

# BCCU BACKGROUND AUTHORIZATION & HCRR FINGERPRINTING PROCEDURES

HCRR Procedures for submitting Fingerprint-based Background Authorization Forms to the BCCU have changed. Additionally, documentation sent to case management and tracking Individual Provider (IP) activity has also changed. Please follow the steps below for all new potential IP's and current Providers you are renewing that are **not** exempt from fingerprint-based background checks.

There are two portions of a fingerprint-based background check:

- A Washington State Name and Date of Birth (NDOB) check is completed first.
- Then a fingerprint-based background check is run through the Washington State Patrol (WSP) and the Federal Bureau of Investigation (FBI).

## **Step 1: Complete the WA State Name and Date of Birth portion of the background check.**

**Complete the Background Authorization form** when a new IP applies for the Registry.

### **HCRR Completes Section 1:**

- 1a.** Write the name of your HCRR exactly as it is listed with BCCU.  
Your HCA's name, address, and assigned account number can be found on the [BCCU website](#).
- 1b.** Write the HCRR's address exactly as it is listed with BCCU.
- 2.** Print and sign your name as the staff person responsible for completing and submitting the Background Authorization.

The image shows a 'Background Authorization' form from the Washington State Patrol. The form is titled 'Background Authorization' and includes instructions to read attached instructions before completing. It is divided into several sections for personal information, employment details, and background check requirements. A large, semi-transparent box with the text 'Fingerprint Check Required' is overlaid on the form, specifically covering the 'FINGERPRINTING' section. The form also includes checkboxes for various background check types and a 'Printed Name' field for the applicant's signature.

- 3.** Do not fill out this section. Instead, put a mailing label over this section, with "Fingerprint Check Required" printed clearly on the label.

4. BCCU account number. Use your assigned [BCCU account number\(s\)](#).

5a. Leave blank

5b. Write in the OCA # you get in the Interim Results letter (described below). **If you do not use the “Fingerprint Check Required” label on faxed forms, or the Authorization is submitted via the web-based system, the OCA# that will then appear on the results letter is NOT tied to the Fingerprint process and will cause more delay and confusion.**

**IP completes Section 2:**

- Direct the IP to follow the instructions on page 3 of the Background Authorization form.
- Verify that the IP has correctly and completely filled out all questions under Section 2 of the Background Authorization form.

**Submit the completed Background Authorization form directly to BCCU.**

- Submit the form by FAX: 360-902-0292

**For Non-HCRR’s without web-based access:** FAX the completed Background Authorization form DSHS 09-653 directly to the BCCU with a “Fingerprints Required” label for all IPs who are not exempt from this process.

**For AAA-Based HCRRs with web-based access:** It is highly recommended that you submit the form by fax to meet the required timelines for the background check process and for the IP to be able to apply for certification as a Home Care Aide with the Department of Health. Additionally, when you fax the Workers Authorization in with the “Fingerprints Required” label, attached you will receive a fingerprints-based OCA number that is good for 12 months.

**AAA-based HCRR’s:** If you are using web-based forms, continue with this process and use the OCA generator to get the proper OCA number prior to scheduling the fingerprint appointment.

**Take action on the results of the WA State Name and Date of Birth portion of the background check:**

- You will receive an Interim Result Letter from BCCU (see sample attached) and any attached results from the WA State Name and Date of Birth check.
- The Interim Result Letter itself will indicate that the IP either has:
  - No record of criminal convictions, pending charges or negative actions \*, OR
  - A criminal conviction, pending criminal charge, or a negative action that appears on the [Secretary’s List of Crimes or Negative Actions](#), or
  - A criminal conviction or pending criminal charge or a negative action that does NOT appear on the Secretary’s List of Crimes or Negative Actions.

## **If required, complete a Character, Competency and Suitability Review.**

Use [updated CC&S form](#) adapted for HCRR use and send to the appropriate HCRR/ADSA Program Manager for final determination.

- **If Approved**, the HCRR/ADSA Program Manager will send a copy of the Interim Result Letter and corresponding CC&S decisions to the local HCRR. (See sample letters attached.)
- **If Denied**, the HCRR/ADSA Program Manager will send a copy of the Interim Result Letter and corresponding CC&S decisions to the local HCRR and the IP.
  - If the IP believes any information is incorrect, **the IP must contact BCCU or the agency that reported the information directly**. The Interim Result letter lists the contact information required. If BCCU receives updated or correct information, they may issue a corrected Result letter to the IP.

## **Originating Case Agency (OCA) #**

The Interim Result Letter also lists the IP's OCA #. The OCA# is an important identifying tracking number between BCCU, MorphoTrust (formerly L-1), and the DOH.

- **Point out the OCA# to the IP when you give him/her a copy of the Interim Result Letter.** Reinforce that he or she will need it for the Fingerprint Appointment Form, the Application for Certification as a Home Care Aide, and at the fingerprinting appointment. **NOT having the proper OCA# in all of these cases brings an immediate and delaying stop to the background check and certification process.**

## **Background Checks and Hiring**

An IP can be hired for a 120 day provisional period:

- After the Washington State Name and Date of Birth check portion of the background check is completed and the IP is NOT disqualified based on the results; or
- While the fingerprint-based portion of the background check is pending.

## **HCRR Database Tracking for Name/Date of Birth Processing**

- Use same location in the database to enter in the Name/Date of Birth background check information. This process has not changed and the corresponding activity list will continue to prompt for this information to be entered and updated within same (24 month) timeline. See below for more detail regarding data entry/tracking fingerprint process in database.

**Step 2: Submit the FP Appointment Form only when the Worker is matched and Employment is pending:**

Once the Provider is matched and is going to be hired by a consumer, go to the MorphoTrust website to schedule a fingerprint appointment and complete the on-line form. **Note: Use only one OCA number to avoid paying for duplicate prints.**

**1a. Fill out the Finger Print Appointment Form**

- Download the Finger Print Appointment Form ([Word](#)) ([PDF](#))
- Complete the Fingerprint Appointment Form. This form must be completed by both the employer and the IP. This form includes instructions and information about the appointment and lists required information needed for the Washington State Patrol/FBI to complete the background check.

The image shows a screenshot of the 'Fingerprint Appointment' form from the Department of Social and Health Services. The form is titled 'Fingerprint Appointment' and includes the following text: 'Use this form to assist in scheduling a Department of Social and Health Services fingerprint appointment.' Below this, 'Section 1: To be completed by the requesting agency' contains two main instructions. Instruction 1 asks for the BCCU Account Number and BCCU Inquiry ID/OCA Number. Instruction 2 asks for one of the following categories: Children's Administration, State Employee, Aging and Disability Services Administration, or Long Term Care Applicants. Each category has a list of sub-categories with checkboxes. Three callout boxes are present: one on the left pointing to the BCCU Account Number field with the text 'Use your assigned account #. See item 4 Section 1 above for more information.'; one on the right pointing to the BCCU Inquiry ID/OCA Number field with the text 'The OCA number assigned to this LTC worker as found in the Interim Results letter.'; and one at the bottom left pointing to the 'Aging and Disability Services Administration' checkbox with the text 'Check this box if you are a HCA serving Medicaid clients.'

- Once completed, verify that the IP has filled it out correctly. Verify that the OCA# is correct.
- The IP must keep the form and bring it with them to the MorphoTrust fingerprinting appointment.
- **Send/give a copy of the appointment form to the IP and make a copy for their provider file.**

**1b. Set up the fingerprinting appointment**

MorphoTrust (aka - L1 Enrollment Services or L1) is the company that must perform the electronic fingerprinting for all applicants.

- Schedule the fingerprint appointment. The person scheduling the appointment will need the information listed on the Fingerprint Appointment form.

Here is a list of [MorphoTrust/L-1 locations](#). Appointments can be scheduled online at [www.ibtfingerprint.com](http://www.ibtfingerprint.com), or by calling 1-888-771-5097.

When the IP goes to the scheduled fingerprinting appointment, he or she MUST bring:

- The Fingerprint Appointment Form,
- The **correct** OCA #, and
- An approved picture ID (as listed in the Fingerprint Appointment Form).

### 1c. Enter the date appointment was set into Registry database

Use the Provider Background check section of the Registry database to enter in the date the fingerprint appointment was “requested”. A 120-day count, for purposes of tracking via the Referral Registry, begins with the date of the fingerprint appointment. This date must be manually entered into the database.

- This date will initiate an activity list trigger for the HCRR Coordinator to follow-up with the IP at **45 days** from the date appointment was requested to assure that the IP has followed through.
- At **120 days** the IP will be made inactive and another activity list item will require the HCRR Coordinator to follow-up with the case manager, notifying them of the provider's status, before closing the activity.

### 1d. Take action on the results of the fingerprint portion of the background check

- The fingerprints are submitted to the Washington State Patrol and the FBI. The results are sent to BCCU. It can take days to weeks for BCCU to get the results back.
- BCCU sends the final Result Letter back to you. If there are convictions, pending charges, and/or negative actions, the Result Letter will only tell you that the results are based on the fingerprint-based check.
- **For AAA-based HCRRs:** If BCCU does not send you the fingerprint results with the final result letter, you can request a copy. **You cannot give a copy of the fingerprint results to the IP.** Per BCCU, **“Federal law prohibits sharing this FBI result in writing or verbally outside of DSHS.”** **The IP must request his/her copy from BCCU.**
  - Use updated CC&S forms adapted for HCRR use to indicate the CC&S is based on FP results and send in completed form, the BCCU results letter, and the background authorization form(s) to the HCRR/ADSA Program Manager.
- **For Non-AAA HCRRs:** The law prohibits BCCU from including FBI criminal history to non-governmental agencies. The HCRR/ADSA Program Manager can request a copy of the fingerprint results from BCCU but the results cannot be shared with non-governmental employees. You must have the HCRR/ADSA Program Manager request those records from BCCU so that a decision can be made and a Results Letter can be sent to you and the IP.
  - In the Comment section (#5) of the updated CC&S Assessment form, indicate the CC&S is based on fingerprint results and ask for prints to be requested. Include the BCCU results letter and the background authorization form(s) with your assessment.
  - The HCRR/ADSA Program Manager will request the fingerprints from BCCU; and upon receipt, will review the fingerprint results and make a decision.

- The Result Letter will indicate that the IP either has:
  - No record of criminal convictions, pending charges or negative actions with the Washington State Patrol or FBI, OR
  - A criminal conviction or pending criminal charge or a negative action that appears on the [Secretary's List of Crimes or Negative Actions](#), OR
  - A criminal conviction or pending criminal charge or a negative action that **DOES NOT** appear on the [Secretary's List of Crimes or Negative Actions](#).
- If the IP believes any information is incorrect, he/she must contact BCCU or the agency that reported the information directly. The Result Letter lists the contact information required. If BCCU receives updated or correct information, they may issue a corrected Result letter to you.
- **The local HCRR Staff must provide receipt/proof that prints were rolled and results letter to the appropriate office where the client originated from (AAA, DDD, HCS, PPL).**
- **Non-AAA HCRRs—this is new:** When you submit the applicant packet to the Case Manager, you will not have a copy of the fingerprint results. The Case Manager will need to see the fingerprint results to complete his/her CC&S. The Case Manager can request a copy of the prints via secure email to the Program Manager.

## HCRR FINGERPRINT CHECK PROCESS FAQs

### When does HCRR initiate fingerprint a check?

- Once the hire is made the FP check must be done.
- Once a match is made for a pre-qualified worker the HCRRs will schedule an appointment with Morpho-Trust so that the IP will have the appt slip and correct OCA #.

### When does the 120-day provisional hire start and where do we enter this in the database?

- The date the hire was authorized and entered into SSPS is the official start of the 120 count down.
- However, for purposes of tracking via the Referral Registry, the date that the fingerprint appointment was set is the date that the HCRR Coordinator will be entered into the database in the background check screen.
  - This date will also start a **120-day count**, with an activity list trigger for the HCRR Coordinator to follow-up with the IP at **45 days** to assure that they have made it to their scheduled fingerprint appointment.
  - At **120 days** the IP will be made inactive and another activity list item will require the HCRR Coordinator to

### Does the appointment form provide adequate documentation for the case manager to authorize the provider to work?

- Yes. A copy of the appointment form should be presented to the case manager (authorizing entity) as part of the Provider file.

### DDD is asking clients to sign a Provisional Hire Acknowledge. Is this also the case for HCRR-based IPs?

- Yes, until further notice, DDD requires the Client/Leg Rep to sign [Provisional Hire Acknowledgement](#) for Provisional Hires. This means that DDD staff will have the client that chose an IP off of the Registry sign the document.

### How can we find out if the IP already has a fingerprint OCA number or has already had prints on file at BCCU – (run through another entity)?

- For HCRRs with access to the web-based system, Coordinators can enter the name and run a check. This may not give results for all programs within ADSA.
- Send an email to [bccuinquiry@dshs.wa.gov](mailto:bccuinquiry@dshs.wa.gov) and inquire if prints are on file. You will need the IPs full name and date of birth. **This option should be used sparingly so as to avoid inundating BCCU with daily requests for everyone.**

### If an IP does have results available or is running prints outside of the HCRR process, how can we access those results?

- Per BCCU, the fingerprint results are program-specific. This means we can only access results that were run by someone within ADSA. (For instance, we would not have access to prints run by Children's Administration.) If there are prints on file within ADSA programs, there will be a notation on the results letter that indicates the results were based on an FBI fingerprint check. AAA-based HCRRs can request a copy of the fingerprint results from BCCU. Non-AAA HCRRs can notify the HCRR/ADSA Program Manager that prints are on file and should be requested to complete the CC&S process.

#### **Can an IP request a copy of his/her fingerprint results? If so, can the IP share the results with the HCRR?**

- Yes, an IP can request a copy of his/her own fingerprint results. Have the IP fill out a [Request for Background Check Information](#) and mail or fax directly to BCCU. Do not let the IP send in the request before MorphoTrust has had time to process the prints. BCCU has been flooded with requests for information before they actually receive the fingerprint results.
- Once an IP received his/her fingerprint results, they are the IP's property to do whatever he/she wishes. The IP can give a copy of the fingerprint results to a Registry Coordinator, even if that Coordinator resides in a Registry that is non-AAA based.

#### **Can fingerprint results be shared with case managers?**

- Yes, if the case manager resides within DSHS or an Area Agency on Aging. Send the appropriate information (case manager's name and AAA) to your HCRR/ADSA Program Manager who will send the results via secure email. Case Managers residing within an AAA should already have access to fingerprint results.

#### **Can a CC&S Assessment be RUSHED and how do I go about requesting that?**

- Yes, Coordinators can request that an assessment be rushed if an IP has been matched and is being put to work immediately. On the secure email or fax transmittal sheet, indicate that the assessment is a RUSH and give a brief description of why it needs to be rushed. The HCRR/ADSA Program Manager will make every attempt to process your request ASAP and get the results back to you. **Please do not abuse this privilege.**

# Sample - Interim Results Letter



STATE OF WASHINGTON  
DEPARTMENT OF SOCIAL AND HEALTH SERVICES  
Background Check Central Unit  
PO Box 46025, Olympia, Washington 98504-5025  
Phone: (360) 902-0299 / Email: [bccuinquiry@dshs.wa.gov](mailto:bccuinquiry@dshs.wa.gov)

### CONFIDENTIALITY NOTICE

For authorized personnel only. This information is intended for use by the requester ONLY. If received in error, please contact the Background Check Central Unit immediately at [bccuinquiry@dshs.wa.gov](mailto:bccuinquiry@dshs.wa.gov) or (360) 902-0299. This information and any attachments are protected under State and Federal law. Anyone receiving these documents in error is prohibited from disclosing, copying, or distributing the information.

Review Date: June 29, 2010

### TRAINING RECORD

Date of Birth: 1/1/1950

Inquiry ID/OCA: 732667

This worker's assigned OCA #.

The applicant, the Washington State Patrol, the Department of Corrections, the Department of Social and Health Services, the Department of Health, the Washington Courts, and possibly other states provided the information in this background check result. As of the date of this background check, the Department has found the applicant has:

**No record of criminal convictions, pending charges or negative actions.**

THE RESULTS of this part of the background check. In this example, no records were found. See a list of other possible results below.

This result is based on a Washington State name and date of birth background check. When complete, the results of the Washington State Patrol and Federal Bureau of Investigation fingerprint check will be sent to you.

WHICH CHECK these results are based on.

In this case, it is the WA State Name and Date of Birth results.

### NOTICE TO THE PERSON WHO REQUESTED THIS BACKGROUND CHECK

The Background Check Central Unit (BCCU) is only a provider of information and does not decide the character, competence, or suitability of the applicant. BCCU does not decide if a conviction, pending criminal charge or negative action is disqualifying. BCCU only gathers and provides background information upon request, but does NOT make hiring, contracting, placement, or licensing decisions for the Department or its service providers.

### The background check requester acknowledges that:

1. It is the requester's responsibility to give the applicant a copy of this letter and any attached information.
2. It is the requester's responsibility to make sure the name and date of birth listed above are correct and to contact BCCU if it is not correct. Please include the applicant's name and inquiry ID/OCA number.
3. Under Washington law, Washington Administrative Code, and program requirements, it is the requester's responsibility to perform a character, competence, and suitability review and make the decision to hire or not hire an applicant. BCCU does not determine if a criminal conviction, pending criminal charge or negative action is disqualifying.
4. It is the requester's responsibility to question his or her DSHS program contact about the process of making character, competence, and suitability decisions.
5. Federal law does not allow BCCU to give the requester a copy of an applicant's fingerprint result. Only the applicant may request a copy.

Background check requester's responsibilities.

It is the applicant's responsibility to verify and correct their background information and to provide documents to clarify an unknown conviction, pending charge or other action.

If the applicant believes the conviction, pending charge, negative action or other action reported to BCCU is incorrect, s/he can contact BCCU or the agency that reported the information. BCCU will refer the applicant to the appropriate agency for further assistance:

1. Washington State Patrol: (360) 534-2000
2. Department of Corrections: (360) 725-8888
3. Department of Health: (360) 236-4700
4. Washington Courts: Contact the court that made the decision

The LTC worker's responsibilities to verify and correct their background information (if needed) and who to contact for further assistance.

# Sample - BCCU Result Letter



STATE OF WASHINGTON  
DEPARTMENT OF SOCIAL AND HEALTH SERVICES  
Background Check Central Unit  
PO Box 46625, Olympia, Washington 98504-6025  
Phone: (360) 902-6299 / Email: bccuinquiry@dshs.wa.gov

### CONFIDENTIALITY NOTICE

For authorized personnel only. This information is intended for use by the requester ONLY. If received in error, please contact the Background Check Central Unit immediately at [bccuinquiry@dshs.wa.gov](mailto:bccuinquiry@dshs.wa.gov) or (360) 902-6299. This information and any attachments are protected under State and Federal law. Anyone receiving these documents in error is prohibited from disclosing, copying, or distributing the information.

Review Date: June 24, 2010

### TRAINING RECORD

Date of Birth: 1/1/1950

Inquiry ID/OCA: 732871

This worker's assigned OCA #.

The applicant, the Washington State Patrol, the Department of Corrections, the Department of Social and Health Services, the Department of Health, the Washington Courts, and possibly other states provided the information in this background check result. As of the date of this background check, the applicant has at least one of the following on his/her record:

A. A criminal conviction or pending criminal charge;

OR

B. A negative action.

THE RESULTS of this part of the background check. In this example, at least one record was found. See a list of other possible results below.

This result is based on a fingerprint check conducted by the Washington State Patrol and Federal Bureau of Investigation

WHICH CHECK these results are based on. In this case, it is the fingerprint-based check from the WSP/FBI.

### NOTICE TO THE PERSON WHO REQUESTED THIS BACKGROUND CHECK

The Background Check Central Unit (BCCU) is only a provider of information and does not decide the character, competence, or suitability of the applicant. BCCU does not decide if a conviction, pending criminal charge or negative action is disqualifying. BCCU only gathers and provides background information upon request, but does NOT make hiring, contracting, placement, or licensing decisions for the Department or its service providers.

### The background check requester acknowledges that:

1. It is the requester's responsibility to give the applicant a copy of this letter and any attached information.
2. It is the requester's responsibility to make sure the name and date of birth listed above are correct and to contact BCCU if it is not correct. Please include the applicant's name and inquiry ID/OCA number.
3. Under Washington law, Washington Administrative Code, and program requirements, it is the requester's responsibility to perform a character, competence, and suitability review and make the decision to hire or not hire an applicant. BCCU does not determine if a criminal conviction, pending criminal charge or negative action is disqualifying.
4. It is the requester's responsibility to question his or her DSHS program contact about the process of making character, competence, and suitability decisions.
5. Federal law does not allow BCCU to give the requester a copy of an applicant's fingerprint result. Only the applicant may request a copy.

Background check requestor's responsibilities.

It is the applicant's responsibility to verify and correct their background information and to provide documents to clarify an unknown conviction, pending charge or other action.

If the applicant believes the conviction, pending charge, negative action or other action reported to BCCU is incorrect, s/he can contact BCCU or the agency that reported the information. BCCU will refer the applicant to the appropriate agency for further assistance:

1. Washington State Patrol: (360) 534-2000
2. Department of Corrections: (360) 725-8888
3. Department of Health: (360) 235-4700
4. Washington Courts: Contact the court that made the decision.

The LTC worker's responsibilities to verify and correct their background information (if needed) and who to contact for further assistance.

\*Adapted from ADSA website "Implementing I-1163 – Fingerprint Background Checks"