*As subrecipients of federal financial assistance, Eligibility Sites must ensure that all programs, services and activities meet the requirements of applicable federal and state laws, rules and regulations. As required by 10 CCR 2505-5 1.020.4.4, and HCPF OM 24-017 Eligibility Sites are responsible for establishing adequate internal control processes to ensure personnel background checks are completed for all staff with access to CBMS. HCPF is providing this* ***sample*** *template for Eligibility Sites to meet the requirements for documented internal controls for HCPF OM 24-017.*

*While Eligibility Sites are required to have internal controls to ensure HCPF OM 24-017 is followed, Eligibility Sites are not required to use this sample template.*

*This template may not be an exact fit for your county size, staffing structure and operations. All Eligibility Sites should develop their internal controls for HCPF OM 24-017 in consultation with their Human Resources (HR) team and other county leadership authorities as appropriate. Eligibility Sites do not need to submit their internal controls to HCPF unless requested to do so during a Management Evaluation (ME) Review, Desk Review, or other request.*

*To use this template, please update agency specific information in the areas that are* ***[Bold and in Brackets]*** *and remove these top italicized paragraphs. This plan should be on the county’s letterhead once updated and issued.*

*—----*

**[Policy/Procedure must be published on County/Eligibility Site Letterhead]**

**[Eligibility Site Name]**

**[Address]**

**[City, State ZIP]**

**[Phone/FAX/Email]**

**Policy Title**: Personnel Screening Requirements for Eligibility Staff

**Reference**: HCPF OM-24-017, Federal Information Security Modernization Act (FISMA) of 2014 and 20 CFR § 401.30 and the Social Security Administration’s Electronic Information Exchange Security Requirements, 10 CCR 2505-5 1.020.4.4

**Effective Date: [Month Day, Year]**

**Director’s Approval: [Name, Title, signature if possible]**

**Revision Date: [Month Day, Year]**

**PURPOSE**

As a result of a Social Security Administration (SSA) audit, Health Care Policy and Financing (HCPF) and its subrecipients must implement adequate internal controls for access to CBMS. These controls must include a policy to conduct personnel screening of staff who have access to CBMS and member confidential information.

**DEFINITIONS**

* Background Check: a set of required records that are obtained and analyzed to determine whether the individual meets legal and safety criteria when considering employment and system access.
* Internal Controls: documented processes and procedures designed to provide reasonable assurance of compliance with applicable laws, rules, regulations, contracts, policies or procedures
* Personnel Screening: analysis of a person employed in an organization based on specific criteria established

**POLICY STATEMENT**

This policy is to ensure **[ELIGIBILITY SITE NAME]** conducts personnel screening to the end goal that all staff with access to CBMS have cleared a personnel screening at hire. This screening to be completed prior to granting CBMS access including read only access.

* Who is the audience (who needs to follow this policy)?
* In what situation(s) does this policy apply?
* What are major conditions and/or restrictions?
* What is expected by the staff?
* Are there any exclusions or special situations? (i.e 7 year look back, exclusions)
  + review  [Office of Inspector General LEIE exclusion list](https://oig.hhs.gov/exclusions/exclusions_list.asp)

Criminal background checks will be conducted in accordance with applicable laws.

**PROCEDURE [procedures should clearly indicate how the instructions in the policy should be carried out; this section must be updated to reflect the procedure]**

**[ELIGIBILITY SITE NAME]** will complete personnel screening for all staff with access to CBMS. Human Resources will complete personnel screenings with the identified vendor.

* Applicants or employees will be notified if a criminal record check will be conducted and will be asked to complete a disclosure and authorization form and/or CBI request form.
  + If requested, the applicant or employee will be provided with a copy of this criminal background check policy.
* CMS exclusionary list must be consulted and List of Excluded Individuals/Entities (LEIE) must be reviewed. No individual on this list shall be granted access to CBMS.
* Background checks should include at least a name-based CBI criminal check
* Complete personnel screening for all staff with CBMS access that were hired prior to the publication date of the HCPF OM-24-017,
  + Personnel screening to be completed within 12 months of memo issuance.
* Complete personnel screening for any new hires with a job expectation that includes CBMS access, this includes read only access.
  + Personnel screening to be completed prior to granting employee access to CBMS, including read only access.

**MONITORING**

* These policies and procedures will be monitored by the **[ELIGIBILITY STAFF RESPONSIBLE MEMBER i.e. Human Resources Director]** for compliance at time of hire for all new employees requiring access to CBMS and completed prior to granting access to CBMS.
* Additionally, the **[ELIGIBILITY STAFF RESPONSIBLE MEMBER i.e. Human Resources Director]** will monitor that personnel screenings are completed in the 12 months from the issuance of HCPF OM 24-017 for any employees hired prior to the release of HCPF OM 24-017.
* This policy to be reviewed annually by the Human Resources Director.

**STAFF TRAINING**

* **[ELIGIBILITY STAFF RESPONSIBLE MEMBER i.e. Human Resources Director]** will train supervisory staff for **[ELIGIBILITY SITE NAME]** on this procedure
* Training will be conducted with all supervisors with staff who have access to CBMS.
* Initial training will be conducted when this policy is approved [(month/year)] and annually thereafter
* Human Resources will maintain tracking and verification of personnel screenings completed in the personnel files for each staff member.