CSRA≡

North Carolina Medicaid Management
Information System (NCMMIS)

July 26, 2017

NC
Information Technology Division
HEALTH AND HUMAN SERVICES

JOB AID
## Fingerprinting Application Required Process

OVERVIEW

42 CFR 455.450(c) requires that when a state Medicaid agency designates a provider as a "high" categorical risk, the agency must require the submission of a set of fingerprints in accordance with 42 CFR 455.434; Under 42 CFR 455.434(b), the requirement to submit fingerprints applies to both the "high" risk provider and any person with a 5 percent or more direct or indirect ownership interest in the provider, as those terms are defined in 455.101.

CSRA is requested to obtain fingerprint-based criminal background check results from the State Bureau of Investigation (SBI), or verification in the Provider Enrollment, Chain, and Ownership System (PECOS) or Home State Medicaid program, for high-risk individual providers or provider entities and for any individual with a 5% or more direct or indirect ownership in a provider entity.

This job aid will guide the user through completing the Fingerprinting Required application process in NCTracks.

STATUS AND MANAGEMENT

The **Fingerprinting Required** section of the **Status and Management** page is populated with National Provider Identifiers (NPIs) associated with the provider's account that require a fingerprinting application based on enrollment, re-enrollment, completed re-verification, or a Manage Change Request (MCR) submitted after August 2015 adding a new service location or new owners.
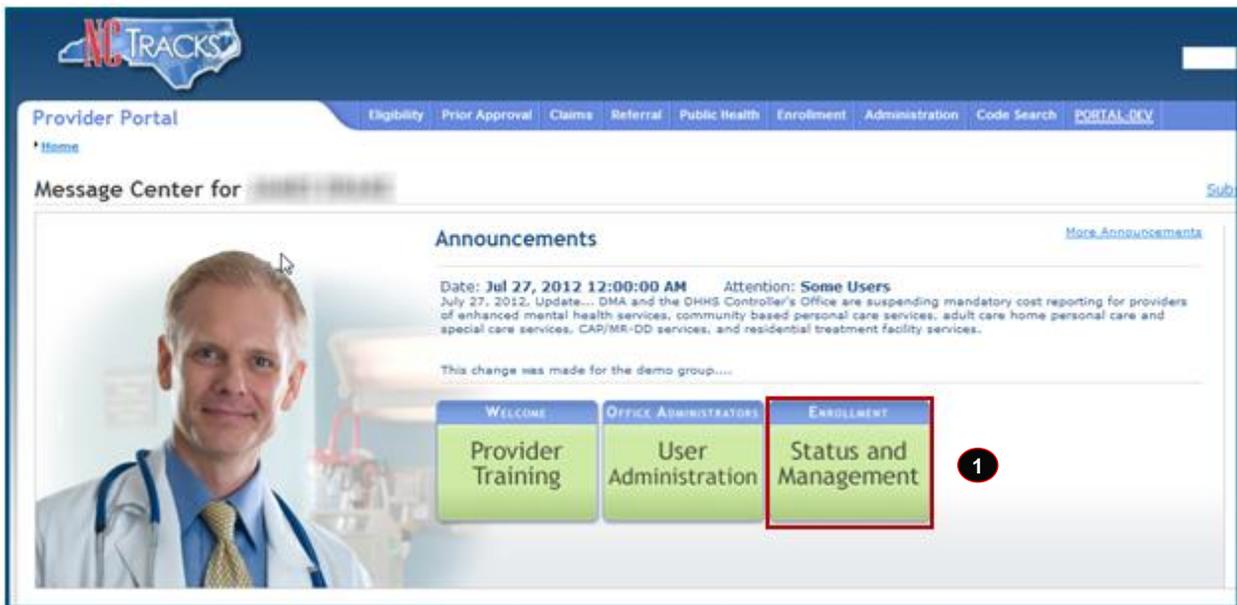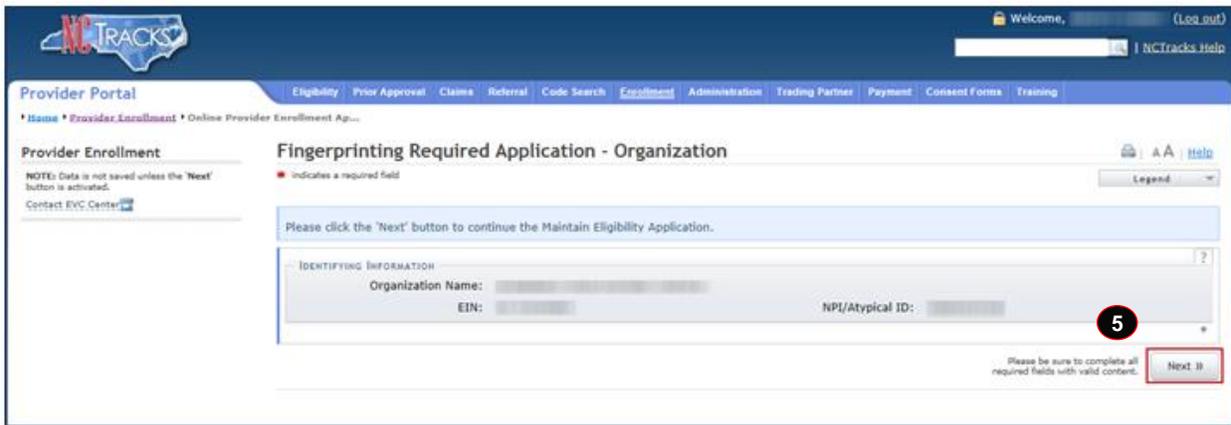

Step	Action
1	From the secure Provider portal home page, navigate to the **Status and Management** page by selecting the **Status and Management** button.
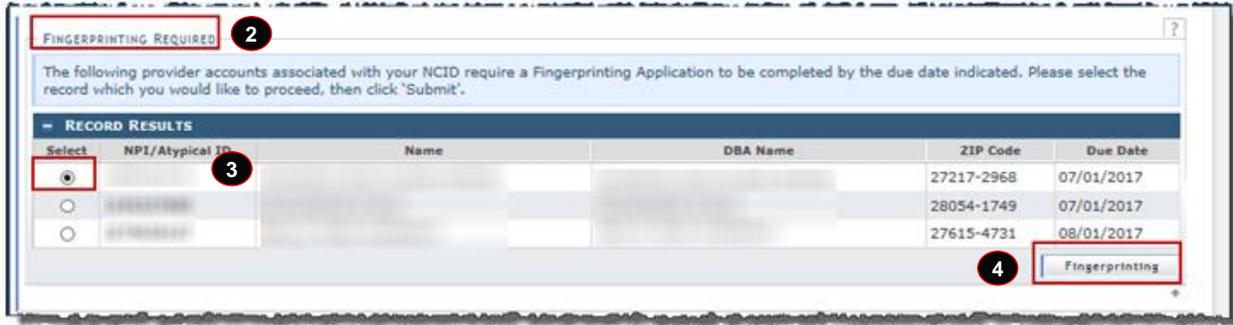
Step	Action
2	Scroll down the **Status and Management** page to the **Fingerprinting Required** section.
3	Select the radio button beside the NPI/Atypical ID for which you will be completing the fingerprinting application.
4	Select the **Fingerprinting** button from the bottom right of the section.

FINGERPRINTING APPLICATION

The Office Administrator (OA) or Enrollment Specialist (ES) user will need to confirm that the Organization's Name, Employer Identification Number (EIN), and NPI are correct. If any of this information is incorrect, you will need to contact the NCTracks Call Center for guidance on how to correct the information. This information cannot be changed in an MCR.

Step	Action
5	Select **Next**.

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Step	Action
6	After you have read and agreed to the Terms and Conditions, select the **Attestation** checkbox.
7	Select **Next**.

Step	Action
8	Select the **Review Application** button to review the information that you are about to submit. **Note**: A PDF of the application will open for review purposes only.
9	Select **Next**.

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Step	Action
10	Enter your **Login ID (NCID)** and **Password**.
11	Enter your **PIN**.
12	Select **Submit Now**.

Step	Action
13	Once the application has been successfully submitted, you will land on the **Final Steps** page, where you will be able to save or print a copy of the application in PDF format. **Note**: Once you navigate away from this page, you will not be able to access these documents again.
Note	When additional fingerprinting documents are required, you will receive the message that the OA will be contacted with instructions on completing the process. If the person for whom fingerprints are being requested already has a completed Electronic Fingerprint Submission Release of Information Form from another application process, they can proceed directly to the **Upload Documents** button and go to step 17.

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FINGERPRINTING REQUIRED NOTIFICATION

Two notifications will be received in the Provider Message Center Inbox for each person required to submit fingerprints. One notification will be a letter with instructions, and the other will be a Fingerprint Submission Release of Information Form. Notification letters for both individual providers and organizations will have the same letter identifier (PM18802-R0002); the only difference is the verbiage in the letters. The OA will also receive an e-mail for each party required to submit fingerprinting documents. The e-mail will have the Fingerprint Submission Release of Information Form attached.

Notifications for each owner with 5% or more direct or indirect ownership interest in the organization will be sent via e-mail to the OA and also delivered to the Provider Message Center Inbox. For example, if an application is received with three owners listed, six notification items will be received in the Provider Message Center Inbox and three e-mails will be sent to the OA e-mail address on file.

Step	Action
14	Navigate to the secure Provider portal home page to access the Provider Message Center Inbox.
15	Select the hyperlink to open provider notification **PM18802-R0002**.

ELECTRONIC FINGERPRINT SUBMISSION RELEASE OF INFORMATION FORM

The Electronic Fingerprint Submission Release of Information Form will be received either as an e-mail attachment or as an item in the Provider Message Center Inbox. This document will need to be printed and completed prior to taking to a fingerprinting agency and then electronically uploaded in NCTracks by the OA.

Individuals who are required to undergo the fingerprint-based background check will incur the cost of having their fingerprints taken; it is recommended that you contact the agency to confirm the fee prior to going.

Additional resources are available at the [Fingerprinting FAQs page](#).

UPLOAD DOCUMENTS

From the **Submitted Applications** section of the **Status and Management** page, the OA will see that any NPI that has a status of "In Review" will also have a hyperlink to **Upload Documents**. This link is supplied for the convenience of electronically submitting supporting documentation after an application has been submitted. Once the link is selected, the OA will be able to browse for and attach the required forms.

The **Upload Documents** page has been updated to include two separate upload sections: **General Enrollment Additions** and **Fingerprint Evidence Documents**. The **General Enrollment Additions** section is where all documents that are not related to fingerprinting will be uploaded. Please be advised that if you answered "Yes" to any sanction questions during the enrollment process and did not load supporting documents at that time, you will need to upload the required documents in the **General Enrollment Additions** section.

Step	Action
16	Select the **Upload Documents** link next to the application for which you are submitting fingerprint documentation.

Step	Action
17	From the **Fingerprint Evidence Documents** section of the **Upload Documents** page, select **Browse** to access the Electronic Fingerprint Submission Release of Information Form(s) from their saved location.
18	Select **Upload Documents**.
Note	A maximum of 20 files can be uploaded in this section.

At this point the process is complete, and the provider will be able to go to the **Status and Management** page for an updated application status.