



## National Forum for Background Checks Summary of Meeting held April 07, 2017

Purpose: The April session was a meeting to plan the AHFSA background check sessions, address the month's hot topic, and provide updates on the activities in advocacy and library postings.

### Agenda

1. Background check track at AHFSA
2. CJIS audit hot topic
3. Progress updates on library and advocacy initiatives
4. Discuss next steps

### Attendees

17 representatives from 13 States attended.

### Discussion, Decisions, Action Items

#### 1. AHFSA Affiliation and Conference Participation (James Joslin, OK)

- James reported that the Forum is invited to participate in the AHFSA conference in Florida on August 21 – 23, 2017; there may be a dedicated background checks track.
- He provided information about Fees and logistics.
  - The base fee is \$500 for two attendees, \$400 after that, and then \$300. If your State is already sending representatives, then it would be a process of adding an attendee for the correct rate.
  - Fees and travel may be reimbursed through the Medicare budget and the State survey agency.
  - Current NBCP grantees may use grant funds with the submission of a budget amendment to OAGM.
- AHFSA wants to know how many States would attend the conference if they included a background checks track. A poll was taken, and those who were uncertain were asked to submit email to James with any questions or comments, and whether you would be interested in attending.
- Preliminary discussion of topics and audience. Several suggestions were offered.
  - **Action Item:** James and Ernie will send out a request for topic recommendations for the Forum's session at the AHFSA conference. They will compile a list of proposed topics and distribute a survey to capture interest in conference attendance, based on the proposed topics and associated costs.



## 2. Kentucky CJIS Audit (David McMahan, KY)

- General: The FBI Criminal Justice Information Services (CJIS) staff was very relaxed and collegial, they see the audit as educational and to review and give praise for what the State is doing correctly. If they find something wrong, they suggest alternative ways to conduct business or change the process.
  - Pre-audit questionnaire: Very short, only 9 questions. KY had six to eight weeks to prepare responses; the auditor does not require lengthy responses, just three to four lines explaining each. FBI CJIS will provide a list of people that they have processed and want to see documentation for those people. KY had to send FBI copies of our required forms in advance: release form that the applicant signs, forms that providers use, the use agreement with those providers, form letters that are used to inform people they have been denied and of the appeals process, Standard Operating Procedure (SOP) binder, and more.
  - Audit specifics: CJIS provided a list of 28 persons that had been processed through FBI by KY. KY verified that the 28 cases were processed under the correct Originating Agency Identifier Number (ORI), were long-term care applicants, the cases had employment tracked by the system (approved/not approved), verification of authority to process fingerprints, going through State statutes, Affordable Care Act, and State regulations. The auditor wants to confirm you have all the documentation ready, they will most likely not read through all of it.
  - KY had to verify who has access to the system in the backend; this is really the only audit finding. In Kentucky, about 94% of IT staff that work for the State are contractors, up to and including the program manager. A similar situation exists with the State police.
  - Our only finding was on the outsourcing of employees and the way it is handled. There is a process with the FBI with an outsourcing agreement, unfortunately the KY State Police do not use an outsourcing agreement themselves; thus the agreement is not approved for other State agencies either.
  - The auditor did not ask to see the electronic forms; they were only concerned with the paper copies.

## 3. Initiative Updates (Ernie Baumann, CNA):

### 3.a Library

- The forum library page is on [bgcheckonfo.cna.org](http://bgcheckonfo.cna.org)
  - Webinar participants were asked if they were comfortable with the Forum sharing their State's information with states that are not participating in the program. There were no objections.



### 3.b Advocacy

- The incident response kit is still in development.
  - The support staff is adding some State profile information to the incident response kit package.

### Action Items:

- **Action Item:** James and Ernie will send out a request for topic recommendations for the Forum's session at the AHFSA conference. They will compile a list of proposed topics and distribute a survey to capture interest in conference attendance, based on the proposed topics and associated costs.
- **Action Item:** Ernie will speak with Forum members to gather information for the State program profiles and the Incident Response Kit.