year

The system has been programmed so that only one of the above Annual DOJ (Annual Out-of-State) or FBI checks are conducted during a calendar year.

Example:
The Annual check is due for a minor employee on March 15th, 2020. The minor turns 18 on October 10th. The system skips the March annual check in this scenario and will send the Fingerprint Instructional letter on October 10th.

Also, if the time-period between the Annual DOJ (Annual Out-of-State) check and FBI due is less than two months, the annual check is skipped.

Example:
The Annual check is due on a minor employee on 12/12/20. The minor turns 18 on 1/20/21 (less than two months from 12/12/20), the 12/12/20 check is skipped, and the Fingerprint Instruction letter is sent to the provider on 1/20/21 instead.

Note that there can be scenarios where the **Initial** DOJ (minors) and the **Initial** FBI can be done the same calendar year.

Example:
A minor employee is added to a center on June 10th. At that time, system conducts the Initial DOJ. The minor turns 18 years old on September 5th. The system triggers the Fingerprint Instruction letter on that date.

Initial FBI – 5-Year FBI:

The 5-Year FBI due date is calculated five years from the Initial FBI check. As mentioned above, the annual checks are conducted 12 months after the Initial FBI and then every 12 months until the next FBI check is due (5-Year FBI). There are scenarios when the annual checks are delayed, such as gap in employment/residency, etc. This means that the time period between the 4th Annual due date and the 5-Year FBI due date might be less than 12 months.

For example, if the Annual check is due the same calendar year as the 5-Year FBI, the 4th annual check is skipped. Or if the 4th Annual check is due in the end of the calendar year and the 5-year FBI is due the following year, the 4th Annual is skipped if the time-period between the 4th Annual check due date and 5-Year FBI is less than two months.

Annual FBI – Out-of-State (OOS):

Individuals who live outside Wisconsin, are sent the Fingerprint instruction letters 12 months after the previous FBI check.

Frequency for the Annual FBI – OOS mirrors the Annual DOJ name-based checks.

WI Resident moves out of state

If an individual associated with a childcare center moves out-of-state, the system will trigger the next Annual FBI – OOS 12 months after the last Annual background check.

Out-of-State Resident Moves to WI

Example:
An employee residing in WI has Initial FBI done on 10/20/18. First Annual is done on 1/10/20. Individual moves outside WI on 2/3/20. A Fingerprint Instruction letter is triggered 12 months after the Annual check. In this example, the Fingerprint letter will be triggered on 1/10/21.

When an out-of-state individual associated with a childcare center (center located in Wisconsin) moves to Wisconsin, the system conducts the Annual DOJ check 12 months after the latest Annual FBI – OOS check.

5-Year FBI:

When 4 years and 11 months has passed from the Episode Start Date of the Initial FBI check (or prior 5-Year FBI check), the system triggers a Fingerprint Instruction Letter to start a new check on all individuals associated with an active childcare program. The details are identical to Initial FBI check.

If the Final Decision on an individual is ineligible, the system will not send the Fingerprint Instructional Letter. Instead, a task is generated to the CBU inbox.

Summary of Background Check Types

Below is a summary on the background check types.

Episode Type	Can be triggered by CBU	Automatically triggered	Preliminary Eligibility Notice	Preliminary Ineligibility Notice	Final Eligibility Notice	Final Ineligibility Notice	Comments
Initial FBI	Yes	Triggered if no FBI check exists or prior FBI Date is greater than 5 Years or Individual separated from a facility is greater than 180 days.	Individual and Provider Automated If Final Decision Automated, no letter sent.	Individual and Provider Automated	Individual and Provider Automated	Individual and Provider Automated	18 and older
Annual FBI - OOS	Yes	Yes. For individuals 18+. 12 months from prior FBI check and annually thereafter.	No	No	Individual and Provider Automated	Individual and Provider Automated	Only if home address outside WI. WI DOJ annual name-based background checks are not run on these individuals.
Annual Name-Based DOJ	Yes	Yes. 12 months from FBI or Initial DOJ and annually thereafter.	No	No	No	Individual and Provider Automated	18 and older. Minors with concerns, minor employees
Initial DOJ	Yes	Triggered when minor employee is entered into WISCCRS/CCPP. Conducted every 5 years until the minor turns 18. If there is an employment gap that exceeds 180 days, a new Initial DOJ is triggered.	Individual and Provider Automated If Final Decision Automated, no letter sent.	Yes	Yes	Individual and Provider Automated	Run on individuals subject to background check requirements who are 18+ and on minor employees. Conducted on minor household members 10-17 if concern indicated on BCR.
5-Year FBI	Yes	Yes. 4 years and 11 months from Initial / 5-year FBI check	No	No	Individual and Provider Automated	Individual and Provider Automated	18 and older
Ad hoc	Yes	N/A	No	No	No	Individual and Provider Automated	Counties / regions submit a request to CBU (task created) or email CBU.

Ad hoc

If an individual requires an additional check, certifiers and licensing regional staff can submit a request to the CBU on the Request Background Check page for the individual. Below is a list of ad hoc types:

- CCAP
- CPS
- CPS – Out-of-state
- Local agency enforcement
- Military
- Other
- Out-of-State (Name-based)
- SOR
- SOR – Out-of-State

If an ad hoc fingerprint or DOJ name-based check is needed, those are triggered by CBU staff and the interface will create the episode.

Background Check Analysis Summary (BCAS)

The Guide to Relevancy document that was used to summarize an individual's background check analysis has been added into WISCCRS. The page is called Background Check Analysis Summary (BCAS). To access this page, click on the Analysis link on the individual's Background Check page.

Episode Start Date	Episode Type	Determination Start Date	Preliminary Decision Date	Preliminary Status	Final Decision Date	Final Status	
11/21/2018	Initial FBI	11/21/2018	2/1/2019	Eligible		Pending	Analysis

Background Check Type	Status	Date Requested	Date Received	Next Check Date	Updated Date
Child Protective Services	Complete	1/1/2019			03/08/2019
SOR	Complete	1/1/2019			03/08/2019
FBI/DOJ	Complete	11/21/2018	11/21/2018		03/08/2019

Note that certifiers and licensing staff will land on the Summary page when clicking on the Analysis link above. The screen prints below have been taken with CBU security access.

The upper portion of the BCAS page shows the individual and episode details. The Background Check section shows the checks entered on the episode. Note that the sub-category checks (each line) can be modified using the BCAS page or the Background check page.

Individual

Name Sandy Substitute
Address 123 Main
Milwaukee, WI 12121
Employment/Residency Period 04/26/2019
Individual ID 0313300000
Date of Birth 1/1/1985
Primary Phone# (121) 212-1212 (Home)

Background Check Episode

Episode Type Initial Fbi
Determination Start Date 11/21/2018
Preliminary Decision Eligible
Final Decision Pending
Background Check Level Caregiver
Preliminary Decision Date 2/1/2019
Final Decision Date

Summary

Background Check Details

Background Check Type	Background Check Received Date	Status
SOR		Complete
Child Protective Services		Complete
FBI/DOJ	11/21/2018	Complete

If comments have been entered under the checks, those comments are visible on the BCAS page when the check is expanded by clicking on the arrows by the checks.

Background Check Details

Background Check Type	Background Check Received Date	Status
Child Protective Services	1/1/2019	Complete

Date	Event	Comments	Updated Date
1/1/2019	Comment	No record found.	07/25/19

SOR	1/1/2019	Complete
FBI/DOJ	11/21/2018	Complete

Automation of FBI/DOJ Results into BCAS

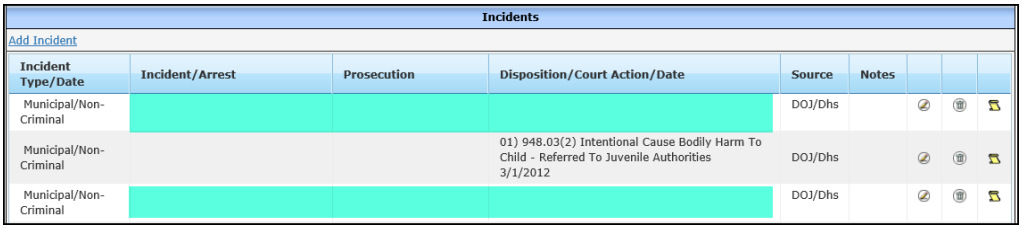
The system has been enhanced with a batch that automatically creates a BCAS page in WISCCRS if concerns are found in the FBI/DOJ results. The following episode types are included:

- Initial DOJ
- Initial FBI
- Conversion DOJ
- Conversion FBI
- Initial FBI for Existing Employee
- Annual OOS FBI
- Five Year FBI
- Annual DOJ

After the results have been received, the batch analyses the results using the DOJ results first, then FBI and NSOR. An incident is automatically created for the BCAS.

The CBU staff continue to be able to add new incidents and modify/delete incidents created by the system.

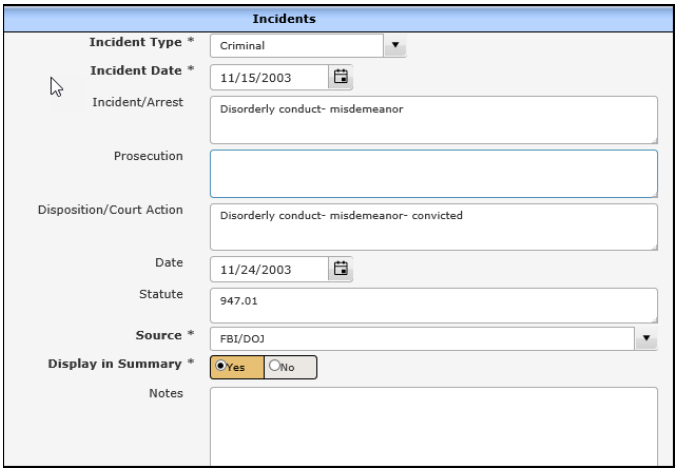
When reviewing the system generated incidents, it is important that all system created incidents are compared to the actual results, even the blank ones. There can be scenarios when the system cannot find the arrest/charge information because the format the data is brought over from DOJ or the information is incomplete.



Add Incident

If a record is found under one of the checks above, investigation details can be entered under the Incidents section by clicking on the Add Incident link. If the incident is criminal, one incident is entered for each charge in the cycle.

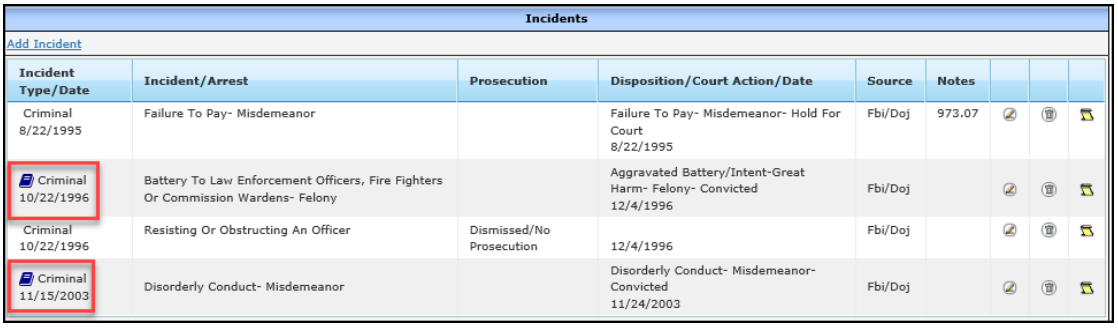
On the Add Incident page, complete the fields under the Incident section.



The fields on this section are explained below.

Field	Description
Incident Type	The options are: • Civil • Criminal: Automated BCAS will use this type when the results contain felony, misdemeanor arrest/charge record. Any results under NSOR fall under this type. • CPS • Municipal/Non-criminal: Automated BCAS will use this type if the results don't include felony/misdemeanor arrest/charge records. • Restraining order
Incident Date	Enter the date of the incident. Automated BCAS populates the Arrest Date in the FBI/DOJ results. For FBI results, the system leaves this blank. NSOR results populates the Registration Date.
Incident/Arrest	Explain the type of the incident/arrest. Automated BCAS populates the Arrest data (charge, statute number, literal. If multiple records, they are separated with a comma. For FBI/NSOR results, this field is left blank. The text will be truncated to 397 characters and appended with three dots if text length is more than 400 characters.
Prosecution	Enter information on the prosecution. Automated BCAS populates the charge, statute and literal (comma separated if multiple records). For FBI/NSOR results, this field is left blank. The text will be truncated to 397 characters and appended with three dots if text length is more than 400 characters.
Disposition/Court Action	Enter results of the disposition/court action. Automated BCAS populates the court action, charge and statute number (comma separated if multiple records). For FBI/NSOR results, this field is left blank. The text will be truncated to 397 characters and appended with three dots if text length is more than 400 characters.
Disposition Date	Enter the date for the disposition/court action. Automated BCAS populates the Disposition Date. IF there are multiple court actions, the process will use the latest date. If not court action, this date is left blank. For FBI results, the date is left blank. For NSOR, the system populates the Conviction Date.
Statute	Enter the statute violated if applicable. Automated BCAS finds all statutes (charges/arrests) in the results and compares the statutes to the list of offenses in WISCCRS (barred, etc.). For FBI/NSOR results, this field is left blank
Source	This drop down includes the checks entered for the episode. Choose the source of the incident. Automated BCAS will have FBI, DOJ and NSOR.
Display in Summary	Licensing and certification staff can view the BCAS summary. If the information is of confidential nature, check No. Incidents created by the automated BCAS will always have this checked No.
Notes	Enter additional notes pertinent to the case. These notes are displayed on the BCAS page. Automated BCAS enters the agency and case numbers for NSOR results. DOJ/FBI are left blank.

Once the incident(s) has been entered, they are displayed on the BCAS page. Ones with a 'book' icon are displayed on the Summary page (explained later in this guide).



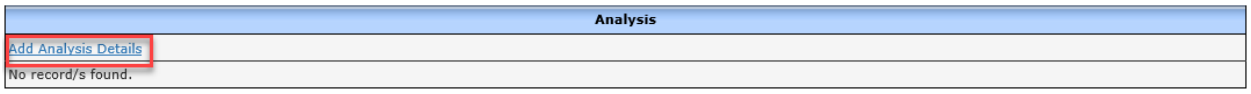
Incidents

Add Incident

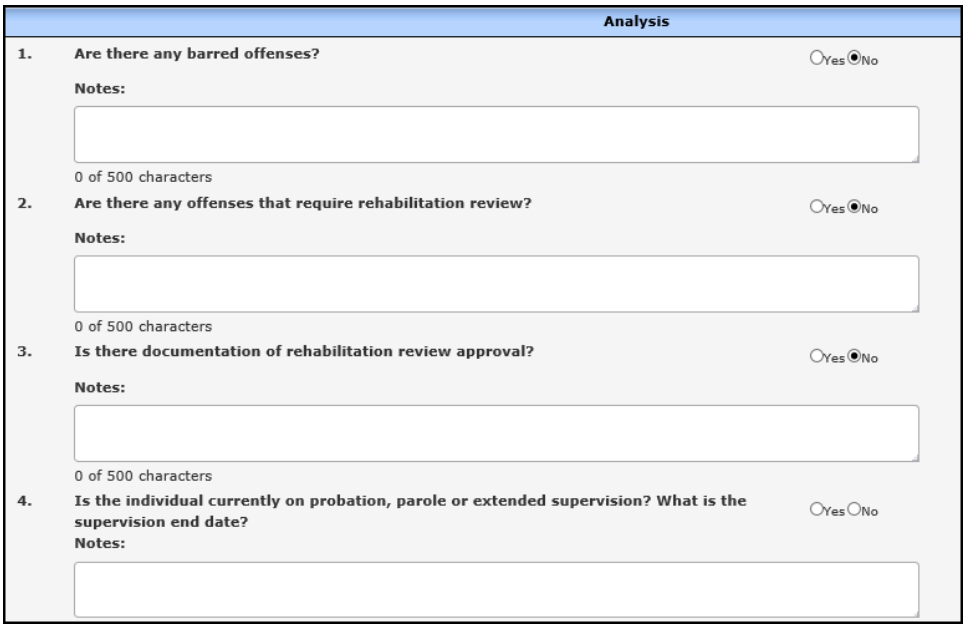
Incident Type/Date	Incident/Arrest	Prosecution	Disposition/Court Action/Date	Source	Notes			
Criminal 8/22/1995	Failure To Pay- Misdemeanor		Failure To Pay- Misdemeanor- Hold For Court 8/22/1995	Fbi/Doj	973.07			
Criminal 10/22/1996	Battery To Law Enforcement Officers, Fire Fighters Or Commission Wardens- Felony		Aggravated Battery/Intent-Great Harm- Felony- Convicted 12/4/1996	Fbi/Doj				
Criminal 10/22/1996	Resisting Or Obstructing An Officer	Dismissed/No Prosecution	12/4/1996	Fbi/Doj				
Criminal 11/15/2003	Disorderly Conduct- Misdemeanor		Disorderly Conduct- Misdemeanor- Convicted 11/24/2003	Fbi/Doj				

Analysis Section

Once all incidents on the background check have been investigated, the CBU Analyst summarizes the results on this section. To complete an analysis, click on the Add Analysis Details link. Complete the fields on this page.

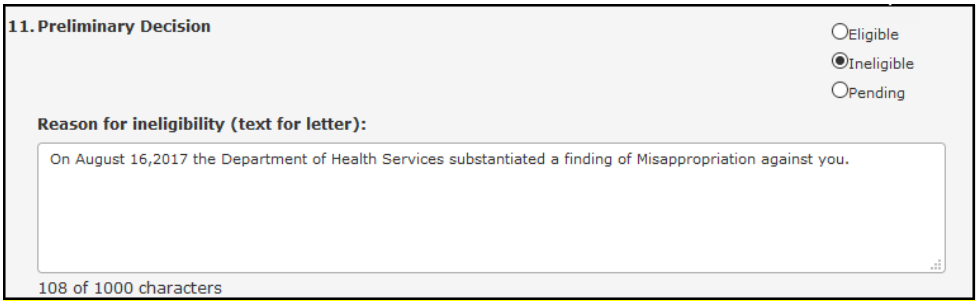


If Yes is chosen for a question, notes are mandatory.

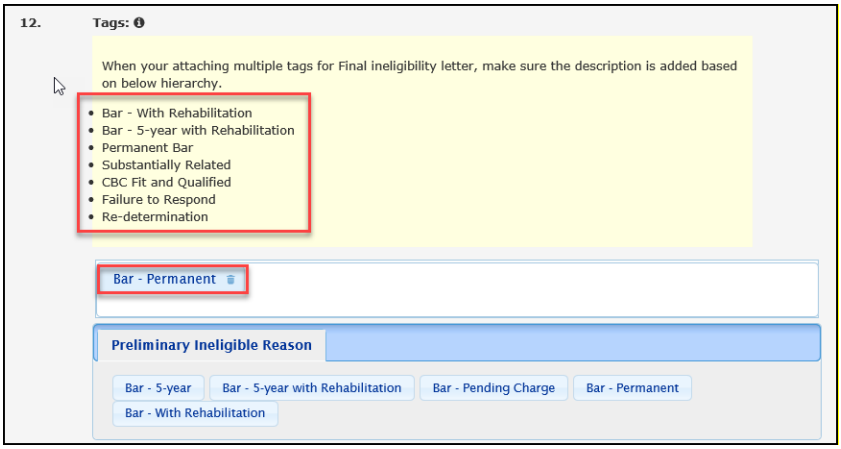


Item 10: The CBU Analyst enters Yes if additional review of the case is needed.

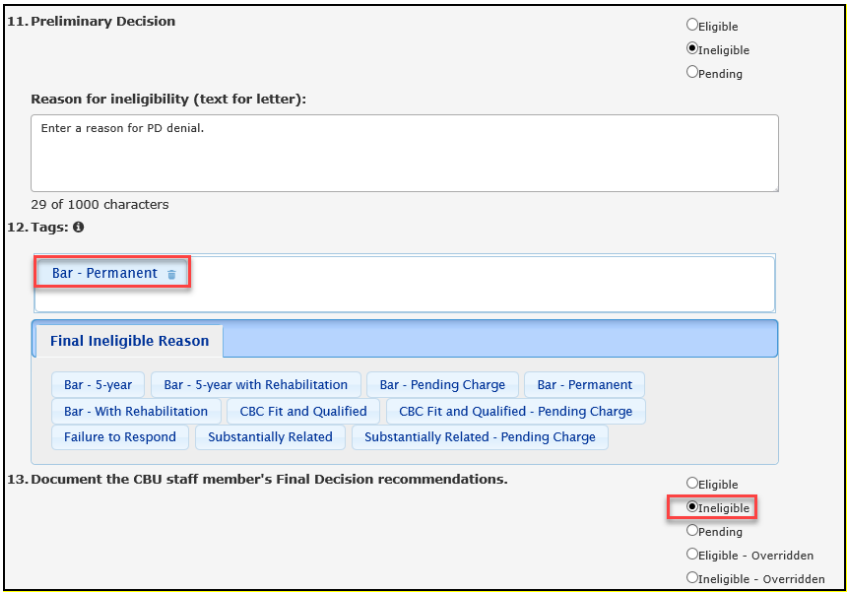
11. When automating the individual Preliminary Decision ineligibility letter, the Reason for ineligibility field was added to this question. If the Decision is ineligible, enter the text to be inserted into the letter in this field. If Ineligible is chosen, a task is created to the Supervisor Dashboard alerting the supervisor to review the decision.



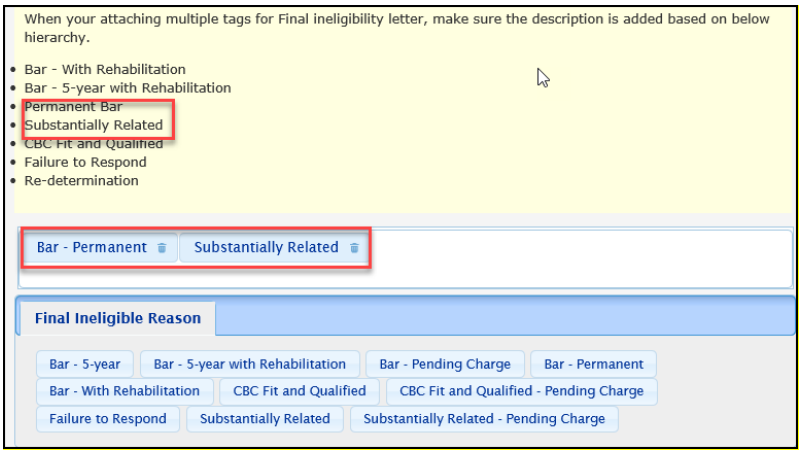
12. Then add a tag that describes the denial. If multiple tags are needed, enter them in the order listed under the 'I' text highlighted yellow below.



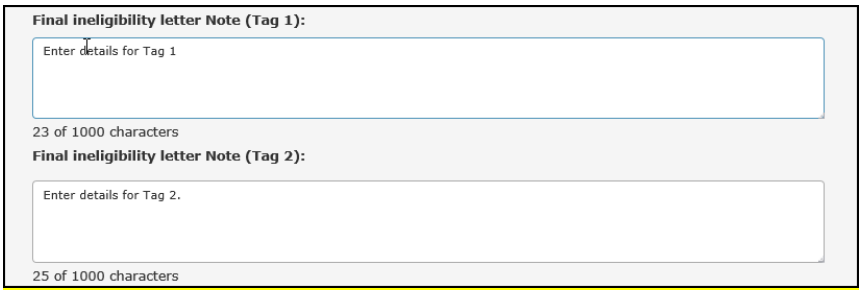
When entering the Final Decision as Ineligible, the tag chosen for the Preliminary Decision is displayed in the Tag field.



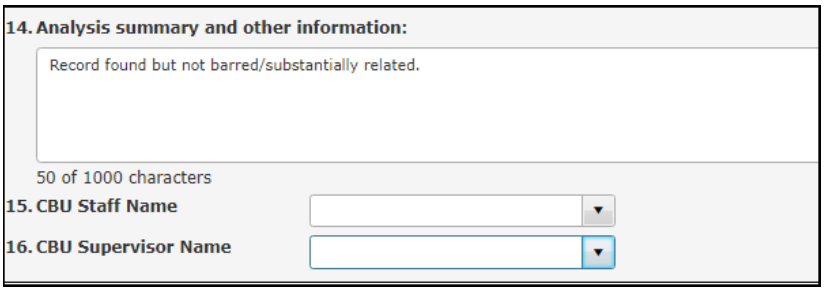
When entering multiple tags, make sure the correct order is used when adding the tags, starting with the most severe.



13. Enter denial reasons for both tags.



14. Finally, enter analysis summary.



The CBU Analyst enters either Eligible or Ineligible as the decision. Note that the value here must match the Final Decision on the Episode page. Example: If 'Ineligible' is chosen here, the Final Decision must be Ineligible and vice versa.

Eligible/Ineligible – Overridden: If a Supervisor overrides the decision of the Analyst, the Supervisor chooses the Overridden value.

15. CBU Staff Name: Choose the name of the analyst who completed the analysis. This name is inserted into the individual ineligibility letter if the Decision is Ineligible.
16. Choose the CBU Supervisor. This name is inserted into the individual ineligibility letter if the Decision is Ineligible.

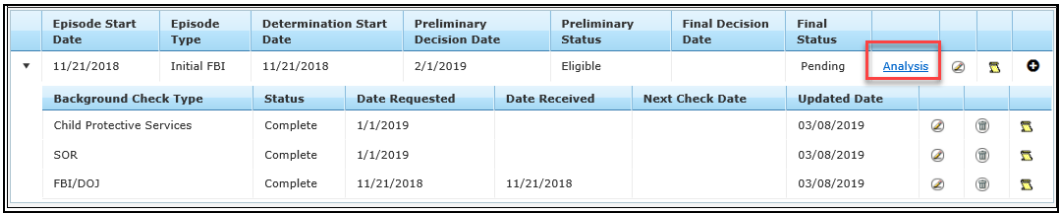
See Preliminary Decision (PD) and Final Decision (FD) Individual Ineligibility Letter section for further details on the automated notice.

Summary

The summary page is available for certification and licensing staff, but they cannot modify any of the sections.

The page can be accessed as follows:

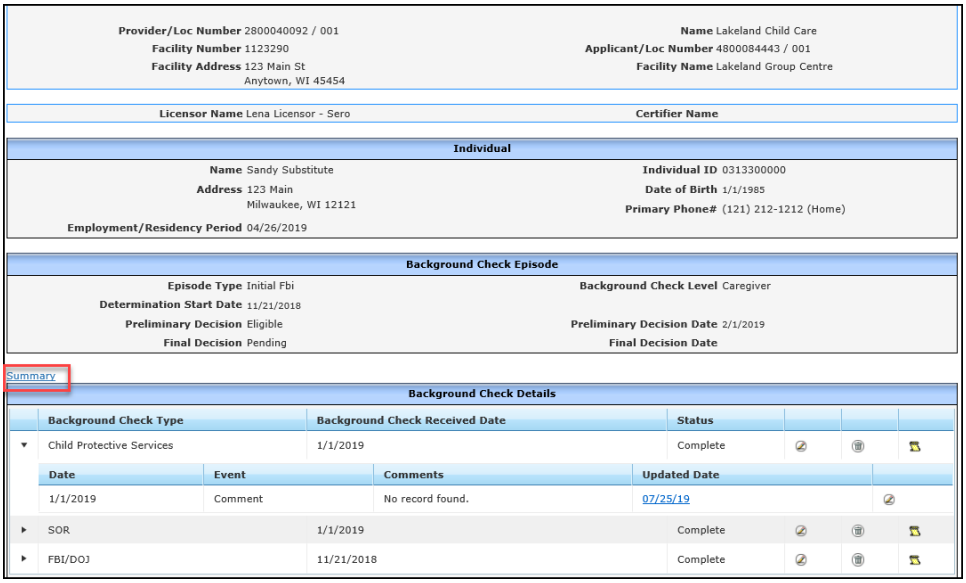
- Certification/Licensing staff view: Click on the Analysis link on the Background Check page.



Episode Start Date	Episode Type	Determination Start Date	Preliminary Decision Date	Preliminary Status	Final Decision Date	Final Status	
11/21/2018	Initial FBI	11/21/2018	2/1/2019	Eligible		Pending	Analysis

Background Check Type	Status	Date Requested	Date Received	Next Check Date	Updated Date
Child Protective Services	Complete	1/1/2019			03/08/2019
SOR	Complete	1/1/2019			03/08/2019
FBI/DOJ	Complete	11/21/2018	11/21/2018		03/08/2019

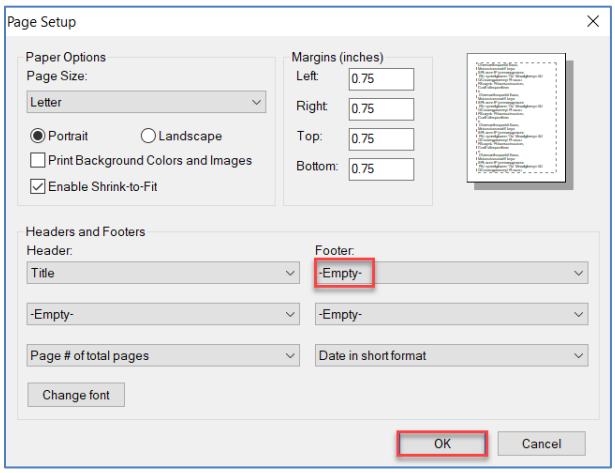
- CBU staff view: Click on the Summary link on the BCAS page.



Printing the Summary Page

To print the Summary page, take the following steps (using Internet Explorer):

1. On our browser, click on File and then Page Set-up. Change the value in the Footer field to Empty to eliminate the URL being printed on the bottom of the printed document.



2. Then choose Print.

WISCCRS: Background Check Analysis Summary — Page 1 of 3

332.2 ms !
328.2 ms !

Provider/Loc Number 2800040092 / 001
Name Lakeland Child Care
Facility Number 1123290
Applicant/Loc Number 4800084443 / 001
Facility Address 123 Main St Anytown, WI 45454
Facility Name Lakeland Group Centre

Licensor Name Lena Licensor - Sero
Certifier Name

Individual

Name Sandy Substitute
Individual ID 0313300000
Address 123 Main Milwaukee, WI 12121
Date of Birth 1/1/1985
Primary Phone# (121) 212-1212 (Home)
Employment/Residency Period 04/26/2019

Background Check Episode

Episode Type Initial Fbi
Background Check Level Caregiver
Determination Start Date 11/21/2018
Preliminary Decision Eligible
Preliminary Decision Date 2/1/2019
Final Decision Pending
Final Decision Date

Background Check Details

Background Check Type	Background Check Received Date	Status
Child Protective Services	1/1/2019	Complete

Date	Event	Updated Date	Comments	Updated Date
1/1/2019	Comment		No record found.	07/25/19

Background Check Type	Background Check Received Date	Status
SOR	1/1/2019	Complete

Date	Event	Updated Date	Comments	Updated Date
1/1/2019	Comment		No record found.	07/25/19

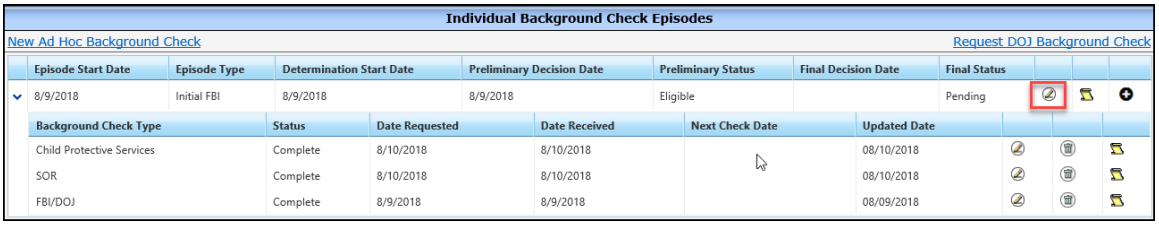
Background Check Type	Background Check Received Date	Status
FBI/DOJ	11/21/2018	Complete

Date	Event	Updated Date	Comments	Updated Date

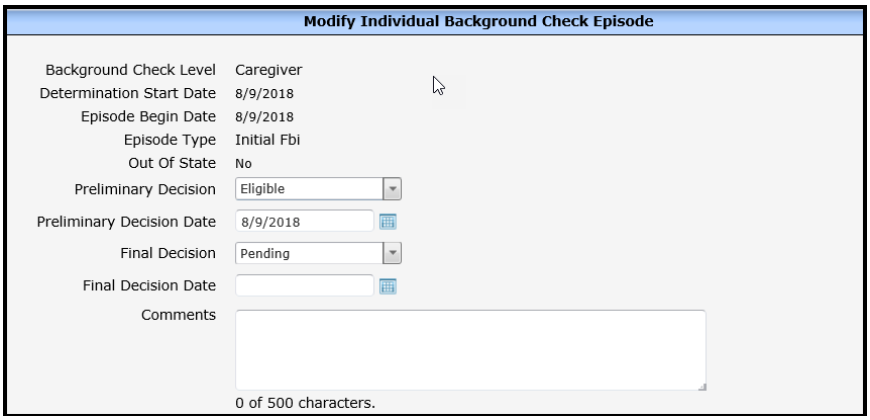
7/25/2019

Making Final Determination

Once the additional checks have been entered and marked Complete, access the Modify Episode page by clicking the pencil icon.



The following page displays:



The fields on this screen are explained below. **Note** that the description below covers the Initial and 5-Year FBI check process. The system does not trigger preliminary notices for annual and ad hoc checks.

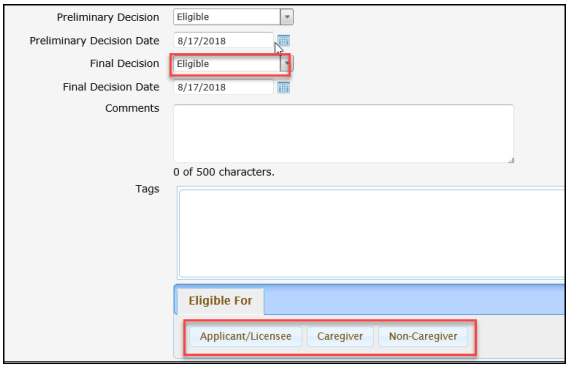
Field	Description
Background Check Level	This field is auto-filled based on the role of the person at the time of the background check. The options are: 1. Applicant/Licensee 2. Caregiver 3. Non-caregiver
Determination Start Date	This is the date when the results were brought in from DOJ. The date is reset after the results are brought in from DOJ. If the individual's role was changed and required a new review, this date could be the date the review was initiated.
Episode Begin Date	This is the date the system created the episode.
Episode Type	Options are: 1. Initial FBI 2. Annual FBI – OOS 3. Annual Name-Based (DOJ) 4. Initial DOJ 5. 5-Year FBI 6. Ad hoc 7. Monthly CPS/CCAP
Out-of-State	Yes is displayed if the person resided outside WI (Initial check) within the last 5 years or currently has a home address outside WI.
Preliminary Decision	**Options:** 1. **Awaiting Results:** The request for a background check has been sent to DOJ but results have not been brought in by the interface.

Field	Description
	2. **Eligible**: This is auto-populated for individuals whose FBI and DOJ results come back as 'No Record Found'. If a record is brought over, CBU staff review the record and manually switch the status to Eligible. When the status is changed to Eligible, the following actions happen: a. A notice is triggered to both the individual and the provider location(s) the person is associated with. b. If certified location, a message is sent to the Certifier in the Dashboard. 3. **Ineligible**: If the person is found ineligible, CBU staff switch the status. When the status is changed to Ineligible, the following actions happen: a. A notice is only sent to the provider location(s) the individual is associated with. The preliminary ineligibility letter is not automated and manually sent to the individual. The manual letter is uploaded into the Confidential Documents section. b. If certified location, a message is sent to the Certifier. 4. **Pending**: The system sets the status to Pending if an offense is brought over from DOJ. No notice/message generated. 5. **Eligibility Expired**: If a person has been detached from a facility for more than 180 days, the system automatically changes the Final Decision and Preliminary Decision to Expired for all checks for that individual. The PD is only changed when the FD is changed.
Preliminary Decision Date	The date the Preliminary Decision was made. This is auto-populated for individuals whose FBI/DOJ have 'No Record Found'.
Final Decision	**Options:** 1. **Canceled**: Choose Canceled if a person withdraws his/her background check request. If certified location, a message is sent to the Certifier. 2. **Conversion**: When the Background Check Type is DOJ/FBI Prior to 10/1/18, the Preliminary Decision displayed as conversion. 3. **Eligible**: Choose this if the person is eligible. When the status is changed to Eligible, the following actions happen: a. A notice is triggered to both the individual and the provider location(s) the individual is associated with. b. If certified location, a message is sent to the Certifier in the Dashboard. c. If licensed and role is Household Member or Applicant/Licensee, a message is sent to BECR Licensing Region Inbox. 4. **Eligible with Stipulation:** Used when an individual is made eligible with stipulation. Stipulation must be met to maintain the eligibility. A manual notice is sent in these scenarios. 5. **Incomplete**: Used for 'failure to cooperate' scenarios. A letter can be triggered in the system, by CBU staff. If certified location, a message is sent to the Certifier. 6. **Ineligible**: Used if the person is not eligible. When the status is changed to Ineligible, the following actions happen: a. A notice is triggered to both the individual and the provider location(s) the individual is associated with. b. If certified location, a message is sent to the Certifier in the Dashboard. c. If licensed and the designated role is anything except Applicant/Licensee, a message is sent to BECR Licensing Region Inbox. 7. **Ineligible** – **Appealed**: If the person is found Ineligible, s/he has the right to appeal. Change the status to Ineligible-Appealed when the appeal has been received. 8. **Pending**: If a role is changed for an individual after a completed episode and the CBU staff has started a review for the new role, the system changes the status back to Pending. No notice/message generated. 9. **Eligibility Expired**: If a person has been detached from a facility for more than 180 days, or if the annual FBI for OOS residence is past due, the system automatically changes the Final Decision and Preliminary Decision to Expired.

Field	Description
	10. **On Hold:** The status of a background check can be put on hold because the CBU has not received all necessary information to conduct the background check. When changing the status to On Hold, one of the tags must be chosen as a reason for the hold. 11. **Redetermination:** This is used when a re-evaluation is needed. This value creates a new sequence for the episode.
Comments	Comments can be entered pertaining to the episode.

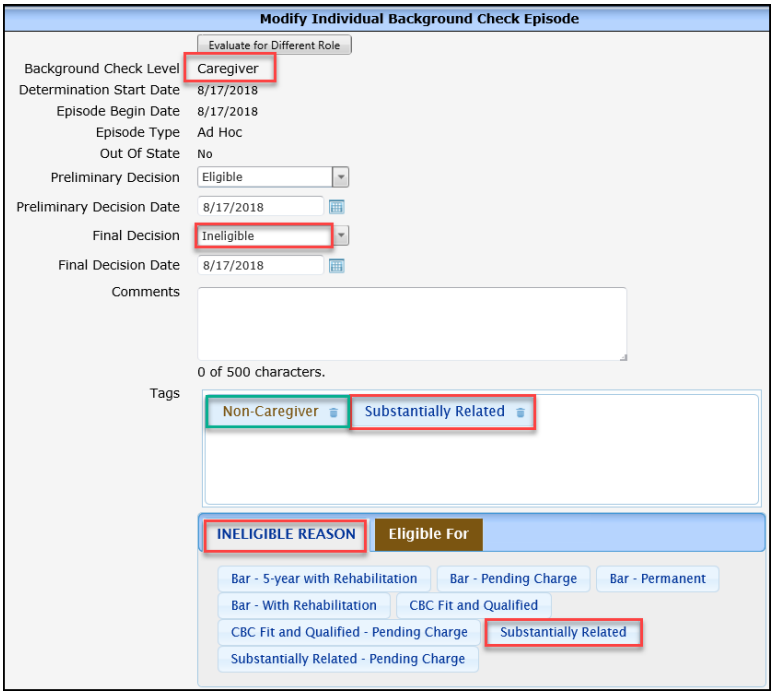
Tags

The following tags are available on the Modify Episode page:

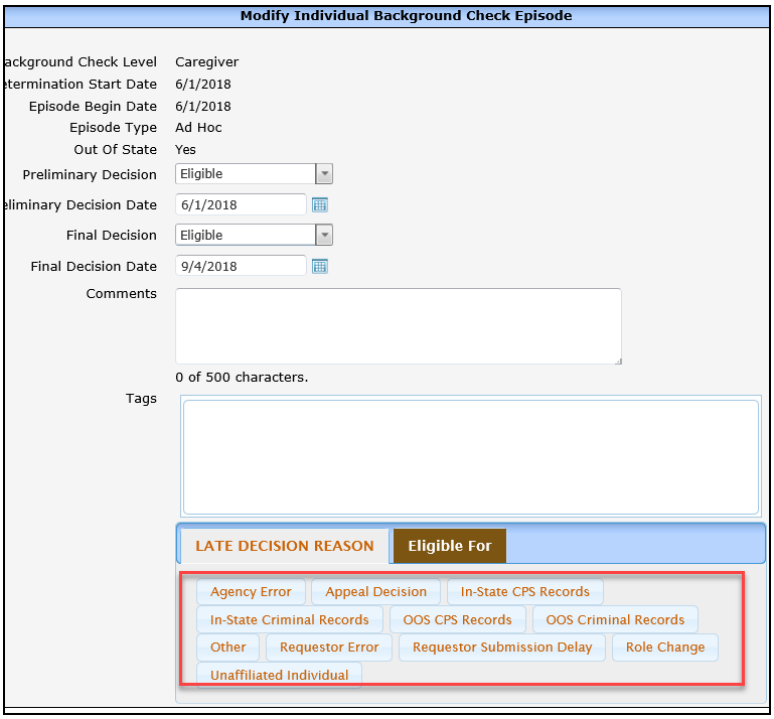


When the final decision is entered, the Eligible For tag can be added to the Tags field. Note that the decision letter will only include the role that the person applied for.

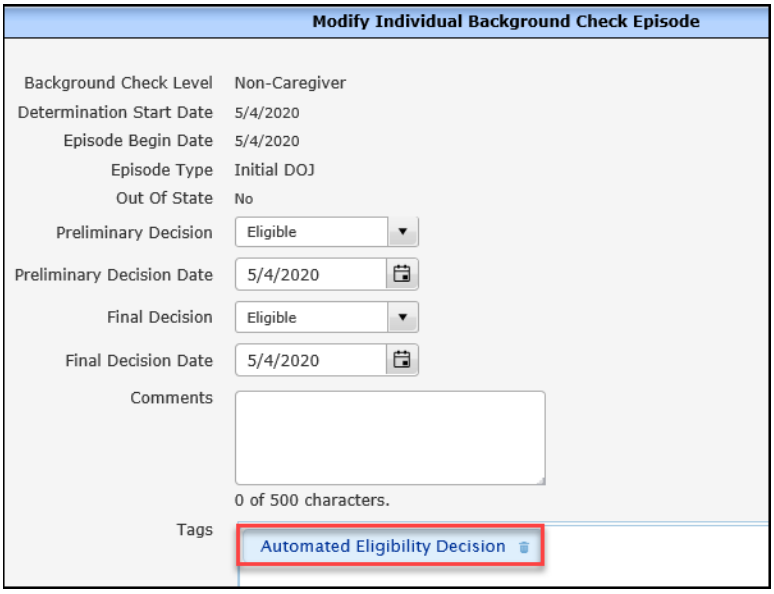
If the final decision for the check is ineligible, an additional set of tags display. In the scenario below, the person applied for a caregiver role, but was denied due to substantially related reason (red tag). However, the person does not have an offense that prevents him/her from being a non-caregiver (green tag).



Also, if more than 45 days has passed from the Episode Start Date, a reason for the delay must be chosen.

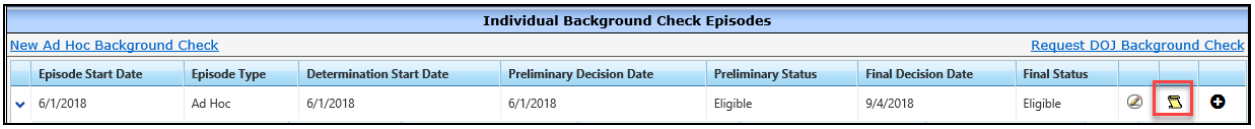


If the system automatically approved the Final Decision, an Automated Eligibility Decision tag is automatically inserted into the Modify Episode page.



Episode History

To view the episode history, click on the history icon.



The following page shows the updates made to the episode. Click on the Updated Date link to see who made the change. If no FBI/DOJ record was found and the system automatically changes the Preliminary Decision Status and Date, the User Name will show Data not found.

Background Check Level	Episode Start Date	Episode Type	Determination Start Date	Out Of State	Preliminary Decision Date	Preliminary Status	Final Decision Date	Final Status	Updated	User
Caregiver	6/1/2018	Ad Hoc	6/1/2018	Yes	6/1/2018	Eligible	9/4/2018	Eligible	9/4/2018	
Caregiver	6/1/2018	Ad Hoc	6/1/2018	Yes	6/1/2018	Eligible		Pending	8/24/2018	
Caregiver	6/1/2018	Ad Hoc	6/1/2018	Yes		Pending		Pending	8/24/2018	

Redetermination/Evaluation in a New Role – Episode Sequencing

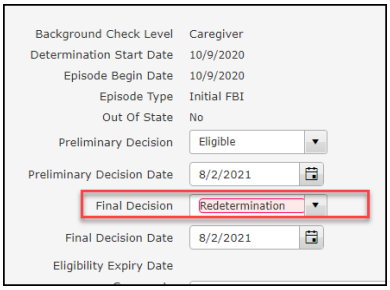
Redetermination must be done in the following scenarios:

1. CBU may overturn an eligibility decision to ineligible (or ineligible to eligible). This usually happens when additional information is received after the initial review has been done.
2. The individual's role has been changed from lower level to a higher level that requires a review.
3. Change of Final Decision Status from Eligible, Ineligible, Eligible with Stipulation, Ineligible Appealed, Cancelled and On Hold to another status.

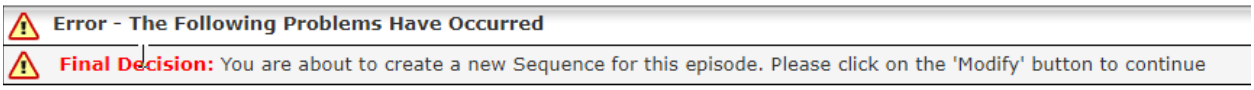
The redetermination can be done in all episode types. The Final Decision notices for the new sequence are triggered as explained in the Notices section below. Preliminary Decision letters are not sent.

Redetermination – Change in Final Status

1. Access the Modify Episode page and change the Final Status to Redetermination.

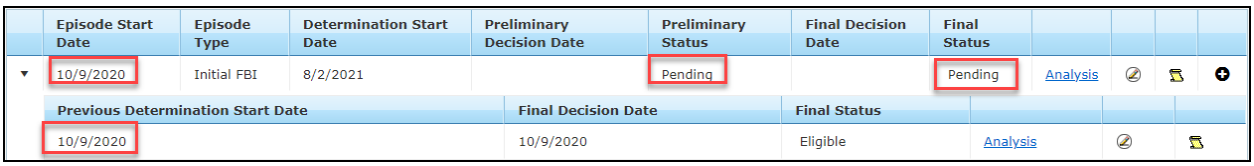


The page will show the following warning:



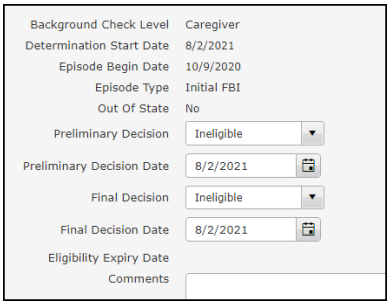
Choose Modify. The system creates a new episode sequence with both decisions in Pending status. All incidents attached to the initial episode and BCAS summary items 1-10 and 14 (summary) are copied to the new episode.

If sequence 001 has an appeal attached, that record is not copied over to the new sequence.



The provider portal shows the new status on the Background Check page.

2. Next, modify the BCAS pages with the new information and reverse the Preliminary and Final Decisions to reflect the new status.



3. Then add the reason(s) for the change in decision.

The Automated Facility and Individual letters are mailed the following day if the episode type is Fingerprint based. See Notices section for further detail.

Warning: If the Preliminary and Final Decision is first changed to Pending, no new sequence is created.

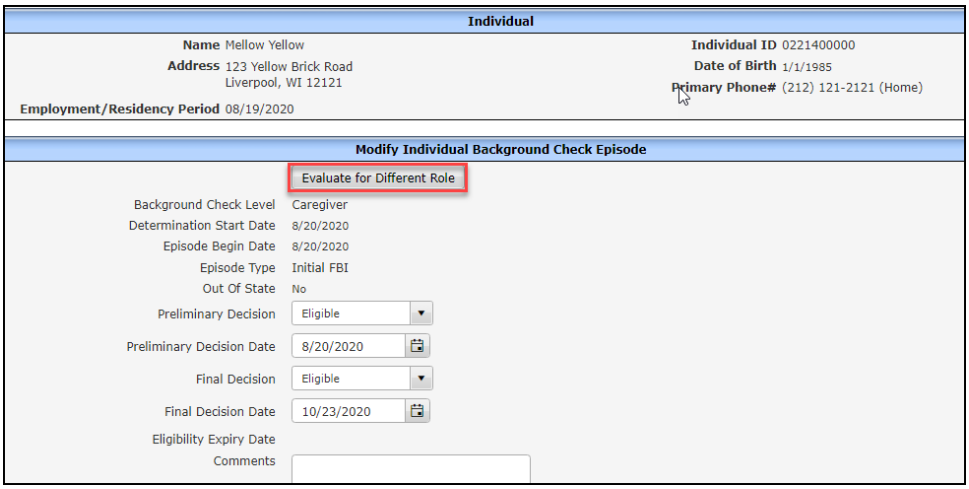
Evaluate in Different Role

If the latest background check status for an individual is complete, CCPP allows the user to change the role for the individual. The change can also be done in WISCCRS by certifier, licensor or CBU staff. In certain scenarios, a new review must be done.

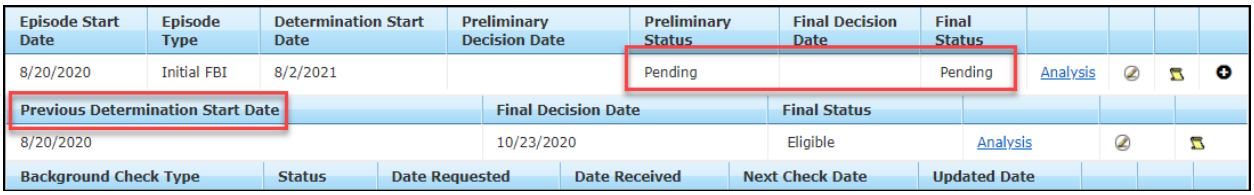
Below is a table when a review is necessary and when the role change is allowed (when the background check is not in Pending status). When a provider (or regulatory agency) submits a role change request using CCPP, a task is generated in the WISCCRS dashboard.

From Role	To Role	Review Required	Example
Higher Role – Approved	Lower Role	No	Individual approved to be an Applicant/Licensee changes role to be in a role under Caregiver or Non-caregiver.
Higher Role – Denied	Lower Role	Yes	Individual denied as a Caregiver applies to be a Non-caregiver.
Lower Role – Approved	Higher Role	Yes	Individual who is a caregiver applies to be an Applicant/Licensee.
Lower Role - Denied	Higher Role	N/A	The person is not eligible for any other role.

If the review is required, the 'Evaluate for Different Role' button appears on the Modify Episode page.
The print below demonstrates a scenario where a caregiver (Director) applies for eligibility as an Applicant/Licensee.

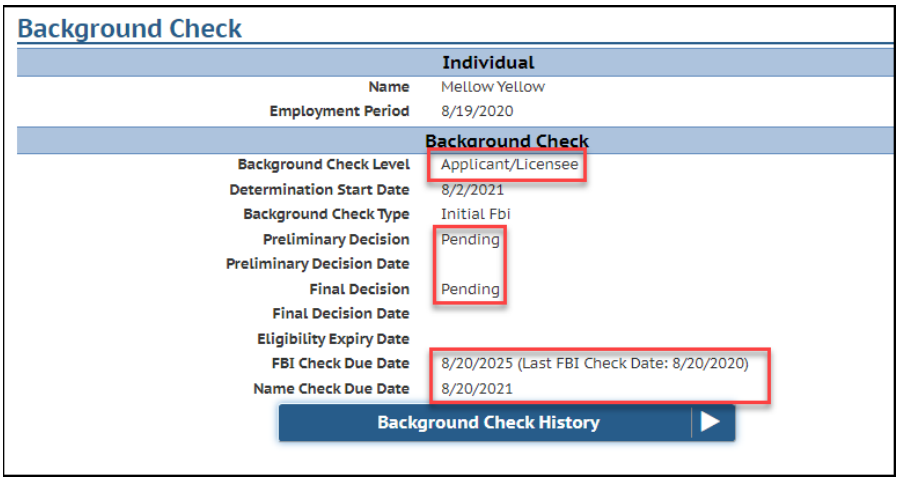


When the Evaluate for Different Role is selected, the page displays a warning stating that a new sequence will be created.



The Modify Episode page shows the Background Check Level as Caregiver. The new sequence shows Applicant/Licensee level.

CCPP Changes:
The provider portal shows the information real time. The most current screen shows that the Applicant/Licensee level check is pending. The due dates for FP and name-based checks have been added.



Appeal

If the final decision for an individual is ineligible, the person has the right to appeal the decision. There are four appeal levels:

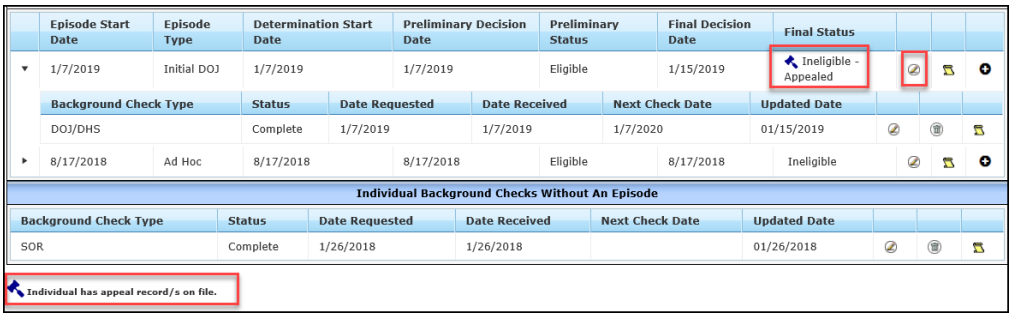
1. DECE Desk Review (reviewed by a DECE designee)
2. DCF Desk Review (reviewed by a DCF OLC designee)
3. DHA Hearing (formal hearing with DOA Division of Hearings and Appeals)
4. Judicial Hearing (any court, circuit or supreme, hearing)

The system allows the user to enter only one record of each type (1-3), except Judicial.

Note that this module is only updatable by Childcare Background Unit and Central Office Staff. Licensing and Certification staff can view the pages but cannot update.

Accessing the Appeal Module

The appeal information can be accessed on the Modify Episode page. If appeal information exists for an individual/episode, a new icon has been added to the Final Status field indicating that an appeal record exists. Click on the pencil/magnifying glass icon to view details.



Episode Start Date	Episode Type	Determination Start Date	Preliminary Decision Date	Preliminary Status	Final Decision Date	Final Status
1/7/2019	Initial DOJ	1/7/2019	1/7/2019	Eligible	1/15/2019	Ineligible - Appealed

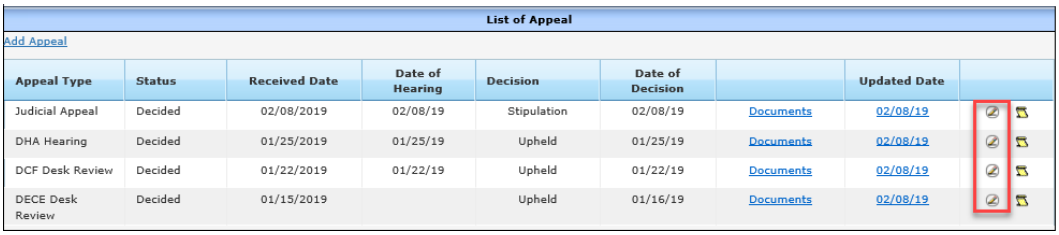
Background Check Type	Status	Date Requested	Date Received	Next Check Date	Updated Date
DOJ/DHS	Complete	1/7/2019	1/7/2019	1/7/2020	01/15/2019
8/17/2018	Ad Hoc	8/17/2018	8/17/2018	Eligible	8/17/2018	Ineligible

Individual Background Checks Without An Episode

Background Check Type	Status	Date Requested	Date Received	Next Check Date	Updated Date
SOR	Complete	1/26/2018	1/26/2018		01/26/2018

Individual has appeal record/s on file.

The appeal information is on the bottom of the Modify Episode page. To view detail on each level, click on the pencil/magnifying glass icon to access the detail.



List of Appeal

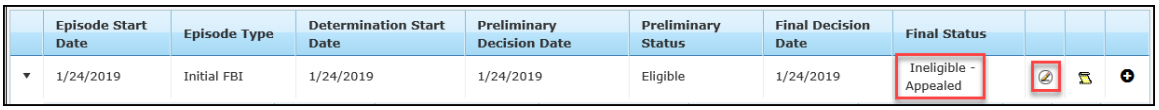
Add Appeal

Appeal Type	Status	Received Date	Date of Hearing	Decision	Date of Decision		Updated Date
Judicial Appeal	Decided	02/08/2019	02/08/19	Stipulation	02/08/19	Documents	02/08/19
DHA Hearing	Decided	01/25/2019	01/25/19	Upheld	01/25/19	Documents	02/08/19
DCF Desk Review	Decided	01/22/2019	01/22/19	Upheld	01/22/19	Documents	02/08/19
DECE Desk Review	Decided	01/15/2019		Upheld	01/16/19	Documents	02/08/19

Add an Appeal

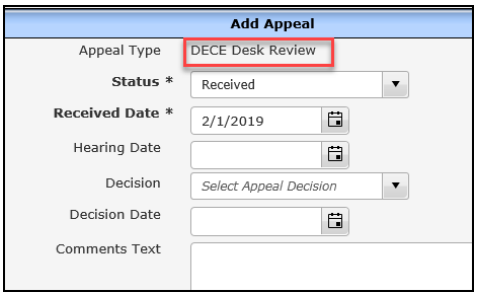
DCF Childcare Background Unit and Central Office Staff can add appeal information for an individual. Below are the steps:

1. The Final Decision Status must be Ineligible – Appealed before an appeal record can be entered.



Episode Start Date	Episode Type	Determination Start Date	Preliminary Decision Date	Preliminary Status	Final Decision Date	Final Status
1/24/2019	Initial FBI	1/24/2019	1/24/2019	Eligible	1/24/2019	Ineligible - Appealed

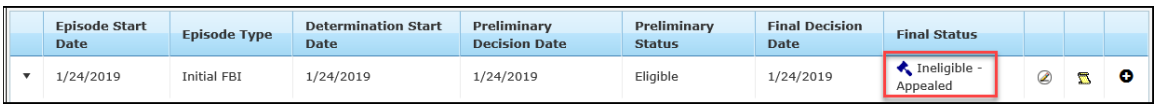
2. Click on the pencil icon to access the Modify Episode page. Scroll down to the Add Appeal section of the page.



The page has the following fields:

Field	Description
Appeal Type	Values are: • DECE Desk Review • DCF Desk Review • DHA Hearing • Judicial Hearing The values in this field are auto-populated.
Status	Values are: • Decided • Received • Under Review
Received Date	Enter the date the appeal was received.
Hearing Date	If applicable, enter the hearing date.
Decision	Values are: • Dismissed – Other • Dismissed – Settled • Dismissed – Withdrawn by Agency/DCF • Dismissed – Withdrawn by Individual • Not Upheld • Stipulation • Upheld • Withdrew
Decision Date	Enter the date the decision was made.
Comments	Comments for the appeal can be entered here.

3. After the appeal record has been entered into the Modify Episode page, the Background Checks page has an icon that indicates that an appeal record exists.



Episode Start Date	Episode Type	Determination Start Date	Preliminary Decision Date	Preliminary Status	Final Decision Date	Final Status
1/24/2019	Initial FBI	1/24/2019	1/24/2019	Eligible	1/24/2019	Ineligible - Appealed

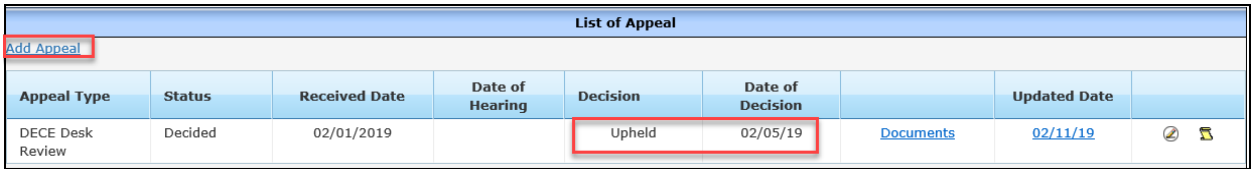
Modify an Appeal

To modify an appeal record, access the Modify Episode page to access the List of Appeal section. Click on the pencil icon to access the Modify Appeal page.

List of Appeal

Appeal Type	Status	Received Date	Date of Hearing	Decision	Date of Decision		Updated Date	
DECE Desk Review	Received	02/01/2019				Documents	02/11/19	

Once a decision has been entered, the Add Appeal link displays.

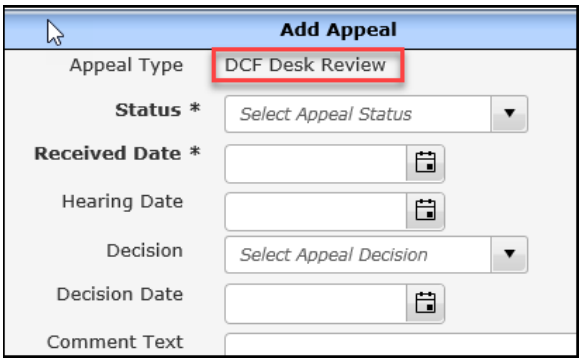


List of Appeal

Add Appeal

Appeal Type	Status	Received Date	Date of Hearing	Decision	Date of Decision		Updated Date	
DECE Desk Review	Decided	02/01/2019		Upheld	02/05/19	Documents	02/11/19	

The next appeal level is DCF Desk Review.



Add Appeal

Appeal Type: DCF Desk Review

Status *: Select Appeal Status

Received Date *:

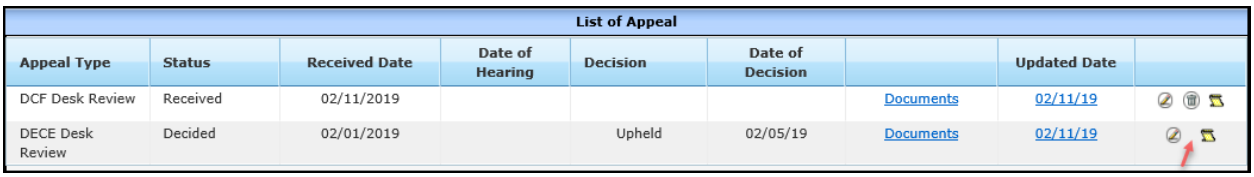
Hearing Date:

Decision: Select Appeal Decision

Decision Date:

Comment Text:

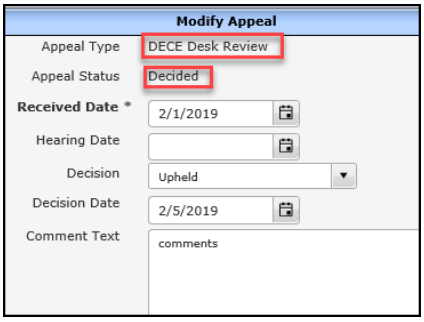
After the 2nd level appeal has been added, the first one is locked and cannot be deleted.



List of Appeal

Appeal Type	Status	Received Date	Date of Hearing	Decision	Date of Decision		Updated Date	
DCF Desk Review	Received	02/11/2019				Documents	02/11/19	
DECE Desk Review	Decided	02/01/2019		Upheld	02/05/19	Documents	02/11/19	

The Appeal Type and Status are locked on the Modify Appeal page. All other fields can be updated but not deleted.



Modify Appeal

Appeal Type: DECE Desk Review

Appeal Status: Decided

Received Date *: 2/1/2019

Hearing Date:

Decision: Upheld

Decision Date: 2/5/2019

Comment Text: comments

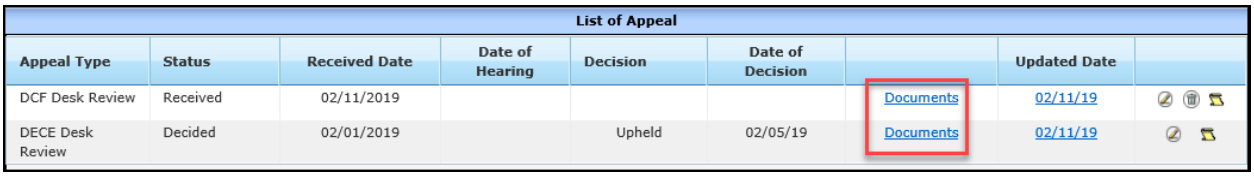
Delete an Appeal Record

If a previous appeal type must be deleted, you must delete the records starting the latest appeal type first. After the latest appeal type has been deleted, the system will open the previous level. For example, a DCF Desk Review (level 2) record must be deleted before you can delete the DECE Desk Review (level 1).

Note that if the latest one has a decision, the system does not allow deletion. To open the record for deletion, delete the Decision date, change the Decision to a blank value and finally, change the Status to Received or In Progress. After that, the deletion button appears.

Appeal Documents

Documents related to the appeal can be uploaded using the Document link by each appeal level.



List of Appeal

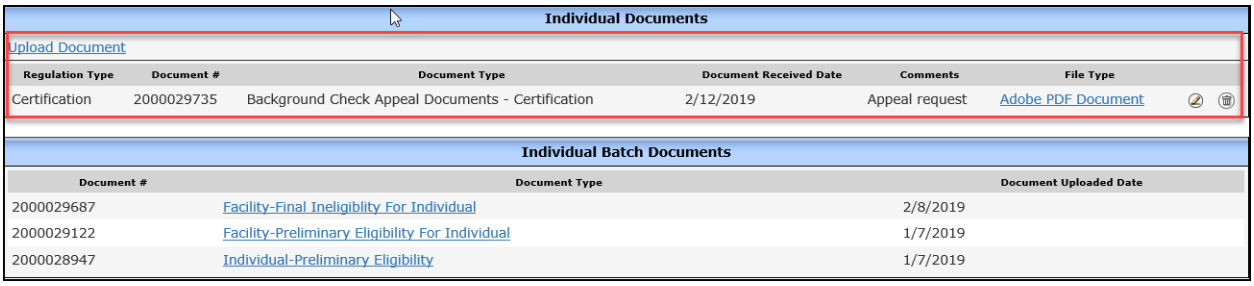
Appeal Type	Status	Received Date	Date of Hearing	Decision	Date of Decision		Updated Date	
DCF Desk Review	Received	02/11/2019				Documents	02/11/19	
DECE Desk Review	Decided	02/01/2019		Upheld	02/05/19	Documents	02/11/19	

The following types are available:

- Background Check Appeal Documents – Licensing
- Background Check Appeal Documents - Certification

In the comment field, enter more detail about the document.

The Appeal Documents feed into the Individual Document section. If the appeal record is deleted, the documents are **not** deleted with the appeal record. If the documents associated with an appeal need to be deleted, access the Individual Document section to delete them.



Individual Documents

Upload Document

Regulation Type	Document #	Document Type	Document Received Date	Comments	File Type
Certification	2000029735	Background Check Appeal Documents - Certification	2/12/2019	Appeal request	Adobe PDF Document

Individual Batch Documents

Document #	Document Type	Document Uploaded Date
2000029687	Facility-Final Ineligiblity For Individual	2/8/2019
2000029122	Facility-Preliminary Eligibility For Individual	1/7/2019
2000028947	Individual-Preliminary Eligibility	1/7/2019

Notices

Fingerprint Instruction Letter

See Fingerprint Letter section earlier in this guide on scenarios when the letter is triggered. These letters are usually sent to the provider, except if the individual submits the request from iChildcare. Those letters are sent to the individual's home address. If the person is attached to multiple facilities, each facility receives the instructional letter. If multiple individuals are added to a center during a day, all individuals will be listed on the instruction letter. This letter is immediately available in printable format in both CCPP and iCC.

These letters are found in the WISCCRS Batch Documents section for the provider location. The letters are also available in the Provider Portal under the Documents section.

Decision Letters

The system triggers decision notices as explained in the table below.

Episode Type	Preliminary Eligibility Notice	Preliminary Ineligibility Notice	Final Eligibility Notice	Final Ineligibility Notice
Initial FBI	Provider and Individual Automated. This letter is not sent when the background check is automatically approved. **Or the final decision is created on the same day as preliminary.	Provider and Individual Automated	Provider and Individual Automated	Provider and Individual* Automated
~~Initial FBI – Current Individuals (Employment / Residency Begin Date <10/1/18 and facilities included in the rollout)~~	~~No~~	~~No~~	~~Provider and Individual Automated~~	~~Provider and Individual* Automated~~
Initial DOJ	Provider and Individual Automated. This letter is not sent when the background check is automatically approved.	Provider and Individual Automated	Provider and Individual Automated	Provider and Individual* Automated
Annual FBI - OOS	No	No	Provider and Individual Automated	Provider and Individual* Automated
Annual Name Based DOJ	No	No	No. Note that if a redetermination is made from Ineligible to Eligible, the system does NOT send out letters.	Provider and Individual* Automated
5-Year FBI Check	No	No	Provider and Individual Automated	Provider and Individual* Automated

Episode Type	Preliminary Eligibility Notice	Preliminary Ineligibility Notice	Final Eligibility Notice	Final Ineligibility Notice
Ad hoc	No	No	No. Note that if a redetermination is made from Ineligible to Eligible, the system does NOT send out letters. If this happens, a new eligibility letter is needed.	Provider and Individual* Automated
Monthly CPS	No	No	No	No

* There are some exceptions to the Individual letter. See Preliminary and Final Decision Individual Ineligibility Letters section for a list of scenarios when a manual letter is needed.

Note that the center decision letters are not sent to family providers if the role is Applicant/Licensee.

**If the Preliminary and Final Decisions are done the same day, both the Preliminary and Final decision letters are sent out the same day.

When an individual who has had a complete FBI check done under Facility A and is later attached to Facility B, the Final Decision letter is retriggered to Facility B. Note that if the individual was detached from Facility A, in CCPP, more than 180 days ago, a new fingerprint check is required.

The decision letters sent to the provider are stored in the Batch Documents section in WISCCRS and in the Documents section in the Provider Portal. The individual approval letters are stored in the Documents section for the individual. The manual denial letter is uploaded into the Confidential Documents section.

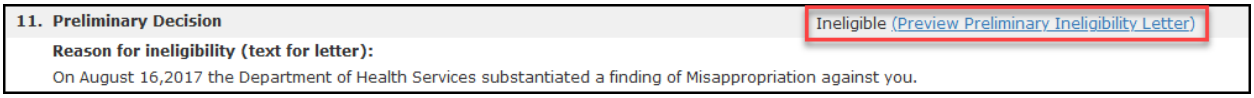
Preliminary (PD) and Final Decision (FD) Individual Ineligibility Letters

The system has been changed so that the PD individual ineligibility letter is automatically triggered and sent to the individual once the review is done by the CBU staff.

Below are the changes made to automate these letters.

1. The Background Check Analysis Summary has been modified as follows:
    a. Item 11: A comment field has been added where the reason for the denial is entered when the PD is Ineligible.
    b. Item 12: A tag and a comment field has been added where reasons for the denial(s) are entered.
    c. Name of the Analyst making the decision and Supervisor has been added. Both names are inserted into the ineligibility letter.

2. Episode Changes:
    a. Only Supervisor can change the PD to Ineligible.
    b. At least one tag is required when the decision is ineligible.
3. An immediate summary of the Ineligibility letter is available after Items 1 and 2 are completed when the PD/FD is Ineligible.



4. The notice page shows the wording for the letter (PD).

NOTICE OF BACKGROUND CHECK PRELIMINARY INELIGIBILITY

This letter notifies you that the Department of Children and Families has determined you are preliminarily ineligible to **be a caregiver at** a regulated child care center.

Section 48.686 of the Wisconsin Statutes, Criminal History and Child Abuse Record Search, identifies certain crimes, acts or offenses that prohibit individuals from holding a license or certification issued by the Department of Children and Families, being a caregiver or non-caregiver employee, or residing at a regulated entity.

The Department received a background check request, for which you were listed as **a caregiver**. In reviewing the request, the Department began conducting a background check on you and determined that you have an offense that bars you from **being a caregiver at** a regulated entity. **On August 16,2017 the Department of Health Services substantiated a finding of Misappropriation against you.**. This offense qualifies as a **Bar - With Rehabilitation** under Wis. Stat. 48.686.

The Department is finishing the review of your background check information and will notify you in writing of the final eligibility decision by mail to the address you provided. The final eligibility notice will have information on your appeal rights and information about applying for rehabilitation review, if applicable.

If you have questions regarding this notice, please contact Background Analyst at 608-422-7400.

Sincerely,

Child Care Background Unit Supervisor
Bureau of Early Care Regulation
Division of Early Care and Education

cc: Bureau of Early Care Regulation
Office of Legal Counsel

To access the Final Decision Denial details, choose the Preview Final Ineligibility Letter link on the BCAS.

13. Document the CBU staff member's Final Decision recommendations.

Ineligible (Preview Final Ineligibility Letter)

Final ineligibility letter note for (Tag 1) Bar - Permanent:

Enter details for Tag 1

Final ineligibility letter note for (Tag 2) Substantially Related:

Enter details for Tag 2.

The following screen displays the details. The upper left corner displays the template used for the letter. The details entered for each tag are inserted into the letter. The appeal section is dynamic based on the template used.

NOTICE OF BACKGROUND CHECK FINAL INELIGIBILITY

Bar Permanent

This letter notifies you that the Department of Children and Families has determined you are ineligible to **be a non-caregiver employee at** a regulated child care center.

Section 48.686 of the Wisconsin Statutes, Criminal History and Child Abuse Record Search, identifies certain crimes, acts or offenses that prohibit individuals from holding a license or certification issued by the Department of Children and Families, being a caregiver or non-caregiver employee, or residing at a regulated entity.

The Department received a **background check request** from **Lakeland Group Centre** for which you were listed as **a non-caregiver**. In reviewing the **request**, the Department conducted a background check on you and determined that you have an offense that bars you from **being a non-caregiver employee at** a regulated entity.

Enter details for Tag 1. This offense qualifies as a permanent bar under Wis. Stat. 48.686.

Enter details for Tag 2..

You may appeal this determination by following the steps described below.

APPEAL RIGHTS AND PROCEDURE

Any person aggrieved by a Department action taken under Wis. Stat. § 48.686 has the right to appeal its determination. Information about the appeals process is available online at https://dcf.wisconsin.gov/ccbgcheck/appeals.

Your written request form must be sent directly to the Child Care Background Unit (CBU) no later than ten (10) days from the date of this notice. If you require more than ten (10) days to submit your appeal, contact the CBU prior to the expiration of the appeal period to request an extension for good cause.

Submit a copy of the Petition for Appeal of Ineligibility Determination (form number DCF-F-5331-E) available online at https://dcf.wisconsin.gov/forms. Please attach a copy of this notice to your appeal form. Submit your appeal request to the Child Care Background Unit:

U.S. Mail:	**Email:**
Department of Children and Families Child Care Background Unit 201 E Washington Ave, Room E200 PO Box 8916 Madison, WI 53708-8916	Child Care Background Unit DCFPlicBECRCBU@wisconsin.gov **Fax:** 608-422-7155

If you have questions regarding this notice, please contact Background Analyst **Ben Backgroundchecker** at 608-422-7400.

Sincerely,
Charlotte Cbusupervisor
Child Care Background Unit Supervisor
Bureau of Early Care Regulation
Division of Early Care and Education

cc: Bureau of Early Care Regulation
Office of Legal Counsel

If the following tags are used, the system creates the ineligibility letter:

- Bar - With Rehabilitation
- Bar - 5-year with Rehabilitation
- Permanent Bar
- Substantially Related
- CBC Fit and Qualified
- Failure to Respond
- Redetermination

The following denials do NOT have a template. A manual letter must be sent.

- Bar - Pending Charge
- Substantially Related - Pending Charge
- CBC Fit and Qualified - Pending Charge
- Bar - 5-year
- 5-Year Bar with Stipulation
- Rehab Review Approval

The text highlighted in yellow is inserted as follows:

First section:

- If applicant licensee and licensed, then 'be licensed to operate'
- If applicant licensee and certified, then 'be certified to operate'
- If caregiver role, then 'be a caregiver'
- If non-caregiver role, then 'be a non-caregiver employee at'
- If household member, then 'reside at'

Third Section:

- First sentence: Based on highest role
- Second sentence: Based on highest role
- Third sentence: Details of barred offense should come from BCAS

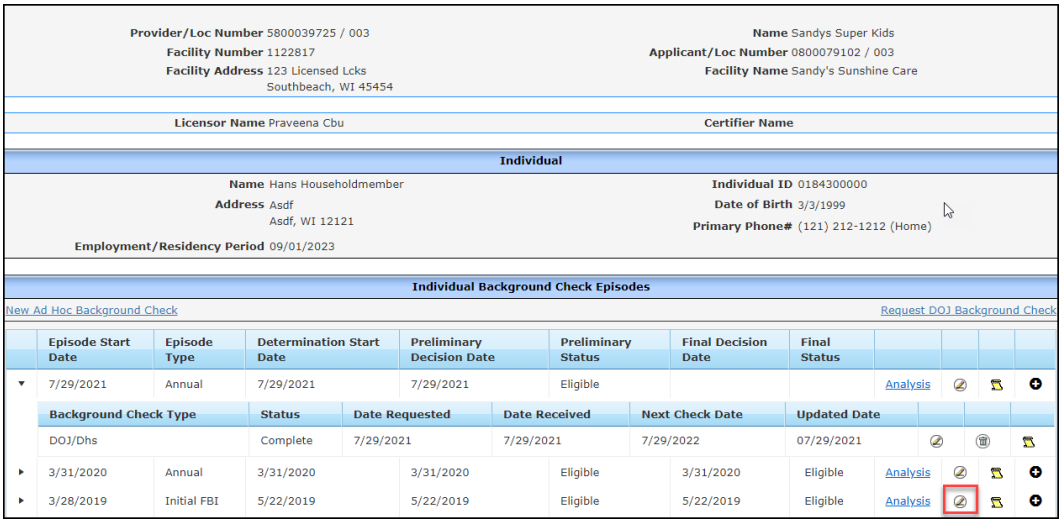
CBU Staff and Supervisor comes from BCAS

The system generates the letter overnight and mails it to the individual. The letter is available in the Individual Confidential Documents. Individual Ineligibility letters are not displayed in the Provider Portal, but are available in iCC.

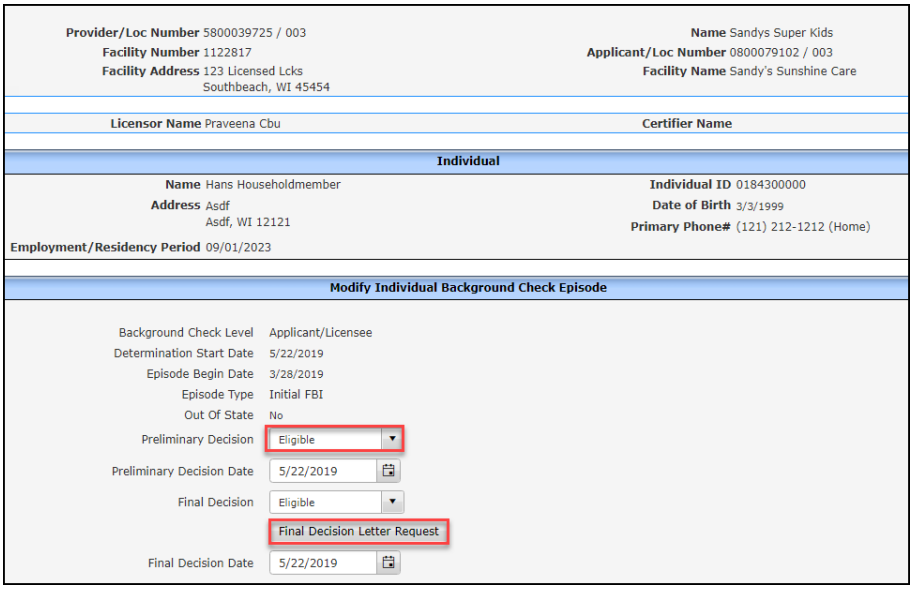
Re-triggering the Eligibility Letters

If an individual moves from one facility to another, the CBU staff can retrigger the final decision letter (eligible or ineligible) to be sent to the new facility. This only applies when the Final Decision status is Eligible to Ineligible.

To re-trigger the final decision letter, access the location the letter should be sent to. Then navigate to the latest fingerprint check.



The Modify Individual Background Check Episode page displays Final Decision Letter Request button. If the Final Decision is something else but eligible or ineligible (pending, expired, etc.), the button does not appear.



The letter is generated the following day for both the individual and the facility.

Background Check Quarterly Notice

The department sends out Quarterly Notices to childcare programs informing them which individuals are due for an annual name-based background check. The notices are sent to childcare programs around the 20th of December, March, June and September each calendar year.

Licensees/operators will need to review these notices carefully to ensure the department has the most up-to-date list of individuals associated with their childcare program. Annual name-based checks will be conducted on the following individuals:

- Age 18 or older
- Has an employment/residency status of Current or Prospective
- Has completed a DCF-conducted fingerprint-based background check (or DOJ Initial on minor employees) within 12 months or earlier

If the list of individuals included in the Notice or employment/residency status is not up-to-date, the licensee/operator needs to update the information in the CCPP as soon as possible and before the automated DOJ is run. The cost of the annual name-based check is $10 per individual. The department will mail invoices every four months for the cost of any annual name-based checks conducted.

A copy of the Notice is available in the CCPP Facility documents and in the Batch Documents in WISCCRS.

The notice may have multiple sections depending on whether any individuals associated with the program fall under the criteria for the section. The sections are explained below.

List of individuals who have a 5-Year FBI due within the next four months:

Upcoming Fingerprint Background Checks

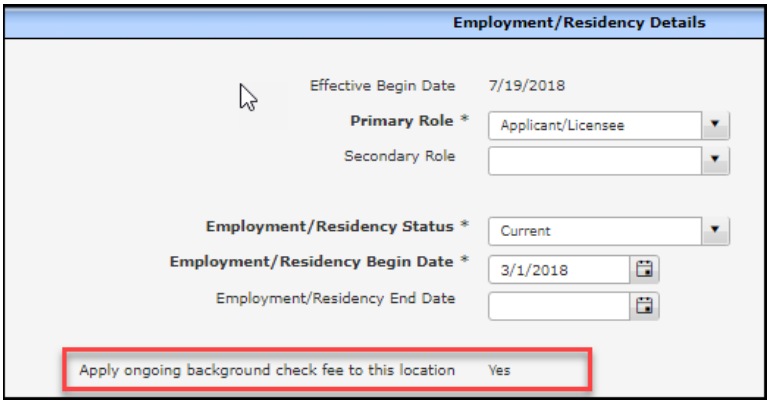
Individual(s) scheduled for a five-year FBI background check within the next four months:

Name	Role/Position	FBI Check Due
RANDY RANDALL	Applicant/Licensee	08/29/2019

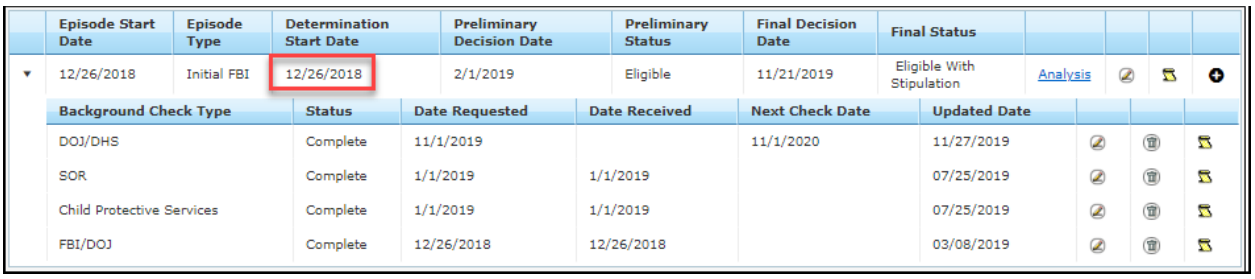
In addition to individuals who are due to have the 5-year check done, this section also includes the following individuals:

- Minor employees who have had an Initial DOJ conducted but the minor is turning 18 during the next four months.
- Individuals who reside outside WI must have the fingerprint check done on an annual basis.

Individuals who are associated with multiple facilities, are listed in the notice to the center where the Apply CBC Fee is set at Yes. This indicator is found on the Individual Details screen in WISCCRS.



The 5-year FBI due date (1-year for individuals residing outside WI) is calculated from the Determination Start Date of the latest background check. The date is found on the Individual's Background Checks screen.



Episode Start Date	Episode Type	Determination Start Date	Preliminary Decision Date	Preliminary Status	Final Decision Date	Final Status	
12/26/2018	Initial FBI	12/26/2018	2/1/2019	Eligible	11/21/2019	Eligible With Stipulation	Analysis

Background Check Type	Status	Date Requested	Date Received	Next Check Date	Updated Date
DOJ/DHS	Complete	11/1/2019		11/1/2020	11/27/2019
SOR	Complete	1/1/2019	1/1/2019		07/25/2019
Child Protective Services	Complete	1/1/2019	1/1/2019		07/25/2019
FBI/DOJ	Complete	12/26/2018	12/26/2018		03/08/2019

Note that there can be scenarios when the FBI Check Due is in the past. This may have happened with facilities that were licensed prior to the new background check roll-out, on 10/1/18, but the center was scheduled to receive the Fingerprint reminders during the later stages of the roll-out. If the individual has never had an FBI check done in the past, the system uses the date the first Fingerprint roll-out notice was mailed to the facility.

List of individuals who are past due for a fingerprint check:

This section lists individuals associated with the program that are past due on their fingerprint submissions. The system will generate an Overdue Fingerprint Notice 30 days after the Quarterly Notice for the individuals listed here who have still not submitted their fingerprints at the time the Overdue Notice is generated.

Past Due Fingerprint Background Checks

The following employee(s)/resident(s) associated with your program are past due for submitting fingerprints. Please have these individuals schedule a fingerprint appointment immediately to avoid a noncompliance.

Name	Role/Position	FBI Check Due
JOHN JANUARY	Household Member	04/01/2020
SHELLY REED	Contracted teaching staff	10/16/2020
JAN JANUARY	Applicant/Licensee	01/24/2021
EL CAPITANO	Facilities staff	02/24/2021
GLORIA BELT	Contracted teaching staff	03/17/2021

This is generated based on the date the FP letter is sent and starts the compliance clock

List of individuals who are due for an annual name-based check:

This section lists individuals associated with the program that are due to have an annual name-based background check done within the next four months.

Upcoming Annual Name-Based Background Checks

Individual(s) scheduled for an annual name-based background check within the next four months:

Name	Role/Position	DOJ Check Due
LENA LANNI	Applicant/Licensee	08/15/2019
SANSA STARK	Teacher - Lead	08/15/2019
DANI TARGARYEN	Teacher - Lead	09/05/2019

The system schedules the DOJ annual checks 12 months after the last FBI check Determination Start Date. Then annually thereafter. The annual is skipped during the year the 5-year FBI is done. No individual will have both the DOJ and FBI due within the same calendar year.

List of Individuals who have had the annual name-based check conducted within last three months:

This section lists all individuals associated with the program who have had an annual DOJ name-based check conducted.

Completed Background Checks

Annual name-based background check(s) have been conducted on the following individual(s) associated with your facility within the last three months. You will receive an invoice for any of these checks you are yet responsible to pay for.

Name	Role/Position	Latest DOJ Check
CAROM CASITTA	Student Intern	12/17/2019

The program will be invoiced for these checks. Note that there are scenarios with newly licensed/certified programs when the $10 fee has been already paid by the provider/operator. The system will not include these in the invoicing.

List of Individuals in Prospective status associated with the program:

This section lists all individuals associated with the program who have prospective status whether their background check is due or not.

Prospective Employees

The following employee(s)/resident(s) associated with your program have prospective status. Please update the status once the employment/residency decision has been made. Note that annual name based checks are automatically conducted on these individuals and your center may be invoiced for the checks.

Name	Role/Position	Prospective As Of
BHA RATHI	Administrator	10/26/2018

Prospective employees FP expires after 180 days and they will need to be fingerprinted again.

Overdue Fingerprint Notice

This letter is triggered automatically and sent to the facility 30 days after the Quarterly Notice has been mailed. This notice includes the individuals who were listed in the Past Due Fingerprint Background Checks section of the Quarterly Notice if they have not submitted their fingerprints at this time.

Overdue Fingerprint Background Checks

The following employee(s)/resident(s) associated with your program are overdue for submitting fingerprints. Please have these individuals schedule a fingerprint appointment immediately to avoid a noncompliance.

Name	Role/Position	FBI Check Due
CDA PROVIDER	APPLICANT/LICENSEE	08/28/2014

The system generates the letter overnight and mails it to the facility. A copy of the Notice is available in the CCPP under Communications Documents and in Batch Documents in WISCCRS.

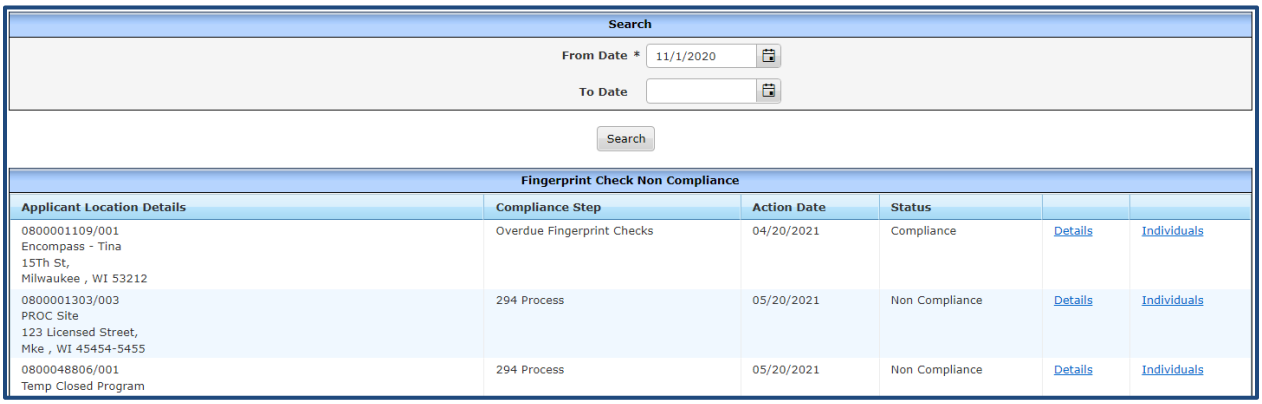
Fingerprint Compliance Module

The purpose of this module is to track fingerprint non-compliance through an automated process. This process will begin when individuals have not submitted their fingerprints at the time the Quarterly Notice is generated (plus at least 30 days after the FP Letter was sent) and are populated in the Past Due Fingerprint Background Checks section.

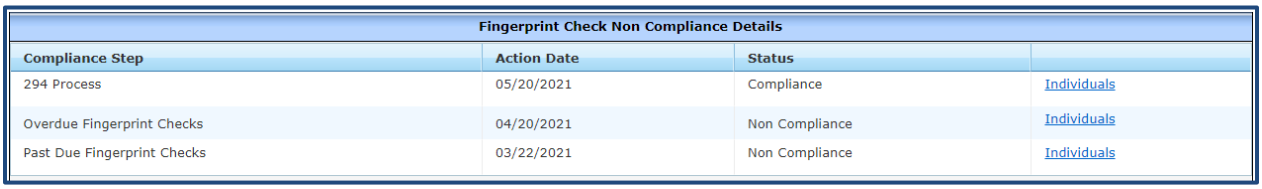
Accessing the FP Compliance Module/CBC Compliance Details

From the Administration page in WISCCRS select Fingerprint Non Compliance.

From there you can generate a list of facilities using a general (open-ended To Date) or a specific timeframe. The From Date is a required field, the To Date is optional. The default From Date is set for 7 months prior to the last Quarterly Notice done. The rows are sorted in descending order of the Action Date. Your list will include any facility that has had a FP Non Compliance or Compliance action during the timeframe entered in the search parameters.



The Details link, for each Applicant on the list, will take the user to the Fingerprint Check Non Compliance Details page for the facility. The Individuals link shows the individuals attached to the facility who were not in compliance with the law at the time of the batch run. This page shows the FP Non Compliance history for that particular facility.



This page is also accessible by clicking on the CBC Compliance Details link in the left navigation panel of WISCCRS under the Location Details section of any facility.

Non-compliance Process

The Fingerprint Check Non Compliance Details page displays the details for the FP Non Compliance history for the facility. The system will automatically generate each step of the process as long as at least one of the non-compliant individuals has not come into compliance. The process restarts if a new individual is inserted in the Past Due section of the Quarterly Notice.

Below the entire process is explained in more detail.

Note that the process can end after any of the step below if the facility has corrected the non-compliance. If the facility has become compliant, a Background Check Compliance task is generated into the CBU inbox.

1. **Past Due Fingerprint Checks** – A quarterly batch process identifies the individuals who are past due for fingerprint checks and those individuals populated in the Past Due Fingerprint Background Checks section of the Quarterly Notice. The status of this step is Non Compliance.

2. **Overdue Fingerprint Checks** – Thirty (30) days after the Quarterly Notice, an Overdue Fingerprint Notice is sent to the facility listing individuals who still have not submitted their fingerprints at the time the Overdue Notice batch run. The status can be either Non Compliance or Compliance. If all individuals listed as past due have come into compliance in the previous 30 days, the notice will show as Compliance and the process ends.

3. **294 Process** – If the individual(s) missing the FP check listed on the Overdue Fingerprint Notice previous month, the system generates a rule violation 30 days after the Overdue Notice batch and attaches the non-compliant individuals to it. The system also creates a visit where the 294 is attached to. The 294 is only run for those individuals who are still non- compliant at the time of the batch run. The status can be either Non Compliance or Compliance. If all individuals listed on the Overdue Notice have come into compliance in the previous 30 days, the 294 Process in facility CBC Compliance Details screen shows as Compliance and the progression ends.

    a. **Licensing and MECA Certification**: CBU staff manually selects the Print Non Compliance With Cover Letter button and sends it to the provider by mail/email. **The Compliance/Non Compliance Issue Date on the <u>Modify Site Visit</u> screen must be entered so the violation is sent to the Public Search**. CBU Staff can modify/delete these system created violations if needed.
    b. **BOS Certification**: A task is generated to the Certification Agency Dashboard. To issue the 294, the Certifier manually selects the Print Non Compliance button and sends it to the provider by mail/email. **The Compliance/Non Compliance Issue Date on the <u>Modify Site Visit</u> screen must be entered so the violation is sent to the Public Search**. Certifiers can modify/delete these-system created violations if needed.

The CBC Non-Compliance Automated Violations section in the Monitoring Results user guide explains the 294 automation in more detail and how to send out the non compliance, cover letter and staff key.

The system also automatically generates the Description for the 294 as "Fingerprints not completed for the following individuals: Individual 001, Individual 002, Individual 003…" depending on how many individuals are non-compliant. The staff key identifies the individuals.

	Rule/Statute Number Noncompliance Statement	Correction Plan	Expected Completion Date	Verification Date
1	251.05(2)(a)2. **Staff Record - Completed Background Check** Description: Fingerprints not completed for the following individuals: Individual 001, Individual 002, Individual 003, Individual 004, Individual 006, Individual 007, Individual 008, Individual 009, Individual 010, Individual 011, Individual 012			

4. Enforcement Process

Licensing:

1. **Order**: If the facility under steps 1-3 above continues to be non-compliant, a Background Check Non-Compliance – Order Letter task is generated to CBU inbox 15 days after the 294-process has run. CBU manually enters the enforcement into the enforcement module and sends the enforcement notice to the facility.
2. **Forfeiture**: If the facility above continues to be non-compliant after the order task, a Background Check Non-Compliance – Forfeiture task is generated to CBU inbox 15 days after the order task under item 1 above. CBU manually enters the enforcement into the enforcement module and sends the enforcement notice to the facility.
3. **Revocation**: If the facility above continues to be non-compliant after the order forfeiture task, the system generates Refer to Agency task to the CBU inbox 15 days after the Forfeiture task. The regional office may issue a 30-day notice of revocation or revocation against the facility if the violation has not been corrected.

Milwaukee County Certified Programs:

1. **Suspension:** If the program continues to be non-compliant, 30 days after the 294 was generated, the system generates a Background Check Non-Compliance – Suspension task to CBU. CBU may issue a suspension. The suspension is manually entered into WISCCRS. Provider's YoungStar status is changed to 1 Star.
2. **Revocation:** If the program continues to be non-compliant after suspension, 30 days after Suspension task, a Background Check Non-Compliance – Refer to agency task is generated. BECR regional staff may issue revocation to the facility due to non-compliance.

Balance of State Certified Programs:

- **Enforcement:** If the program continues to be non-compliant, 30 days after the 294 task was generated, a Background Check Non-Compliance – Refer to agency task is generated to CBU inbox. CBU contacts the agency for further action.

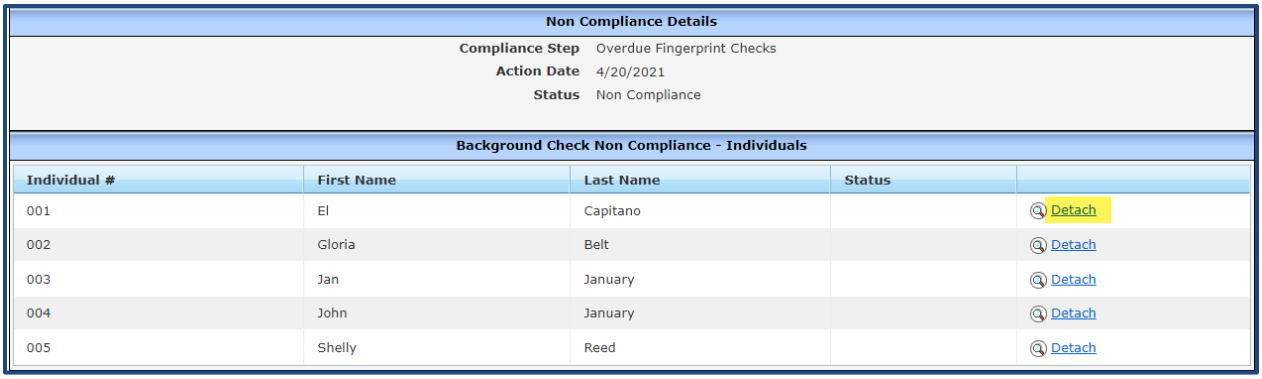
Below is an example that shows the various stages of non-compliance for a licensed program:

Fingerprint Check Non Compliance Details			
Compliance Step	**Action Date**	**Status**	
Refer to Agency	01/19/2023	Compliance	Individuals
Enforcement Forfeiture	01/03/2023	Non Compliance	Individuals
Enforcement Order	12/16/2022	Non Compliance	Individuals
294 Process	11/21/2022	Non Compliance	Individuals
Overdue Fingerprint Checks	10/20/2022	Non Compliance	Individuals
Past Due Fingerprint Checks	09/20/2022	Non Compliance	Individuals

Managing individuals attached to a non-compliance record.

The Individuals link from either Fingerprint Non Compliance module on the Administration page or CBC Compliance Details on the facility page, points directly to the list of individual(s) who were not in compliance with the fingerprint background check process at the time of the batch run. This page is called Non Compliance Individuals and shows the Non Compliance Details along with the Background Check Non Compliance – Individuals. The icon takes you to that individual on the Location Details – Individuals page.

If you determine the need to remove one of the individuals because they should not continue through the Non Compliance process at this time, you can detach them by selecting the Detach link.



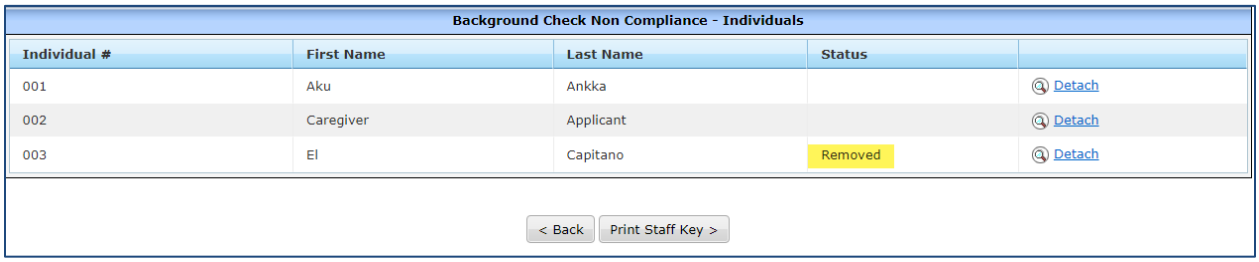
Non Compliance Details

Compliance Step Overdue Fingerprint Checks
Action Date 4/20/2021
Status Non Compliance

Background Check Non Compliance - Individuals

Individual #	First Name	Last Name	Status	
001	El	Capitano		Detach
002	Gloria	Belt		Detach
003	Jan	January		Detach
004	John	January		Detach
005	Shelly	Reed		Detach

Select Removed from the dropdown, click on Save. This changes the individual's status to Removed. This process can be reversed by clicking on Detach again and by changing the status to the blank option. Note: This Removed individual will not be considered for future runs of **this** quarter. However, at the beginning of the next quarter, the individual will be added back into the Past Due section of the Quarterly notice (if the individual has not completed the fingerprints). Example: If an individual is detached in March for related batch runs, in June the system will pick the individual up again, if the individual is still non compliant. If the letter was triggered in error, the individual is removed and the FP must be deleted.



Background Check Non Compliance - Individuals

Individual #	First Name	Last Name	Status	
001	Aku	Ankka		Detach
002	Caregiver	Applicant		Detach
003	El	Capitano	Removed	Detach

< Back Print Staff Key >

Processing/Mailing 294-Non Compliance

The 294-generation is explained in the Monitoring Results user guide under CBC Non-Compliance – Automated Violations section.

Fingerprint Enforcements

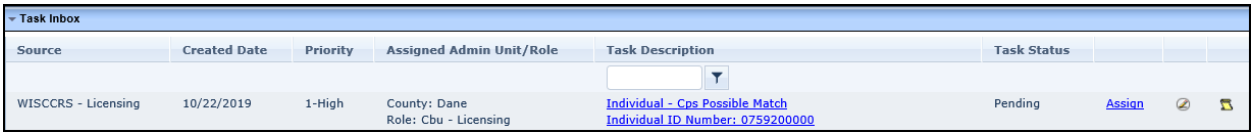
The CBC related enforcements are manually entered into WISCCRS just like other enforcement types. Please refer to the Enforcements User Guide for more details.

Monthly matches

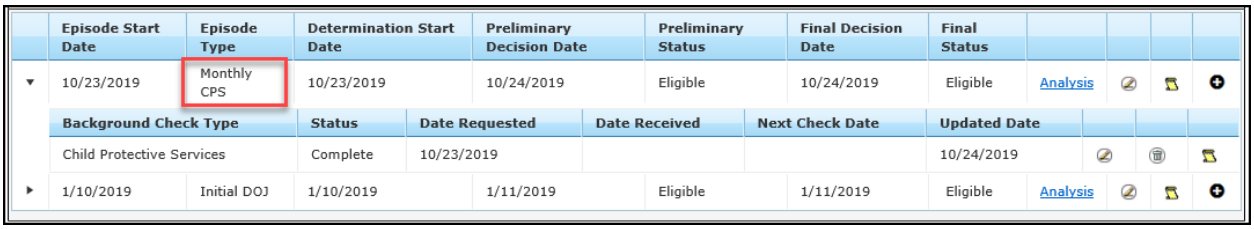
Existing individuals are matched on a monthly basis with the maltreater file only. Individuals from WISCCRS are included if they:

- Have an Initial/5-year FBI or Initial DOJ episode with final decision
- Have active employment/residency (or potential employment/residency)
- Are associated with an active provider, a technical college, contracting service agency or the unaffiliated facility.

Any new matches or updated incident information on the individual will trigger a task to the CBU.



The task will link to the page where potential matches are displayed. If a potential match is marked as a Match, the page will create a CPS Background Check and Monthly CPS Episode. When no matches or new incidents are found, no episodes or background checks are created.



If a potential match is found during the monthly match, the Monthly CPS episode is not shown on CCPP or iCC. If the match results in an ineligibility determination, CBU staff create a new Ad Hoc episode and mark the Final Decision as Ineligible. This will trigger a letter to the facility and the Ad Hoc episode is displayed in CCPP and iCC.

Matching Algorithm

Four different field combinations are used to consider a match. The table below shows how the system designates the matching score:

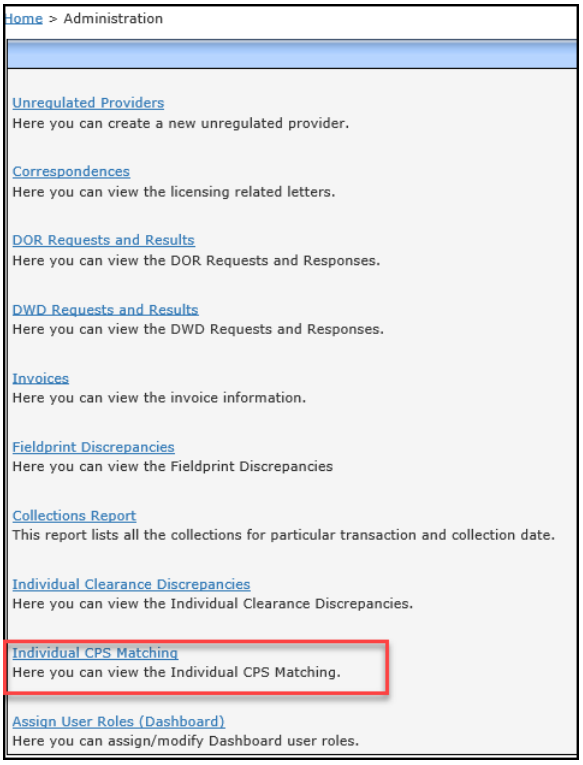
Match Type	SSN	DOB	Name	Soundex	Address	Score
SSN + Other Field(s)	Y	Y	Y			100
	Y	Y		Y		99
	Y	N	Y			96
	Y	N		Y		95
Name + Other Field(s)	M	Y	Y		Y	94
	M	Y	Y		N	93
	M	Y		Y	Y	92
	M	M	Y		Y	91
	M	M		Y	Y	90
SSN Only	Y		N	N		89
Name Only	M	M	Y		N	88
Name + Wrong DOB	M	N	Y		Y	84
	M	N	Y		N	83
	M	N		Y	Y	82

Match Type	SSN	DOB	Name	Soundex	Address	Score
Name + Wrong SSN	N	Y	Y		Y	77
	N	Y	Y		N	76
	N	Y		Y	Y	75
	N	M	Y		Y	74
	N	M	Y		N	73
	N	Y		Y	N	72
	N	M		Y	Y	71

Y = Yes; N = No; M = Missing; Space = any value

List of Individuals with Potential Matches:

This page is only available for CBU staff. The potential list of matches can be accessed from the individual's Episode page or from the Administration page. To access the complete list, click on the Administration link on the WISCCRS home page, then access the Individual CPS Matching link.

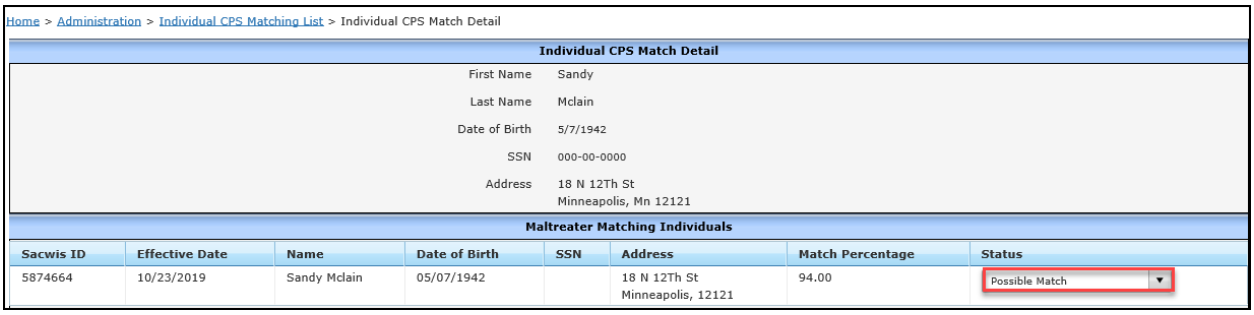


The list shows all individuals who have a potential match that has not been confirmed by CBU staff. Click on the icon next to the person to view the potential matches.

Individual CPS Matching List

Name	Date of Birth	Address	Max Match Score ▲	
Tony Chevrolet	09/25/1982	123 Anytown Road Madison, WI 54546	100.00-SSN + Other Field(s)	
Opal Hart	08/01/1992	104 Dane St Dane, WI 53529	100.00-SSN + Other Field(s)	
Sandy Sutter	03/03/1990	123 Main Street Janesville, WI 45454	100.00-SSN + Other Field(s)	
Good Book	09/22/1970	201 E Washington Ave Madison, WI 53703	70.00-Name + Wrong SSN	
Rupert B Giles	03/14/1975	1232 National Lane Brookfield, WI 43956	99.00-SSN + Other Field(s)	

You are taken to the Individual CPS Match Detail page where the match can be processed.



Once the Status of a potential match is changed to either Match or False Positive, the record falls off the List of Matches page.

Security

The background check screens are only updatable by the Childcare Background Unit staff. Below is a table that explains the security in more detail.

User type	Override Annual CBC Fee	Override Episode	TCN Update	Individual / Fieldprint Discrepancies	Assign Multiple Tasks	View FBI / NSOR Results*	BCAS	CPS Matches	SOR Matches	CCAP Check
CBU-Supervisor	Update	Update	Update	Update	Yes	Yes	Update	Update	Update	Update
CBU-Staff	No update	Update	No update	Update	No	Yes	Update	Update	Update	Update
Licensing staff	No update	No update	No update	Can't access	No	Yes	View summary	No	No	View
Certification staff	No update	No update	No update	Can't access	No	No	View summary	No	No	View

*In order to view FBI results, a security training must be completed before access can be granted.