

NETStudy Roster Import Process

Frequently Asked Questions

February 8, 2018

1. What is the *NETStudy Roster Import Process*?

NETStudy 2.0 Roster Import Process (import process) is the way entities will transfer background study determination statuses of people whose background study was completed in the original NETStudy system to their NETStudy 2.0 rosters. There are two methods to complete the process: (1) by uploading a spreadsheet with multiple records; or, (2) by entering single records on an electronic form.

2. Where do I find more information?

More information can be found in the *NETStudy Roster Import Process User Guide* and there are a series of instructional YouTube videos. The user guide and the list of videos are posted in the Help section of NETStudy 2.0.

3. What if I have questions?

Background study staff will be available to answer questions through scheduled Web Ex open forum technical assistance calls. The calls will be held a few times each week. The schedule is posted under the Help section of NETStudy 2.0.

4. What entities are required to complete the import process?

If your entity's background study sensitive information person (SIP) is contacted to complete the import process, then you must complete the process before the deadline that is in the notice. Some entities are excluded from the import process and will not be contacted.

5. What provider types are excluded from the import process and why?

This is a list of the provider types that are excluded from the import process.

- a. Transportation
- b. Child Protection Worker (CPW)
- c. Educational Programs
- d. Temporary Employment/Personnel Agency
- e. Unlicensed Consumer-Directed Community Supports (CDCS)
- f. Supplemental Nursing Services Agencies (SNSA)
- g. Housing Support (formerly Group Residential Housing)
- h. Child Care

These provider types are not required to complete the import process for one of two reasons:

- Their background studies are already in NETStudy 2.0; or,
- The study subjects are required to have a background study on a periodic basis and when due, they are completed in NETStudy 2.0.

6. How will I know when I have to start the import process?

The entity's background study sensitive information person (SIP) will be contacted to complete the import process and will be given the deadline. Entities cannot begin the process until the SIP receives the email notice. The system sends the notices. It is not based on program type because most entities provide services under more than one program type.

NOTE: The system will automatically close your entity's access to the import process on the deadline date. People whose background study determinations were not successfully imported at that time will need new background studies.

7. Do all entities start the process at the same time?

No. Entities will be contacted at different times over the course of 2018 to start the import process. The background study sensitive information person (SIP) will be contacted by email to complete the process. The system sends the notices. It is not based on program type because most entities provide services under more than one program type.

8. What if some of my entities' programs are excluded from the import process?

Entities that have multiple provider types under one background study sensitive information person (SIP) will be contacted by email to complete the process. The entity is only required to complete the import process for study subjects that are affiliated with the providers listed in the email notification.

9. What are the benefits of a complete roster?

The benefits of having employees or people required to have a DHS background study on NETStudy 2.0 rosters include:

- a. Automatic monitoring for new state criminal information;
- b. Continued automatic monitoring of state maltreatment determinations;
- c. Automatic checks of the federal List of Excluded Individuals and Entities (LEIE) and the Minnesota Exclusion List, and notification if someone is added to one of the lists;
- d. Automatic checks for negative findings on the Minnesota Nurse Aide Registry and notification if someone is added to the registry due to a negative finding;
- e. Leaves of absences may exceed 120 days* without requiring a new background study (leaves of absence may be for any length of time if the person is expected to return *and* remains affiliated on the entity's active roster);
- f. Ability to electronically affiliate study subjects to other licenses/organizations under the same background study sensitive information person (SIP); and,
- g. The elimination of the phone calls to entities to verify employment.

10. Who must be included in the import process?

Study subjects who must be included in the import process are people who are:

- Actively affiliated with your entity; *and*,
- Required to have a DHS background study.

Do **not** include study subjects in the import process who are:

- No longer affiliated with your entity;
- Not required to have a DHS background study;
- Only affiliated with an excluded provider type listed in the *NETStudy Roster Import User Guide*.

Including these study subjects in your spreadsheet may result in records that do not successfully import and will cause additional work for your entity to complete the roster import process.

11. How long do entities have to complete the import process?

The amount of time an entity has to complete the import process is based on the number of programs under the SIP. The timeframe begins the day the email notice is sent to the SIP.

- Entities with 49 or fewer programs under the SIP structure have **45 calendar days** to complete the import process.
- Entities with 50 or more programs under the SIP structure and all hospitals have **180 calendar days** to complete the import process.

NOTE: The system will automatically close your entities' access to the import process on the deadline date. People whose background study determinations were not successfully imported at that time will need new background studies.

12. Can entities request an extension?

Entities are expected to complete the import process in the time period provided. DHS encourages entities to begin the process as soon as the SIP receives the notice. If entities do not complete the process in the time provided, generally they will need to submit new background studies on any remaining individuals who need to be on their rosters and the background study and fingerprint and photograph fees may apply.

13. When should entities begin the import process?

DHS strongly encourages SIPs to begin the import process as soon as the SIP receives the notice that they have access to the import process. Entities have a limited amount of time to complete the process.

14. How much time does the import process take?

The time it takes for an entity to complete the entire import process depends on a variety of factors, including but not limited to, the number of study subjects the entity is importing; the quality and organization of the entity's data on their spreadsheet; and, how many study subjects' records are not successfully imported without reprocessing.

It can take a few minutes to several hours for an uploaded spreadsheet to complete the initial matching review, depending on the size of the spreadsheet. Most entities will have a percentage of records for which a match is not identified and reprocessing will be required or a new background study submitted.

15. What is the system like to use?

The import process will be easier for people who have some familiarity with spreadsheets and computers. If all of the records your entity uploads result in a 'Successfully Imported' match without reprocessing, the data upload process is fairly easy to complete. However, it is expected that most entities will have some records that do not automatically match and transfer to their rosters.

For records that do not automatically transfer to your roster, you have the option in some cases to correct or add information and reprocess them. The steps to reprocess records were streamlined as much as possible, but reviewing the results and reprocessing records can be complex depending on the reason the background study record was not automatically added to your roster. In lieu of reprocessing records, you may elect to enter new background study requests. New background studies must be submitted in NETStudy 2.0 and may

require fingerprints and photograph of the background study subject, and all background study and fingerprinting fees apply, if applicable.

NOTE: DHS recommends having people with computer skills complete reprocessing steps and prepare and upload the spreadsheet if one is used.

16. What does it mean to reprocess an imported record?

For records that do not automatically move to your roster, you have the option (in some cases) to correct or add information and reprocess them. It is expected that most entities will have some records that do not automatically move to their rosters and will require you to provide additional information in order to import the record. For example, this will occur for study subjects whose name was legally changed since their background study was completed in the original system. When this occurs, you may provide additional information to reconcile the result and successfully import the record. If the record is not successfully imported after reprocessing a new background study is required.

17. What records cannot be reprocessed?

Background studies cannot be reprocessed if there was incomplete or inaccurate information in the person's background study in the original system because the person currently does not have a valid background study. If correct information is entered in the import process, the record will not match and because there is not a valid background study there is no option for these to be reprocessed. In these cases, a new background study must be submitted immediately.

18. Can the SIP assign other users to complete the import process?

Yes. The SIP may grant access other users to complete the process, but the SIP is the only person that receives the email notice to complete the import process. The SIP must use their user account to log into NETStudy 2.0 and designate the permission to other users. DHS strongly encourages the SIP to organize and upload the entity's data file prior to granting access to others. This will make the process easier and is explained in the *NETStudy Roster Import Process User Guide*.

19. Are new background studies required if a person is gone for 120 days or more?

No. Study subjects who are imported and remain affiliated on the entity's NETStudy 2.0 active roster do not need a new background study due to a prolonged absence.

20. Are people in the import process required to be fingerprinted and photographed?

No. Study subjects who are successfully transitioned to your active roster do not need to be fingerprinted and photographed. No further action is required for these study subjects. However, study subjects who are not successfully transitioned to your roster through the import process must have a new DHS background study and they may be required to be fingerprinted and photographed.

Background study determinations imported into NETStudy 2.0 are not transferable. This means that study subjects who are required to have a new background study in the future will be required to be fingerprinted and photographed at that time.

21. What happens if a person's name changed?

Study subjects whose name was legally changed since their background study was completed in the original system will receive a 'Partial Match' or 'No Match' result during the import process. When this occurs, you

may provide additional information and reprocess to successfully import the record. If the record is not successfully imported, a new background study is required.

22. What name do I include in the data file for a study subject who had a name change recorded in the old system?

Include only the study subject's current legal name in the data file. If a person's name was legally changed and the name change was recorded in the original system, the import process will successfully import the record. If a person's name was legally changed and the name change was not recorded in the original system, you will have the opportunity to provide the background study ID number of the original background study and reprocess the record.

23. Do entities need to import people who are already on their rosters?

No. Entities do not need to include study subjects in their uploaded files if they are already on an entity's roster. If study subjects who are already on your roster are uploaded, the result will display as 'Person is Already on this NETStudy 2.0 Roster.' This is a successful import and no further action is required.

24. If the original background study had incorrect information what can I do?

Background studies completed with an incorrect information such as name and/or date of birth are not valid and in the import process they will receive a result of 'No Match' or 'Partial Match.' These study subjects require a new DHS background study. New studies must be submitted immediately in NETStudy 2.0 and fingerprints and photograph may apply, as well as all applicable fees.

25. What happens if I try to reprocess a file and it doesn't work?

This means that there is not match between the study subject information you entered and DHS background study records, and the person does not have a valid background study. If you do not receive a 'Successfully Imported' result for the record, a new DHS background study is required. New studies must be submitted in NETStudy 2.0 and fingerprints and photograph may apply, as well as all applicable fees.

26. How many times can I try to reprocess a record?

There is no limit on how many times you can reprocess a record.

27. What do I do with records that are not successfully imported?

Study subjects that do not receive a 'Successfully Imported' result must have a new DHS background study.

28. How will I know if new background studies are required?

Background studies that are not successfully imported will require a new study. The *NETStudy Roster Import Process User Guide* provides detailed information about how to identify which records were not successfully imported.

29. Where do entities submit the new DHS background studies?

Background studies must be submitted in NETStudy 2.0, and the study subject may be required to be fingerprinted and photographed for the new DHS background study. Background study and fingerprinting fees apply as applicable.

30. How do I finish the import process?

When the import process is completed, including reprocessing any records on the Employee Import Log, the SIP must click the 'End Process' button to confirm that the entity is finished. Only the SIP has access to the 'End Process' button. When the SIP clicks the 'End Process' button, the SIP and other users will no longer

have access to the Employee Import and Employee Import Log pages. If any background studies were missed in the import process, you will need to submit new background studies.

NOTE: The system will automatically close your access to the import functionality on the deadline date for your entity. People whose background study determinations were not successfully imported at that time will need new background study requests.

31. Do I need to keep the paper background study documents?

Yes. Copies of background study documents that were mailed to entities (e.g., clearance and disqualification notices) will NOT be electronically available in NETStudy 2.0 for study subjects who are added to rosters through the import process. Entities must continue to retain all the paper copies of these notices, including the background study determinations that were printed on colored paper.

Only background study statuses will display in NETStudy 2.0 for people that are imported.

32. Can I add affiliation records for people who are imported?

Yes. You can add affiliation records for study subjects who were added to your roster in the import process. The same affiliation requirements apply to these study subjects that apply to study subjects whose background study was submitted in NETStudy 2.0:

- The license/organization must be under the same SIP;
- The study subject must have an eligible determination; and,
- The background study requirements for the license/organization must be the same.

The entity that creates the affiliation record is responsible to ensure these requirements are met when affiliating a study subject on to another roster.

33. How will I know which people on my roster were added through the import process?

The 'Position' field in NETStudy 2.0 will display 'Other / Uploaded Roster Study.'

34. Is there a maximum number of records that can be imported in a single spreadsheet?

No. There is not a maximum number of records that can be imported in a single spreadsheet. However, larger data files will take longer to be imported. The SIP will receive an email notification once the data file is imported and the results are ready to be reviewed.

35. Do all of the records have to be on the same spreadsheet?

No. The SIP or the SIP's delegated users can upload multiple spreadsheets. There is no limit. However, it is best not to attempt to import the same person more than one time.

36. Who should complete the upload(s)?

It is recommended that the SIP complete the upload(s) because the SIP's user account has access to all of the entity's license and organization numbers, but a delegated user may not. If an uploaded record is under a license or organization number to which the delegated user does not have access, it will result in a 'no match' that cannot be successfully reprocessed.

37. Do I include study subjects in the upload if the background studies were submitted by a school or temporary staffing agency?

No. Only include study subjects for which your entity directly received the background study determinations. If you accidentally include a study subject in your upload for which your entity did not request the background study, it will result in a 'No Match.'

38. Are study subjects notified that their background study determination is transitioned to NETStudy 2.0?

No. Study subjects are not notified that their background study determination is transitioned to NETStudy 2.0. The import process does not change or impact the study subject's background study determination or background study status.

39. Can I get a list of my background study numbers from DHS?

In some limited cases, yes.

DHS will not provide the background study IDs for studies completed on or after January 1, 2000. Entities are required to retain the paper copies of their background study notices, which (in most cases) includes the background study ID number from the original background study. If you need a background study number to complete reprocessing, refer to the paper notice.

Background study notices that were issued between October 1, 1995 and December 31, 1999 do not include the background study ID. In these cases, the entity may complete a form requesting the background study IDs for background studies completed between October 1, 1995 and December 31, 1999. The form is in the Appendix section of the *NETStudy Roster Import Process User Guide* which is available under the Help feature of NETStudy 2.0 or entities may send the needed information in an email. In all cases, send protected or sensitive data secured or encrypted.

DHS will not provide the background study IDs for studies completed on or after January 1, 2000.

40. Can I upload multiple spreadsheets?

Yes, entities may upload multiple spreadsheets.

41. Do I upload people whose background study was submitted in the original system, but who have not received a final determination?

Yes. Entities must include all study subjects from the original system that are currently affiliated with your entity in the upload, including study subject that have not received a final background study determination. In these cases, the NETStudy 2.0 determination status will display as 'In Process in NS1.' When the background study is completed in the original system, you will receive the paper copy of the background study result, and the status in NETStudy 2.0 will update to show the final determination status. You must keep the paper copy of the background study determination for these study subjects.

42. Do I include study subjects for my corporate child foster care (CFC)?

Yes. Include people who provide services in corporate CFC homes in your upload, even when the study subject's original background study was submitted to DHS by the county. The system will import these study subjects to your roster the same way as other background studies.

43. What do the determination statuses in NETStudy 2.0 mean?

Background study records that are imported show different determination status in NETStudy 2.0 than background studies that are initiated in NETStudy 2.0 (and are fingerprint-based, etc.). This table shows the study status and what it means.

Background Study Status	What it Means
Closed-Eligible in NS1	The study subject is eligible in original system
Closed-Disqualified in NS1	The study subject is disqualified in the original system and has not requested reconsideration*
Closed-Disqualified in NS2- Reconsideration Decision Pending	The study subject is disqualified in the original system and has a request for reconsideration in process*
Closed-Disqualified-Set Aside in NS1	The study subject has a set aside in the original system
Closed-Disqualified-Limited Set Aside in NS1	The study subject has a limited set aside in the original system
Closed-Disqualified-Previous Set Aside in NS1	The study subject has a previous set aside in the original system
Closed-Disqualified-Remains Set Aside in NS1	The study subject has a remains set aside in the original system
Closed-Disqualified-Variance Granted	A variance for the study subject was recorded in the original system
Final Status Pending in NS1	The study subject's determination is still in process in the original system*
*Background studies that are started in the original NETStudy system will be completed through that process. Once a final determination status is available, it will display in NETStudy 2.0.	

44. Is the import process required by law?

Yes. Entities are required to keep accurate rosters. For more information, refer to Minnesota Statutes, sections, 245C.03, subd. 17(a) and 245C.20 subd. 3.

45. Can a background study subject be transferred to NETStudy 2.0 at a later time, if the study subject is not imported during the import process?

No. If a background study subject is not successfully imported during the import process, a new background study is required and must be requested in NETStudy 2.0 immediately. Additionally, entities' access to the import process is automatically closed on the deadline date that applies to the entity.

46. How do I stop the email reminder?

The email reminders to complete the import process will be sent to the background study sensitive information person (SIP) and users the SIP sets up to work on the process. The reminders will initially be weekly and will increase to daily as the deadline for the entity to complete the process gets closer. When the SIP completes the "end process" or the deadline is past, the email notices will stop. DHS cannot shut off the notices off for individual entities.

NOTE and IMPORTANT REMINDER: The system will automatically close your entities' access to the import process on the deadline date. People whose background study determinations were not successfully imported at that time will need new background studies.