

5 Steps to Caregiver Background Checks



PARTICIPANT GUIDE

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Overview



Welcome to 5 Steps to Caregiver Background Checks! Whether you are new to the process or have lots of experience, there is sure to be some new information for you here!

Wisconsin's program is based on Sections 50.065, Wis. Stats. and ch. DHS 12, Wis. Admin. Code. The program responds to the concern in Wisconsin and around the nation about the potential for physical, emotional, and financial abuse of vulnerable citizens by individuals convicted of serious crimes or with a history of improper behavior.

There are five basic steps to completing a full Caregiver Background Check:

1. Determine Covered Providers
2. Identify Covered Individuals
3. Complete a Caregiver Background Check
4. Evaluate Background Check Responses
5. Take Appropriate Action

Learning Points

Upon completion of this course, participants will be able to:

- **Identify steps necessary to complete caregiver background checks on individuals covered under Wisconsin's Background Check program**
- **Evaluate background check results related to hiring or continued employment**
- **Understand the Rehabilitation Review process**
- **Utilize resources available to support the Background Check process**



Step One: Determine Covered Providers

Wisconsin's Background Check Program includes providers regulated by the Department of Health Services and the Department of Children and Families. While background checks are also required for Chapter 48 programs (day care, foster homes, etc.), this course focuses on those regulated by the WI Department of Health Services (DHS) Division of Quality Assurance (DQA). These include:

- Adult Day Care Centers
- Adult Family Homes (3 and 4 bed AFHs)

- Ambulance Service Providers
- Community Based Residential Facilities (CBRFs)
- Community Substance Abuse Services
- Community Support Programs
- Comprehensive Community Services
- Emergency Mental Health Service Programs
- Home Health Agencies (including Personal Care and Supportive Home Care provided by a licensed HHA)
- Hospices
- Hospitals, including clinics that are part of the hospital
- Intermediate Care Facilities for Individuals with Intellectual Disabilities (ICFs/IID)
- Mental Health Day Treatment Services for Children
- Nursing Homes
- Outpatient Community Mental Health/Developmental Disabilities
- Outpatient Mental Health Clinics
- Personal Care Agencies
- Residential Care Apartment Complexes (RCACs)
- Rural Medical Centers
- Youth Crisis Stabilization Facilities



Step Two: Identify Covered Individuals

The Background Check Program requires two types of background checks:

Background checks *completed by DQA-regulated providers* for an individual who is defined as a “**caregiver**”

-and-

Background checks completed by the DQA for:

- Entity operators: Any person who has, or is seeking, a license, certification, registration, or certificate of approval issued or granted by the Department to operate as a provider.
- Non-client residents: A person who resides or is seeking to reside in a DQA-regulated provider setting who is neither an employee nor client of the provider.

Covered Individuals for Background Checks Completed by DQA-regulated Providers

Caregiver	<p>A person who meets all of the following:</p> <ul style="list-style-type: none"> • Is employed by or under contract with a provider; • Has regular, direct contact* with the provider’s clients or the personal property of the clients and, • Is under the provider’s control <p>This may also include housekeeping, maintenance, dietary and administrative staff, if those individuals are under the provider’s control and have “regular, direct contact” with clients or their property.**</p> <p>* Direct contact means face-to-face physical proximity to a client that affords the opportunity to commit abuse or neglect of a client or to misappropriate the property of a client.</p> <p>**Client property includes personal information as well as material possessions.</p>
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Individuals in other positions are also considered “caregivers” under the law:

Other Covered Individuals	Definition
Volunteer	A person who is used to replace a staff person or document compliance with staff-to-patient or staff-to-client ratio requirements. Volunteers are not otherwise covered under the law.
Student	A person (including those under age 18) who will be completing an internship or clinical training in a provider setting. The complete caregiver background check is not required if the student will be at the provider for less than 60 days, is under supervision, and the student’s BID form does not indicate a crime or offense that would make the student ineligible to be placed.
Temporary Employment Agency Staff	A person employed by a temporary agency but placed in a covered provider setting as a caregiver. Providers may contract out the background check process but are ultimately responsible for completion and accuracy.

Individual NOT Defined as a Caregiver	A person who performs functions for a provider but does not have regular, direct contact with clients or the personal property of clients or, A person who is employed or contracted by an agency to provide infrequent or occasional services such as delivery services, equipment maintenance, grounds-keeping, construction, etc. that are not directly related to the care of a client
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Covered Individuals for Background Checks Completed by DQA

Just as providers are required to conduct caregiver background checks on employees and contractors, DQA is required to conduct caregiver background checks on entity operators and any person who resides at or would like to reside at a provider location and is neither an employee nor client of the provider (also known as “non-client residents.”)

Covered Individuals	Definition
Entity Operators	The owner (license holder/legal representative), whether or not they have regular, direct contact with clients Principal officers, corporation or board members who have regular, direct contact with clients
Non-client Residents	A person who is not a client or employee of the provider but who resides at the provider setting and is expected to have regular, direct contact with provider clients. A BID must be completed for those under age 18 but a full background check by DQA is not required if their completed Background Information Disclosure (BID) form does not indicate any convictions of a crime or findings by a government agency that require a Rehabilitation Review or license limitations.

This course focuses on background checks for covered individuals conducted by DQA-regulated providers. For information on background checks completed by DQA, see <https://www.dhs.wisconsin.gov/misconduct/backgroundchecks.htm>

Background Information Disclosure (BID)

At the time of hire and every four years thereafter, employees and contractors must complete a BID, prior to employment. The form, Background Information Disclosure F-82064 (01/2022) is located at <https://www.dhs.wisconsin.gov/forms/f8/f82064.pdf>

A “clean” BID is one with no convictions or findings by a governmental agency:

- of client abuse, neglect, or misappropriation or child neglect or abuse that require a Rehabilitation Review or
- license limitations that prevent a person from working in a position that requires a license. (Outlined later in this course.)

After reviewing the BID form, those with a “clean” BID may work for up to 60 days, under supervision, pending receipt of the DOJ criminal record search results, the DHS letter (discussed later), or other necessary documentation.

It is vital for providers to document any information and steps taken during the BID process. This may include relevant court or police documents, military discharge papers, etc. In the event of an authorized state interaction, the provider’s notes offer verification of actions taken. In other words, Document! Document! Document!

Note that neither race nor SSN are included on the BID form. The SSN field was removed from the BID form because of privacy concerns. Employers are still encouraged to use a prospective employee’s SSN when requesting a caregiver background check from DOJ. While this information is not captured on the BID form, it may be obtained directly from the prospective employee during the hiring process.

Substantially Related Convictions

For other convictions or pending charges disclosed on the BID, the employer may determine whether the conviction or charge is substantially related to the duties of the job. An employer may refuse to hire an applicant because of a conviction or pending charge that is substantially related to the circumstances of a particular job, but the employer is not required to bar the person from employment.

To determine whether a crime is substantially related to the care of a client, some of the factors that may be considered are those:

- In relation to the job
 - The nature and scope of the job’s client contact
 - The nature and scope of the job’s discretionary authority and independent judgment
 - The opportunity the job presents for the commission of similar offenses
 - The amount and type of supervision received in the job
- In relation to the offense
 - Whether intent is an element of the offense
 - Whether the circumstances of the offense are related to the job duties
 - Any pattern of offenses
 - The extent to which the offense relates to vulnerable clients
 - Whether the crime involves violence, threat of harm or a sexual nature
- In relation to the person
 - The number and type of offenses for which the person has been convicted
 - The length of time between the convictions and the employment decision
 - The person’s employment history

- The person's participation in/completion of rehabilitation programs
- The age of the person on the date of conviction(s)

Written documentation should be maintained regarding the determination of whether or not a person's crime is substantially related to the care of a client.

In relation to the offense: The job description for applicant John requires that he transport clients to outside activities, driving the provider's bus. John's BID indicates that he has been convicted of speeding 3 times in the last 2 years. The provider determines that, while the convictions do not bar his employment, they are substantially related to safe transportation of clients.

Supervision Pending Complete Check



Providers must provide supervision during the 60-day period pending receipt of a complete caregiver background check. At a minimum, this supervision must include periodic direct observation of the person.

New employees should be supervised to at least the same extent as any other employee. The specific definition of supervision varies with each program type and each covered provider must follow its own requirements for supervision (e.g., DHS 83 Community-Based Residential Facilities, DHS 124 Hospitals, etc.).

Out-of-State Record Search

Providers must make a good faith effort to obtain out-of-state conviction records from any state or other US jurisdiction (e.g., tribal courts, Puerto Rico, US Virgin Islands, and Northern Mariana Islands, including Guam) for employees and contractors who resided outside of Wisconsin at any time **during the three years preceding** the date of the search.



The law does not require that a provider obtain conviction records from any countries outside U.S. jurisdiction.

The Department has determined that a good faith effort requires the provider to follow the process established in the other state to obtain complete background check information. Contact information for other states can be found by using a search engine, such as Google, to search for the government agency that provides background checks in other states and to follow their process(es) for requesting background check information.

If the individual resided in a closed record state in the last 3 years, the provider may request the individual to provide the out-of-state record.

Providers must **document** their attempts to obtain the information. The law does allow providers to contract with other agencies to obtain the caregiver background check

results. The same good faith effort applies to a contract agency obtaining criminal history information from another state.



Maria's BID indicates that she moved to Wisconsin from Puerto Rico 5 years ago. Is the provider required to obtain conviction records from Puerto Rico? YES or NO?

Military Discharge Papers

The provider must obtain a copy of the military discharge papers (DD-214) from an employee or contractor who was discharged from the military within the three years preceding the search. A provider must obtain additional information when a discharge is other than "honorable."

Military discharge papers are provided to military personnel upon discharge and should be available from the employee/applicant. Veterans who do not have their DD-214 may obtain a copy of their discharge papers by submitting a Standard form SF180, [Request Pertaining to Military Records](#). They may also contact their local County Veterans Service Officer (CVSO) for assistance in obtaining copies of their discharge papers.

BID Form Retention

The BID remains with the provider, either on file at the provider or in a place where it is readily available for inspection by authorized state personnel for a minimum of four years or until the next background check is done. BID forms for employees or contractors should not be submitted to any state agency.

BID Provision



In 2005, the law was amended relating to the BID form. The amendment makes completion of the BID form optional at the four-year renewal time period, **if the conditions below are met.**

Under this provision, a provider does not have to require that their employees or contractors complete a BID form every four years **IF** the provider has a written self-disclosure policy **AND** the provider reminds the individuals of that policy annually.

If a provider chooses to implement this provision, the provider must do the following:

- Ensure that all employees and contractors complete a BID form at the time of hire.
- Complete a caregiver background check at the time of hire and every four years thereafter.

- Develop a written self-disclosure policy that notifies caregivers that they must disclose, in writing, any changes to the information included on the BID form, including:
 - Convictions of any crimes
 - Substantiated findings of abuse, neglect, or misappropriation
 - Current investigations related to abuse, neglect, or misappropriation
 - Professional credential restrictions, limitations, or revocations
 - Program licensure limitations, revocations, or denials
 - Discharge from any branch of the US Armed Forces, including any reserve component
 - Residency outside the state of Wisconsin
 - Rehabilitation Review requests
- Remind all employees and contractors of the requirements of the written self-disclosure policy on an annual basis. DQA recommends that this annual reminder be given via written notification to every covered individual. It may be helpful to include in the annual reminder the penalties for failure to self-disclose.
- Require employees and contractors to disclose any changes to the information they included on the BID form, in writing, to their immediate supervisor as soon as possible, but no later than the person's next working day.

Reporting Changes and Individual Sanctions



Regardless of whether a provider has a written self-disclosure policy, the law requires a provider to include in its personnel or operating policies a provision that requires employees and contractors to notify the provider as soon as possible, but no later than the person's next working day, when any of the following occurs:

- The person has been convicted of any crime
- The person has been or is being investigated for any act, offense, or omission, including abuse, neglect, or misappropriation
- The person has a substantiated finding of abuse, neglect, or misappropriation
- The person has been denied a license or had their license restricted or otherwise limited

Therefore, all providers should remind their employees and contractors that a person who is required to complete a BID form, or who is subject to a provider's self-disclosure policy, may be subject to sanction if the person:

- Fails to complete and submit the BID form to the appropriate agency or provider

- Knowingly gives false information or knowingly omits information on the BID form or as part of the self-disclosure policy or
- After submitting a BID form, subsequently fails to report any information about a conviction for a crime or other act or offense requested on the BID, or as part of the self-disclosure policy

Step Three: Complete a Caregiver Background Check

To begin caregiver background checks on employees and contractors, a provider must take the following steps:

- Request a caregiver background check from the Wisconsin Department of Justice (DOJ)
- Follow up with any additional inquiries indicated by the DOJ responses



Who is responsible for conducting caregiver background checks for contracted staff working for an entity?

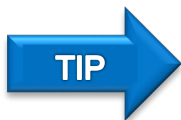


Can we use a 3rd party vendor to run the caregiver background checks?



Wisconsin DOJ Background Check Requests

The next step in the background check process is for the provider to verify the information on the BID form (in addition to the social security number) by requesting a caregiver background check from the DOJ Crime Information Bureau. Requests may be submitted through the internet or the postal service.



If an applicant/renewing employee provides an alias (maiden name, previous married name, etc.), make sure to enter it in the WORCS system when running a caregiver background check.

Request Records via the DOJ WORCS System



DOJ allows record requests to be made using the DOJ Wisconsin Online Record Check System (WORCS) at <https://recordcheck.doj.wi.gov/>. WORCS is available for use by the public to submit background check requests. Anyone may create an account on the system; however, an account is not required to request a caregiver background check. DOJ also allows anyone with an account on WORCS to apply for a billing account through the WORCS system; instructions for doing so are provided on the WORCS website at <https://www.doj.state.wi.us/dles/cib/cib-forms>.

When requesting a caregiver background check from WORCS, the provider must select “Caregiver” from the “Background Request Type” drop down menu.

Selecting the “Caregiver” from the “Background Request Type” drop down menu is the trigger that generates the electronic search of the DHS and the Department of Safety and Professional Services (DSPS) databases, also known as the Integrated Background Information System (IBIS).



There is no way for the IBIS letter to be generated outside of a request for a caregiver background check from DOJ.

Caregiver background checks requested through the DOJ WORCS website can be paid using a debit or credit card at the time the request is made, unless the customer has set up a billing account through WORCS. The DOJ Crime Information Bureau (CIB) is required under Wisconsin law to charge a fee for criminal history searches. Wis. Stat. Chapter 165.82 states that the search cost is determined as follows for internet requests:

- DOJ Criminal History query \$ 7.00
- DHS and DSPS database query \$ 3.00

The total cost for a caregiver background check through WORCS is \$10.00.

Providers may incur other costs when additional research is required, such as following up with federal and local law enforcement agencies, county clerks of courts, tribal courts, or other states.

How Will I Receive Internet Background Check Results?

Results for caregiver background checks requested online will be provided through WORCS. If the customer has an account with WORCS, they may access the results by logging into their account. If the customer does not have an account with WORCS, they may access the results by entering the Order Reference Number they received after submitting payment for their request.

Searches conducted over the internet will return the best possible match, if any, based on the information you enter. If you have any questions regarding the online record check system, send an email to CIBRECORDCHECK@doj.state.wi.us.

Request Wisconsin DOJ Mail-in Background Checks



If your provider prefers to mail-in background check requests, complete either the Single Subject Request form (DOJ-LE-250) or Multiple Subject Request form (DJ-LE-250A). The forms may be downloaded at <https://www.doj.state.wi.us/dles/cib/cib-forms>.

The provider must check the “Caregiver – General” box on the Criminal History Record Request form to obtain full information for a caregiver background check.

Placing an “x” in the “Caregiver – General” request purpose box is the trigger that generates the electronic search of the DHS and DSPS databases, also known as the Integrated Background Information System (IBIS).



There is no way for the IBIS letter to be generated outside of a request for a caregiver background check from DOJ.

Providers must send the *Criminal History Record Request* (DOJ form DJ-LE-250 or 250A) to the Department of Justice, Crime Information Division with the required fees and a self-addressed stamped envelope. Instructions are included in each of the forms.

The Crime Information Bureau (CIB) is required under Wisconsin law to charge a fee for criminal history searches. Wis. Stat. § 165.82 says that the search cost is determined as follows for mail or fax requests:

- DOJ Criminal History query \$12.00
- DHS and DSPS database query \$ 3.00

The total cost for a caregiver background check requested through mail or fax is \$15.00.

Providers may incur other costs when additional research is required, such as following up with federal and local law enforcement agencies, county clerks of courts, tribal courts, or other states.

How Will I Receive Mail-In Background Check Results?

DOJ mails General Caregiver results to the address specified in the “Return request to” section of the form. Allow 10 business days for the CIB record check and reasonable mailing time by the postal service.



Step Four: Evaluate DOJ Caregiver Background Check Responses

After submitting the *Wisconsin Criminal History Record Request* or an online request, the provider will receive **two** responses:

1) A "no record found" response or a criminal record transcript (Wisconsin Identification Data) from the DOJ Crime Information Bureau. The Wisconsin Identification Data is a report of arrests or convictions within the state of Wisconsin from records maintained by the DOJ. Providers must examine this information for arrest and convictions and make employment decisions based on the results.

AND

2) The Response to Caregiver Background Check, also referred to as the IBIS letter, is a letter from DHS that provides the following information:

- Caregiver findings of abuse or neglect of a client or misappropriation of a client's property in Wisconsin
- Caregiver findings of abuse or neglect of a client or misappropriation of a client's property in another state (if known)
- Denials or revocations of operating licenses for adult programs
- Denials or revocations of operating licenses for child programs
- Exclusions appearing on the list of Excluded Individuals/Providers from the US Department of Health and Human Services, Office of the Inspector General
- Rehabilitation Review findings
- Status of professional credentials, licenses, or certifications maintained by the Department of Safety and Professional Services (DSPS)

Providers must examine this information for findings of misconduct by a governmental agency and make employment decisions based on the results. Providers can disregard information on anyone other than the person for whom they requested a background check. Questions regarding any of the information on the IBIS letter should be directed to the appropriate phone number listed in the letter.

The following are examples of responses from DOJ:

1) Wisconsin Identification Data

All inquiries and matches are based on the information you submit. If the person has a record under a maiden name and you did not include the other name(s) with your inquiry, a match may not be made unless there is another unique identifier match, such as social security number. No returned records are based solely on matching social security numbers without other corroborating information.

No Criminal History – Example

Based on the information submitted, no matching Wisconsin arrest records were found.



STATE OF WISCONSIN
DEPARTMENT OF JUSTICE

Request Date: 6/3/2022

Report Date: 6/3/2022

This criminal background check was performed by searching the following data submitted to the Crime Information Bureau

Name: [REDACTED]

Date of Birth: [REDACTED]

Alias Names:

NOTICE TO EMPLOYERS

It may be a violation of state law to discriminate against a job applicant because of an arrest or conviction record. Generally speaking, an employer may refuse to hire an applicant on the basis of a conviction record only if the circumstances of the offense for which the applicant was convicted substantially relate to the circumstances of the particular job. For more information, see [Statute 111.335](#) and the Department of Workforce Development's publication, Arrest and Conviction Records Under the Law.

Before you make a final decision adverse to an applicant based on the following arrest record, in addition to any other opportunity you offer the applicant to explain the following arrest record, please notify the applicant of:

1. His or her right to challenge the accuracy and completeness of any information contained in a arrest record, and
2. The process for submitting a challenge

The applicant should submit his or her challenge to CIB on Form DJ-LE-247. Form DJ-LE-247 is available free of charge on [The Department of Justice website](#) or by calling (608) 266-7314. A challenge may include a request for comparison of the fingerprints of the person submitting the challenge to the fingerprints on file that are associated with the Wisconsin arrest record below.

NO RECORD FOUND

Non-Exact Match – Example

In this example, a request was submitted for Jane Doe. The response shows a record for Jenny Doe who has used an alias of Jane Doe.



STATE OF WISCONSIN
DEPARTMENT OF JUSTICE

Request Date: 5/24/2021

Report Date: 5/24/2021

This criminal background check was performed by searching the following data submitted to the Crime Information Bureau

Name: Jane Doe

Date of Birth: 1/1/1967

Alias Names:

IMPORTANT EXPLANATION ABOUT HOW TO UNDERSTAND THIS RESPONSE

This response reports the results of a criminal history search conducted with the name, date of birth, and any other identifying data you provided. The identifying data you provided is printed above. If you submitted fingerprints with your search request see the statement below.

Read this entire explanation, the How to Read the Following Criminal History Report section and the Notice to Employers section. Read these sections carefully to understand how this response relates to the identifying data you provided.

Printed below these explanations is a Wisconsin criminal history record that has been identified as a possible match to the identifying data you provided.

A criminal history search based only on a name, date of birth, and other identifying data that is not unique to a particular person (like sex or race) may result in:

1. Identification of criminal history records for multiple persons as potential matches for the identifying data submitted, or
2. Identification of a criminal history record belonging to a person whose identifying information is similar in some way to the identifying data that was submitted to be searched, but is not the same person whose identifying data was submitted for searching.

The Crime Information Bureau (CIB) therefore cannot guarantee that the criminal history record below pertains to the person in whom you are interested.

You must carefully read the entire Wisconsin criminal history record below in order to determine whether the record pertains to the person in whom you are interested.

Do not just assume that the criminal history record below pertains to the person in whom you are interested.

Additional information about finger-based search submissions: Fingerprint-based background checks generally provide a more reliable result and are prone to fewer false matches due to the specific identifying features of fingerprints.

The criminal history reported below is linked by fingerprints to the name appearing directly after these explanatory sections, following the label IDENTIFICATION. That name is the name that was provided by the fingerprinted person the first time his or her fingerprints were submitted to CIB; it may or may not be the real name of the fingerprinted person. That name is called the Master Name in these explanatory sections.

It is not uncommon for criminal offenders to use alias or fraudulent names and false dates of birth, sometimes known as identity theft. Other names used by the person identified who is the Master Name are listed in the Alias Names/Fraudulent Data section of the criminal history report below.

If the name you submitted to be searched is DIFFERENT from the Master Name below, the Wisconsin criminal history record below may belong to someone other than the person whose name and other identifying data you submitted for searching. If an alias or fraudulent name used by the person who is the Master Name is similar to the name you submitted for searching, that does not mean that the person whose name you submitted for searching has a criminal history. It means that the person associated by fingerprints with the Wisconsin criminal history below has used a name similar to the name you submitted for searching.

If the name you submitted to be searched is THE SAME as the Master Name below, the Wisconsin criminal history record below may belong to someone other than the person whose name and other identifying data you submitted for searching. That is because the Master Name is the name attached to the initial fingerprint submission to CIB that is associated with the reported criminal history, may have been an alias name or a name similar to the name you submitted for searching.

To determine whether the Wisconsin criminal history below actually belongs to the person whose name and other identifying information you submitted for searching, compare the information reported below to the other information you have obtained about that person. Inconsistencies may indicate that the criminal history reported below does not belong to the person whose name and other identifying information you submitted for searching. You may need to ask for clarification from the person whose name and other identifying information you submitted for searching.

Before you make a final decision adverse to a person based on the following criminal history record, in addition to any other opportunity you offer the applicant to explain the following criminal history record, please notify the applicant of:

1. His or her right to challenge the accuracy and completeness of any information contained in a criminal history record, and
2. The process for submitting a challenge.

The person should submit his or her challenge to CIB on Form DJ-LE-247. Form DJ-LE-247 is available free of charge on the Department of Justice website at <http://www.doj.state.wi.us/dles/cib/background-check-criminal-history-information> or by calling (608) 266-7314. A challenge may include a request for comparison of the fingerprints of the person submitting the challenge to the fingerprints on file that are associated with the Wisconsin criminal history record below.

The Wisconsin criminal history report below may not show all arrests for the person whose fingerprints are associated with the reported criminal history. However, the criminal history report contains all information that has been provided to the state criminal history database that may be released in response to your request.

The results of this search are effective and current for the date of this search only. A new search request should be submitted at a later time if an updated response is needed.

IDENTIFICATION

Jenny Doe

STATE ID:

OFFENDER NOTICE:

ALIAS NAMES/FRAUDULENT DATA: Alias Names: Jane Doe

PHOTO INFORMATION:

WI041013C MILWAUKEE HOUSE OF CORRECTIONS

03/01/2018 WI041013C MILWAUKEE HOUSE OF CORRECTIONS

08/21/2017 WI0410000 MILWAUKEE COUNTY SHERIFF

08/24/2015 WI0680300 MENOMONEE FALLS PD

CRIMINAL HISTORY**CYCLE 01**

EARLIEST EVENT DATE: 11/12/2009

DATE OF OFFENSE: 11/12/2009

ARREST TRACKING NUMBER: 41009000311128

ARREST DATA

LOCAL IDENTIFICATION NUMBER: 00000350765

SUBJECT NAME: Jenny Doe

Arrest Transaction – Conviction (Excerpt)

In this record, the individual was charged with an offense that would prohibit employment but is convicted of one that requires additional information.

COURT

SUBJECT NAME: [REDACTED]
DATE: 05/14/2015
COURT: WI041000J - MILWAUKEE CO CIRCUIT COURT
COMMENTS: CCAP DISPOSITION

CHARGE

LOCAL IDENTIFICATION NUMBER: 41005277854055
SEQUENCE NUMBER: 01
STATUTE NUMBER: 948.03(2)(B) - CHILD ABUSE-INTENTIONALLY CAUSE HARM

LITERAL: CHILD ABUSE-INTENTIONALLY CAUSE HARM
NCIC CODE:
COUNTS: 1
CLASSIFICATION:
CHARGE SEVERITY: FELONY
COMMENTS: AMEND/OTHER

DISPOSITION

LITERAL: UNKNOWN
DISPOSITION DATE: 05/14/2015
DISPOSITION: AMENDED BY PROSECUTOR/COURT

CHARGE

LOCAL IDENTIFICATION NUMBER: 41005277854055
SEQUENCE NUMBER: 01
STATUTE NUMBER: 940.19(1)- BATTERY
LITERAL: BATTERY
NCIC CODE:
COUNTS: 1
CLASSIFICATION:
CHARGE SEVERITY: MISDEMEANOR

DISPOSITION

LITERAL: CONVICTED
DISPOSITION DATE: 05/14/2015
DISPOSITION: CONVICTED

Barring Offense – Example

Other convictions, such as the one below, prohibit employment.

CHARGE

LOCAL IDENTIFICATION NUMBER: 13000011160251
SEQUENCE NUMBER: 01
STATUTE NUMBER: 940.19(2) - SUBSTANTIAL BATTERY-INTEND
BODILY HARM
STATUTE NUMBER: 939.05 - PARTY TO
LITERAL: SUBSTANTIAL BATTERY-INTEND BODILY HARM
NCIC CODE:
COUNTS: 1
CLASSIFICATION:
CHARGE SEVERITY: FELONY

DISPOSITION

LITERAL: CONVICTED
DISPOSITION DATE: 08/27/2001
DISPOSITION: CONVICTED

CHARGE

LOCAL IDENTIFICATION NUMBER: 13000011160251
SEQUENCE NUMBER: 01
STATUTE NUMBER: 940.19(2) - SUBSTANTIAL BATTERY-INTEND
BODILY HARM
STATUTE NUMBER: 939.05 - PARTY TO
LITERAL: SUBSTANTIAL BATTERY-INTEND BODILY HARM
NCIC CODE:
COUNTS: 1
CLASSIFICATION:
CHARGE SEVERITY: FELONY
COMMENTS: PROBATION IS REVOKED AND SENTENCE
IMPOSED.

DISPOSITION

LITERAL: CONVICTED
DISPOSITION DATE: 02/10/2005

For additional assistance analyzing DOJ criminal history responses, you may consult the website at <https://www.doj.state.wi.us/dles/cib/background-check-criminal-history-information#readrecord> or contact the DOJ Crime Information Bureau, Criminal History Unit at CIBCriminalHistory@doj.state.wi.us.

2) IBIS Letter

The following is an example of an IBIS letter with a finding.



Date: February 4, 2022

From: The Department of Health Services,
The Department of Children and Families and
The Department of Safety and Professional Services

Re: **Response to Caregiver Background Check**

Mr. Caregiver, 01/01/1989, 111-222-333

On February 4, 2022, we received notice from the Department of Justice (DOJ) that you requested a Caregiver Background Check for the above named individual. You are receiving this letter per the requirements of sections 48.685 and 50.065 of the Wisconsin Statutes.

The Department of Health Services (DHS), the Department of Children and Families (DCF) and the U.S. Department of Health and Human Services, Office of Inspector General (OIG) provides the following information in this letter:

- a) Noncredentialed Caregiver Findings of Abuse or Neglect of a Client; or Misappropriation of a Client's Property - A name listed in this area may prohibit employment or licensure for that person.
- b) Denials or Revocations of Operating Licenses for Adult (Chapter 50) Programs - A name listed in this area may prohibit employment or licensure for that person.
- c) Denials or Revocations of Operating Licenses for Child (Chapter 48) Programs - A name listed in this area may prohibit employment or licensure for that person.
- d) List of Excluded Individuals/Entities (LEIE) excluded from participation in Medicare, Medicaid and all other Federal health care programs.
A name listed in this area may prohibit employment or licensure for that person.
- e) Rehabilitation Review Findings - A name listed in this area means that the individual has completed a rehabilitation review and the outcome may affect employment or licensure.

The Department of Safety and Professional Services (DSPS) search results also appear in this letter and are listed as:

- f) Status of Professional Credential(s), License(s), or Certificate(s) - This section lists each professional credential, license, and certificate held by the individual. If an individual's name appears, note the "Eligible to Practice" indicator. If you have questions, contact the

listed phone number.

The Department of Justice, Wisconsin criminal records search results are returned in a separate letter and are not part of this letter.

Before contacting one of the state agencies regarding the accuracy of the results of the electronic search, please verify that the name, date of birth, and Social Security Number shown at the beginning of this letter in the "Re" section match the name, date of birth, and Social Security Number of the original request.

Enclosure: Response to Caregiver Background Check.

Electronic Search Results from the Department of Health Services (DHS) and the Department of Children and Families (DCF)

a. Noncredentialed Caregiver Findings of Abuse or Neglect of a Client; or Misappropriation of a Client's Property in Wisconsin

Name	BirthDate	FindingDate	FindingType
Mr. Caregiver	01/01/1989	05/24/2021	A

A = Abuse, M = Misappropriation, B = Both Abuse and Misappropriation, N = Neglect

If additional information is needed, contact the Division of Quality Assurance (DQA) at (608) 261-8319.

Noncredentialed Caregiver Findings of Abuse or Neglect of a Client; or Misappropriation of a Client's Property Out of State

No findings for reasons specified in the caregiver law were listed for

Mr. Caregiver, 01/01/1989, 111-222-333.

If additional information is needed, contact the Division of Quality Assurance (DQA) at (608) 261-8319.

b. Denials or Revocations of operating Licenses for Adult (Chapter 50) Programs

No denials or revocations specified in the caregiver law were found for

Mr. Caregiver, 01/01/1989, 111-222-333.

c. Denials or Revocations of operating Licenses for Child (Chapter 48) Programs

No denials or revocations specified in the caregiver law were found for

Mr. Caregiver, 01/01/1989, 111-222-333.

If additional information is needed, contact the Department of Children & Families at (608) 266-8001.

c. Denials or revocations of Operating Licenses for BPOHC

No denials or revocations for the reasons specified in the caregiver law were found for

Mr. Caregiver, 01/01/1989, 111-222-333.

If additional information is needed, contact the DCF Bureau of Permanency and Out of Home Care at (608) 264-6933.

d. List of Excluded Individuals/Entities (LEIE) for U.S. Department of Health and Human Services, Office of Inspector General (OIG).

No exclusion on the Exclusion DataBase were found for
Mr. Caregiver, 01/01/1989, 111-222-333

e. Rehabilitation Review Findings Time Matters - DHS

No Rehabilitation Review findings were found for Mr. Caregiver, 01/01/1989, 111-222-333

If a Rehabilitation Review is shown above, contact the DHS Office of Legal Counsel at (608) 266-8428 to verify the status of the Rehabilitation Review.

e. Rehabilitation Review Findings Time Matters - DCF

No Rehabilitation Review findings were found for Mr. Caregiver, 01/01/1989, 111-222-333

If a Rehabilitation Review is shown above, contact the DCF Office of Legal Counsel at (608) 422-7041 to verify the status of the Rehabilitation Review.

Electronic Search Results from the Department of Safety and Professional Services (DSPS)

NOTE: All information provided is public record. Please ignore names that do not match the name you requested.

f. Status of Professional Credential(s), License(s) or Certificate(s)

No professional credential, license or certificate was found for
Mr. Caregiver, 01/01/1989, 111-222-333

If you believe this is incorrect or incomplete, see <http://dsps.wi.gov/Home> and click the

" Licenses/Permits/Registrations" tab and choose the appropriate license type from the drop down menu. Print the results and file with this letter.

For additional information related to licensing of all Health Professional Credential(s), License(s) or Certificate(s), please contact the Department of Safety and Professional Services (DSPS) at (608) 266-2112.

For additional information related to licensing of Business Professionals or Nursing Home Administrators contact (608) 261-2390 .

To verify the employment eligibility of a nurse aide, search the Wisconsin Nurse Aide Registry at <https://wi.tmuniverse.com>

NOTE: The Department of Health Services, the Department of Children and Families and the Department of Safety and Professional Services (DSPS) cannot guarantee that the information furnished pertains to the individual in whom you are interested.

Apply a Finding to the Hiring Process

Caregiver	<p>A person who meets all of the following:</p> <ul style="list-style-type: none"> • Is employed by or under contract with a provider; • Has regular, direct contact* with the provider’s clients or the personal property of the clients and, • Is under the provider’s control <p>This may also include housekeeping, maintenance, dietary and administrative staff, if those individuals are under the provider’s control and have “regular, direct contact” with clients or their property.**</p> <p>* Direct contact means face-to-face physical proximity to a client that affords the opportunity to commit abuse or neglect of a client or to misappropriate the property of a client.</p> <p>**Client property includes personal information as well as material possessions.</p>
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There is a misconduct finding noted on the IBIS letter and the individual did not obtain rehabilitation approval. Does this mean we cannot hire the person?



So, can the person be hired as a dietary aide?



Step Five: Take Appropriate Action

Providers must:

<p>Closely examine the results of the caregiver background checks -AND- Make employment decisions based on the results of the background checks in accordance with the requirements and prohibitions in the law. -AND- Document! Document! Document!</p>
--

Sections 50.065, Wis. Stats. and ch. DHS 12, Wis Admin. Code establish requirements for entities to verify eligibility of prospective employees and contractors to serve in roles with regular and direct client contact (caregiver background checks). At a minimum, entities must conduct and document caregiver background checks before hiring or contracting with an individual and every four years thereafter.

Eligibility Requirements

Refer to Offenses Affecting Caregiver Eligibility for Chapter 50 Programs (P-00274) found at <https://www.dhs.wisconsin.gov/publications/p0/p00274.pdf>.

An entity may not employ or contract with an individual to serve as a caregiver if the caregiver background check (including the BID) indicates a crime or finding listed in TABLE I or TABLE II and the individual has not provided proof of rehabilitation review approval. A criminal record that indicates “not guilty,” “no prosecution,” “dropped,” or “dismissed” means that the person was not convicted of the crime for which they were charged.

An entity may refuse to employ or contract with a caregiver if the caregiver has been convicted of an offense that is not listed in TABLE I or TABLE II, but that, in the estimation of the entity, is substantially related to the care of a client. Note: The crimes and findings listed in TABLE I or TABLE II also affect eligibility for entity operator and non-client residence approval.

Pending charges may be considered substantially related when making a hiring decision. However, it is not permissible under Fair Employment Law to terminate an existing employee because of a pending charge. If the employee is eventually convicted of a crime that is substantially related to the duties of the job, the employee may be dismissed at that time.

Requirements To Obtain Criminal Complaint and Judgment of Conviction

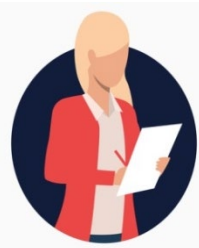
Entities must obtain the criminal complaint and, if convicted, a Judgment of Conviction from the Clerk of Courts in the county where the person was charged or convicted, in any of the following circumstances:

- The individual reports a conviction for a crime that does not appear in the criminal history record obtained from the Department of Justice (DOJ).
- The criminal history record obtained from the DOJ indicates the individual was charged for a crime in TABLE I or TABLE II, but the individual has not yet been convicted or the charges have not yet been dismissed.
- The BID form, F-82064 or criminal history record obtained from the DOJ indicates a conviction for any of the following, and the conviction occurred five years or less from the date on which the information was obtained.

1. Misdemeanor battery	Wis. Stat. § 940.19 (1)
2. Battery to an unborn child	Wis. Stat. § 940.195
3. Battery, special circumstances	Wis. Stat. § 940.20
4. Battery or threat to health care providers and staff	Wis. Stat. § 940.204
5. Reckless endangerment	Wis. Stat. § 941.30
6. Invasion of privacy	Wis. Stat. § 942.08
7. Disorderly conduct	Wis. Stat. § 947.01(1)
8. Harassment	Wis. Stat. § 947.013

These eight convictions do not prohibit employment or contract but do require the entity to obtain the criminal complaint and judgment of conviction from the Clerk of Courts office in the county where the person was convicted. See County Clerk of Courts office contact information at <https://www.wicourts.gov/courts/circuit/clerkcontact.htm>.

Criminal Convictions Requiring Notifications to Clients or Guardians



Providers that intend to place a caregiver *in a client's residence* must provide certain written notifications to the client or their guardian when that caregiver has been convicted of certain crimes. Refer to publication P-03164 <https://www.dhs.wisconsin.gov/publications/p03164.pdf>.

Convictions requiring notification may also prohibit employment or contract for roles with regular and direct patient contact. Entities must first verify the individual's eligibility for employment or contract by conducting a caregiver background check and by reviewing Offenses Affecting Eligibility for Roles with Client Contact.

When Required

Entities are required to provide written notifications to clients or their guardians when all the following conditions are met:

- The treatment provider is an entity
- The entity employs or contracts with a caregiver
- The caregiver is not a substitute caregiver
- The caregiver provides personal care services in the client's residence
- The caregiver has a conviction requiring notification (see below)
- The conviction does not otherwise prohibit employment/contracting as a caregiver

Notification Requirements

The following notifications and information must be provided to the client or guardian in writing, (1) before the caregiver provides services to the client, and (2) whenever the entity conducts a 4-year caregiver background check renewal:

1. Criminal History Record from the Wisconsin Department of Justice's Wisconsin Online Record Check System (WORCS)
2. Information obtained by the entity, pursuant to s. 50.065 (2) (bb), Stats., regarding any pending charges or Conviction Requiring Notification
3. Notification of whether the caregiver has demonstrated receipt of Rehabilitation Review approval from DHS for the conviction

4. Information contained on the Misconduct Registry regarding any findings of abuse, neglect, or misappropriation of client property
5. Information under s. 50.065 (2) (b) 4., Stats., regarding any final determination that the individual has abused or neglected a child
6. Information under s. 50.065(2)(b)5., regarding any denial to the person of a license, certification, certificate of approval or registration to operate an entity and regarding any denial to the person of employment or contract, or permission to reside at an entity
7. Notification that, for a fee, the Wisconsin Department of Justice performs for any person a criminal history record search on an individual
8. Notification that if the regularly assigned caregiver is unavailable and the entity assigns a substitute caregiver to provide personal care services to the client, the entity is not required to provide the disclosures 1-6 above for the substitute caregiver

How to Read Wisconsin Statutory References



Those responsible for conducting background checks are sometimes unsure about reading/applying crimes listed on the Offenses List. Let's examine one of the crimes on the list:

940.19 (2), (3), (4), (5) or (6) Battery; substantial battery; aggravated battery (felony)

The current full statute reads:

940.19 Battery; substantial battery; aggravated battery.

(1) Whoever causes bodily harm to another by an act done with intent to cause bodily harm to that person or another without the consent of the person so harmed is guilty of a Class A misdemeanor.

(2) Whoever causes substantial bodily harm to another by an act done with intent to cause bodily harm to that person or another is guilty of a Class I felony.

(4) Whoever causes great bodily harm to another by an act done with intent to cause bodily harm to that person or another is guilty of a Class H felony.

(5) Whoever causes great bodily harm to another by an act done with intent to cause great bodily harm to that person or another is guilty of a Class E felony.

(6) Whoever intentionally causes bodily harm to another by conduct that creates a substantial risk of great bodily harm is guilty of a Class H felony. A rebuttable presumption of conduct creating a substantial risk of great bodily harm arises if the person harmed has a physical disability, whether congenital or acquired by accident, injury, or disease, that is discernible by an ordinary person viewing the physically disabled person, or that is actually known by the actor.

<https://docs.legis.wisconsin.gov/statutes/statutes/940/ii/19>

Convictions on the Offenses List



A caregiver background check for Jane Doe indicates that she has been convicted of 940.19(2). Is her conviction listed on the Offenses List? YES or NO?



A caregiver background check for John Deer indicates that he has been convicted of 940.19(1). Is his conviction listed on the Offenses List? YES or NO?



What is the difference between 940.19 (1) and the rest of the charges?

Convictions in Other States

For convictions in other states or U.S. jurisdictions, a determination must be made whether there is a comparable crime listed in the “Offenses List” and the corresponding consequence or condition must be applied.



Felony abuse of a vulnerable adult in another state is comparable to Wis. Stat. § 940.285(2)(b), Abuse of Vulnerable Adults in Wisconsin, which is listed on the “Offenses List” as a crime subject to the Rehabilitation Review process.

Rehabilitation Reviews



A caregiver or an individual who is neither an employee nor client of the provider, who has...

- Committed a crime listed on the “Offenses List,”
- A finding of misconduct entered on the Wisconsin Caregiver Misconduct Registry, or
- A child abuse or neglect finding

... may apply for a Rehabilitation Review to seek approval to work as a caregiver, obtain regulatory approval, or reside with a provider regulated by DHS.

Providers are required to give employees information on Rehabilitation Review eligibility criteria and on how to obtain the application. DQA must give this information to a person seeking regulatory approval or an individual who is neither an employee nor client of the provider.

Application Procedures

The applicant must complete and sign **a *Rehabilitation Review Application*** (EXS form F-83263) with attachments (see <https://www.dhs.wisconsin.gov/caregiver/forms.htm>) and submit them to the DHS Office of Legal Counsel. Incomplete applications will be denied unless good cause exists for failure to submit a complete application.

Upon receipt of a complete application, DHS will notify the applicant by mail when and where the Rehabilitation Review Panel will meet. The applicant may be asked to provide additional information.

Panel Review Meeting

Although the applicant is not required to appear at the Rehabilitation Review Panel meeting, the applicant's appearance is recommended. Panel members may ask questions to facilitate decision making and the applicant will have an opportunity to answer their questions.

As applicable, the Rehabilitation Review Panel will consider the following:

- Personal reference checks and comments from employers, persons, and agencies familiar with the applicant and statements from therapists, counselors, and other professionals
- Evidence of successful adjustment to, compliance with, or proof of successful completion of parole, probation, incarceration, or work release privileges
- Proof that the person has not had subsequent contacts with law enforcement agencies leading to probable cause to arrest or evidence of noncompliance leading to investigations by other regulatory enforcement agencies
- Any pending or existing criminal or civil arrest warrants, civil judgments, or other legal enforcement actions or injunctions against the person
- Any aggravating or mitigating circumstances surrounding the crime, act, or offense
- Evidence of rehabilitation, such as public or community service; volunteer work; recognition by other public or private authorities for accomplishments or efforts or attempts at restitution; demonstrated ability to develop positive social interactions; and increased independence or autonomy of daily living
- The amount of time between the crime, act, or offense and the request for Rehabilitation Review and the age of the person at the time of the offense
- Whether the person is on the sexual offender registry under Wis. Stat. § 301.45 or on a similar registry in another jurisdiction
- A victim's impact statement, if appropriate
- Employment history, including evidence of acceptable performance or competency in a position, and dedication to the person's profession

- The nature and scope of the person's contact with clients in the position requested
- The degree to which the person would be directly supervised or working independently in the position requested
- The opportunity presented for someone in the position to commit similar offenses
- The number, type, and pattern of offenses committed by the person
- Successful participation in or completion of recommended rehabilitation, treatment, or programs
- Unmet treatment needs
- The applicant's veracity

Rehabilitation Review Panel Decision

After the meeting, the Rehabilitation Review Panel will decide whether sufficient evidence of rehabilitation exists. Each application is handled on a case-by-case basis. The panel will issue one of the following written decisions:

- **Approved.** If the Panel finds sufficient evidence of rehabilitation, the panel will approve the Rehabilitation Review application and may specify conditions or limitations that apply to the approval.
- **Denied.** If the Panel does not find sufficient evidence of rehabilitation, the decision will provide the reasons for denial and inform the applicant of his/her right to file an appeal within 10 days of the decision.
- **Deferred.** The Panel may defer a final decision for up to six months to gather additional information or for other reasons.

A Rehabilitation Review approval does not ensure that the applicant will be hired by a provider or receive permission to reside in a provider setting. Caregivers who are denied approval may not reapply for one calendar year after the date of denial.

Rehabilitation Review Approval – Example

██████████
Governor



██████████
Secretary

State of Wisconsin
Department of Health Services

OFFICE OF LEGAL COUNSEL

1 WEST WILSON STREET
PO BOX 7850
MADISON WI 53707-7850

Telephone: 608-266-8428
Fax: 608-267-1434
TTY: 711 or 800-947-3529

July 20, 20██████████

██████████
**RE: Rehabilitation Review Request Number: 20██████████-15-DHS
Approval**

Dear ██████████:

The Rehabilitation Review Panel finds that you have demonstrated sufficient evidence to support rehabilitation approval to seek employment at an entity and to seek a license, certification, registration or certificate of approval issued or granted by the department to own or operate an entity¹ at the following Department of Health Services regulated entities for which you sought approval: adult family homes, community based residential facilities, community mental health, developmental disabilities and alcohol and other drug abuse services, community support programs (CSPs – mental health services), emergency mental health services programs, facilities for the developmentally disabled, home health agencies (state licensed), hospitals, mental health day treatment services for children, and nursing homes. No decisions have been made on areas for which you did not seek approval. You will need to submit another rehabilitation review application if you wish to seek approval for other entities.

This approval does not remove the governmental finding and/or criminal conviction that required rehabilitation review nor does it guarantee that you will receive a license, certification, registration, employment, contracts, or permission to reside at an entity.

This decision is based on consideration of the information submitted with your application materials, including the results of the Caregiver Background Check that was run on or about ██████████ the verbal information provided by you during the Panel's meeting, and other materials that may have been gathered.

This approval includes the following conditions or limitations:

- you do not commit any crimes, acts, or offenses that lead to arrest or conviction or findings by a government agency of misconduct (abuse or neglect of another or misappropriation of a client's property);
- you do not commit law violations;
- you do not commit acts or threats of violence toward others.

This grant of approval may be withdrawn if you fail to comply with any of the above conditions or limitations of approval or for any of the following reasons:

- if, subsequent to rehabilitation approval, you commit a crime, act, or offense that is barred;
- if you knowingly withheld pertinent information that could or would have affected the Review Panel's decision to approve the rehabilitation review request; or
- if you knowingly submitted false information relevant to the rehabilitation review request that could or would have affected the Review Panel's decision to approve your rehabilitation review request.

Please retain a copy of this letter for your records. You may share a copy of this letter as confirmation of the Department's position with any entity that may require you to apply for rehabilitation approval. Before an entity or agency may make a decision concerning your employment, contract, non-client residency or regulatory approval, the status of this rehabilitation approval must be verified with the Department of Health Services by calling 608-266-8428.

Sincerely,



¹ Federal law bans employment at a federally certified nursing facility of an individual who has a conviction or finding of abuse, neglect or misappropriation if the victim was a resident of a federally certified nursing facility or skilled nursing facility and if the perpetrator was a nurse aide. Rehabilitation approval does not change this. 42 CFR § 483.13
Federal law bans employment at a federally certified Intermediate Care Facility for Persons with an Intellectual Disability (ICF/ID) of an individual who has a conviction or prior employment history of abuse, neglect or misappropriation. Rehabilitation approval does not change this. 42 CFR § 483.420

Contact Information

Individuals who have questions about the Rehabilitation Review process, who would like more information, or who need assistance in completing the application should contact DHS or their DHS designated tribal authority.

DHS-Regulated Providers

Persons seeking Rehabilitation Review approval for employment, contracted services, regulatory approval, or residency in a DHS-regulated provider setting may contact:

DHS/Office of Legal Counsel

P.O. Box 7850

Madison, WI 53707-7850

Phone: 608-266-8428

Tribal-Operated DHS-Regulated Providers

Persons seeking Rehabilitation Review approval for employment, contracted services, regulatory approval, or residency in tribal-operated, DHS-regulated provider settings may contact the appropriate DHS designated tribal authority.

Review Learning Points

Upon completion of this course, participants will be able to:

- **Identify steps necessary to complete caregiver background checks on individuals covered under Wisconsin's Background Check program**
- **Evaluate background check results related to hiring or continued employment**
- **Understand the Rehabilitation Review process**
- **Utilize resources available to support the Background Check process**

Resources

Background Check and Misconduct Investigation Program

General information page with links to specific topics

<https://www.dhs.wisconsin.gov/misconduct/index.htm>

Background Information Disclosure (BID)

For Employees and Contractors

F-82064 (01/2022)

<https://www.dhs.wisconsin.gov/forms/f8/f82064.pdf>

Questions about Background Checks on Employees and Contractors or Questions about Offenses that Affect Caregiver Eligibility:

DHS/Division of Quality Assurance

ATTN: Office of Caregiver Quality

PO Box 2969

Madison, WI 53701-2969

608-261-8319 (phone)

608-264-6340 (FAX)

DHSCaregiverIntake@wisconsin.gov

Background Checks on Owners and Residents Who are Neither Employees nor Clients or Persons Seeking Rehabilitation Review Approval for Employment, Contracted

Services, Regulatory Approval, or Residency Who are Neither Employees nor Clients

DHS/Division of Quality Assurance

ATTN: Provider Background Checks

PO Box 2969

Madison, WI 53701-2969

608-261-8319 (phone)

DHSCaregiverIntake@wisconsin.gov

Background Checks on Child Care Providers
Department of Children and Families
ATTN: Caregiver Background Unit
201 E Washington Ave, Rm E200
PO Box 8916
Madison, WI 53708-8916
608-422-7400 (phone)
608-422-7155 (phone)
DCFPLicBECRCBU@wisconsin.gov
<https://dcf.wisconsin.gov/cclicensing/cbc>

Rehabilitation Review Process
DHS / Office of Legal Counsel
1 W Wilson St, Rm 651
PO Box 7850
Madison, WI 53707-7850
608-266-8428 (phone)
DHSRehabReviewCoordinator@wisconsin.gov

Non-Credentialed Caregivers with Substantiated Finding(s) of Misconduct
Wisconsin Nurse Aide Registry
888-401-0465
http://hdmaster.com/testing/cnatesting/wisconsin/WI_CNA_Home.htm

Wisconsin Background Check and Misconduct Investigation Program: Offenses
Affecting Eligibility for Employment or Contract in Roles with Client Contact
Department of Health Services / Division of Quality Assurance P-00274 (12/2021)
<https://www.dhs.wisconsin.gov/publications/p0/p00274.pdf>

Wisconsin Background Check and Misconduct Investigation Program: Criminal
Convictions Requiring Notifications to Clients or Guardians
Department Of Health Services / Division of Quality Assurance P-03164 (12/2021)
<https://www.dhs.wisconsin.gov/publications/p03164.pdf>