



Guidance on OMH Pre-Employment Checks: Using the Provider Compliance Report in the Justice Center’s CBC System to Maintain Records and Resolve Issues

Bureau of Inspection and Certification January 2025

Notes:

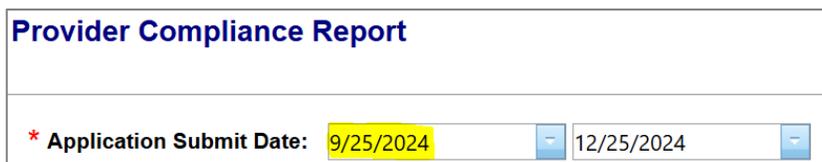
- 1. Only an Authorized Person (AP) can access the Justice Center’s Criminal Background Check (CBC) system. To request access, complete the JC CBC AP Designation and Notarized Sworn Statement Form and email it to jc.sm.cbc@justicecenter.ny.gov.
2. The AP logs in by entering their Username and Password at https://my.ny.gov/. Call the Justice Center’s CBC Unit at (518) 549-0361 (preferred) or NYS ITS at (844) 891-1786 for username retrieval, password reset, or general problems logging in.
3. OMH strongly recommends setting a recurring task or appointment on at least one AP’s calendar every two weeks to run your agency’s Provider Compliance Report in the CBC system. This helps providers stay in compliance with the requirement to update records within 14 days of an employment status change.
- Providers are only authorized to fingerprint Subject Individuals for a CBC. Subject Individuals are applicants who have the potential for, or may be permitted, regular and substantial unsupervised or unrestricted video, phone, and/or physical contacts with clients
- It’s critical to deactivate the records of Subject Individuals as soon as possible after they are no longer in a role that’s subject to ongoing monitoring for arrests or conviction updates while in your service, whether they are still in your service or have stopped working or volunteering for your agency. Willfully viewing the details of such updates sent by the Justice Center (or OASAS, if applicable) for someone who is no longer subject to ongoing monitoring constitutes a misdemeanor offense.
- Should you receive such a notice for someone whose record should have been closed, take the following steps immediately:
a. DO NOT open any letter(s) attached to the email.
b. Go into the Subject Individual’s record in the CBC system, choose the appropriate inactive employment status and the effective date the person completed their service as a Subject Individual with your organization. Be sure to scroll down and click Update Applicant. While taking these steps, DO NOT VIEW the arrest notification letter in the CBC record.
c. Confirm that the record is inactivated.
d. If the agency has more than one AP, all APs should DELETE the Justice Center’s arrest or conviction update email from their Inbox, and then go into their “Trash” or “Deleted” folder and PERMANENTLY DELETE the email so it’s not recoverable.

How to use the Provider Compliance Report:

- 1. Click on the Reports tab, then click on Provider Compliance Report in the dropdown menu:



- 2. The report’s default setting will only show the last three months of submissions. Providers are free to pull the report choosing whichever settings you prefer. However, for a variety of reasons, it’s best to set the Application Submit Date back far enough to see all of your records:





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- 3. Setting the date back to 2/1/2005 allows a provider to see all applicants they have ever printed for a CBC using this system:

Provider Compliance Report
\* Application Submit Date: 2/1/2005 12/25/2024

- 4. OMH recommends using the default Detail or Summary setting, "Detail with Summary". Only click the Include Determination box if you want to see each applicant's Hiring Determination from the Justice Center on behalf of OCFS, OMH, and OPWDD (or from OASAS, if your agency performs CBCs using an OASAS service code).

NOTE: Running the report with this column will create a report that contains sensitive information, and must be treated as such.

Detail or Summary: Detail With Summary Include Determination WARNING: Sensitive Information

Summary page example:

Agency Compliance Report 02/01/2005 - 12/20/2024
Report Generated: 12/20/2024 9:47:15AM
(NY922160Z) OMH - Local and Family Care Providers
Note to Authorized Persons:
Employment Status
Table with columns: DETERMINATION, Application Withdrawn, Applied, Hired as a Subj Ind, No Longer Emp as a Subj Ind, Not Hired as a Subj Ind, Total

NOTE: The results of this report will be used by the requestor solely for the purposes authorized by Chapter 575 of the Laws of 2004. This report may contain information that is sensitive. Please use and disclose of this report accordingly.



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5. Choose a State Agency Group (also known as State Oversight Agency or “SOA”) from the dropdown menu.

Only the SOAs a provider is associated with will show up on the dropdown. If you operate programs authorized to request a CBC under more than one SOA, you can run separate reports, or leave this field in the default, setting of “All”. This will produce a single report with applicant records under each SOA listed separately, one after another, alphabetically by SOA.

All SOAs have the same basic records maintenance requirements. You can consult with any SOA on questions regarding any particular records under their service codes:

- OASAS: oasas.sm.cbc@oasas.ny.gov
OCFS: ocfs.sm.ocs.user.assistance@ocfs.ny.gov
OMH: cbc@omh.ny.gov
OPWDD: imu.backgroundcheckteam@opwdd.ny.gov

Choose either File Format, PDF or EXCEL, and then click View report.

- Using the default setting of PDF creates a convenient and time-saving workflow for updating records, since the AP can click on any active applicant’s name, go right into their record, and updates. Most OMH providers find that this approach is far easier and quicker than using the Applicant Search feature or the New/Opened/Processed tabs.
Choosing EXCEL DATA ONLY can be useful for providers with many active records. You can use such a report to sort the information, add columns with further internal dates or data, and help maintain your rosters of workers and volunteers.

6. Scroll through the report to navigate through its pages. Click on any person’s name to go directly to their record. You can update any record in any active status.



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- 7. Applicant records in Applied status turn red after 30 days. This does not mean you have to make a hiring decision in 30 days. It's a helpful visual prompt that only appears in this report, alerting the AP that time is going by, and the agency will need to update the record within 14 days of an employment status change by indicating:
- The applicant starts work or volunteering
- The applicant decides not to work or volunteer with your agency after all; or
- The agency rescinds the offer.

Report example with records in Applied stats that are over 30 days old:

Community Services, Inc. - (Continued)
Table with 6 columns: Employment Status, Last, First Name, Associated AP, Application Submit Date, Fingerprinted, Approval to Hire Date. Rows show various dates and statuses like 'Applied', 'Not Approved', and '05/09/2022'.

- 8. To update an applicant's record, click the individual's name. This will open their record. Change the applicant's Employment Status along with its Effective Date near the top of the Applicant Update Form.
9. If an applicant still appears as Applied, but was hired (or accepted for volunteer service) and has since terminated, then you'll need to enter TWO updates:
- First update to Hired as a Subject Individual or Accepted for Volunteer Service with the date of that change.
- Next, enter another update to the appropriate inactive category, either No Longer Employed as a Subject Individual or No Longer Providing Volunteer Service, with the date of that change.
10. After changing Employment Status and Effective Date, make sure you click on the Update Applicant button near the bottom of the screen, or the changes will not be saved.

Update Applicant button highlighted in yellow. Below is a table titled 'History of changes' with columns: Date of Change, Changed by, Effective Date, Description. It lists several system updates and fingerprinting events.

Notice that in the leftmost column that the record migrates from Identogo to the CBC system at midnight on the day the applicant completes their fingerprinting.



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11. In addition to updating records in **Applied** status, check all records in other active statuses to see if any need to be updated as follows:

Table with 2 columns: Employment Status and corresponding actions. Rows include: Temporarily Approved Pending Criminal History Check, Hired as a Subject Individual, Accepted for Volunteer Service, and Administrative Leave.

12. After updating an applicant’s record, return to the report (which remains open throughout your updating activities) to find and update additional applicants. The report must be refreshed to view any updates you’ve made. Click **F5** on your keyboard to refresh the report.

13. **Resolving erroneous status updates:** If you accidentally close a record, you can email the SOA that issued the hiring determination, giving them the individual’s name and Applicant Record number. Ask them to reset the record to the previous status. They may change the status, or direct you to run a new CBC for this individual.

- OCFS, OMH, and OPWDD records: jc.sm.cbc@justicecenter.ny.gov
OASAS records: oasas.sm.cbc@oasas.ny.gov

14. **Resolving duplicate registrations:**

- There should not be two active records for any individual under a single SOA (OASAS, OCFS, OPWDD, or OMH). Inactivate the duplicate (most often the older record, or a rejected fingerprints record) by updating the Employment Status to APPLICATION WITHDRAWN, using the same date the registration was made, as the EFFECTIVE DATE.
To avoid creating a second record when fingerprints are rejected, reschedule the applicant for a second attempt using the same UE ID, which is shown on the Identogo enrollment confirmation:



15. **DOWNLOADING** the report can be helpful for internal audits by supervisors or executives in your Human Resources or QI/Compliance departments, as the report will always show applicant records in the status they were in at the moment you generated it.

