



# National Forum for Background Checks

AHFSA Annual Conference  
Background Screening Interest Track  
September 23-26, 2018

## Performance Monitoring and Reporting in NBCP Programs

James Joslin/OK, Session Leader

# Measuring Performance in Background Screening Programs



- ▶ Objective: This session will describe several monitoring and reporting initiatives that address different aspects of NBCP screening programs.
- ▶ Questions from interested States: Our conference goal is dialogue. In this session, representatives from interested States are encouraged to ask questions; describe their challenges of effectiveness, efficiency and equity; and exchange information.

# Performance Monitoring and Reporting: Topics

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- ▶ Performance monitoring and reporting: Consider internal and external stakeholders – James Joslin
- ▶ Designing reports in BCS – Beth Haynes
- ▶ CNA analysis from NBCP Quarterly Report data – Ernie Baumann
- ▶ Characteristics of BCS use – Allison Dudziak
- ▶ Group discussion – Group

			Outcomes		
Inputs	Activities	Outputs	Short-Term	Medium-Term	Long-Term
Applicants	<ul style="list-style-type: none"> <li>• Make application</li> <li>• Consent to screening</li> <li>• Submission of fingerprints</li> </ul>	<ul style="list-style-type: none"> <li>• Consent</li> <li>• Data for registry screening</li> <li>• Fingerprints</li> </ul>	<ul style="list-style-type: none"> <li>• Excluded applicants with bad actor history</li> <li>• Monitored criminal history records</li> <li>• Expedited hiring process for previously cleared applicants</li> </ul>	<ul style="list-style-type: none"> <li>• Reduced incidence of abuse, neglect, misappropriation, and fraud</li> <li>• Improved quality of employees</li> <li>• Reduced health care employment turnover</li> </ul>	<ul style="list-style-type: none"> <li>• Improved health and safety for vulnerable populations</li> </ul>
Providers	<ul style="list-style-type: none"> <li>• Applicant entry in system</li> <li>• State and national exclusion registry search</li> <li>• Review of results</li> </ul>	<ul style="list-style-type: none"> <li>• Registry determination</li> <li>• Clearance to fingerprint</li> <li>• Hiring decision</li> </ul>			
Technology & Information Systems	<ul style="list-style-type: none"> <li>• Software and web portal OK-SCREEN</li> </ul>	<ul style="list-style-type: none"> <li>• Web portal for registry screening, applicant process tracking and determination dissemination through provider communications</li> </ul>			
Fingerprint collection network	<ul style="list-style-type: none"> <li>• Collection of fingerprints</li> </ul>	<ul style="list-style-type: none"> <li>• Fingerprints submitted to State Bureau of Investigation</li> </ul>			
State Bureau of Investigation	<ul style="list-style-type: none"> <li>• Validation of fingerprint image</li> <li>• Process state and national criminal history records search</li> </ul>	<ul style="list-style-type: none"> <li>• Results of Criminal history records search</li> </ul>			
OK-SCREEN Staff	<ul style="list-style-type: none"> <li>• Review of criminal history record information</li> <li>• Issue correspondence</li> <li>• Review court records</li> </ul>	<ul style="list-style-type: none"> <li>• National fingerprint based criminal history records search</li> <li>• Determination of eligibility               <ul style="list-style-type: none"> <li>• Appeal hearings</li> <li>• Issuance of waivers</li> </ul> </li> </ul>			
Office of General Counsel & Administrative Hearing Officer	<ul style="list-style-type: none"> <li>• Review waiver requests</li> <li>• Appeal process</li> </ul>	<ul style="list-style-type: none"> <li>• Determinations on wavier requests</li> </ul>			



# Measuring Performance – James Joslin

- ▶ Measure output
  - ▶ How many
  - ▶ Cost
- ▶ Monitor efficiency
  - ▶ Time to produce determination
  - ▶ Cost per determination
- ▶ Monitor outcomes:
  - ▶ Rates of abuse, neglect, misappropriation (ANM)
  - ▶ Waivers
  - ▶ Disqualified based on out of state crime or registry
  - ▶ ANM incidents and offenses review
- ▶ Demographics



# Demographic Measurement

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- ▶ Who
- ▶ What
- ▶ Where
- ▶ When
- ▶ How



# Efficiency

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- ▶ Tools for Management Control
- ▶ How do you know your program is:
  - ▶ Improving?
  - ▶ Declining?



# Designing System Reports – Beth Haynes

- ▶ Data Available from CMS Quarterly Data Report
- ▶ Can report on
  - ▶ Volumes / Backlog
  - ▶ Timeframes to Complete
  - ▶ Outcomes
- ▶ Sample CORE Reports
  - ▶ Connecting Applications Report
  - ▶ Criminal History Count by Category
  - ▶ Metrics Report
  - ▶ Productivity Reports – Quick Glance and by User





# CMS Quarterly Data Report Elements

Categorization	Time Tracking	Results
Provider Type	Record Created	Overall Registry Results
Employment Type	Registry Search Completed	State Determination
Fingerprint Type	Fingerprints Taken/Rejected	Federal Determination
Missing Disposition	State Response Requested/Received	Overall Determination
Appealed	Federal Response Requested/Received	Appeal Decision
	State/Federal/Final Determination Completed	Invalidated by Rap Back
	Appeal Started/Completed	Closed for various reasons
	Permanent Hire Date	
	Date Invalidated by Rap Back	



# Connecting Applications Report

<b>By Position Category</b>				
<b>Position Category</b>	<b>In-Process</b>	<b>%</b>	<b>Eligible</b>	<b>%</b>
Executive, Administrative, Managerial	5	14 %	3	9 %
Food and Dietary Services		0 %	2	6 %
Laboratory and Radiology Services	3	8 %		0 %
Professional / Licensed Health Care	23	62 %	21	64 %
Technical, Unlicensed Health Care	6	16 %	7	21 %
<b>Total</b>	<b>37</b>	<b>100 %</b>	<b>33</b>	<b>100 %</b>

<b>By Provider Type</b>				
<b>Provider Type</b>	<b>In-Process</b>	<b>%</b>	<b>Eligible</b>	<b>%</b>
Adult Day Care	1	3 %		0 %
Home Health Agency	24	65 %	22	67 %
Hospice	2	5 %	3	9 %
Other - Non Long Term Care Provider	1	3 %	1	3 %
Other Long Term Care Provider	1	3 %		0 %
Residential Care	2	5 %	4	12 %
Skilled Nursing Facility	6	16 %	3	9 %
<b>Total</b>	<b>37</b>	<b>100 %</b>	<b>33</b>	<b>100 %</b>

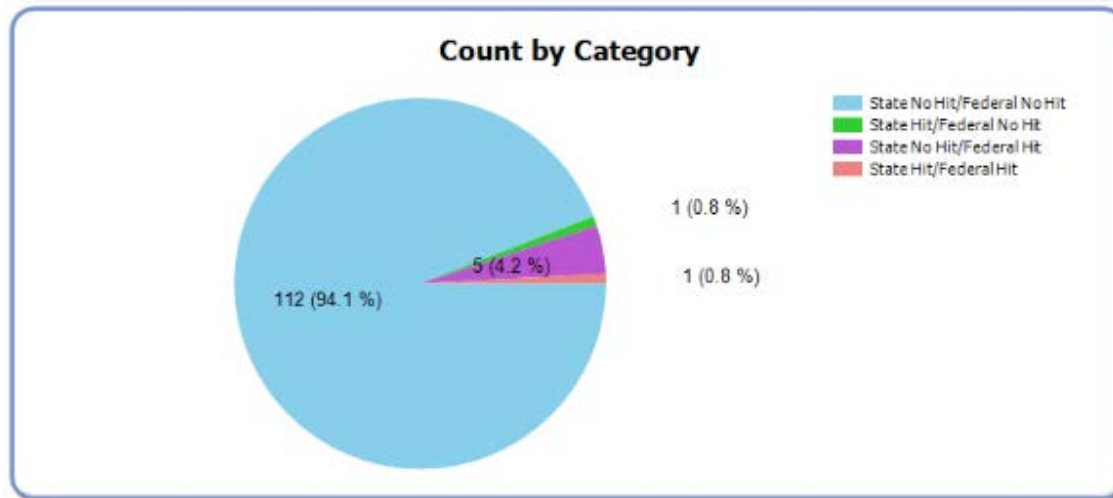
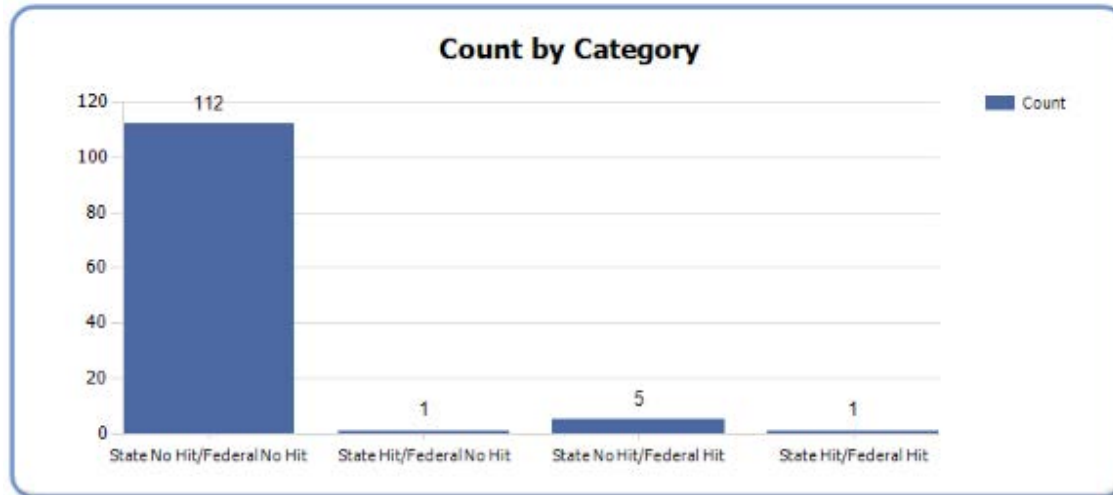


# Connecting Applications Report - Details

Applications Per Background Check					
App Count	Background Checks	Applications	Determination ID ↓	Application ID ↓	Person ↓
<input checked="" type="checkbox"/> 1 CONNECTING application per background check	34	1			
<input checked="" type="checkbox"/> 2 CONNECTING applications per background check	9	2			
<input type="checkbox"/> 3 CONNECTING applications per background check			1002430	48853	KELLEY, Bernard
			1002430	48854	KELLEY, Bernard
			1002430	48855	KELLEY, Bernard
			1001663	21029	Marks, Bert
			1001663	47777	Marks, Bert
			1001663	55569	Marks, Bert
			1002429	12157	Travis, Brad
			1002429	12170	Travis, Brad
			1002429	12478	Travis, Brad
			1033282	42739	URICH, Laura
			1033282	42740	URICH, Laura
			1033282	42741	URICH, Laura
	4	3			
<input checked="" type="checkbox"/> 6 CONNECTING applications per background check	1	6			
<b>Total</b>	<b>48</b>	<b>70</b>			



# Criminal History Count by Category





# Metrics Report – Volumes / Backlog

## Applications

Open at Start of Reporting Period	Total Initiated	Total Completed	Eligible Completed	Ineligible Completed	Closed Without Determination	Open at End of Reporting Period
0	375	145	102	39	217	13

## Background Checks

Open at Start of Reporting Period	Total Initiated	Total Submitted	Total Completed	Eligible Completed	Ineligible Completed	Closed Without Determination	Open at End of Reporting Period
0	312	238	103	66	33	199	10

## Rap Backs

Open at Start of Reporting Period	Total Opened	Total Completed	Closed Completed	Ineligible Completed	Undetermined Completed	Average Duration to Complete	Total Watched
0	29	11	7	4	0	40.50	2

## Appeals: All Types

Open at Start of Reporting Period	Total Opened	Total Completed	Granted Completed	Denied Completed	Average Duration to Complete	Total Withdrawn	Total Closed for Non-Compliance
0	45	40	39	1	42.45	1	0

## Appeal Type: Correction

Open at Start of Reporting Period	Total Opened	Total Completed	Granted Completed	Denied Completed	Average Duration to Complete	Total Withdrawn	Total Closed for Non-Compliance
4	9	5	5	0	106.00	0	0

## Appeal Type: Rehabilitation

Open at Start of Reporting Period	Total Opened	Total Completed	Granted Completed	Denied Completed	Average Duration to Complete	Total Withdrawn	Total Closed for Non-Compliance
0	36	35	34	1	33.37	1	0



# Metrics Report – Time Tracking

## Average Times Where New Determination is Required

Average Duration to Fingerprints Taken	Average Duration from Fingerprints to CH	Average Duration from CH to Determination	Average Duration from CH to Determination with Missing Dispo Data	Average Duration from CH to Determination without Missing Dispo Data
121.0	175.0	106.0		106.0

## Average Times for all Applications

Average Duration to Fingerprints Taken	Average Duration from Fingerprints to CH	Average Duration from CH to Determination	Average Duration from CH to Determination with Missing Dispo Data	Average Duration from CH to Determination without Missing Dispo Data
-22.0	211.0	85.0		85.0

## Average Times Where CH exists and Determination is Eligible

Average Duration to Fingerprints Taken	Average Duration from Fingerprints to CH	Average Duration from CH to Determination	Average Duration from CH to Determination with Missing Dispo Data	Average Duration from CH to Determination without Missing Dispo Data
-79.0	237.0	72.0		72.0

## Average Times Where CH exists and Determination is Not Eligible

Average Duration to Fingerprints Taken	Average Duration from Fingerprints to CH	Average Duration from CH to Determination	Average Duration from CH to Determination with Missing Dispo Data	Average Duration from CH to Determination without Missing Dispo Data
143.0	219.0	142.0		142.0



# Productivity Report – Quick Glance

Work Type	In Queue	Avg Days In Queue	Oldest Date
Criminal History Appeal	4	761	11/02/2014
Criminal History Rap Back Notification	6	568	06/30/2016
Fingerprints Rejected	1	802	06/27/2016
Flagged For Registry Review	2	1547	04/02/2014
Ready For Determination	6	395	10/30/2016
Registry Recheck Notification	3	1465	07/29/2014



# Productivity Report – Users

User	Work Type	# Processed	Avg. Days In Process	Determination Id	Completed Date	Person First	Person Last
Beindorf, Keith							
	<input type="checkbox"/> Registry Research	20	0				
Crowder, Christopher							
	<input type="checkbox"/> Completed Appeals	3	0				
	<input type="checkbox"/> Completed Determinations	8	40				
	<input type="checkbox"/> Registry Rapback	11	289				
	<input type="checkbox"/> Registry Research	3	35				
Crowley, Nicole							
	<input type="checkbox"/> Completed Determinations	4	1				
Elmore, Bonnie							
	<input type="checkbox"/> Completed Appeals	5	291				
	<input type="checkbox"/> Completed Determinations	43	7				
	<input type="checkbox"/> Registry Research	24	0				
G, Melissa							
	<input type="checkbox"/> Completed Appeals	2	774				
	<input type="checkbox"/> Completed Determinations	24	5				
	<input type="checkbox"/> Registry Research	15	0				
Myers, Beth							
	<input type="checkbox"/> Completed Appeals	53	76				
	<input type="checkbox"/> Completed Determinations	229	52				
	<input type="checkbox"/> Registry Rapback	4	1225				
	<input type="checkbox"/> Registry Research	107	-2				



# CNA Analysis Using the CMS Report – Ernie Baumann

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- ▶ Program-wide – NBCP Summary reporting for 2017
- ▶ Compare States – Quarterly Report to CMS
- ▶ Single-State deep dive – explains State data

*What are you most interested in?*



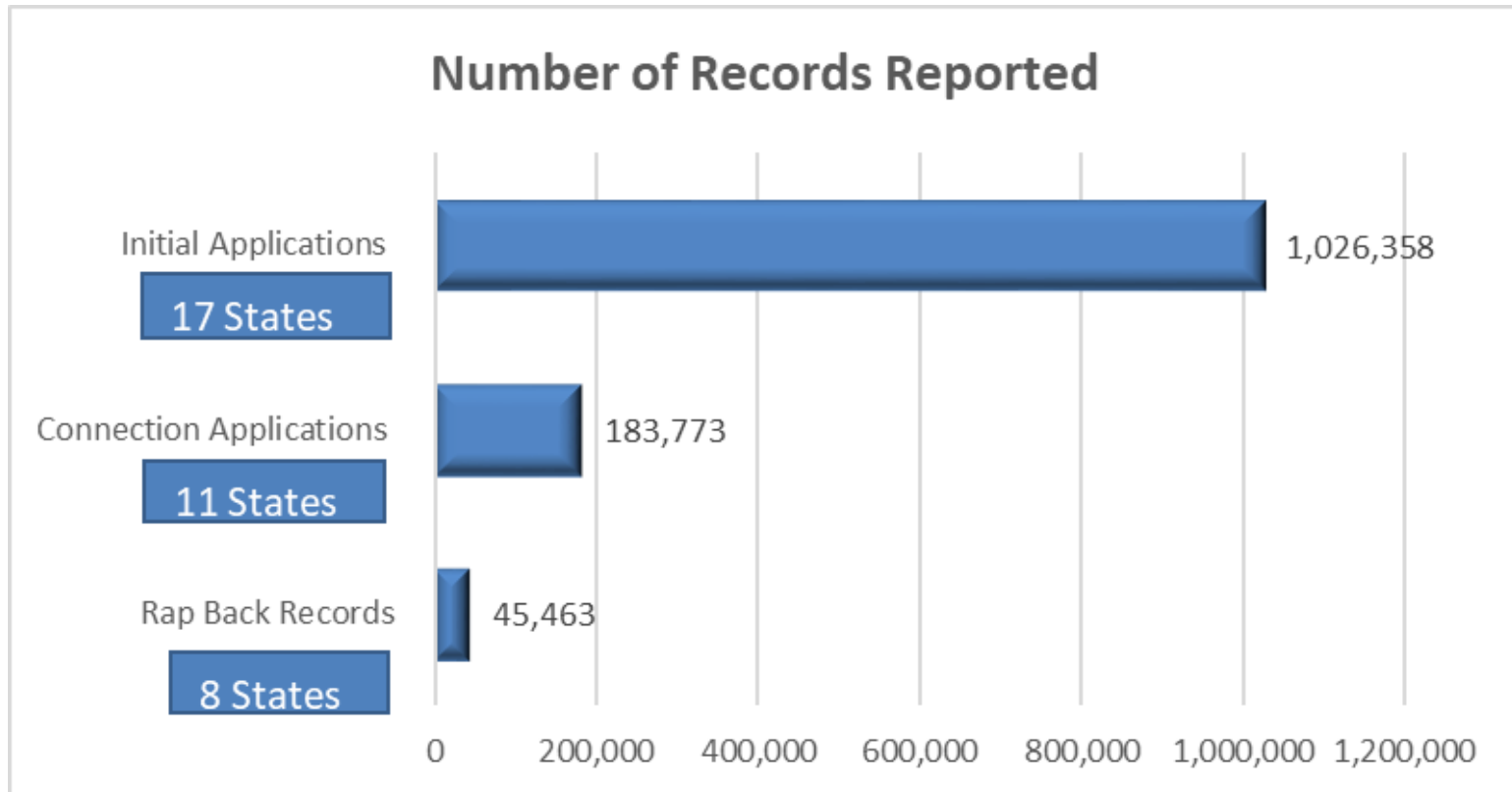
# Levels of Aggregation

- ▶ 2017 NBCP program summary:
  - ▶ Aggregation of all States' throughput
  - ▶ Biggest numbers, omits several States due to non-implementation of key components or short time-frame.
- ▶ Cross-State comparison report to CMS:
  - ▶ Program data section, address all components
  - ▶ Only includes 6-8 States due to differences in program and implementation time frame
- ▶ Series of single State reports:
  - ▶ Most detail for a State
  - ▶ How does State program affect reporting data
  - ▶ Shows what can be measured for that State



# 2017 NBCP Program Summary

- ▶ 17 States reported data. General view of program activity



- ▶ Connection Records increased by 94% from 2016



# 2017 NBCP Program Summary

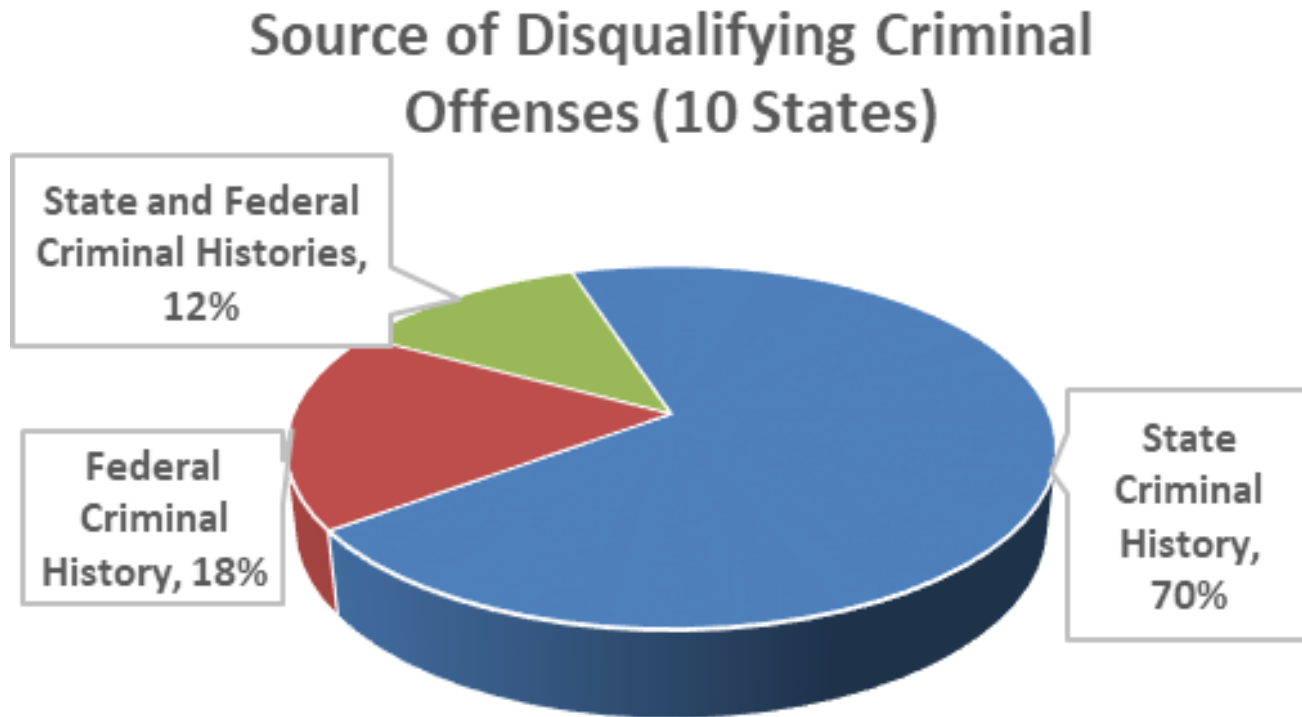
- ▶ 14 States. MO, ME, do not do fingerprinting; OH does not track fingerprinting.

Reported Activity - Fingerprinting	
Number of Fingerprints Taken	652,649
<b>14 States</b>	
Number of Rejected Fingerprints	9,116
<b>13 States</b>	

- ▶ Fingerprinting increased from 2016, AND the number of rejects decreased by 30%

# 2017 NBCP Program Summary

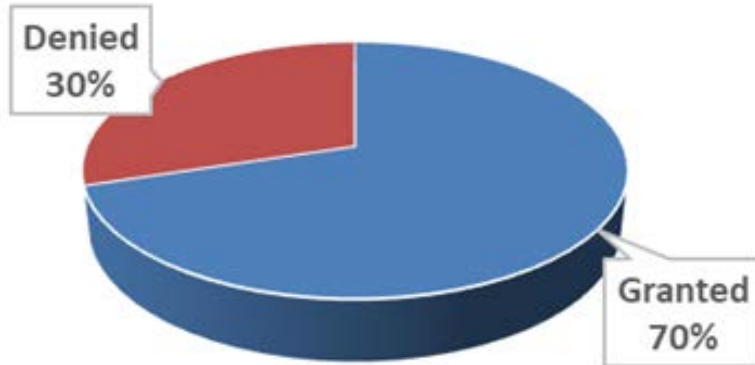
- ▶ Nearly 1 in 5 disqualifications are based on Federal criminal history.



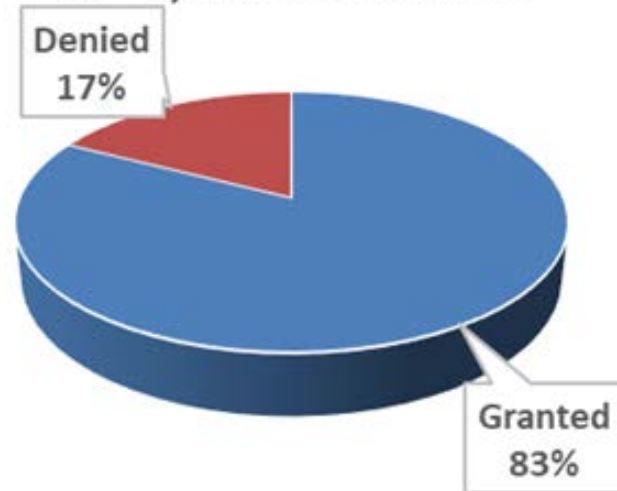
# 2017 NBCP Program Summary

- ▶ The report will track appeals and their outcomes.

Completed Error Appeals  
n = 362 in 5 States



Completed Rehab Appeals  
n = 3,517 in 9 States



*What are your observations from these charts?*



# Cross-State Comparison Report

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- ▶ Program data section, address all components
- ▶ Only includes 6-8 States due to differences in program and implementation time frame



# Cross-State Comparison Report

State	Total DQed			Applications Disqualified by...						
	Initial Apps	Registries		State CHRI Only		Fed CHRI Only		State & Fed CHRI		
Ak <sup>a</sup>	881	778	88%	145	17%	89	10%	519	59%	
CT	163	32	20%	93	57%	34	21%	4	3%	
DC	263	66	25%	4	2%	91	35%	102	39%	
FL <sup>b</sup>	31,718	189	1%	25,611	81%	4,482	14%	748	2%	
MI	11,043	3,002	27%	4,778	43%	363	3%	2,900	26%	
NV	1,087	18	2%	4	0%	415	38%	650	60%	
NM	3,644	62	2%	36	1%	865	24%	2,681	74%	
OK	1,417	340	24%	463	33%	295	20%	319	23%	
WV	1,813	54	3%	1,021	56%	568	31%	170	9%	
<b>Totals</b>	<b>52029</b>	<b>4541</b>		<b>32155</b>		<b>7202</b>		<b>8093</b>		





# Cross-State Comparison Report

<b>Rap Back Records</b>	<b>Alaska</b>	<b>Florida<sup>a</sup></b>	<b>Michigan</b>	<b>New Mexico</b>	<b>Oklahoma</b>	<b>West Virginia</b>
<b>Number (total)</b>	1,627	53,440	56,089	11,712	1,463	810
<b>Number ineligible</b>	1,239	42,377	9,522	383	74	111
<b>Number pending</b>	0	1,645	0	0	0	0
<b>Number blank (assume still eligible)</b>	388	9,418	46,567	11,329	1,389	699



## State-specific reports

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- ▶ Begun in 2015 as a look at States that were not being included in the Cross-State Comparison due to some data anomaly.
- ▶ Assess effectiveness, efficiency, economy, equity.
- ▶ Explain why some data is missing, not “standard,” or is incompatible with other States.
- ▶ CMS provided these reports to OIG to aid NBCP evaluation.
- ▶ Not all States included....

# Performance Analysis Using the CMS Report



- ▶ Series of 13 single State reports
  - ▶ California
  - ▶ **Connecticut – today's example**
  - ▶ Florida
  - ▶ Georgia
  - ▶ Illinois
  - ▶ Minnesota
  - ▶ Missouri
  - ▶ Nevada
  - ▶ Ohio
  - ▶ Oklahoma
  - ▶ Rhode Island
  - ▶ Utah
  - ▶ West Virginia



# State-specific report: CT

- ▶ Time period of data: checks initiated and completed 10/19/16 – 6/30/17 CT initial implementation period
- ▶ Highlights:
- ▶ Only nursing homes and home health entities included at the time
  - ▶ Only four federally-required crimes for DQ:
    - ▶ Fed or State health program related crimes
    - ▶ Conviction for patient abuse
    - ▶ Felony health care fraud
    - ▶ Felony drug trafficking
- ▶ Seven registries
- ▶ Waiver program
- ▶ No rap back yet (authorized, DESPP not capable)



# State-specific report: CT

- ▶ 10,260 completed determinations, 40 ineligible
- ▶ 14 waiver requests, 11 granted, 1 denied, 2 pending

Provider/Facility Type	Number	Percent
Skilled Nursing Facility	8,457	82.4%
Home Health Agency	1,802	17.6%
LTC Hospital	1	0.0%

Employee Type	Number	Percent
Professional/Licensed Health Care	5,829	56.8%
Technical, Unlicensed Health Care	1,800	17.6%
Food and Dietary Services	1,054	10.3%
Other Direct Access Employee	676	6.6%
Housekeeping and Engineer Services	530	5.2%
Executive, Administrative, Managerial	371	3.6%



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← Includes CNAs



# State-specific report: CT

## Source of disqualifying information

Finding	Number of Applications	% of Applications
Disqualified by Registry Screening	3	7.5%
Disqualified by State Criminal History Check Only	28	70.0%
Disqualified by Federal Criminal History Check Only	8	20.0%
Disqualified by both State and Federal Criminal History Checks	1	2.5%

## Connection records for quick hire (without rap back)

Finding	Number	Percent
Total Connection Records Submitted	2,128	100%
Connection records resulting in hired applicant	1,204	56.6%
Connection records closed without hiring	437	20.5%
Connection records with no outcome as of June 30, 2016 <sup>a</sup>	487	22.9%



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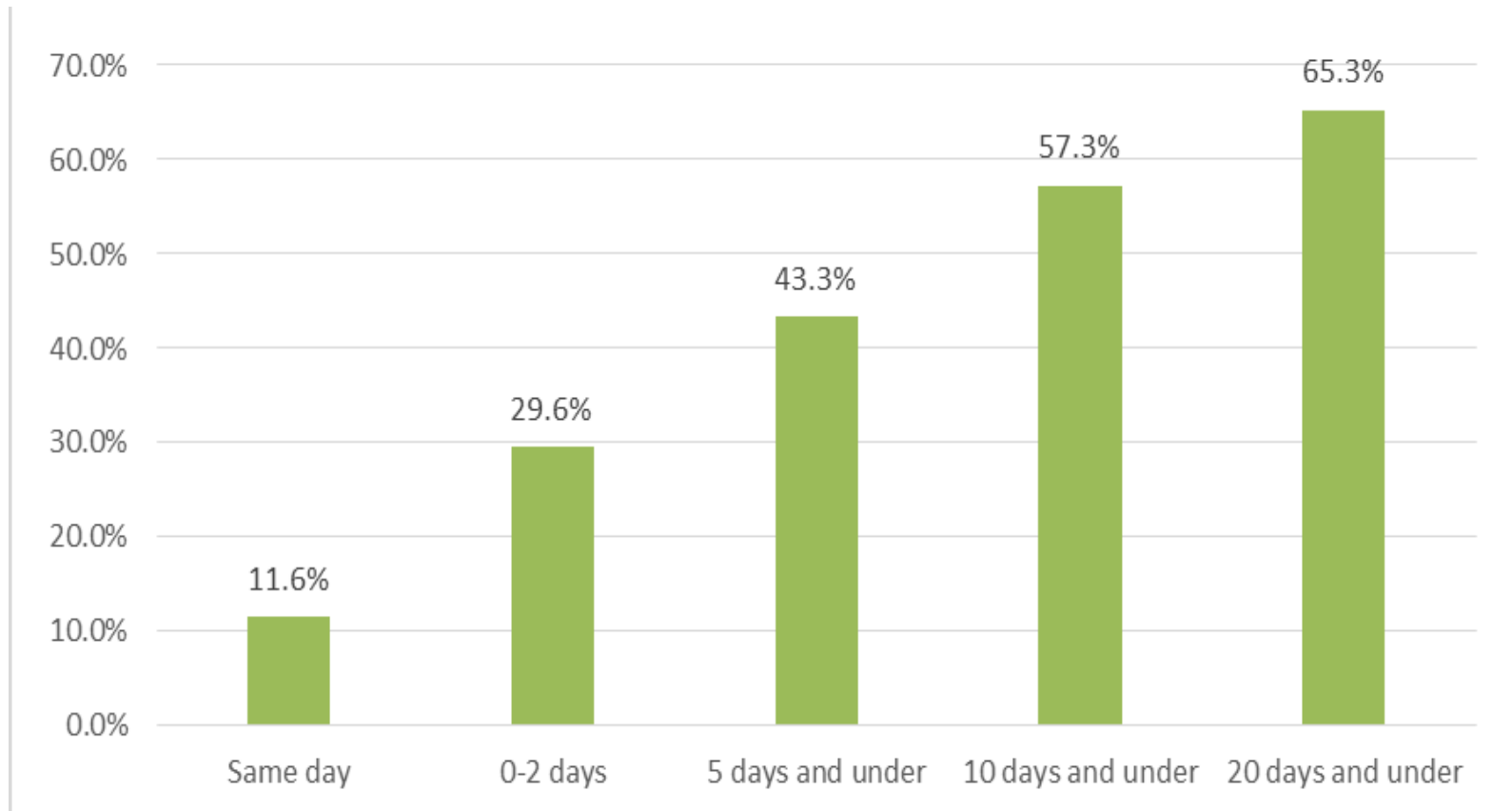
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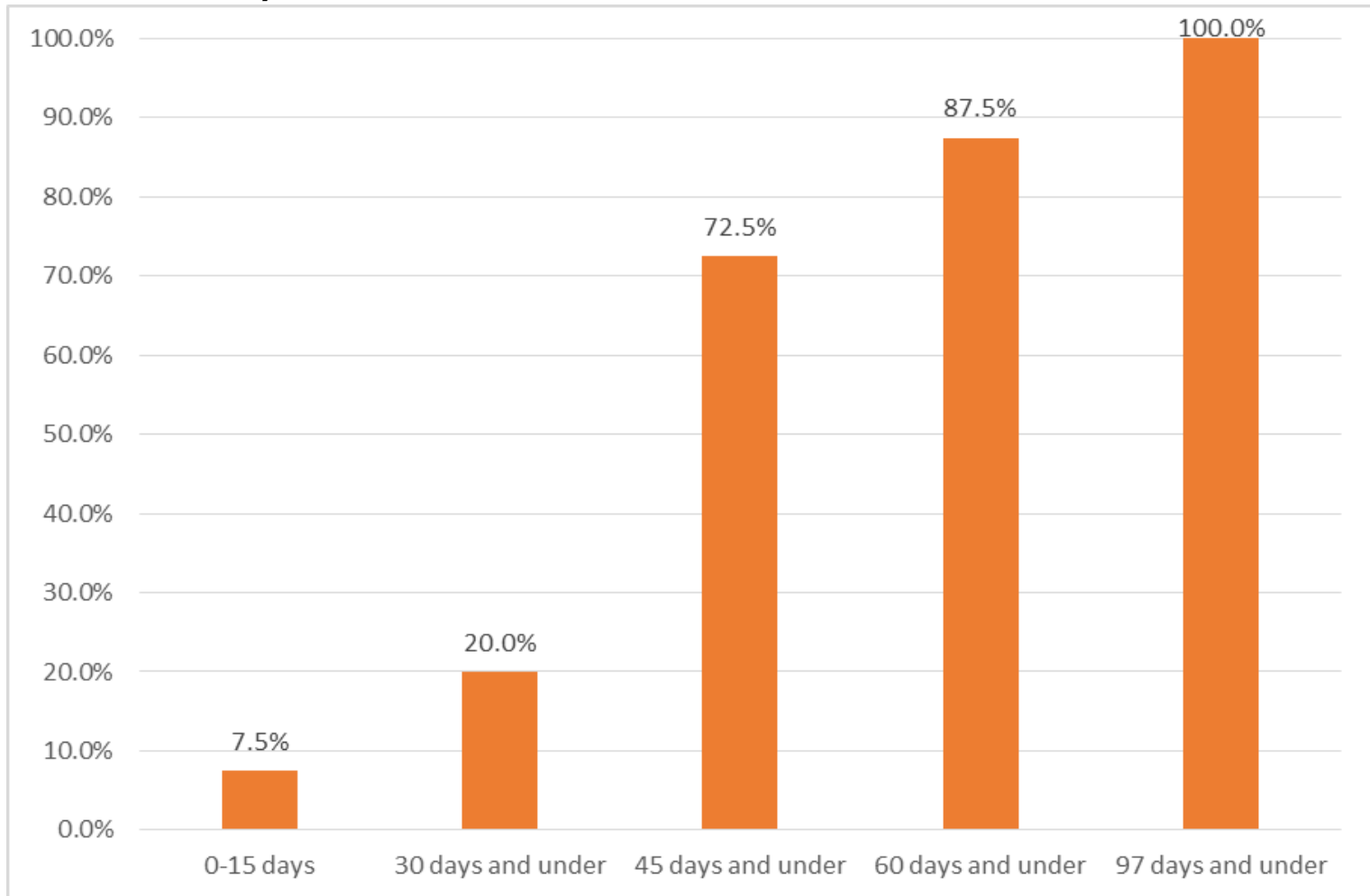
## Days from Initiation to Eligible Determination





# State-specific report: CT

## Days from Initiation to INELIGIBLE Determination



# How is your Program? Can you address these?



- ▶ Application volume/completion rate/disposition
- ▶ Time to determination by steps, fingerprints, CHRI review, registry review, appeals/waivers
- ▶ Source of disqualification – registry, State CHRI, Federal CHRI
- ▶ Effects of rap back – hits, disqualifications, re-fingerprinting avoided

*Others? What have you been asked?*



## Know Your Users: Fun Facts – Allison Dudziak

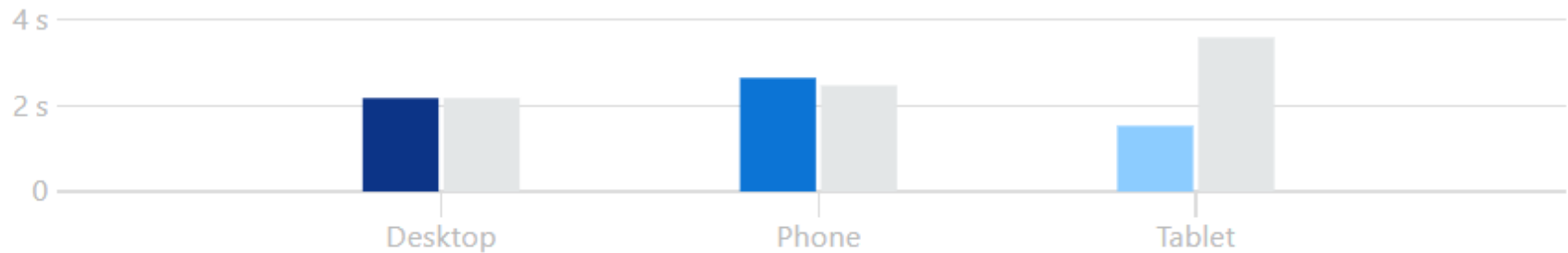
- ▶ Used a simple script run in the database
  - ▶ Only ever set up with a State's permissions
- ▶ Currently setup in six production environments
  - ▶ DC, NM, UT, GA, WV, OH
  - ▶ Awaiting implementation in CT and MN
- ▶ The data gathered does not include anything PII and identifying data about users



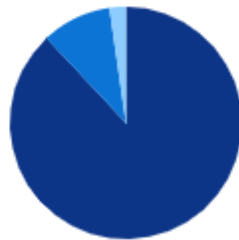
# Fun Fact #1: People Use Their Phones

## Top platforms ?

### AVERAGE LOAD TIME



### SESSIONS



Platform	Sessions	% Change
Desktop	887	▼ 25.8 %
Phone	98	▼ 26.9 %
Tablet	23	▲ 283 %

(% increase since previous 30 days)

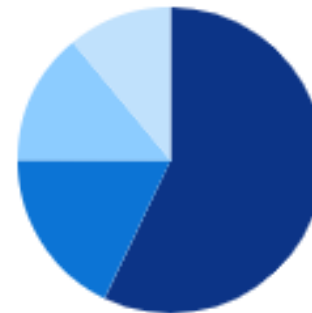
# Fun Fact #2: People Use All The Browsers

Average state browser usage



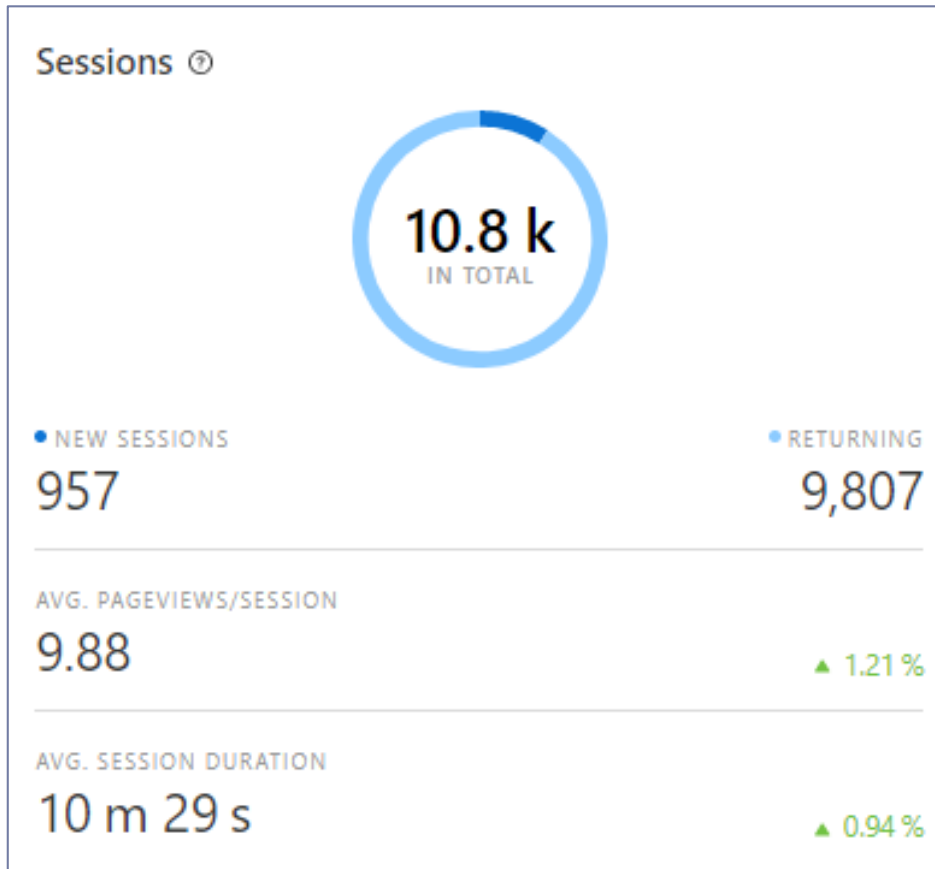
- IE
- Chrome
- Edge
- Other

State with a high number of mobile users browser usage



- Chrome
- IE
- Safari
- Other

# Fun Fact #3: People Stay Logged In Ten Minutes



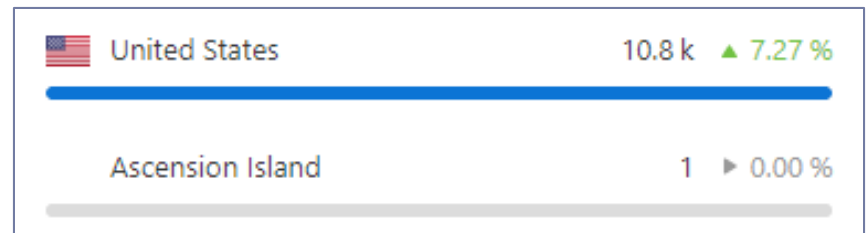
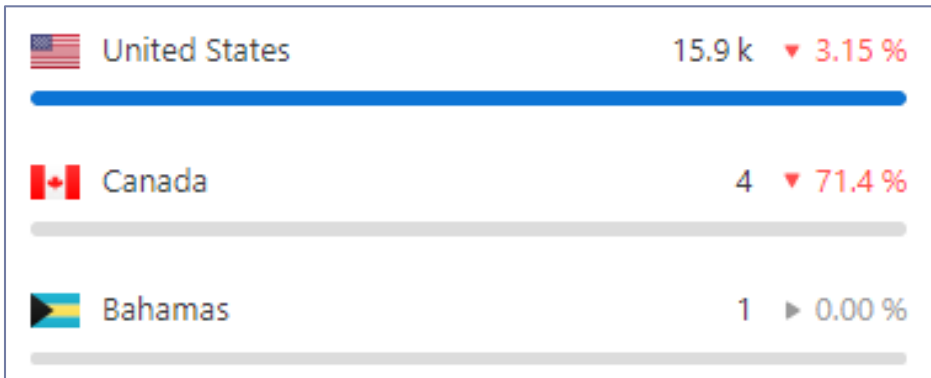
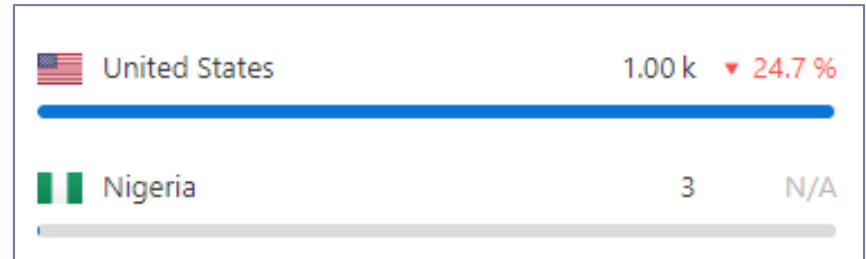
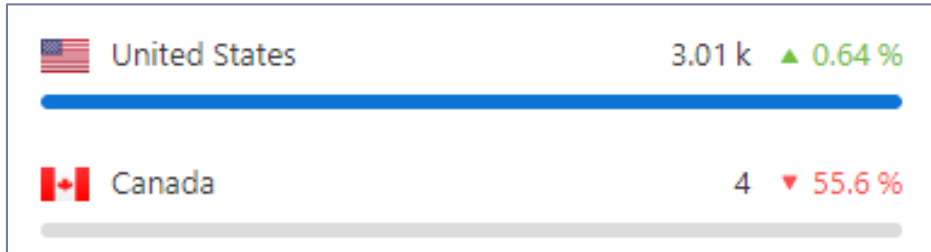
# Fun Fact #4: Sometimes The System Is Slow – But We Can Fix It!



Top pages <span>?</span>		
PAGE	PAGEVIEWS	AVG. LOAD TIME <span>▼</span>
/Screenings/RapBack	1,537 ▼ 18.8 %	6.99 s ▼ 5.31 %
/NewScreening/Confirmation	5,191 ▲ 10.1 %	5.21 s ▲ 309 %
/Screenings/DeterminationAvailable	4,732 ▲ 3.98 %	3.93 s ▼ 36.0 %
/Screenings/DeterminationInProgress	2,871 ▲ 6.37 %	3.62 s ▼ 5.04 %
/Screenings/ReadyForDetermination	2,464 ▲ 2.88 %	3.31 s ▲ 393 %



# Fun Fact #5: People Log In From Outside the US

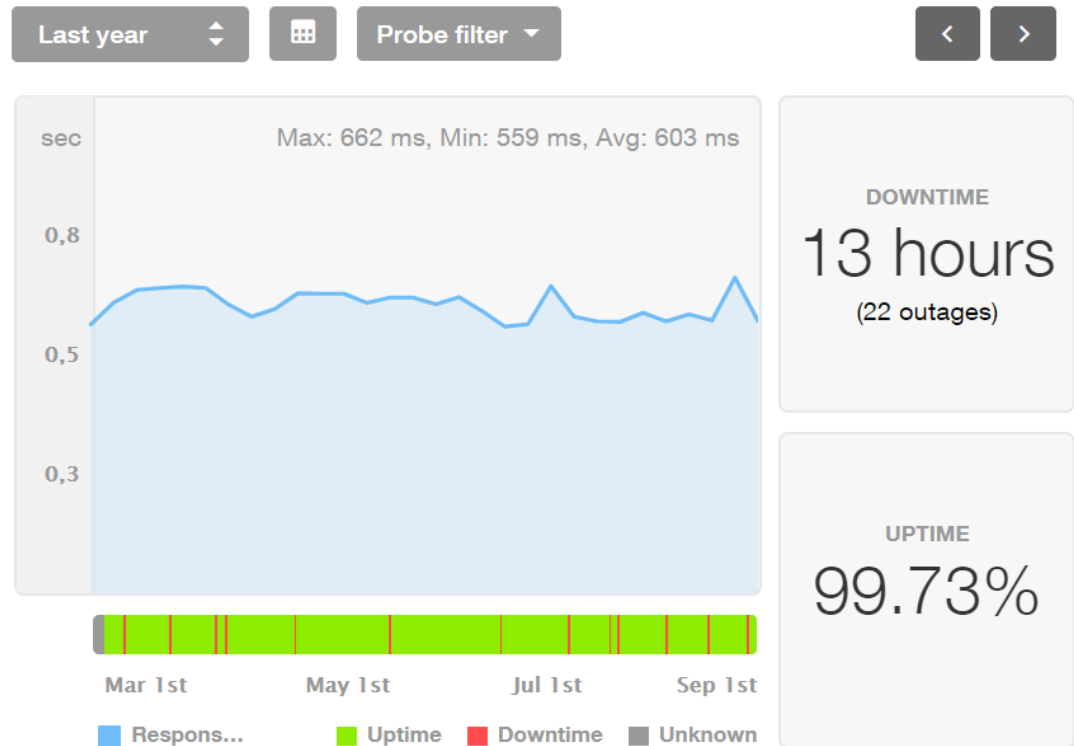


# How did we gather this data?



## • Pingdom

- Originally used just for the “Uptime” functionality in our hosted states
  - Emails/texts if a site goes down
- Used in all UAT and Prod environments hosted by IA as well as several others





# Questions from States?

