

Department of Developmental Services

Commonwealth of Massachusetts
Executive Office of Health & Human Services



National Criminal Background Check System User Guide

DDS National Criminal Background Check Unit (NBCU)

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Glossary – Explanation of terms for use in this document only

Letter – The National Criminal Background Check Unit may refer to a 100 series letter.

These are the letters that are sent out to Hiring Authorities (via email) and candidates (primarily by secure email or USPS, if necessary) informing them of the determination that has been made regarding the active case. A detailed description can be found in section 4 of this guide.

Authorized Access Administrator – The employee(s) that an organization has setup with the Virtual Gateway to add or remove users from the Virtual Gateway. A link for a detailed description can be found in section 2.b. of this guide.

Criminal Offender Record Information (CORI) – Consists of records and data in any communicable form compiled by a Massachusetts criminal justice agency about an identifiable person that relate to criminal history record information. The iCORI service provides access to Massachusetts-only criminal offender record information.

CORI Hiring Review Form – The form used by Hiring Authorities to document the factors considered in making a hiring decision for a job candidate who has a record of conviction or pending offenses of a crime that appears on the Tables of Offenses at 101 CMR 15.15.

DDS Background Check System (BCS) – The BCS is an internet-based system that is accessed through the Virtual Gateway on mass.gov. The system is used by Hiring Authorities to submit and track candidates for a fingerprint based national criminal background check. The BCS is separate from the Virtual Gateway.

Hiring Authority (HA) – A HA is an authorized user of the BCS. Their responsibilities include, but are not limited to, case creation, ensuring candidates register for fingerprinting, attend their appointment, and that the organization is in compliance with 115 CMR 12.00, et seq.

IdentoGO by IDEMIA –The Commonwealth’s exclusive contracted vendor used to schedule fingerprint appointments, take fingerprints, and to submit the fingerprints for review.

Organization/Provider – The company which the Hiring Authority works for; receives DDS licensure, funding, and /or approval for working with individuals with Developmental and Intellectual Disabilities.

SAFIS Results – The fingerprint based national criminal record of a candidate that is provided to the NBCU after being entered into the BCS and attending a fingerprint appointment.

User Request Form (URF) – The URF is the form used by an organization’s Authorized Access Administrator to add or remove Hiring Authorities from the BCS. A detailed description can be found in section 2.c. of this guide.

Virtual Gateway (VG) – The VG is an internet portal operated by the Executive Office of Health and Human Services (“EOHHS”) to provide the public, medical providers, community-based organizations, and EOHHS staff with online access to health and human services systems.

1. What is a fingerprint-based National Background Check?

Massachusetts General Law Chapter 19B, Sections 19 and 20 (as amended by Chapter 234 of the Acts of 2014, *An Act Requiring National Background Checks*) requires the Department of Developmental Services (DDS) “conduct fingerprint-based checks of the state and national criminal history databases...to determine the suitability of all current and prospective employees, who have the potential for unsupervised contact with persons with an intellectual or developmental disability in any department-licensed or funded program.”

The fingerprint-based check is intended only to determine suitability for unsupervised contact with persons with an intellectual or developmental disability. They do not control whether a candidate can or cannot be hired or whether they should be fired.

Employees is defined broadly to include any apprentice, intern, transportation provider, volunteer or sub-contractor who may have direct and unmonitored contact with a person with an intellectual or developmental disability.

To carry out these fingerprint-based checks, DDS established the National Criminal BackgroundCheck Unit (NBCU) to process and evaluate the checks and interface with the Commonwealth’s contracted fingerprint vendor, IdentoGO By IDEMIA USA, to provide fingerprinting services.

Please read Chapter 115 Section 12.00 of the Code of Massachusetts Regulations for the complete policy and procedures of the fingerprint-based checks of the state and national criminal history databases. These regulations provide a thorough explanation of the HA Responsibilities in Section 12.06.

a. Why is this required and who is required to participate?

Prior to the amendment of M.G.L. c. 19B effected by Chapter 234 of the Acts of 2014, there was no statutory or regulatory requirement that DDS or its vendor agencies conduct systematic national criminal background checks of potential employees. There existed a risk of potential employees with a criminal history documented beyond the borders of Massachusetts who could have worked with the vulnerable populations served by DDS. This law was intended to close the potential loophole that allowed persons with criminal convictions in other states to work with individuals served by DDS and vendor agencies.

Chapter 234 also requires that any household members, age 15 or older, or persons regularly on the premises of residential facilities, shall be subject to a fingerprint based national criminal background check.

b. How is this different from iCORI?

The DDS National Background Check Unit (NBCU) *does not* conduct, nor govern the CORI check process. The Massachusetts CORI contains only name-based Massachusetts criminal history and court information. The National Criminal Background Check uses the Statewide Applicant Fingerprint Identification Services (SAFIS) which provides both state and national fingerprint-based criminal history information. However, the CORI check process is a prerequisite to the DDS National Criminal Background Check process. In addition, CORI cleared status allows for conditional employment of prospective employees pending the results of the National Criminal Background Check.

Regulations from the Executive Office of Health and Human Services (EOHHS) require that candidates and employees seeking a position that entails the potential for unsupervised contact with DDS clients undergo a Criminal Offender Record Information (CORI) check. For Hiring Authorities (Providers and EOHHS HR) that currently conduct CORI checks through the iCORI portal, *the CORI check process will remain unchanged.*

If you have questions concerning iCORI you may email the Department of Criminal Justice Information Services at iCORI.INFO@state.ma.us, or call the Constituent Assistance and Research Unit at 617-660-4640 between 8:00 AM and 5:00 PM Eastern Time, Monday - Friday. If your agency does not have an existing iCORI account, you may register with the iCORI System at: [Register as an Organization or Individual](#).

c. Communications from the NBCU

All communications from the NBCU will come from either DDS.NationalBackgroundUnit@MassMail.State.MA.US or DDS.NationalBackgroundUnit@Mass.gov. Occasionally, our emails will be filtered as spam by your email provider. Please add both domain names: *@MassMail.State.MA.US* and *@Mass.gov* to your safe senders list, sometimes called the *whitelist*, and check your spam email folder periodically.

2. Virtual Gateway & Background Check System Users

a. Who Needs Access?

Any person that has been identified by an organization to submit and track new and current employees for a fingerprint-based background check per 115 CMR 12.02. Authorized users should also have access to the CORI results for current and perspective employees.

b. Registering Organization with the Virtual Gateway

The DDS BCS is hosted by the Virtual Gateway overseen by the Executive Office of Health and Human Services (EOHHS). Please ensure your organization is setup with the Virtual Gateway before submitting a DDS BCS User Request Form. You will be required to designate an *Authorized Access Administrator* as part of obtaining access to the Virtual Gateway.

Please visit the Virtual Gateway “Become a Virtual Gateway User” website for instructions at: <https://www.mass.gov/service-details/become-a-virtual-gateway-user>

c. Add/Remove Users – User Request Form (URF)

Once the organization has determined who will be an authorized user (Hiring Authority) of the BCS, the organization’s *Authorized Access Administrator* will have to submit a completed BCS User Request Form. This form can be found at <https://www.mass.gov/doc/background-check-system-user-request-form>.

After obtaining and opening the URF from the above link, the URF should appear in Excel as similar to that shown below in Figure 2.1.

Figure 2.1

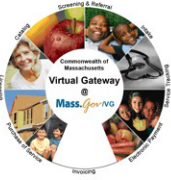
Commonwealth of Massachusetts Executive Office of Health and Human Services								Instructions:				
New User Request & Account Modification Form for Virtual Gateway Access (TYPE INFORMATION DIRECTLY INTO FORM)								1. All non-role fields are required. 2. Fill in form, place an "X" in the column with the requested role(s). 3. Save document as "YourOrganizationName_MMDDYY" 4. Email completed form to: (Forms submitted via mail will not be accepted) VirtualGatewayHelpDeskFaxes@MassMail.State.MA.US				
DDS Background Check System User Request Form (URF)								Questions? Call EOHHS Virtual Gateway Customer Service PHONE 800-421-0938 TTY 617-847-6578				
User ID (For existing VG users)	First Name	MI	Last Name	4-Digit PIN* (Personal Identification Number)	MMDD of Birth	Work E-mail Address	Work Phone #	Check One				
								BCS_Hiring_Authority	New User	Modify Existing User	Deactivate Existing User from BCS	Deactivate Existing User from the Virtual Gate
								X				

If the new user does not already have access to the Virtual Gateway, a new virtual gateway and BCS user will have to be created. You will have to include the following information:

- New user’s first and last name
- A 4-digit pin number
- The user’s month and day of birth (MMDD)
- The user’s company email address
- The user’s company telephone number
- Mark “New User” with an “X”

Please see Figure 2.2 below for a completed example.

Figure 2.2



Commonwealth of Massachusetts
Executive Office of Health and Human Services

New User Request & Account Modification
Form for Virtual Gateway Access
(TYPE INFORMATION DIRECTLY INTO FORM)

DDS Background Check System
User Request Form (URF)

Instructions:

1. All non-role fields are required
2. Fill in form, place an "X" in the column with the requested role(s).
3. Save document as YouOrganizationName_MMDDYY
4. Email completed form to: (Forms submitted via mail will not be accepted)

VirtualGatewayHelpDeskFaxes@MassMail.State.MA.US

Questions? Call EOHHS Virtual Gateway Customer Service
 PHONE 800-421-0938
 TTY 617-847-6578


User ID (For existing VG users)	First Name	MI	Last Name	4-Digit PIN* (Personal Identification Number)	MMDD of Birth	Work E-mail Address	Work Phone #	BCS_Hiring_Authority	Check One			
									New User	Modify Existing User	Deactivate Existing User from BCS	Deactivate Existing User from the Virtual Gate
	John		Smith	1234	0123	jsmith@company.com	999-999-9999	X	X			

If the new user already has access to the Virtual Gateway for a separate system (e.g. HCSIS), you will have to include the following information:

- The user’s current Virtual Gateway user ID
- The user’s First and Last name
- A 4-digit pin
- The user’s month and day of birth (MMDD)
- The user’s company email address
- The user’s work telephone number
- Mark “BCS_Hiring_Authority” with an “X”
- Mark “Modify Existing User” with an “X”

Please see Figure 2.3 below for a completed example.

Figure 2.3



Commonwealth of Massachusetts
Executive Office of Health and Human Services

New User Request & Account Modification
Form for Virtual Gateway Access
(TYPE INFORMATION DIRECTLY INTO FORM)

**DDS Background Check System
User Request Form (URF)**

Instructions:

1. All non-role fields are required.
2. Fill in form, place an "X" in the column with the requested role(s).
3. Save document as "YourOrganizationName_MMDDYY"
4. Email completed form to: (Forms submitted via mail will not be accepted)

VirtualGatewayHelpDeskFaxes@MassMail.State.MA.US

Questions? Call EOHHS Virtual Gateway Customer Service
PHONE 800-421-0938
TTY 617-947-6578


User ID (For existing VG users)	First Name	MI	Last Name	4-Digit PIN* (Personal Identification Number)	MMDD of Birth	Work E-mail Address	Work Phone #	BCS_Hiring_Authority	New User	Modify Existing User	Deactivate Existing User from BCS	Deactivate Existing User from the Virtual Gate
jsmith1	John		Smith	1234	0123	jsmith@company.com	999-999-9999	X		X		

When a user is no longer employed by your organization, the *Authorized Access Administrator* must complete the URF in order to remove that user from the system. *If access for a user is not removed by completing and submitting this form, the user can still access the Virtual Gateway from a personal computer.* The *Authorized Access Administrator* will have to provide the following information:

- The user’s current Virtual Gateway user ID
- The user’s First and Last name
- A 4-digit pin
- The user’s month and day of birth (MMDD)
- The user’s company email address
- The user’s work telephone number
- Mark “Deactivate Existing User from BCS” or “Deactivate Existing User from the Virtual Gateway” if they do not need access to any Virtual Gateway application with an “X”

Please see Figure 2.4 below for a completed example.

Figure 2.4



Commonwealth of Massachusetts
Executive Office of Health and Human Services

New User Request & Account Modification
Form for Virtual Gateway Access
(TYPE INFORMATION DIRECTLY INTO FORM)

**DDS Background Check System
User Request Form (URF)**

Instructions:

- All non-role fields are required.
- Fill in form, place an "X" in the column with the requested role(s).
- Save document as YourOrganizationName_MMDDYY
- Email completed form to: (Forms submitted via mail will not be accepted)
VirtualGatewayHelpDeskFaxes@MassMail.State.MA.US

Questions? Call EOHHS Virtual Gateway Customer Service
PHONE 800-421-0938
TTY 617-847-6578

User ID (For existing VG users)	First Name	MI	Last Name	4-Digit PIN* (Personal Identification Number)	MMDD of Birth	Work E-mail Address	Work Phone #	BCS_Hiring_Authority	Check Boxes			
									New User	Modify Existing User	Deactivate Existing User from BCS	Deactivate Existing User from the Virtual Gate
jsmith1	John		Smith	1234	0123	jsmith@company.com	999-999-9999	X			X	


Once the form has been submitted by the *Access Administrator* to VirtualGatewayHelpDeskFaxes@massmail.state.ma.us, the Virtual Gateway will create or modify the Virtual Gateway user. After the Virtual Gateway has completed the request, the request is forwarded to the National Background Check Unit for the user to be created in the BCS. Upon the creation of the user in the BCS, the user will be notified via the email address that was provided on the URF that their account has been created/modified.

If you have submitted the form and have not received any notifications within 10 business days, please contact the Virtual Gateway at 800-421-0938, M-F 8:30am-5:00pm for an update. *The National Background Check Unit does not have the capability to check on the status of a URF.*

Unfortunately, the DDS National Background Check Unit cannot assist with user account issues such as forgotten passwords. For account support, please contact the Virtual Gateway Customer Service as referenced in the previous paragraph.

d. Accessing the Virtual Gateway and Background Check System

After receiving the confirmation email from the Virtual Gateway, users will be able to access the BCS via www.mass.gov. In order to access the Virtual Gateway from Mass.gov, please perform one of the two following series of actions:

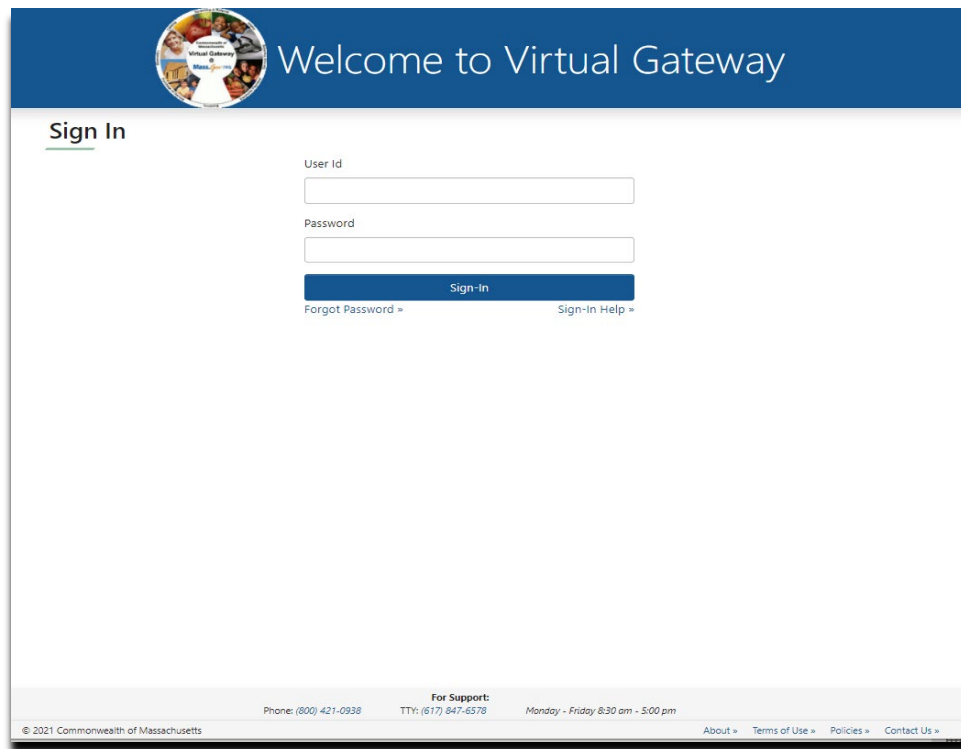
- Go to www.mass.gov
- Click on the “Log In to...” () button on the blue bar in the top right corner
- Click on “Virtual Gateway”
- Enter Username and Password (Figure 2.5)
- Select organization if prompted
- Click on “Background Check System”

- Select “Enter” on following screen after reading the warning (Figure 2.7)
Or
- Visit <https://sso.hhs.state.ma.us/>
- Bookmark login page for convenient access

It is highly recommended that you bookmark the website as seen in Figure 2.5 in order to make accessing the Virtual Gateway more convenient.

The following figures will show the step-by-step instructions for accessing the Virtual Gateway and BCS.

Figure 2.5

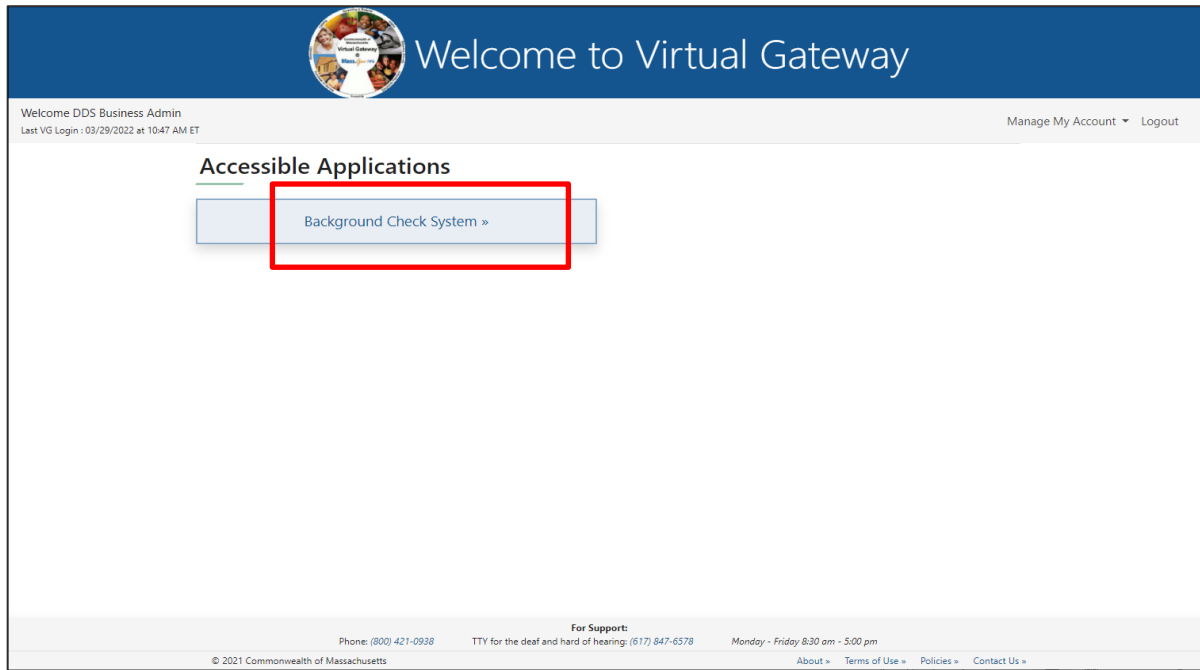


The screenshot shows the 'Welcome to Virtual Gateway' page. At the top left is a circular logo with the text 'Virtual Gateway' and 'Massachusetts Department of Health Services'. To the right of the logo is the heading 'Welcome to Virtual Gateway'. Below this is a 'Sign In' section with a sub-heading 'Sign In'. There are two input fields: 'User Id' and 'Password'. Below the fields is a blue 'Sign-In' button. Underneath the button are two links: 'Forgot Password >' and 'Sign-In Help >'. At the bottom of the page, there is a footer with contact information: '© 2021 Commonwealth of Massachusetts', 'Phone: (800) 421-0938', 'TTY: (617) 847-6578', 'Monday - Friday 8:30 am - 5:00 pm', and a navigation menu with links for 'About >', 'Terms of Use >', 'Policies >', and 'Contact Us >'.

Once you have completed the above steps, the screen in Figure 2.6 will appear. Depending on your organization’s needs, there may be additional services listed on this screen than shown in the screenshot above. However, you should see “Background Check System” listed as one of your available systems. If this option is not displayed and you have been informed that your BCS username has been created, please contact the Virtual Gateway Helpdesk. Click on the link labeled “Background Check System” and a new tab/window should open as shown in Figures 2.6 and 2.7.

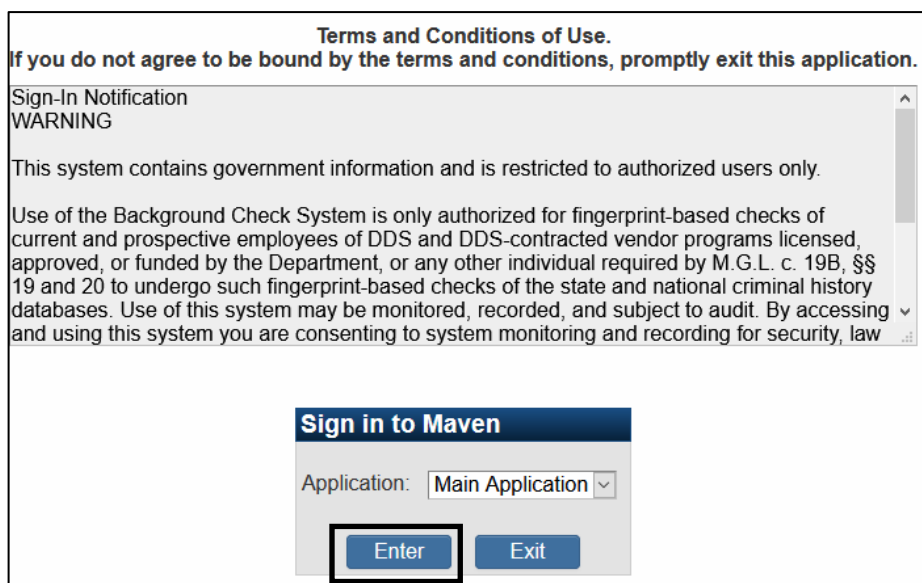
Please note, if you are a BCS User with more than one organization, please contact us for further guidance.

Figure 2.6



After selecting the Background Check System within the Virtual Gateway, the screen in Figure 2.7 should appear. Click on “Enter” and the BCS will load.

Figure 2.7



Please note that some users have experienced the following error when first signing into the BCS and sometimes during use:

An unexpected error has occurred. If problems persist, please contact the BCS System Administrator.

If you receive this or a similar error, please close your browser and then click on “Background Check System” again within the Virtual Gateway. If the error persists, please try a different web browser, and then call the Virtual Gateway Helpdesk if switching browsers does not fix the issue.

3. How to Submit an Individual for Fingerprinting

a. Splash Screen

Once you are logged into the BCS, the main page is referred to as the main splash screen or dashboard. Here you will see the menu, the National Background Check Unit contact information, Alerts and Notifications when available, Workflows, and Recently Accessed Records.

Figure 3.1

Case ID	Name	Case Status
★ 100000453-002	Smith, Jane	Fingerprint Check
☆ 100000180-002	Smyth, John	Fingerprint Check
☆ 100000465-002	Jones, Leslie	Fingerprint Check

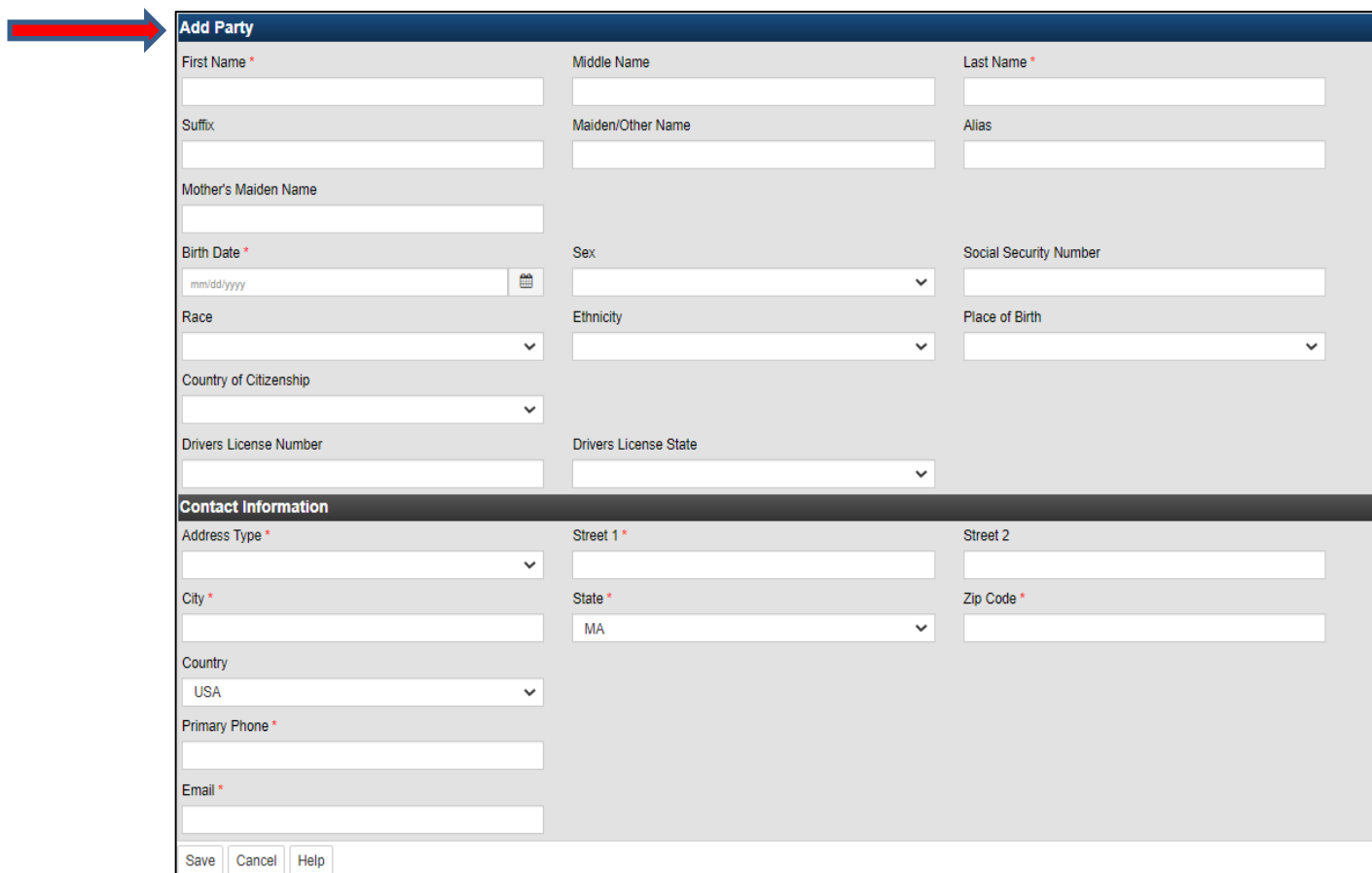
Workflow Queue	Records	Assigned
☆ My Group's Cases	3	0
☆ Overdue Tasks Created by Me	0	0
☆ Open Tasks Created by Me	0	0
☆ My Groups' Open Tasks	0	0
☆ My Overdue Tasks	0	0
☆ My Open Tasks	0	0

Type	# Last Week	# Average Last 4 Weeks	# Last
Fingerprint Check	21	5	123

b. Create Cases

On the main dashboard click on Create Record in the menu on the left side of the screen. Next you will see the Create Case-Party Information screen. From the Create Case-Party Information screen you will need to input the candidate information in the Add Party section. See Figure3.2.

Figure 3.2



The screenshot shows a web form titled "Add Party" with a red arrow pointing to the title bar. The form is divided into two main sections: "Add Party" and "Contact Information".

Add Party Section:

- First Name * (text input)
- Middle Name (text input)
- Last Name * (text input)
- Suffix (text input)
- Maiden/Other Name (text input)
- Alias (text input)
- Mother's Maiden Name (text input)
- Birth Date * (calendar icon, format mm/dd/yyyy)
- Sex (dropdown menu)
- Social Security Number (text input)
- Race (dropdown menu)
- Ethnicity (dropdown menu)
- Place of Birth (dropdown menu)
- Country of Citizenship (dropdown menu)
- Drivers License Number (text input)
- Drivers License State (dropdown menu)

Contact Information Section:

- Address Type * (dropdown menu)
- Street 1 * (text input)
- Street 2 (text input)
- City * (text input)
- State * (dropdown menu, currently MA)
- Zip Code * (text input)
- Country (dropdown menu, currently USA)
- Primary Phone * (text input)
- Email * (text input)

At the bottom of the form are buttons for "Save", "Cancel", and "Help".

There are key fields that must be completed before a case can be created. If you forget to enter the data that is required, you will see the following message:

Figure 3.3

Please correct the indicated errors before proceeding:

- Required field 'First Name' is not answered
- Required field 'Last Name' is not answered
- Required field 'Birth Date' is not answered
- Required field 'Address Type' is not answered
- Required field 'Street 1' is not answered
- Required field 'City' is not answered
- Required field 'Zip Code' is not answered
- Required field 'Primary Phone' is not answered
- Required field 'Email' is not answered

Please provide the candidate's contact information (including the candidate's email address), not the contact information for the organization. The DDS NBCU's primary means of communicating with candidates is via secure mail. A valid candidate email address is needed for efficient processing of background checks.

Note: After creating a case in the BCS – even if you are not attaching a CORI record (see **Section C. CORI Question Package** below) at that time – you should close and re-access the case in the BCS to ensure all information was properly entered. Entering or accessing the case at-least once after it is created will allow you to verify that all required information was entered and will ensure the case is properly assigned to your organization so that it is not routed to the workflow for incomplete cases with no organization assigned.

c. CORI Question Package

Before a candidate can schedule an appointment to be fingerprinted, it is **mandatory** that you complete the CORI Information Question Package and attach the current CORI (no older than 60 days and in PDF format) to the case. The CORI attachment should remain at the default security level of 3 and the document type selected for the CORI attachment must be selected as “Criminal Offender Record Information.” Failure to do so will result in the CORI question package showing incomplete, the fingerprint authorization letter not generating, the registration information will not be sent to Identogo, and the candidate will not be able to schedule an appointment to be fingerprinted.

You can complete the CORI Question Package and attach the CORI report by double clicking on the CORI Information Question Package as seen in Figure 3.4.

Figure 3.4

The screenshot shows the 'Case Summary' for Jane Smith in the DDS Background Check System. The interface includes a sidebar with navigation options and a main content area with sections for Basic Information, Notifications, and Question Packages.

Basic Information

Case ID:	10000453-002
Case Status:	Fingerprint Check
Name:	Jane Smith
Birth Date:	01/01/1990
Age:	30
Sex:	Female
Attachments:	1 (Add) (View)

Notifications

Product Notices 1
This is the QA environment

Workflow Status 1
Case is in workflows [View List]

Question Packages

Question Package	Party	Last Update	Updated By	Status
CORI Information	Jane Smith	06/17/2020	Central Office [coffice]	Incomplete
Demographic	Jane Smith	06/17/2020	Central Office [coffice]	Completed

A red arrow points to the 'CORI Information' row in the Question Packages table.

On the next screen, choose Clear from the first drop down. Clear means that you have reviewed the CORI for pending charges or convictions within scope and the CORI Hiring Review Form was completed, if necessary, per EOHHS CORI regulation 101 CMR 15.09. In the next drop down, you will need to choose the type of candidate you are entering. You will have the choice of applicant, employee, vendor, intern, or student.

It is important to make sure you have read, understood, agreed with, and answered the affirmation statement in this section. Failure to do so will result in the CORI question package showing incomplete, the fingerprint authorization letter not generating, the fingerprint registration information will not be sent to IdentoGO, and the candidate would not be able to schedule an appointment. See Figure 3.5.

Once you have answered all questions, click the save & stay button.

Next you will need to click on the blue hyper-link at the bottom of the page to attach the CORI. *It is required that the CORI report be attached in the case along with a copy of the CORI Hiring Review form and/or approval email for Table A*, if applicable. Failure to do so will result in the CORI question package showing incomplete, the fingerprint authorization letter not generating, the fingerprint registration information will not be sent to IdentoGO, and the candidate will not be able to schedule an appointment.

If you click on the blue hyper-link before clicking on Stay & Save, you will be prompted by the system to save before leaving. Choose to save & jump. This will then take you to the next screen to upload the CORI.

The screenshot shows a web form with two main sections: "CORI Disposition" and "Affirmation".

CORI Disposition Section:

- Header: "CORI Disposition"
- Field: "CORI Disposition:" with a dropdown menu showing "Clear".
- Message box: "Clear-CORI was reviewed for pending charges/convictions within scope and a CORI Hiring Review Form was completed if necessary."
- Text: "Please Enter any relevant CORI disposition comments:" followed by a large empty text area.
- Text: "Please select applicant type:" with a dropdown menu showing "Applicant".

Affirmation Section:

- Header: "Affirmation"
- Section: "Affirmation Statement:"
- Text: "I certify on behalf of the hiring authority that the applicant/employee has been cleared following a CORI investigation and/or the hiring authority has otherwise complied with all requirements of 101 CMR 15.00. *"
- Field: A dropdown menu with "Yes" selected.
- Message box: "Read, understand, and agree with statement. If not answered, candidate cannot register."
- Text: "Please attach Jane Smith's CORI report, Written Determination for Table A/B Offenses (if applicable), and any Supporting Documentation (in PDF format)" with a blue hyperlink.
- Buttons: "Save", "Save & Stay" (circled in red), "Cancel", and "Help".

Figure 3.5

On the following screen, click on the browse button to locate your CORI PDF file on your computer. Click on the CORI file to be uploaded and choose open. Next you will need to type in a description of the document you are going to attach, such as "CORI report". Do not change the folder location from the default of /. The folder >emailed attachments is for letters emailed by the system only. Then select the type of document for the CORI report by selecting: "Criminal Offender Record Information." See Figure 3.6.

Figure 3.6

DDS Background Check System

Search Case ID or Crit Search Central Office

Add Attachment - Jane Smith - Fingerprint Check

Attachment Information

File: Test Cori.pdf

Description:

Folder:

Status:

Type:

Security Level:

Notes:

After you have selected the correct attachment type (*i.e.*, Criminal Record Information) as shown above, you should ensure the security level is set at the default “Security Level 3” as shown in Figure 3.6 above. Please note, the document Type “Other Supporting Documentation” should be used for all other attachments such as the CORI Hiring Review Form. Additionally, all documentation attached to the case by a HA should be set to a security level of 3 as shown in Figure 3.6. Failure to set the security level to 3 will leave the documentation accessible by System Administrators and other IT staff. Click on save.

After completing the steps of attaching the CORI to the case at security level of 3 and selecting “Criminal Offender Record Information” as the document “Type” you should click on the “Save” button as shown in Figure 3.6 above. Selecting save will result in the CORI question package showing complete, the fingerprint authorization letter generating, the fingerprint registration information will be sent to IdentoGO, and the candidate will be able to schedule a fingerprint appointment.

Failure to properly complete the steps described above or failure to attach the CORI (and CORI Hiring Review Form, if necessary) to the case will result in the CORI question package showing incomplete, the fingerprint authorization letter not generating, the fingerprint registration information will not be sent to IdentoGO, and the candidate will not be able to schedule a fingerprint appointment.

Please note, Hiring Authorities **should not** attach records of other background checks they may conduct on prospective employees (*e.g.*, DPPC Abuser Registry, Sex Offender Registry Board, or Inspector General checks, etc.) to a Candidate’s case in the DDS Background Check System. Hiring Authorities also **should not** attach copies of other documents they may obtain as part of running a CORI check (*e.g.*, CORI Acknowledgment Form, Driver’s License, or Passport, etc.). These documents and checks are distinct from DDS’ National Background Check processes conducted under 115 CMR 12.00. Additionally, these records may be

protected by confidentiality or security regulations that prohibit your disclosure of such records to DDS.

On the next screen you will see the attachment(s) to the case. You will also have access to all the automated letters here in the emailed attachments section. For instructions on how to access copies of automated letters see section 4. Select dashboard to return to the dashboard.

Figure 3.7

DDS Background Check System

Manage Attachments - Jane Smith - Fingerprint Check

File	Description	Type	Security Level	Create Date	Created By	Updated By
/ +		Folder	0			
Emailed Attachments +		Folder	0			
Test Cori.pdf	CORI Report	Criminal Offender Record Information	3	09/17/2020	Central Office [coffice]	Central Office [coffice]

Dashboard Help

Once you are back to the dashboard of the case, you will see the CORI Question Package shows as complete. You can then exit the case by clicking on the blue button with your name in the top right corner and click close record. See Figure 3.8 below.

Figure 3.8

The screenshot displays the 'DDS Background Check System' interface. At the top, the user 'Jane Smith' is logged in, and the current office is 'Central Office'. The main content area is titled 'Case Summary' and contains the following information:

Basic Information

Case ID:	100000453-002
Case Status:	Fingerprint Check
Name:	Jane Smith
Birth Date:	01/01/1990
Age:	30
Sex:	Female
Attachments:	2 (Add) (View)

Notifications

Product Notices 1
This is the QA environment

Workflow Status 1
Case is in workflows [View List]

Below the notifications, there is a 'Record Data' section with a 'Parties' tab. A table titled 'Question Packages' is displayed with the following data:

Question Package	Party	Last Update	Updated By	Status
CORI Information	Jane Smith	09/17/2020	Central Office [coffice]	Completed
Demographic	Jane Smith	06/17/2020	Central Office [coffice]	Completed

Now that you have successfully created a case for the candidate, you will receive the fingerprint authorization letter by automated email within 24-48 hours of creating the case. The candidate will not be able to register for a fingerprint appointment until you have received this letter. Please provide a copy of the letter to the candidate as soon as possible so they can register for an appointment within the next 10 days. The instructions for how to register to schedule a fingerprint appointment are included in the letter.

**If you make any changes to the candidate's name or date of birth after the fingerprint authorization letter has been generated, please contact the NBCU by email.* The candidate's information will need to be re-sent manually to IdentoGO by the NBCU. The candidate will then be able to register for a fingerprint appointment the following day. This does not change the PIN # on the Fingerprint Authorization letter.

d. Entry of Employee ID Numbers (If Applicable)

If the candidate you are referring for a DDS fingerprint check has been assigned an Employee ID number by your agency, it is important that you add this information to the candidate's Demographic Question Package after you create the case. This will help the NBCU to identify your candidate should there be questions during the background check processes or thereafter. To add your candidate's Employee ID, double click on the Demographic Question Package (directly under the CORI Information Question Package) from the main dashboard after you have created the case. To access the Demographic Question Package, you should follow the same procedures used to access the CORI Information Question Package. See Figure 3.8 above.

Once you have accessed the candidate's Demographic Question Package, locate the "Employee ID" field, and enter the candidate's Employee ID number. See Figure 3.9 below.

Figure 3.9

The screenshot shows the 'Demographic - Test Case - Fingerprint Check' form in the 'DDS Background Check System'. The form is organized into three main sections:

- Residential Address:** Includes fields for First name * (containing 'Test'), Middle name, Last name * (containing 'Case'), Suffix (dropdown), Maiden Name, and Mothers maiden name.
- Additional Demographics:** Includes fields for Race, Ethnicity, Birth Date * (containing '01/01/1990'), Place of Birth, Country of citizenship, Drivers license Number, and Employee ID. The Employee ID field is highlighted in yellow and has a blue arrow pointing to it.
- Demographic Information:** This is the bottom-most section of the form.

Once you have entered the candidate's Employee ID number, you should scroll to the bottom of the page and select the "Save" or "Save & Stay" buttons. You may then exit the case by clicking on the blue button with your name in the top right corner and selecting "close record" from the drop down menu.

e. 60-Day Validity For Previous Determinations

If you know that a candidate you are referring for a fingerprint check has recently (*i.e.*, within the last 60 days) been fingerprinted for employment with another DDS provider, please contact the NBCU by email and request that we review the previous determination. If the candidate has been fingerprinted for another DDS provider within 60 days of making this email request, and the finding is suitable, that determination may be eligible to be applied to the case you created and the candidate may not need to schedule another fingerprint appointment.

If it is past the 60-day window the team will instruct you to have the candidate register for a new fingerprint appointment.

f. Withdrawals

In the event a candidate withdraws their application before attending a fingerprint appointment, or you choose not to move forward with the candidate, the case must be administratively withdrawn in the BCS. Contact the NBCU by email to notify them that you wish to have a candidate's case withdrawn. Please provide only the name and Case ID in the email and do not include any additional personally identifying information.

g. Search Records

To search for a case in the system go to the menu on the main dashboard and choose Search Record. You will only be able to see and open the records that have been created by your organization. You can search by case ID, name, or date of birth. See figure 3.10.

Figure 3.10

Search Criteria

Type: Normal

Case ID:

Last Name:

First Name:

Birth Date (Range):

Sex:

Street:

City:

State:

Zip Code:

Case Status: Fingerprint Check

TCN:

Search Options

The results of your search will display to the right of the Search Criteria box shown above and will provide the Case ID, Name, Age, Status, Record Date, Create Date, and External ID. See Figure 3.11 below showing results for a sample test case.

Figure 3.11

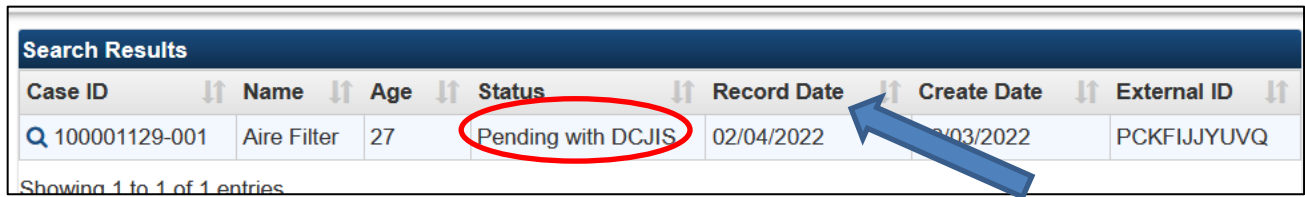
Search Results							
Case ID	Name	Age	Status	Record Date	Create Date	External ID	
100001129-001	Aire Filter	27	Pending with DCJIS	02/04/2022	02/03/2022	PCKFIJJYUVQ	

Showing 1 to 1 of 1 entries

h. Fingerprint Status Checks

The status of a candidate's cases may also be accessed via the Background Check System. You may search for the status of a candidate's case using the Search Records procedures set forth in Section 3.g. Search Records above. When you locate the case you searched for, information on the status of the case is included in the Search Results. See Figure 3.12 below.

Figure 3.12



Search Results						
Case ID	Name	Age	Status	Record Date	Create Date	External ID
100001129-001	Aire Filter	27	Pending with DCJIS	02/04/2022	03/03/2022	PCKFIJJYUVQ

Showing 1 to 1 of 1 entries

The most common statuses when a case is being processed will be Pending Fingerprints or Pending with DCJIS. A case status of Pending Determination/Re-Determination may also be viewed while a case is in process. These case statuses have the following definitions:

Pending Fingerprints: The status “Pending Fingerprints” means the candidate has not been fingerprinted or the fingerprint appointment information has not been returned to the NBCU.

Pending with DCJIS: The status “Pending with DCJIS” means the candidate has been fingerprinted and the results are pending with DCJIS (i.e., DDS has not received the candidate's criminal history record information back from DCJIS). This status will show when DDS receives the fingerprint appointment information back from Identogo.

Pending Determination/Re-Determination: The statuses of “Pending Determination” or “Pending Re-Determination” mean fingerprint check results have been received from DCJIS and are under review by the NBCU or additional information has been requested from the candidate concerning the fingerprint check results and the case is subject to re-determination by the NBCU.

Final case status of **Suitable**, **Not Suitable**, and **Withdrawn** may be viewed in the Background Check System and are assigned when case processing has been completed. The Record Date information (indicated by the blue arrow in Figure 3.12 above) is the date the change in case status was made.

Please note, letters and notices to hiring authorities are auto generated by email at the close of business each day and it may take 1-2 business days for a HA to receive a notice. If you see the status information reflects a change in status of one of your cases but you have not yet received the corresponding notice (e.g., a case has a status of Suitable but you have not yet received the DDS Suitability Letter), please consult the Record Date information and allow for 2 business days to receive the letter before contacting the NBCU.

Finally, processing times for conducting fingerprint checks by the Massachusetts State Police and the Federal Bureau of Investigation may vary. Review of criminal history record information by DCJIS will also vary and these processes will impact the time needed for fingerprint check results to be returned to DDS. It is not uncommon for cases to take up to four weeks for the results of a fingerprint check to be returned to DDS. It is also quite common for the results of fingerprint checks to be returned to DDS out-of-order, and the results for one candidate may be received more quickly than a candidate whose fingerprint appointment was scheduled earlier than the candidate whose results have been received. DDS does not track candidate's attendance at fingerprint appointments and the hiring authority is responsible for ensuring a candidate attends the fingerprint appointment by obtaining a copy of the fingerprint appointment receipt. **Please allow at minimum 14 business days from the date of the fingerprint appointment before contacting the NBCU about the status of a case. You must also confirm the candidate attended the fingerprint appointment and you must forward a scanned copy of the candidate's fingerprint appointment receipt with your status inquiry to the NBCU.**

i. **Recent Records**

From the main dashboard you will see the Recent Records section. You can click on the "More" link at the bottom of the Recently Accessed Records section to view more cases. See Figure 3.13 below.

This workflow will only list the most recent records that the specific user has accessed. The workflow will show different cases for each user depending on what cases you have created or opened in the system. Currently the system does not have a section that will list all cases created for an organization. If you need to access a specific case or are looking for a case that was created by another user for your organization, use search record in the menu to locate that case.

Figure 3.13

The screenshot shows the DDS Background Check System dashboard. On the left is a 'Menu' sidebar with options like Home, Open Help, History, Case Management, Profile Management, etc. The main content area is divided into several sections:

- Alerts And Notifications:** A message stating 'This is the QA environment'.
- Recent Records:** A table with columns Case ID, Name, and Case Status. It lists three records for fingerprint checks. A 'More...' link is circled in red.
- Workflows:** A table with columns Workflow Queue, Records, and Assigned. It lists various task queues like 'My Group's Cases', 'Overdue Tasks', etc.
- Quick Links:** A section with a 'Welcome' message, an 'Activity' summary table for '09/15/2020 11:09 AM', and contact information for the 'DDS Criminal Background Check Unit'.

The Recent Records section only shows the last 20 records viewed. If you need to track a case, you can do this by bookmarking a case. It will remain on the Recent Record list until unmarked. To bookmark a case, click on the star to the immediate left of the Case ID and it will turn to black. To uncheck it, click it again.

If a case falls off the Recent Records list, use search record in the menu to find the case or enter the full case ID into the search box in the top right-hand side of the splash screen. See Figure 3.14 below.

Figure 3.14

This screenshot shows the 'Recent Cases' section of the dashboard. At the top, there is a search bar with the placeholder text 'Search Case ID or Criti' and a 'Search' button. A blue arrow points to this search bar. Below the search bar is a table with the following data:

Case ID	Party	Status	Case Status	Record Date	Access Time
★ 100000453-002	Smith, Jane	Pending Fingerprints	Fingerprint Check	06/17/2020	09/18/2020 03:06 PM
☆ 100000180-002	Smyth, John	Pending Fingerprints	Fingerprint Check	06/09/2016	07/09/2018 11:11 AM

4. Letters & Determinations

To ensure that you receive emails with letter attachment and advisories from the NBCU, you should add our email address to your safe/approved sender list in your email settings. This will prevent our emails from being misdirected to your junk/spam folder. All letters are available to view/print in the case under the attachments section. If you cannot find the letter after confirming you completed the CORI information question package, checking your spam folder and the attachments section in the BCS, contact the NBCU. See Figure 4.1 & 4.2 for where to find attached case letters and notices.

Figure 4.1

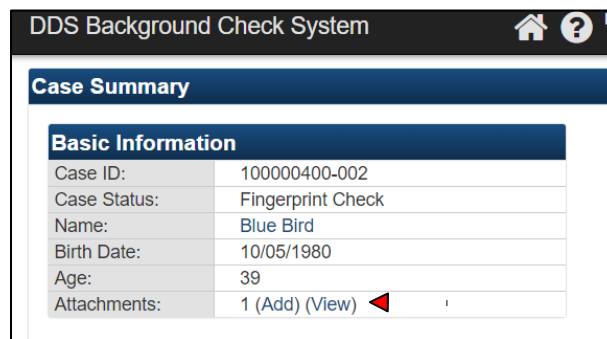
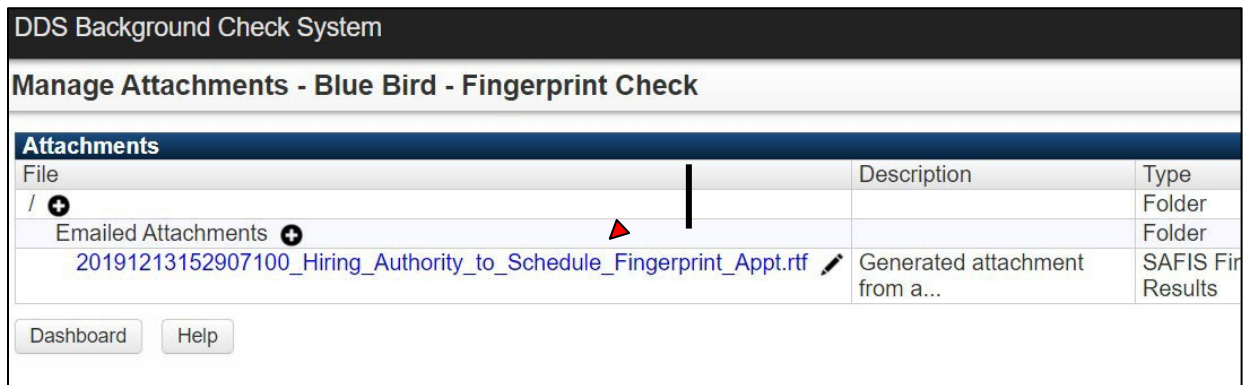


Figure 4.2



a. Fingerprint Authorization Letter – 100

The Fingerprint Authorization Letter provides all the necessary information for a candidate to register for a fingerprint appointment at an IdentoGO Enrollment Center. The Fingerprint Authorization Letter is an automated letter that is generated once the HA completes all requirements for creating a case in the BCS. The CORI Information section must be complete, and the affirmation statement must be answered “**yes**” otherwise the CORI question package will show incomplete and the Fingerprint Authorization Letter will not generate. The Fingerprint Authorization Letter is sent via email, within 24-48 hours of properly creating the case, to the HA who created the case. If you have not received the

automated email with the letter attachment within 48 hours, check for the letter in the case in the BCS under the attachments section.

The candidate should be given a copy of the Fingerprint Authorization Letter as soon as possible and must schedule and attend an appointment within ten (10) days of the letter being generated. Once the fingerprint results are pending, it is within the discretion of your agency to allow the candidate to be hired as a conditional employee. However, for the candidate to be hired as a conditional employee they must be CORI cleared by the HA in compliance with all the requirements of 115 CMR 12.10.

b. Suitable Letter – 101

Once the candidate is put into the system, has been fingerprinted, and found suitable, you will receive an email with the subject line: 101_Hiring_Authority_reSuitable_Candidate.rtf, which has the suitability letter attached. You will receive the letter 24-48 hours after the case has been finalized.

A suitable letter allows a candidate to have unsupervised contact with DDS individuals while employed with your agency per 115 CMR 12.00. You must retain a copy of the candidate's suitability letter. The NBCU suggests you store the letter with their CORI, as both documents are subject to audit by DDS. Please note, it is your responsibility to keep these results in a secure area once they are received. If you misplace a letter or never receive an automated email with the letter attached, you can log in to the BCS and retrieve the letter under the attachments section if one was issued.

c. Interim Not Suitable Letter – 103

If the NBCU needs additional information from the candidate during the Background Check process, you will receive an email with the subject line: 103_Hiring_Authority_reInterimNotSuitable_Candidate.rtf, which has an Interim Not Suitable and Request for Information letter attached. If you receive this letter, your candidate must be removed from any unsupervised contact with DDS individuals until a final determination is issued. *Please be aware, this letter is not an automatic disqualification.*

Once the candidate is removed from an unsupervised position nothing further is required of you. We will send a packet to the candidate by secure email to the email address you provide in the demographics section (or by USPS, if necessary, on an individual case-by-case basis) requesting additional information from the candidate. We are unable to discuss the findings of the Background Check with the candidate until they have received their secure email with the results of their fingerprint check. We are not allowed to discuss the results with anyone but the candidate.

Once you receive the Interim Not Suitable notice, you should let the candidate know that they will be sent an email requesting additional information which will instruct them to contact the NBCU directly. **You should advise the candidate to look for an email from the DDS NBC Unit.** Communications with the candidate will be made via electronic mail only; no documentation will be issued to the candidate by U.S. Mail unless such process is pre-approved by the NBCU. The candidate will have **21 days** to contact the National Background Check Unit to discuss the findings of their background check and provide additional information. After the NBCU receives the candidate's response, the NBCU will review the information and make a final determination in accordance with standards set forth at 115 CMR 12.09. Both the candidate and the hiring authority will be notified of the final determination by email.

Please note, if a Candidate who has received an Interim Not Suitable Letter notifies your agency that they no longer want to move forward in the hiring process, you do not have to wait 21-days and you may notify the NBCU that the Candidate's case may be Withdrawn (see **Section 5.c. Withdrawn – 113** below).

d. Final Not Suitable Letter –108

Once the review is completed and if the candidate is found Final Not Suitable you will receive an email with the subject line: 108_Hiring_Authority_reFinalNotSuitable_Candidate.rtf, which has a Final Not Suitable letter attached. If you receive a Final Not Suitable letter the candidate is not eligible to be in an unsupervised position with DDS individuals.

e. Final Suitable Letter – 109

Once the review is completed and if the candidate is found Final Suitable, you will receive an email with the subject line: 109_HiringAuthority_reFinalSuitable_Candidate.rtf, which has a Final Suitable letter attached. A Final Suitable letter authorizes a candidate to have unsupervised contact with DDS individuals while employed with your agency. You must retain a copy of the candidate's suitability letter. The NBCU suggests you store the letter with their CORI, as both documents are subject to audit by DDS. Please note, it is your responsibility to keep these results in a secure area once they are received. If you misplace a letter or never receive an automated email with the letter attached, you can log in to the BCS and retrieve the letter under the attachments section if one was issued.

5. Notices

a. Fingerprint Rejection Notice

Occasionally, a fingerprint result will be rejected. Rejected Status simply means the transaction has been rejected, usually due to a fingerprint quality issue. Identogo will make three attempts to reach out to the candidate during the rejected status. It is important that the candidate provides accurate contact information while scheduling/attending their fingerprinting appointment.

When a candidate is contacted because their fingerprints have been rejected, they will need to reschedule to have their fingerprints taken again. There is no additional cost for the second appointment.

b. FBI Name Search Notice

If two fingerprint quality rejections have been received for the candidate, DCJIS staff will send the request to the FBI for a name-based criminal record search. This search consists of the FBI manually ruling out possible name and date of birth matches to your candidate. This process can take up to 30 days.

c. Withdrawn - 113

If the candidate or your agency decide not to move forward with the hiring process, please notify the NBCU at DDS.NationalBackgroundUnit@Mass.gov. Please include the case ID number in the subject line and indicate that the candidate will no longer move forward in the hiring process. Once we receive the email, we will withdraw the case from the BCS. You will receive an email with the subject: 113_HiringAuthority_reWithdrawn_Case with the letter attached 24-48 hours after the case has been closed in the system.

If your agency receives this letter without notifying us of a withdrawal, this means that the case has been withdrawn because the fingerprints/case is older than 60 days, or you have not complied with DDS Background Check procedures. A candidate must be fingerprinted within 60 days of the case being created within the BCS. Copies of the original Appointment, Suitable, Interim Not Suitable, and Final Suitable/Not Suitable letters are available in the attachments section of each case. Enter the case and click on "View" under the Attachments section in order to save/print copies.

A Withdrawal Notice is not a determination of Suitability. Hiring Authorities must monitor their email accounts for candidate Withdrawal Notices and must take action as directed in the notice. Receipt of a Withdrawal Notice means the candidate may not work for your agency in a position with the potential for unsupervised contact until such time as a new case is created and the candidate is determined Suitable.

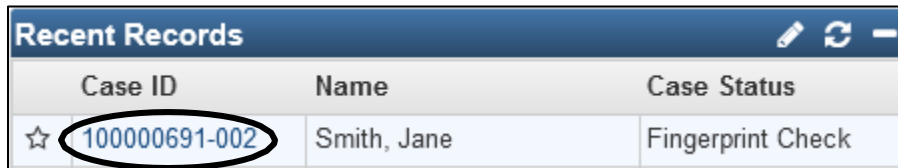
6. Troubleshooting & Frequently Asked Questions

a. Edit Case (Edit Demographic Information)

If you complete the case making process and notice you made an error in the system or that the existing information for a candidate is outdated, *please do not create a new case to make the correction*. You can make changes to the candidate's information by following these steps:

To begin, you will need to enter the case you would like to make the changes to by clicking on the Case ID number. The case can be found by doing a search or in the Recent Records section on the main splash screen as shown in Figure 6.1.

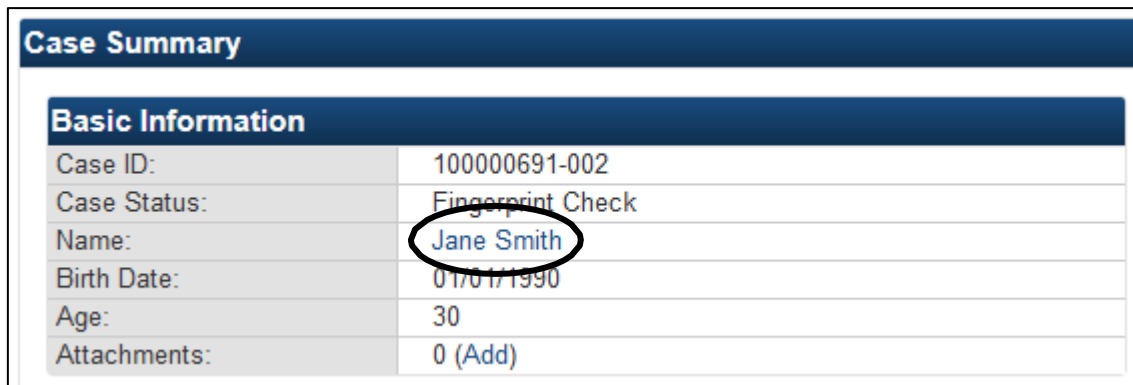
Figure 6.1



Recent Records		
Case ID	Name	Case Status
☆ 100000691-002	Smith, Jane	Fingerprint Check

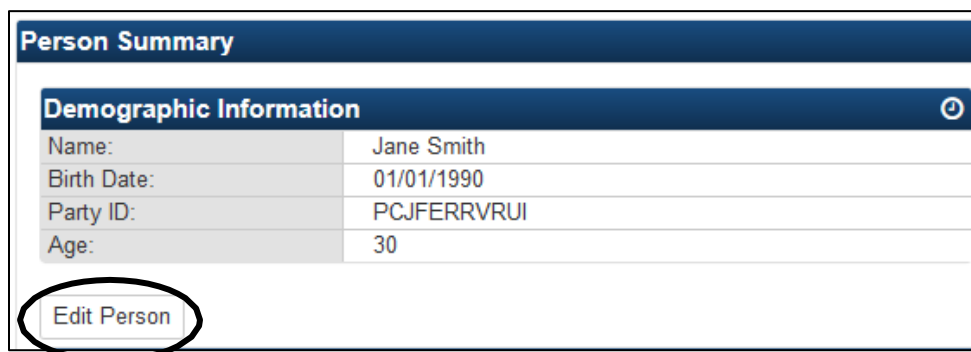
After you have opened the desired case, click on the candidate's name and then on the "Edit Person" button as seen in Figures 6.2 and 6.3.

Figure 6.2



Case Summary	
Basic Information	
Case ID:	100000691-002
Case Status:	Fingerprint Check
Name:	Jane Smith
Birth Date:	01/01/1990
Age:	30
Attachments:	0 (Add)

Figure 6.3



Person Summary	
Demographic Information	
Name:	Jane Smith
Birth Date:	01/01/1990
Party ID:	PCJFERRVRUI
Age:	30

[Edit Person](#)

Once you have clicked on “Edit Person” you should see the screen shown in Figure 6.4. This screen will allow you to edit the demographic information that is required to create the case. After making any corrections or adding any additional information, you should make sure that you click on “Save” and confirm that the changes have been made.

Figure 6.4

The screenshot displays a web form titled "Manage Person". It is divided into two main sections: "Edit Person" and "Contact Information".

Edit Person Section:

- First Name ***: Text input field containing "Jane".
- Middle Name**: Text input field (empty).
- Last Name ***: Text input field containing "Smith".
- Suffix**: Text input field (empty).
- Maiden/Other Name**: Text input field (empty).
- Alias**: Text input field (empty).
- Mother's Maiden Name**: Text input field (empty).
- Birth Date ***: Date picker field showing "01/01/1990".
- Sex**: Dropdown menu (empty).
- Social Security Number**: Text input field (empty).
- Race**: Dropdown menu (empty).
- Ethnicity**: Dropdown menu (empty).
- Place of Birth**: Dropdown menu (empty).
- Country of Citizenship**: Dropdown menu (empty).
- Drivers License Number**: Text input field (empty).
- Drivers License State**: Dropdown menu (empty).

Contact Information Section:

- Start Date:** Date picker field showing "10/01/2020".
- End Date:** Date picker field showing "01/01/2030".
- Address Type ***: Dropdown menu showing "Mailing".
- Street 1 ***: Text input field containing "123 Main St".
- Street 2**: Text input field (empty).

After making the corrections in the BCS you will need to send us an email at DDS.NationalBackgroundUnit@mass.gov informing us of the case ID #, candidate's name, and what correction (name, date of birth, address, etc.) has been made. When notifying us of the date of birth being corrected, please just state that the date of birth was corrected and not what the actual candidate's date of birth is. Once we are notified, we will schedule the corrections to be sent to Identogo. The candidate will then be able to register the following day with the correct information. If you do not notify us, the information will remain in our system and the candidate will not be able to register.

b. Causes of Case Delay

Not Completing the CORI Process (101 CMR 15.00)

The DDS fingerprint check is distinct from *and in addition* to the existing CORI check. Failure to complete the CORI process in accordance with 101 CMR 15.00 prior to entering the candidate into the DDS BCS can cause an extensive delay. It is important to note that the Affirmation Statement mentioned in section 3.c of the User Guide, is the user acknowledging that they have completed the CORI process for the candidate they are entering into the system. **A copy of the CORI report must also be attached to the case to complete the CORI Information Question Package. Failure to attach the CORI to the case will result in the CORI question package showing incomplete, the fingerprint authorization letter not generating, the fingerprint registration information will not be sent to IdentoGO, and the candidate will not be able to schedule a fingerprint appointment.**

If a CORI Hiring Review Form is required during your candidate's CORI check, it is important that you include the CORI *and* CORI Hiring Review Form during the BCS case creation process. This includes CORI Hiring Review Forms for Table A and Table B offenses, and the approval email for Table A offenses.

Making Appointment Under the Wrong Agency

When the candidate is completing the registration process by telephone or online with IdentoGO, it is important for them to specify that they are being fingerprinted for the Department of Developmental Services and that they provide their PIN#. If they do not specify DDS or provide the number, the fingerprint results will not be returned to the DDS National Background Unit and the candidate will have to be fingerprinted again. Another indicator that they did not register properly is that they are charged an amount other than \$45.

When inquiring about delays after a candidate has claimed to be fingerprinted, please have them send a copy of their receipt to you so that you may provide it with your inquiry to the NBCU.

Incomplete/Wrong Contact Information

Sometimes the NBCU is required to send a packet of information to a candidate in-order to complete their case. The NBCU's primary means of contacting candidates is via secure email. In contacting candidates, the NBCU utilizes the address, telephone number, and email address information provided by a HA in a candidate's case when they are put into the system. If you use an old email or residential address, omit an apartment number, or use the company's email or corporate address instead of the candidate's, the case will be delayed. If you do not include a telephone number or email address, the case will be delayed as we will need to reach out to you for the missing information.

You should also stress to your candidates to inform you of any changes to their contact

information during the background check process.

Not Notifying the NBCU of Changes in the System

The DDS Background Check System is limited as to what it will notify us of. As a result, it is important that you notify the NBCU via email whenever you have changed a candidate's information, uploaded documentation to the case or have added any notes to the CORI Question Package. Failure to notify us via email of these changes may cause a delay as we are relying on notification from you for us to continue with the case.

Not Managing/Tracking Your Candidates

At any given point throughout the fingerprinting process it is possible a NBCU team member or IdentoGO representative will need to reach out to you or your candidate. It is important that contact information be accurate and up to date. Additionally, it is helpful if Hiring Authorities make sure candidates are registering for fingerprinting in a timely manner (*i.e.*, within 10-days), verify candidates attend their appointments, and ensure that they are following up with any contact from the NBCU or IdentoGO.

It is the responsibility of your agency to monitor and track your candidates to ensure that they schedule and attend a fingerprint-check appointment. As the allowable period of "Conditional Employment" per 115 CMR 12.10 is limited to 60-days, you should monitor the candidates you refer for a DDS Background Check to ensure they schedule a fingerprint appointment within 10-days of your receipt of the Fingerprint Authorization Letter (100 Letter). The NBCU does not track candidates or confirm candidates have attended an appointment. Hiring authorities should request a copy of the IdentoGO receipt from your candidates to confirm they attended a fingerprint appointment and that they were printed under the correct agency.

Candidate Tracking Workflows

To assist Hiring Authorities monitor the progress of their cases in the Background Check System, the NBCU has enabled three workflows in the Background Check System that Hiring Authorities may consult. The three workflows identify cases that have not progressed through the background check process and may be subject to administrative withdrawal. The workflows will also identify cases for your organization that have been withdrawn. The three workflows enabled in the Background Check System are:

- **Cases Withdrawn for My Organization**

Summary: this workflow identifies all cases for your organization that have been withdrawn (not time limited) so that you can verify whether employees have completed their DDS Background Check.

- **Cases No Determination in Last 60 Days**

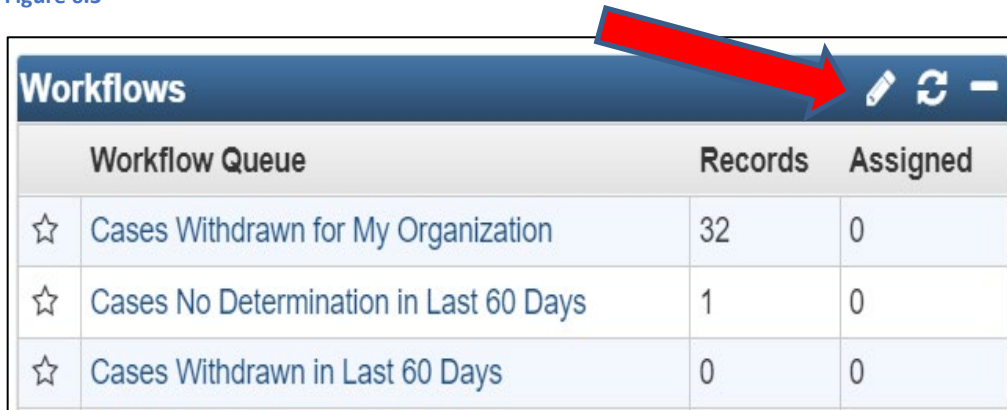
Summary: this workflow identifies all cases that your organization created in the Background Check System within the last 60-days that have not had a final determination and may be subject to withdrawal if no action is taken.

- **Cases Withdrawn in Last 60 Days**

Summary: this workflow identifies all cases for your organization that have been withdrawn in the last 60-days so that your organization will remove the person from any position with the potential for unsupervised contact. Should your agency wish to proceed with employment for a candidate in this workflow, you must take action to create a new case and re-submit the candidate for a DDS Background Check.

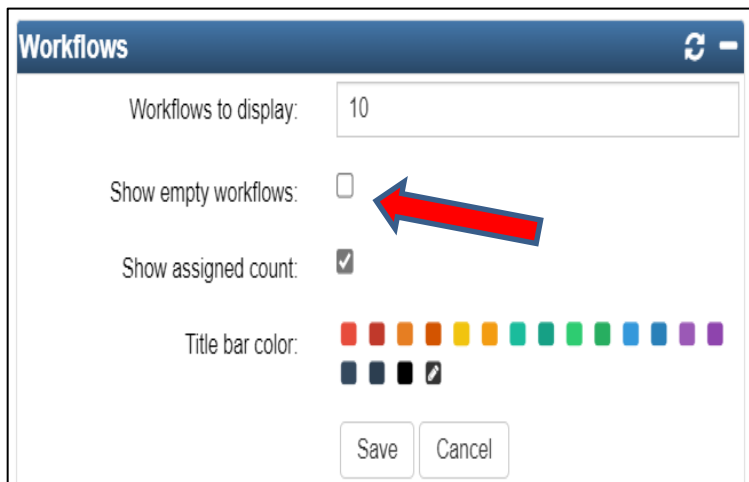
The three newly enabled workflows may be accessed via the main dashboard screen for your agency in the DDS Background Check System. See Figure 6.5 below:

Figure 6.5



Workflows			
	Workflow Queue	Records	Assigned
☆	Cases Withdrawn for My Organization	32	0
☆	Cases No Determination in Last 60 Days	1	0
☆	Cases Withdrawn in Last 60 Days	0	0

If the three workflows are not viewable in your agency’s Workflow Queue, you may have to select the Edit/Pencil Icon (see red arrow above) and select the “Show empty workflows” check-box (see red arrow below) and then select “Save” to ensure all three workflows are viewable.



Workflows

Workflows to display: 10

Show empty workflows:

Show assigned count:

Title bar color: [Color selection palette]

Save Cancel

c. Candidates Under Age 18 Years-Old

Both the CORI (101 CMR 15.00) and NBC (115 CMR 12.00) regulations authorize background checks for persons under the age of 18. CORI checks are a required prerequisite before a request for a DDS fingerprint check may be requested. See Section 3.c. above. The regulatory definition of “CORI” set forth in 803 CMR 2.00 excludes juvenile offenses from the definition of CORI; however, offenses that occurred when an individual was under the age of 18 but where the individual was adjudicated as an adult are included in the regulatory definition of CORI and will be included on an individual’s CORI records. See 803 CMR 2.03(1). Therefore, there may be CORI information included on the Massachusetts CORI report for an individual under the age of 18.

The CORI regulations provide that if a subject does not have an acceptable form of government-issued identification, the person requesting the CORI shall verify/confirm identity by examining in-person, either the subject’s birth certificate or social security card. If a subject is younger than 18-years old and identified by any of the documents included in 803 CMR 2.11(5)(a) or (b), then identity may be verified by a school-issued identification card with a photograph. See 803 CMR 2.11(5). Many CORI Acknowledgment Forms also require the signature of the subject’s parent or legal guardian if the individual is under 18-years of age.

IdentoGO by IDEMIA also has procedures for fingerprint checks for persons under the age of 18. If an applicant is under 18 years of age and unable to present a primary identification document, the applicant must provide an original or certified copy of a birth certificate issued by an authorized U.S. government agency with an official seal or a certificate of birth abroad (issued by the U.S. State Department) and a school identification card, school record or report card, home schooling education plan, or a U.S. Social Security Card. Persons seeking to undergo a fingerprint-based background check are encouraged to review Identogo’s [Statewide Applicant Fingerprint Identification Services \(SAFIS\) Acceptable Forms of Identification](#) for information needed for persons, including persons under age 18, to verify identity before a fingerprint-based background check.

d. **Non-Compliant Case Creation and Results**

Cases for candidates created in the DDS Background Check System that do not comply with the case creation standards set forth in this User Guide are subject to be administratively withdrawn. **If a case is withdrawn before a Suitability determination is issued, the candidate may not work with your agency in a position that entails the potential for unsupervised contact with individuals receiving services from DDS.** Common reasons for cases being administratively withdrawn include:

1. **CORI Attached to the Case is Older than 60-Days**

Description: the CORI regulations require a valid CORI check run within the last 60 days. Some Hiring Authorities are creating cases with a CORI greater than 60-days old attached to the case in the Background Check System.

Result: case will be withdrawn for non-compliance with case creation standards. An

email will be issued to the Hiring Authority with instructions on how to create a new case with an updated CORI attached. The Candidate may not work with your agency in a position with the potential for unsupervised contact until a DDS Suitability determination is issued.

To ensure a valid CORI is attached to each case you create, you should perform the CORI check as close as possible to the day the case is created – preferably the same day. You should also direct your prospective employees to schedule and attend a fingerprint appointment as soon as possible. This will ensure that there is sufficient time for a case to be completed within the 60-day time period that the CORI is valid.

2. Non-Completion of CORI Hiring Review Form for Table B Convictions

Description: cases with convictions or pending status of offenses listed on Table B of 101 CMR 15.00 within the regulatory look-back periods require the Hiring Authority complete the EOHHS CORI Hiring Review Form if they wish to hire the Candidate. If required, a copy of the completed CORI Hiring Review Form must be attached to the case created for a candidate in the DDS Background Check System to document compliance with the CORI standards and confirm that the Candidate has been ‘CORI-Cleared’ before a DDS Fingerprint Check is requested. Many Hiring Authorities are creating cases in the DDS Background Check System without a CORI Hiring Review Form attached when Table B convictions or pending status are present and a CORI Hiring Review Form is required.

Result: case will be withdrawn for non-compliance with case creation standards. An email will be issued to the Hiring Authority with instructions to complete the CORI Hiring Review Form and create a new case with the CORI Hiring Review Form attached. The Candidate may not work with your agency in a position with the potential for unsupervised contact until a DDS Suitability determination is issued.

3. Non-Completion of CORI Hiring Review Form for Table A Convictions

Description: cases with convictions or pending status of offenses listed on Table A of 101 CMR 15.00 require the Hiring Authority complete the EOHHS CORI Hiring Review Form and submit the form for review by the DDS Commissioner/Designee if they wish to hire the Candidate. If required, a copy of the completed CORI Hiring Review Form must be submitted to the ddscorireview@mass.gov email account for review by the DDS Commissioner/Designee. Many Hiring Authorities are creating cases in the DDS Background Check System for candidates with Table A convictions or pending status, without first completing the CORI Hiring Review Form and submitting it to the DDS CORI Review email account when Table A convictions are present and submission to the DDS Commissioner/Designee is required.

Result: case will be withdrawn for non-compliance with case creation standards. An email will be issued to the Hiring Authority with instructions to complete the CORI Hiring Review Form and submit to the ddscorireview@state.ma.us email account for a Table A review by the DDS Commissioner/Designee. If the Hiring Authority’s decision to hire is not disapproved, instructions to create a new case and attach the determination of the Commissioner’s Designee to the new case will be provided to the Hiring Authority. The Candidate may not work with your agency in a position with the potential for unsupervised contact until a DDS Suitability determination is issued.

4. Incorrect Candidate Contact Information

Description: accurate contact information for candidates (*e.g.*, address, email, telephone) is required so that the NBCU may communicate confidentially and securely with candidates about their criminal history. The NBCU is prohibited from disclosing and/or discussing a candidate's criminal history with anyone but the candidate who is the subject of the record. Some Hiring Authorities have entered their own contact information in the sections of the DDS Background Check System where the candidate's contact information should be entered.

Result: case is subject to be administratively withdrawn for non-compliance with case creation standards. An email will be issued to the Hiring Authority requesting that a new case be created in the Background Check System with accurate contact information for the candidate so that the NBCU may communicate confidentially and securely with the candidate.

e. Frequently Asked Questions

Q1: I entered a candidate into the system, why haven't I received a letter yet?

A: The fingerprint authorization letter is an automated letter that is sent out through email by the Background Check System 24-48 hours after creating the case. You will not be able to register your candidate the same day you create the case.

The other most common cause of this error is that the CORI Information Question Package was not completed by the Hiring Authority when the case was created. More specifically, the "Affirmation Statement" drop-down was not changed to "Yes" or the CORI record was not attached to the case and identified as document type "Criminal Offender Record Information." This can be corrected by entering the candidate's case, double clicking on the "CORI Information" question package, then changing the drop-down to "Yes" and clicking on "Save." Please be sure to read the affirmation statement if you are not familiar with it. To upload/attach the CORI record, you will need to click on the blue hyper-link at the bottom of the page and select browse to search for where the CORI record is saved on your computer. When you have found the correct CORI record, click on the file to be uploaded and choose open. You will then need to type in a description of the document you are attaching, such as "CORI report." Then you must select the type of document by selecting: "Criminal Offender Record Information" and set the security level for the document to security level 3. Once you have completed this correction, you should receive the letter authorizing the candidate to be fingerprinted within 24-48 hours. If you do not, please contact the National Background Check Unit.

Q2: Our candidate was fingerprinted on mm/dd, why haven't we received anything yet?

A: Please allow at minimum 14 business days from the date of the appointment before inquiring about the status of a case. Everyone's history is different and processing times will vary according to the volume received by DCJIS. It is not uncommon for cases to take

up to four weeks for the results to be returned to the NBCU. If it has been more than 14 business days, first have your candidate provide a copy of their receipt as proof of attending the appointment. After receiving the receipt, please forward a copy of the receipt to the NBCU with your status inquiry.

Q3: A candidate needs to make an appointment to have their fingerprints taken. How do they do that?

A: Fingerprint appointments must be scheduled directly with the Identogo vendor. The DDS Background Check Unit does not have the ability to assist with appointment related or billing related issues. This can be done by calling (866) 349-8130 or online by visiting <https://ma.ibtfingerprint.com/index.php>. The candidate(s) will need to have their DDS Personal Identification Number as provided in the authorization letter and a form of payment ready. More detailed instructions can be found in the [SAFIS Registration Guide](#).

Q4: The candidate has tried to register for a fingerprint appointment, but Identogo told them that their name and/or date of birth are incorrect.

A: There are three common causes for this error:

1. First, the name and/or date of birth were entered into the DDS Background Check System incorrectly. Please check directly with the candidate to make sure you have the correct spelling and date of birth. If either value is incorrect, you can make the correction by entering into the candidate's case in the system, clicking on their name in the case, and then selecting "Edit Person" at the bottom of the first section. Please be sure to click on "Save" once you have updated the information. You will also need to send us an email letting us know that you have changed the information in the case. Upon notification, we will schedule the information to be re-sent to the vendor and the candidate will be able to register the following day. Failure to notify us of any changes will prevent the candidate from being able to register.
2. The second most common cause of this issue is that the candidate is not identifying themselves as being fingerprinted for the Department of Development Services.
3. The third most common cause is that the candidate is not saying/typing the dash "-" in the PIN#. The candidate must give the PIN# exactly as it is shown on the authorization letter.

Q5: A candidate tried to register for a fingerprint appointment, but they were told...

A: The most common issue with registering is covered in the previous question. However, candidates will sometimes also be told that they are not in the Identogo system or that they have already been fingerprinted and are not required to do it again. When registering by telephone or online, please make sure that the candidate is specifying that they are being fingerprinted for the Department of Developmental Services. The

candidate will also have to provide the entire Personal Identification Number, this includes the “-” and the “00x” portion of the ID number.

Additionally, we have had a few incidents where candidates were told by IdentoGO staff/contract locations at their appointments that they were previously fingerprinted and don’t have to be fingerprinted again. Unless confirmed by the National Background Check Unit staff, this is not an accurate statement and the candidate should still complete their appointment.

Q6: Our candidate stated that they were fingerprinted at their previous job/provided us with their previous results. Can we use this information or do they need to be fingerprinted again?

A: **No**, the suitable and not suitable letters that are issued are sent out for record/audit purposes only and are valid only for the organization listed on the letter. They should not be used by other organizations as proof of suitability. If your organization is considering a candidate that is required to be fingerprinted per the regulations, you will be required to create a new case for them in the DDS Background Check System for your organization.

However, there are some instances where a candidate will not be required to be fingerprinted again, but they are still required to be entered into the DDS Background Check System. Please see Section 3(e) of the User Guide regarding the 60-day validity of results.

Q7: We just received our first Interim Not Suitable, what happens now?

A: Per regulation *115 CMR 12.07 (4)*, the candidate can no longer have unsupervised contact with a supported individual until a final determination is made by the National Background Check Unit. How an organization ensures that an interim not suitable candidate does not have unsupervised contact with a supported individual is a business decision that the organization must make.

A packet was also sent via secure email or USPS to the candidate that includes their fingerprint check results, the presenting issue, and what information the unit requires in order to make a final determination of suitable or not suitable. The candidate will be given 21 days to respond with the requested information. Extensions may be granted if the candidate is in contact with the NBCU and actively working on obtaining the requested information.

Q8: All/some of my employees are regularly fingerprinted for Early Education and Care (EEC), do I need to print them again for DDS?

A: See the excerpt from 115 CMR 12.05 below:

(4) Notwithstanding the provisions of 115 CMR 12.00, a person approved for hire by EEC following a fingerprint-based check of state and national criminal history databases in accordance with 606 CMR 14.00: Criminal Offender and Other Background Record Checks, shall not be subject to another fingerprint check under 115 CMR 12.00 for employment with the same hiring authority within three years of the EEC approval for hire.

Q9. I am a provider that uses temp or relief staff, do I need to fingerprint these employees?

A: All DDS contracted providers are responsible for ensuring that any subcontractors doing business with them are fingerprinted. Subcontractors include any relief and temporary staff. To meet this requirement, all DDS contracted providers should either request background check suitability letters from the staffing agencies and maintain these letters in a file at their location, or, in the alternative conduct the fingerprint-based checks of those sub-contractors themselves.

Q10. How can I get a copy of a determination or fingerprint authorization letter?

A: All letters are available to view/print in the case under the attachments section. If you cannot find the letter after confirming you completed the CORI information section, checking your spam folder and the attachment section in the BCS, contact the NBCU. See Figure 4.1 & 4.2 for where to find attached case letters and notices.

Q11. A case shows as suitable in the BCS but there is no letter attached/I haven't received an automated email with the letter.

The system does not generate or send out the determination letters until 24-48 hours after the case has been completed by the NBCU team. If you see your case shows a determination in the BCS but you have not yet received the letter, please wait an additional 24 hours before contacting the NBCU team.

CONCLUSION

The DDS NBCU hopes the information in this User Guide is helpful to you. If you have questions about the fingerprinting process for DDS, please go to DDS's website at <https://www.mass.gov/info-details/dds-fingerprint-background-checks>. If you have specific questions, you can send an e-mail to the DDS National Background Check Unit at: DDS.NationalBackgroundUnit@mass.gov or call at (617) 624-7780.

You may also send comments or suggestions to the DDS NBCU via US Mail at:

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