

# Caregiver Background Check Pilot



October 13, 2005

# Federal Pilot

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- ❑ The Caregiver Background Check Pilot was included in the 2003 Medicare reform bill
- ❑ Senator Kohl, a long time advocate of a national caregiver registry, was an important supporter of the pilot
- ❑ Pilot is administered by the Centers for Medicare and Medicaid Services (CMS) in consultation with the Department of Justice

# Federal Pilot

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- Purpose of the pilot is to identify efficient, effective, and economical procedures for conducting fingerprint-based background checks

# Federal Pilot

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- Seven states are participating in the background check pilot:
  - Alaska
  - Idaho
  - Illinois
  - Michigan
  - Nevada
  - New Mexico
  - Wisconsin
- Three states received abuse and neglect prevention training funding:
  - Alaska
  - Michigan
  - Wisconsin

# Federal Pilot

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- States were chosen to show a wide array of models
- Wisconsin is the only pilot state that:
  - Has a purely provider-driven hiring process
  - Is doing a pilot within a pilot (only four counties are affected)
  - Is using pilot funds to cover 100% of the fees associated with the fingerprint background check

# Federal Pilot

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- As part of the Caregiver Pilot, CMS requires the following provider types to participate:
  - Nursing homes
  - Long-term Care Hospitals
  - ICF/MRs
  - Hospices
  - Home Health Agencies
  - CBRFs with 9 beds and up
  - Personal Care agencies – Medicaid State Plan

# Federal Pilot

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- The pilot impacts only New Hires during the pilot period, including:
  - New hires under the age of 18
  - Former employees
- The following groups are not impacted by the pilot:
  - Existing staff
  - Staff required to do their 4-year Caregiver background check renewal
  - Volunteers
  - Students

# WI Caregiver BC Pilot

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- Pilot will use Wisconsin's existing definition of a Caregiver:
  - Is employed by or under contract with an entity
  - Has regular, direct contact with the entity's clients or the personal property of the clients
  - Is under the entity's control
- Caregivers may be provisionally hired pending the results of their background check for up to 60 days if their BID is clean

# WI Caregiver BC Pilot

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Includes the following Counties:

- Dane
  - Kenosha
  - La Crosse
  - Shawano
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- Only newly hired PCW and Home Health caregivers hired to provide care in a pilot county while working for an agency located in a pilot county will be included in the pilot.

# WI Caregiver BC Pilot

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Background Process will be phased in:

- Kenosha County will begin January 1, 2006
- La Crosse County will begin February 1, 2006
- Dane and Shawano Counties will begin March 1, 2006

The end date for all counties is  
September 30, 2007

- At that time, providers will return to their current background check process

# WI Caregiver BC Process

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- Goal is to understand the added value of fingerprint-based background checks
- Providers should continue their current practice but add on the pilot elements, most importantly the fingerprint background check
- Background checks should stop at any point in the process if the provider decides not to hire

# WI Caregiver BC Process

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1. Caregiver completes Background Information Disclosure form and the Release of FBI Information

2. Employer checks free registries
- ❑ WI Nurse Aid Registry
  - ❑ Other state registries
  - ❑ OIG Exclusion List

# WI Caregiver BC Process

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## 3. Employer completes Caregiver Background Check on DOJ website

- Includes DHFS/DRL governmental finding and licensure information
- Employers are required to get a DOJ account

## 4. Employer makes arrangements for fingerprinting

- Division of Gaming in Dane and Kenosha (Drop-in, must complete form)
- Promissor in La Crosse and Shawano (Website or 1-800 number)

# WI Caregiver BC Process

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5. Caregiver attends Fingerprinting appointment

6. Div. of Gaming/Promissor sends prints to DOJ

7. DOJ runs prints through state database and sends prints to the FBI

# WI Caregiver BC Process

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8. Fingerprint results are sent from DOJ to the Employer via DOJ website

- Results should be returned within 24-48 hours from time DOJ receives prints
- Provider responsible for checking DOJ website for results

9. Employer makes final hiring decision

# WI Caregiver BC Fees

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- The pilot will cover the following fees:
  - Fingerprint capturing fee
  - State fingerprint search fee waived by DOJ
  - FBI fingerprint search fee
  - For PCW-only agencies, pilot will also cover existing Caregiver BC name search fee
- Provider/Applicant will be responsible for the following costs:
  - Transportation to/from fingerprint site
  - Staff time associated with added procedural steps

# Federal Pilot

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- CMS is requiring pilot states to collect the following data:
  1. Number of background checks initiated
    - By provider or provider type
    - By category of employee
    - By calendar month (may change to quarterly)
  2. For initiated background checks
    - # ended with voluntary withdrawal
    - # resulted in disqualification
    - # rehabilitated
    - # appealed their disqualification

# Federal Pilot

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- CMS data elements cont..
  3. Average length of time to perform background check
  4. State expenditures for background checks
  5. Number of substantiated incidents of abuse, neglect and mistreatment per resident of participating providers
  6. Resident and family complaints
  7. Deficiency citations
  8. Staff vacancy rates, number of applicants, retention/turnover rates and staff/resident ratios

# WI Caregiver BC Pilot

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- DHFS is using existing data collection methods to collect as much of this data as possible (items 4-8)
- Participating providers will be asked to submit aggregate hiring data on a quarterly basis (items 1-3, & 8)
  - The Pilot Implementation Committee is helping to design the collection tool and process

# WI Caregiver BC Pilot - Committee

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- Implementation Committee provides input on the policies and procedures affecting the pilot
  - First meeting was August 17, 2005
  - Next meeting is October 13, 2005 10am–2 pm
  - PCW-only meeting September 28, 2005 10am-12pm
  - Meetings
    - In Madison at DHFS's Southern Regional Office
    - Travel scholarships available

# WI Caregiver BC Pilot - Training

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- ❑ Wisconsin is one of three states to receive additional training to create new and innovative abuse and neglect prevention training
- ❑ The goal of the training is to reduce the incidence of abuse, neglect, and misappropriation
- ❑ CMS has funded training programs to study the alternative means of reducing abuse and neglect

# WI Caregiver BC Pilot - Training

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- Covers the same groups as the background check
  - Nursing Homes, LTC hospitals, ICF/MRs, Hospices, Home Health Agencies, PCW agencies
  - In Dane, Kenosha, La Crosse, Shawano
  - Beginning January 1, 2006 and ending September 30, 2007
- Training, however, covers both existing staff and new hires

# WI Caregiver BC Pilot - Training

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## □ Training Goals

- Training advances DHFS goals to protect vulnerable adults & families, encourage healthy behaviors, & promote community responsibility
- Training has a clear impact on the knowledge, skills, and values of participants
- Training is attended by enough caregivers to create systemic change
- Training utilizes multiple modes of delivery, including an experiential component

# WI Caregiver BC Pilot - Training

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## □ Training Goals Continued

- Training meets the needs of different provider types and regions, while maximizing limited budget
- Training is easily replicable and can continue after the pilot ends
- Training focuses on best practices in collaboration with providers and staff
- Training is consistent with up-to-date research on abuse and neglect prevention

# WI Caregiver BC Pilot - Training

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- All training will be provided in each of the pilot counties at least once
- All training will be free of charge
  - Providers are responsible for transportation and wages
- Goal is to create relevant training that caregivers want to attend and providers determine is valuable enough to cover the costs of attendance

# WI Caregiver BC Pilot - Training

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- Experiential Training Model
  - Is **practical** rather than abstract
  - Is **active** rather than passive
  - Involves the **whole person**
  - Appeals to **varied learning styles**
  - Have **individualized outcomes**
  - Is congruent with **principles of adult learning**

# WI Caregiver BC Pilot - Committee

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- Abuse and Neglect Prevention Advisory Committee provides input on the training materials and process
  - First meeting was August 2, 2005
  - Next meeting is November 30, 2005
  - Meetings
    - All day working meetings
    - At MATC-Downtown Campus, Madison
    - Travel scholarships available

# WI Caregiver BC Pilot - Committee

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- During the August 2 meeting, Committee members
  - Participated in an Experiential Training created for the Dept. of Workforce Development
  - Brainstormed ideas on abuse and neglect prevention training
- Members were supportive of using the experiential training model:
  - 79.3% either completely or somewhat agreed
  - 15% were undecided
  - 5.7% completely disagreed

# WI Caregiver BC Pilot – Training

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- Curriculum Development: August – November 2005
  - Periodic review by committee members: Sharing ideas and expertise
- Pilot training and Committee meeting on November 30 at MATC
  - Opportunity to provide feedback
- Training begins in 2006

# WI Caregiver BC Pilot – Training

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- Plan to roll out experiential training from February – April 2006 in all of the counties
- Will work with providers to provide smaller tailored training based on the experiential training
- If interest exists, will continue to provide large experiential training throughout pilot

# WI Caregiver BC Pilot – Training

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- We will also develop a series of topical trainings starting in spring 2006 based on issues raised in experiential training
- In the last months of the pilot, we will work with DHFS, providers, associations and other interested groups to package the training materials for use after the pilot ends

# WI Caregiver BC Pilot – Tech Train

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- Technical Training will cover
  - Background check process
  - Data collection process
  - Overview of abuse and neglect training with instructions on how to register
- Training will be delivered in each pilot county 6 weeks before implementation
  - Kenosha – 11/15 and 11/29
  - La Crosse – 11/17 and 12/6

# WI Caregiver BC Pilot – Staff

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- Updated information can be found at:

<http://dhfs.wisconsin.gov/caregiver/fedBCpilot.htm>