GUARDIAN USER GUIDE FOR REGIONAL OFFICES: ADULT AND SENIOR CARE, CHILD CARE AND CHILDREN'S RESIDENTIAL VERSION 3.0

Children's Residential, Child Care and Adult and Senior Care
Regional Office User Guide

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Introduction

The Care Provider Management Bureau (CPMB) has implemented a new background data system called *Guardian*. *Guardian* is a new electronic data system, designed to streamline the background check process for applicants, agencies (facilities), and Community Care Licensing staff. *Guardian* will provide a fast and efficient process to complete background checks. The current transfer functionality and ability to view rosters in the Licensing Information System (LIS) will be relocated to *Guardian*, allowing Regional Offices *and* agencies the ability to initiate a clearance and exemption transfer in the online system. Agencies may manage and print their own rosters. If an agency does not utilize Guardian, Licensing Program Analysts may utilize Guardian to provide the agency with their roster or assist them with obtaining their roster from Guardian. Licensing Program Analysts will have the ability to access Guardian in the field to check eligibility status, view and print rosters.

Users of *Guardian* will be able to upload documents electronically, manage the exemption process and receive communications through their respective portals. The following document is a comprehensive user guide of all features and functions Regional Offices may perform in Guardian.

For additional technical support, please contact the Guardian Team at guardianloginsupport@dss.ca.gov

Activating Your Guardian Account

Prior to exploring your state user role, you must first activate your Guardian account. Your user account should be created by your Regional Manager (RM). Upon account activation, new users should receive a New User Notification in the form of an email from guardian-noreply@dss.ca.gov with a link to access their Guardian portal and a temporary password. Your Guardian username is your Department of Social Services (DSS) email address.

Please disregard the temporary password included in the email. Guardian will recognize you as a State user and not require you to enter a password or change your password. Your Guardian username should be your Department of Social Services (DSS) email address.

1. Select the Guardian link, within your email, to access your Guardian state portal. The link will route you to Guardian's home page. Guardian will **not** prompt you to enter a password nor change your password.

2. If an error occurs, please ensure your Regional Manager created your user account with your DSS email address as your username. If your username is anything other than your DSS email address, Guardian will not recognize you and will not grant you access. If this occurs, please contact guardianloginsupport@dss.ca.gov for assistance. Note: If you are a Regional Office user who needs access to multiple programs, your Regional Manager must contact the Guardian Login Support team as additional accounts will need to be created by CPMB.

Person Search and Person Summary

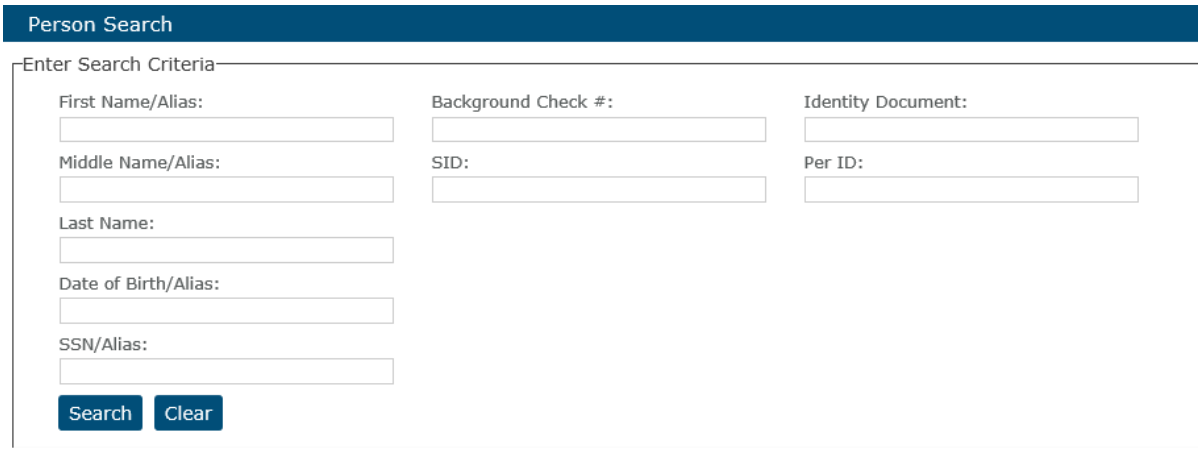
Guardian provides functionality which allows you to search for a person by utilizing a combination of identifying information. (i.e. social security number, identity document, personnel identification number (Per ID), last name or date of birth) or an application number. An application number is a unique number, created for each new association in Guardian. The search function allows you to quickly access the Person Summary page of an applicant. Person searches should only be conducted utilizing Person Search or Application Search. **Do not utilize the Applications > Add New function on the navigation bar.**

This user guide will cover the following sections:

- Searching for a Person Utilizing Identifying Information
- Searching for a Person Utilizing an Application Number
- Understanding the Person Summary Page

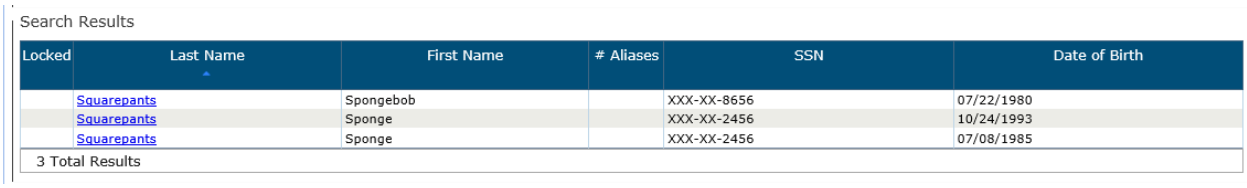
Searching for a Person Utilizing Identifying Information

1. Access **Search > Person Search** on the navigation bar. The Person Search screen appears. Enter search criteria by inserting the person's identifying information, Background Check Number, State Identification Number (SID), Identity Document (driver's license, passport number, etc.) or personnel identification number (Per ID) in the appropriate boxes, then select **Search**. **Note**: Searching utilizing a Per ID is the quickest option to locate an individual in Guardian. Per IDs may be obtained by utilizing the Licensing Information System (LIS).

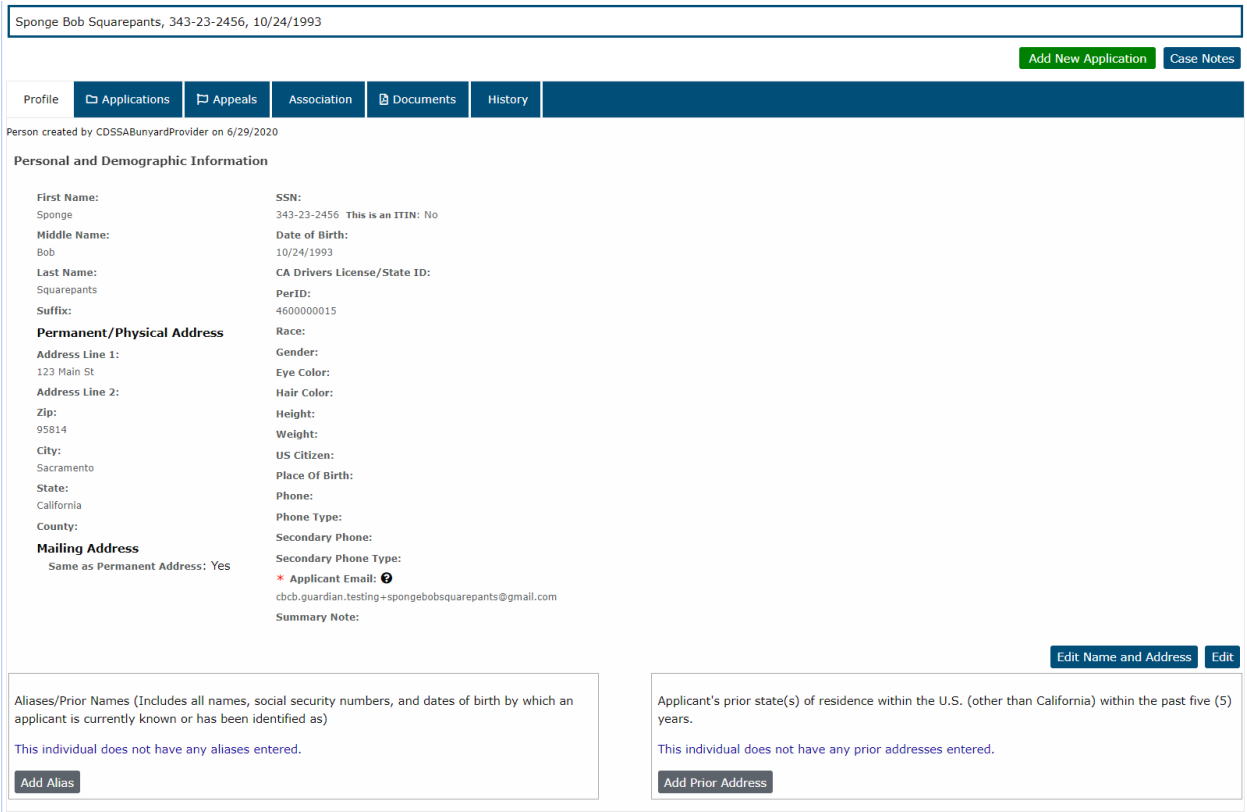


2. If the individual is not located in the database, a message indicating the person was not found is returned. A new application must be submitted by the applicant or agency. **Do not utilize the 'Add New' feature, under the Applications drop-down, on the main navigation bar.**

3. If the search results return with many individuals, further search parameters may need to be entered or ensure the correct individual is selected from the list:



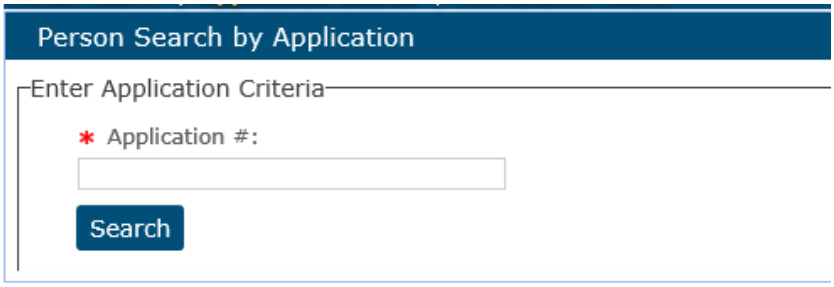
4. If the individual has a record in Guardian, the search will return with their Person Summary page:



Searching for a Person Utilizing an Application Number

An application number is generated upon submission of an application in Guardian. Application numbers are created for each new association to an applicant's profile. The application number may be utilized to conduct a quick search for an individual in the database.

1. Access **Search > Application Search** on the navigation bar. The Person Search by Application screen appears. Enter the Application Number and select **Search**.



2. The **Person Summary** page appears. If an incorrect application number was entered, an error message will appear.

Understanding the Person Summary Page

When conducting a search utilizing identifying information or an application number which results in a match, the applicant's Person Summary page will populate.

The Person Summary includes:

- Profile Tab – The person's personal and demographic information. Based on the role assigned to your Guardian user account (i.e. Admin vs. Basic), you may edit and update information for applicants as needed.
- Applications Tab – A list of all applications for the person and a list of associated background checks conducted. Helpful reminder: Applications are tied to each association. Background Check Numbers (#) are tied to a set of fingerprints. To view the applications connected to the background check number, select the blue arrow. There may be multiple applications tied to one Background Check Number (#).
- Appeals Tab – Provides a list of Appeals in process with the Care Provider Management Bureau.
- Association Tab – A history of the person's employment within your Program. (Children's Residential, Child Care, Adult and Senior Care) The Association Tab

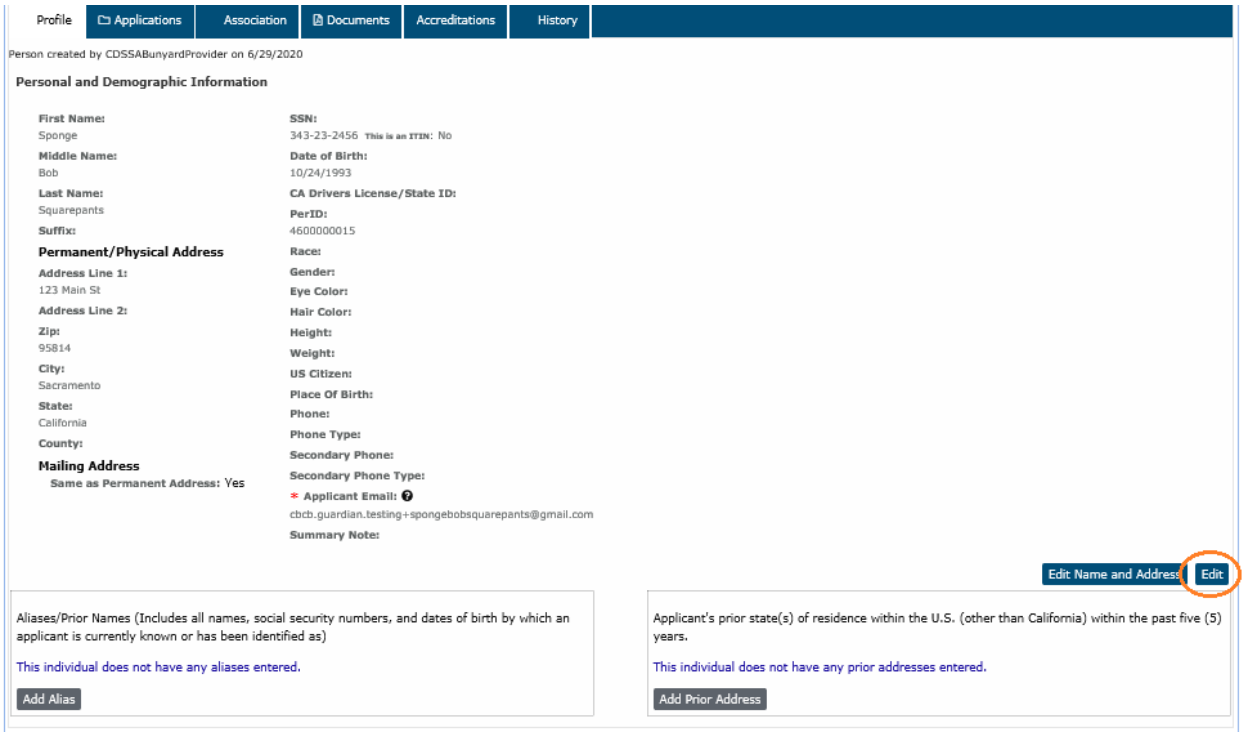
is a comprehensive list which indicates if an individual is currently associated (Permanent) to an agency or disassociated (Separated).

- Documents Tab – A list of uploaded documents, generated forms (i.e. CDSS Live Scan form) and letters.
- Accreditations Tab – For Home Care and TrustLine use only. Note: Do not select any documents or make changes to <u>any</u> information under this tab.
- History Tab – A detailed history of system activity for the person.

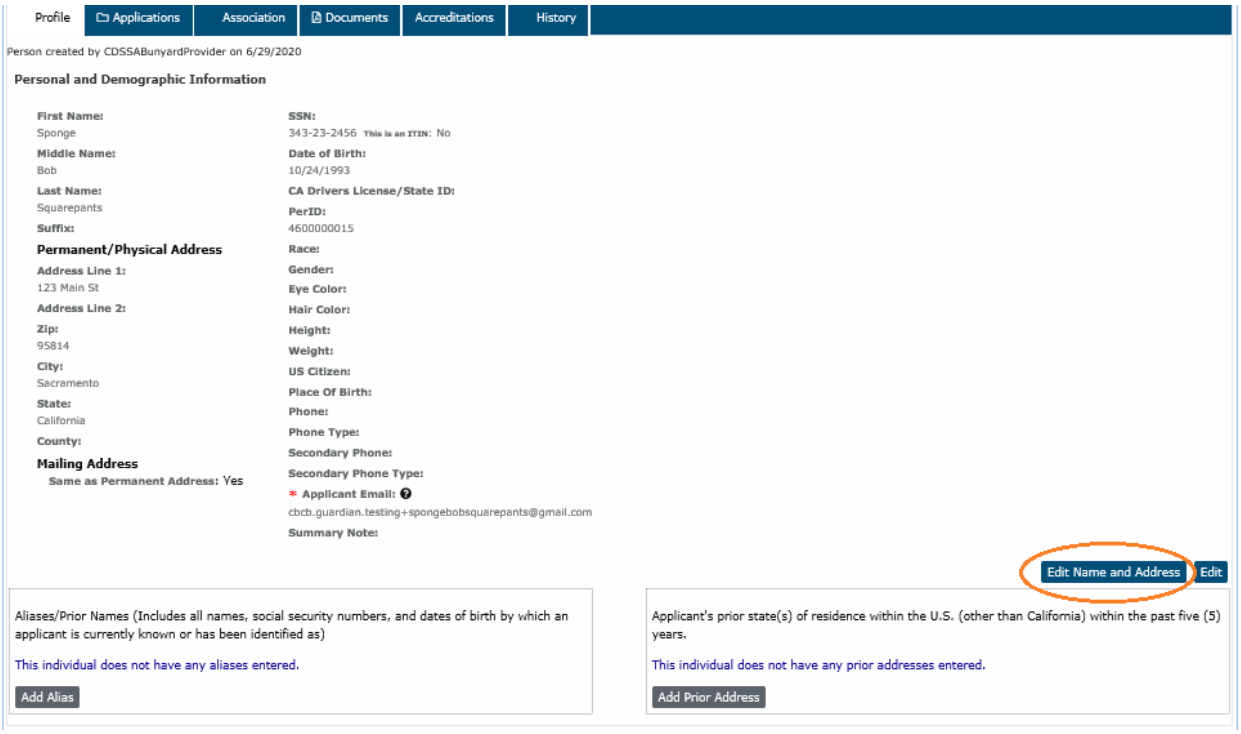
Profile Tab

From the Profile tab, you may:

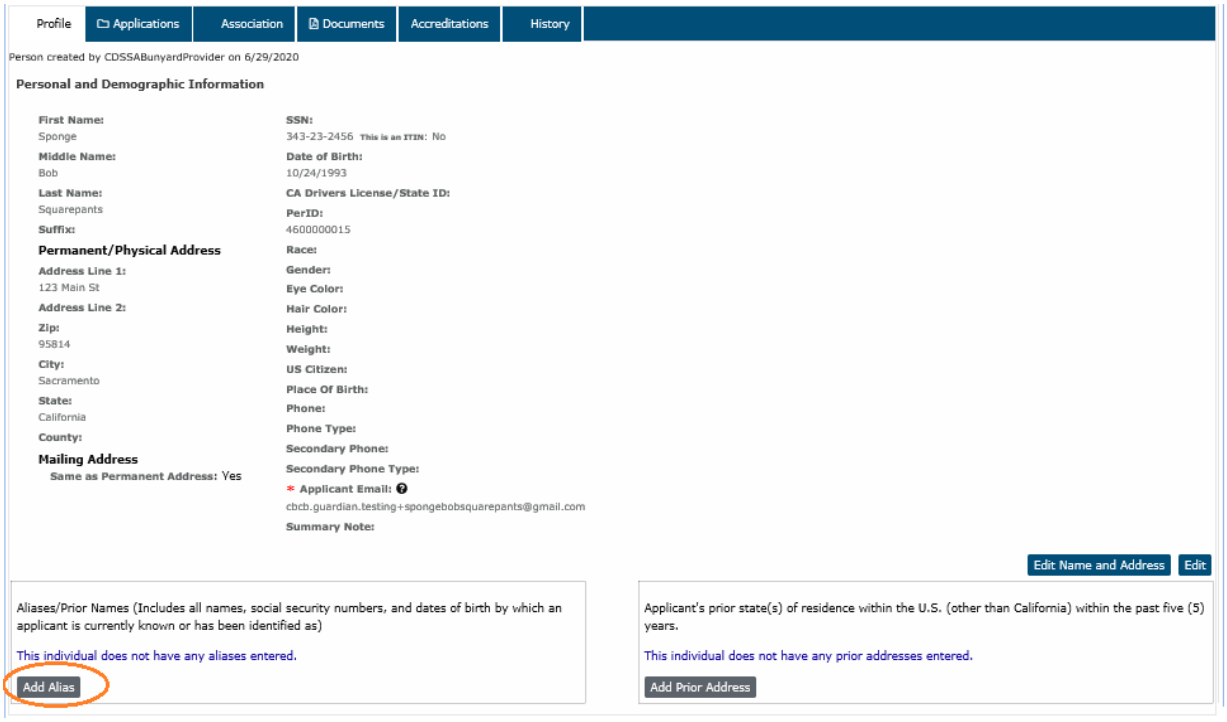
- View and edit (based on your user role) personal and demographic information by selecting **edit**.



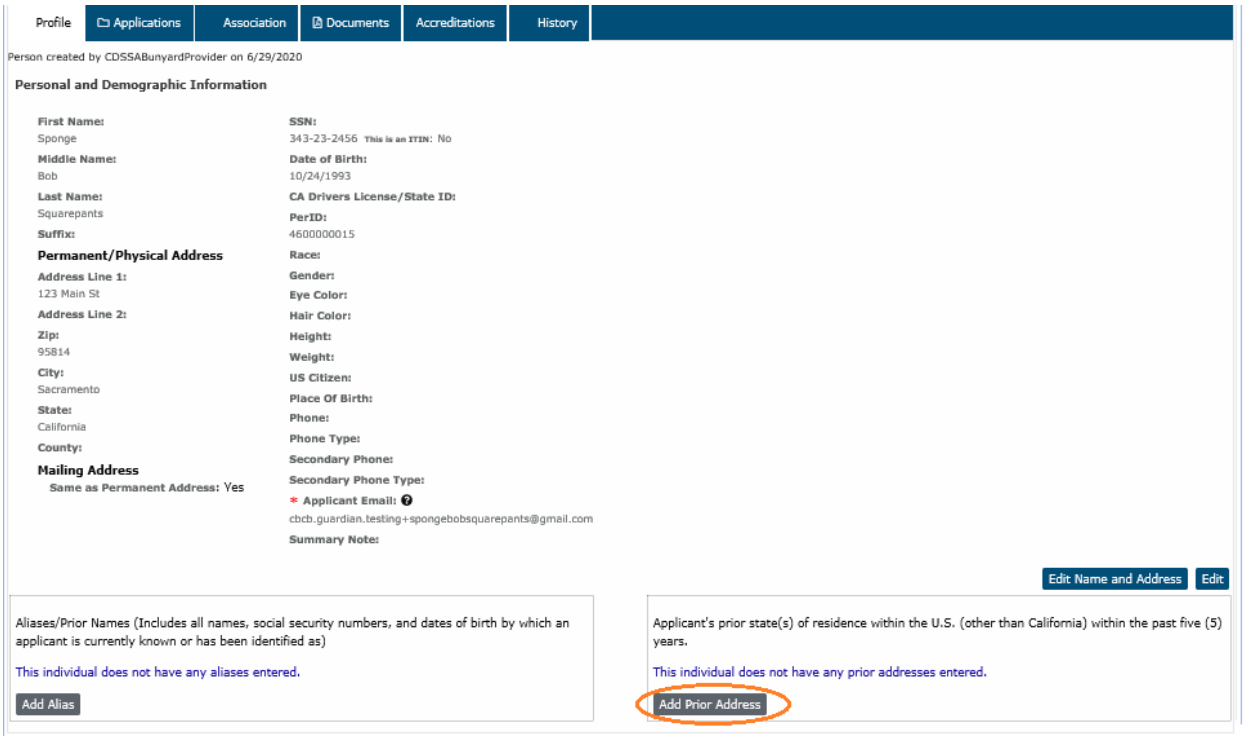
- View and edit (based on your user role) the applicant's name and address by selecting **Edit Name and Address.**



- View and add an additional Alias by selecting **Add Alias.**



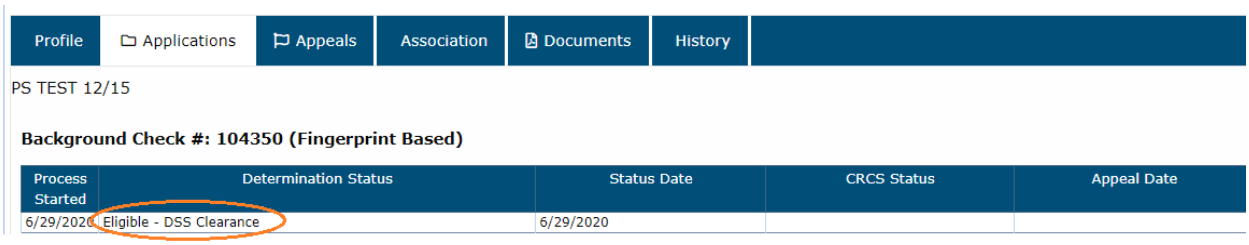
- View and add prior addresses by selecting **Add Prior Address.** Note: This section applies to an applicant's prior out of state(s) residencies within the United States (other than California) within the past five (5) years.



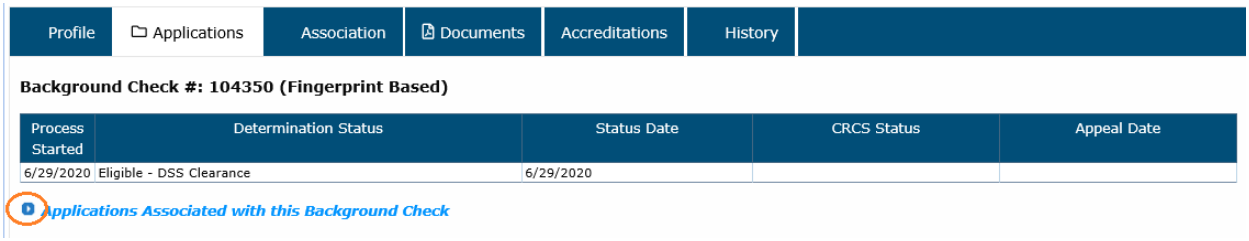
Applications Tab

From the applications tab, you may view applications and background checks associated with the person. Guardian creates an entry for each submitted application. When an application is successfully submitted, the system connects the application to a background check record (set of fingerprints). The status of the application and the background check can be seen on the **Applications tab** on the **Person Summary** page.

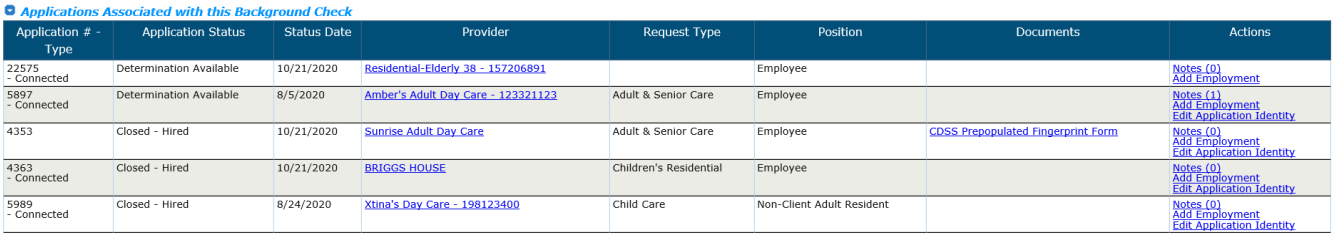
- Background Determination Status (background check status). Each background check will display a determination status which informs where the individual is in the background check process.
    - Background Determinations:
        - In Process: The background check application was submitted but is still waiting on fingerprints, self-disclosure, Registry Research to be submitted (if CACI, AARS, or OSCA match exists) or is pending a background check process.
        - Eligible: Applicant is eligible to work. An Eligible determination status may have a determination reason attached. (Examples: Eligible - DSS Clearance, Eligible - Exemption, etc.)
        - Not Eligible: Applicant is not eligible to work. A Not Eligible determination status will have a determination reason attached. (Examples: Not Eligible - Exemption Denial, Not Eligible - Conduct Inimical, etc.)
        - Closed: Background Check has been closed by CPMB Staff. (Examples: Closed - Determination Closed, Closed - Incomplete Application, Closed – Fingerprints Not Taken)



- To locate the applications associated to a background check, select the **blue arrow**. All associated applications will populate.



All applications associated to the background check will populate. The applications table will allow you to view the following:



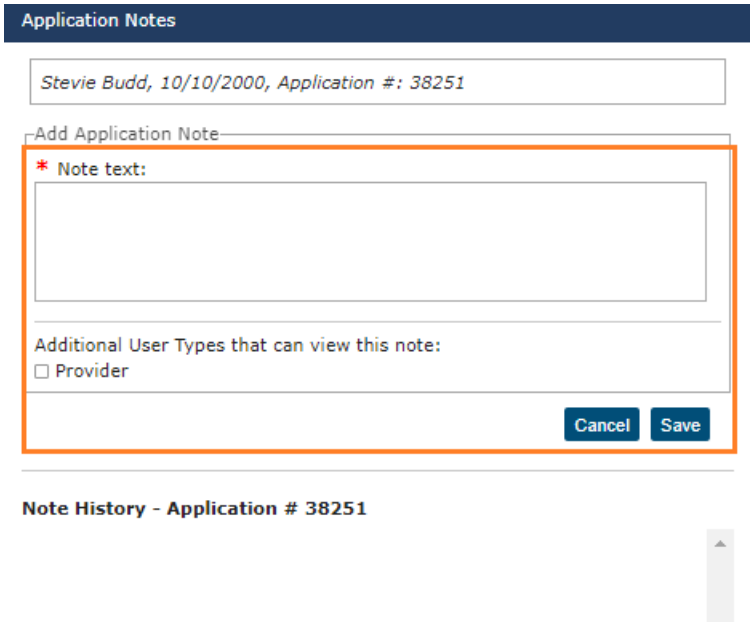
Applications Associated with this Background Check

Application # - Type	Application Status	Status Date	Provider	Request Type	Position	Documents	Actions
22575 - Connected	Determination Available	10/21/2020	Residential-Elderly 38 - 157206891		Employee		Notes (0) Add Employment
5897 - Connected	Determination Available	8/5/2020	Amber's Adult Day Care - 123321123	Adult & Senior Care	Employee		Notes (1) Add Employment Edit Application Identity
4353	Closed - Hired	10/21/2020	Sunrise Adult Day Care	Adult & Senior Care	Employee	CDSS Prepopulated Fingerprint Form	Notes (0) Add Employment Edit Application Identity
4363 - Connected	Closed - Hired	10/21/2020	BRIGGS HOUSE	Children's Residential	Employee		Notes (0) Add Employment Edit Application Identity
5989 - Connected	Closed - Hired	8/24/2020	Xtina's Day Care - 198123400	Child Care	Non-Client Adult Resident		Notes (0) Add Employment Edit Application Identity

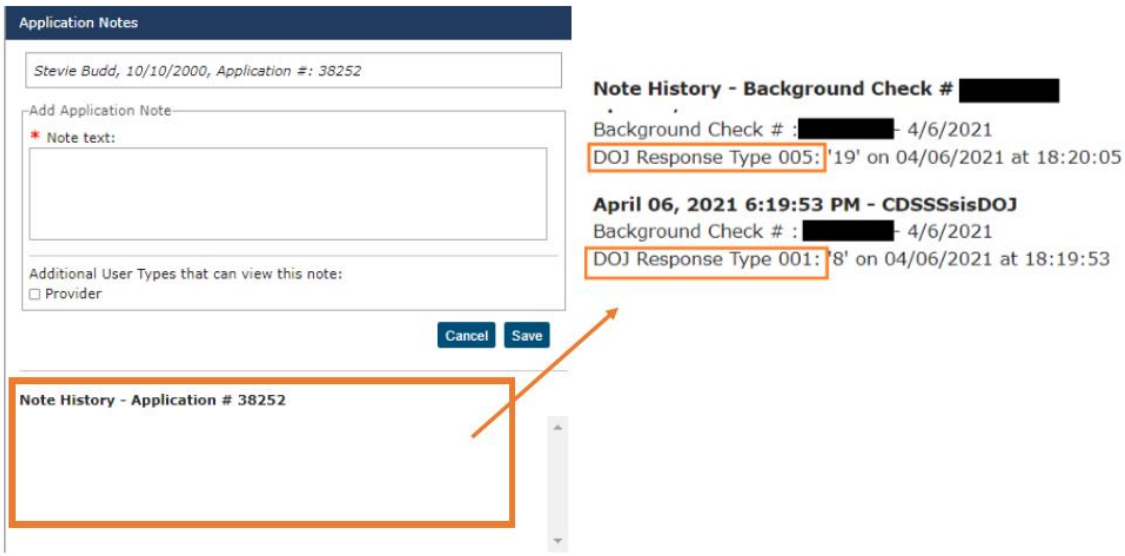
Application # - Type column indicates the application number for the association and may include the term Connected, meaning the applicant was associated to the agency via a connection (Transfer).

- The **Application Status** column indicates and may include the following:
  - Not Yet Submitted: The application is incomplete and needs further action by the agency or applicant prior to being submitted.
  - Submitted: An application has successfully been submitted for the agency.
  - Determination Available: Further action is needed by the agency to either hire or not hire (remove from roster) the applicant.
  - Closed – Hired: The pending application was closed by the agency and the applicant was hired.
  - Closed – Withdrawn: The application was withdrawn by the agency or applicant.
  - Closed: Applicant was disassociated from agency prior to Guardian.
- The **Status Date** column correlates with the application status column and is the date the action was performed.
- The **Provider** column will display each agency's name associated to the application. Each name is a selectable link; however, agency information is only viewable for agencies within your Program.
- The **Request Type** column will display the Program Type for each agency.

- The **Position** column will display the application position entered for each application.
- The **Documents** column will display the Guardian generated CDSS Live Scan form and general letters. Note: This does not include letters involving the background check process.
- The **Actions** column provides the Notes and Edit Application Identity features.
    - Notes:
        - The Note Text box provides the ability to view and add application **notes** input by Regional Office and Provider users. When adding a note to an application, the provider box *must* be selected to be viewable by providers. If the box is not selected, the note will only be viewable by other State users (Regional Office and CPMB):



- The Note History section provides Department of Justice (DOJ) response codes to assist in determining possible status of fingerprints and notes input by State users. See below for examples of possible and most common responses:



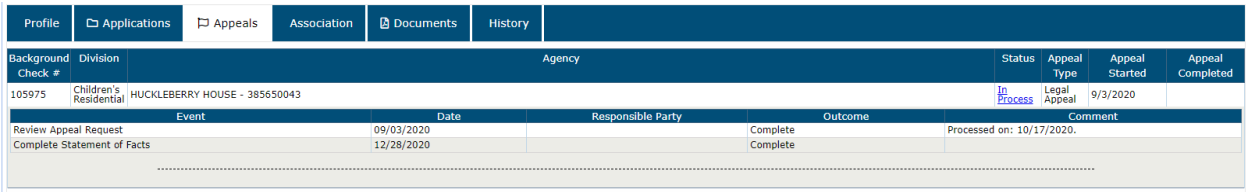
Common DOJ Response Code Key

Code	Description
001	No Record DOJ (clear)
002	RAP Sheet DOJ
005	DOJ Delay
032	RAP Sheet FBI
035	No Hit FBI (clear)
037	FBI Delay

- Edit Application Identity
  - The **Edit Application Identity** feature will allow for edits to be made regarding identification documents. (i.e. Driver's License number, Passport, Identification card, etc.)

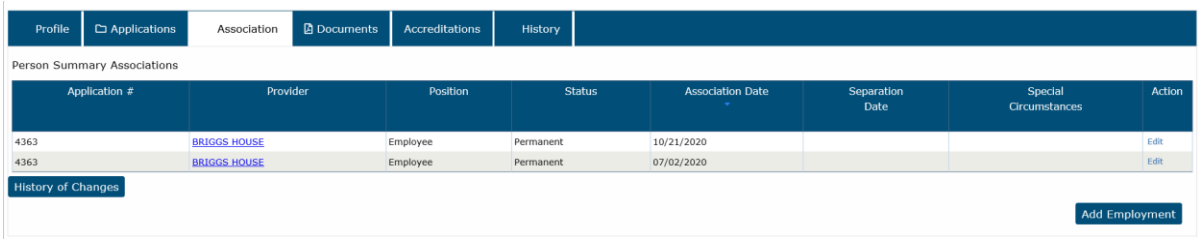
Appeals Tab

The appeals tab will provide information on any Exemption Appeals and provide date stamps of each step. Note: You will only be able to view in process appeals within your Program.



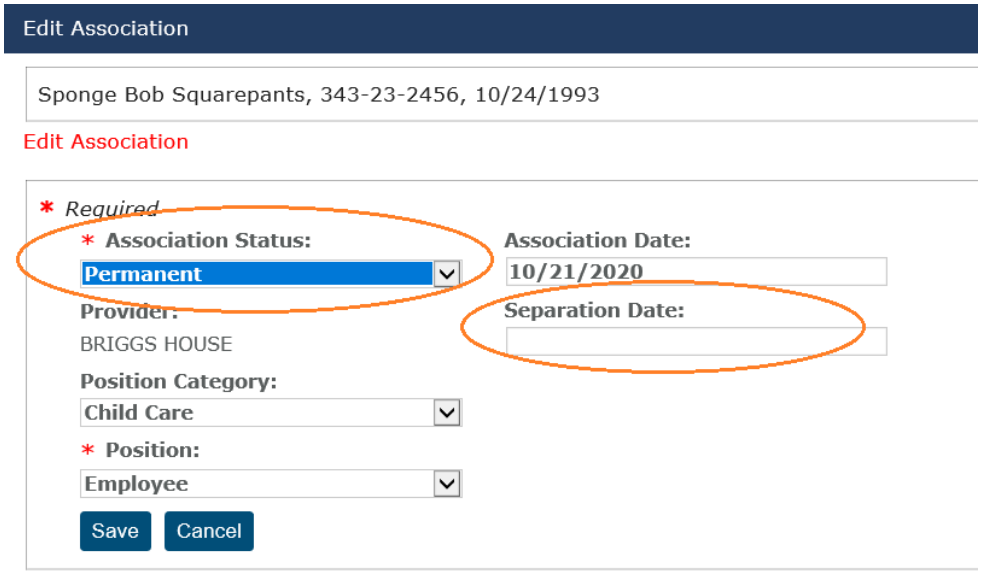
Association Tab

The association tab will provide a history of an applicant's employment information for all agencies within your Program. The Person Summary Associations will display the following:

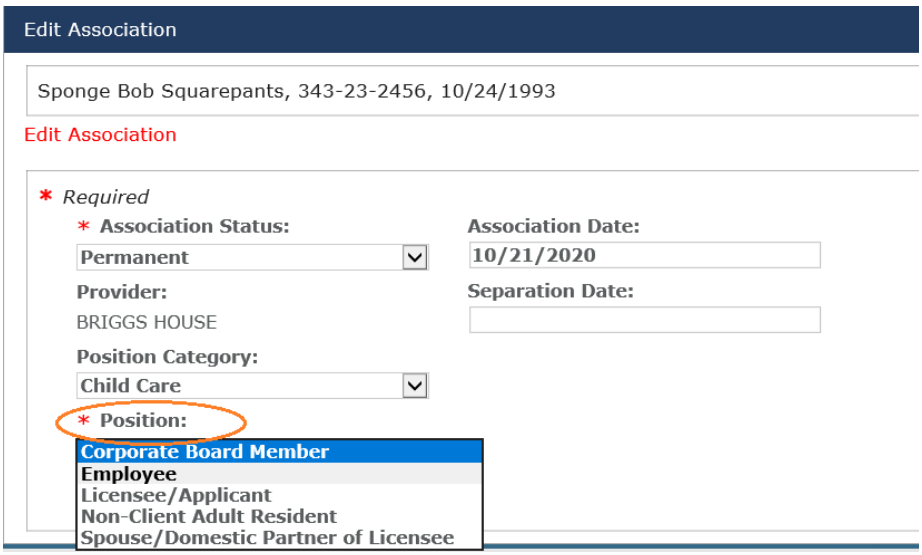


- The **Application #** column will display the associated application number for each agency. A new application number is created with each new association.
- The **Provider** column will display the specific Provider (agency) name. The agency's name is a hyperlink. If selected, the link will direct the user to the agency's profile summary. Note: To edit an agency's profile, please utilize the Licensing Information System (LIS) database.
- The **Position** column will display the applicant's position with the agency.
- The **Status** column will display the applicant's current association to the agency:
  - Permanent: Applicant is associated to the agency.
  - Separated: Applicated has been disassociated from the agency.
- The **Association Date** column is the date the applicant was associated to the agency (date application was submitted).
- The **Separation Date** column will display the date of separation (disassociation) if applicable. Note: To view who may have initiated a separation, refer to the history tab.

- The **Action** column will allow the ability to separate an applicant from an agency or change an applicant's position type:
  - When separating an applicant, the association status must be changed from **Permanent to Separated** and a **Separation Date** must be entered.
  - Select **Save** once complete.



  - When changing an applicant's position type, select the applicable position from the drop-down. Select **Save** once complete.



Documents Tab

The Documents Tab will display Guardian Generated Forms, Letters and Reports.

Accreditations Tab

The Accreditation Tab will display any registries the applicant is associated to. This tab is for Home Care and TrustLine use only. Note: Do not select any documents or make changes to any information under this tab.

History Tab

The History Tab will display a detailed history of system activity for the person.

Transfers

All paper LIC 9188 – Criminal Record Exemption Transfer Requests sent to the Regional office and all Exemption and Conditional Exemption Transfers must be sent to the Care Provider Management Bureau (CPMB) for processing.

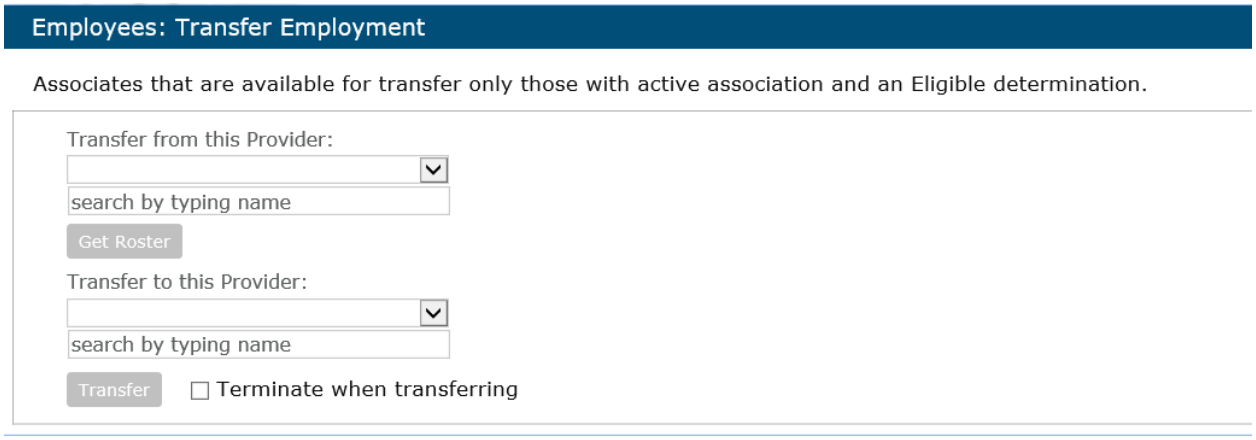
Regional Office users may conduct real-time connections (transfers) in the field or conduct employee transfers (mass roster transfers) in Guardian. This section will cover the following:

- Employee Transfers (mass Roster Transfers)
- Connections

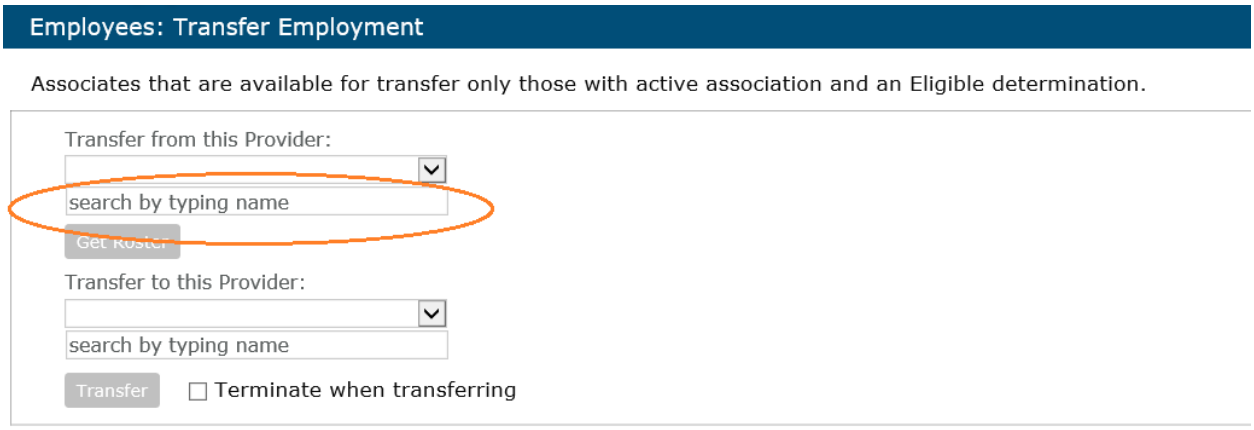
Employee Transfers (Roster Transfers)

The Employee Transfer function is only available to State users. This function is to be used to mass transfer individuals from one roster to another and should only be used when an agency is changing locations, ownership or for any reason leading to the change of the nine-digit agency number. Note: This function must be performed prior to closing the facility in LIS.

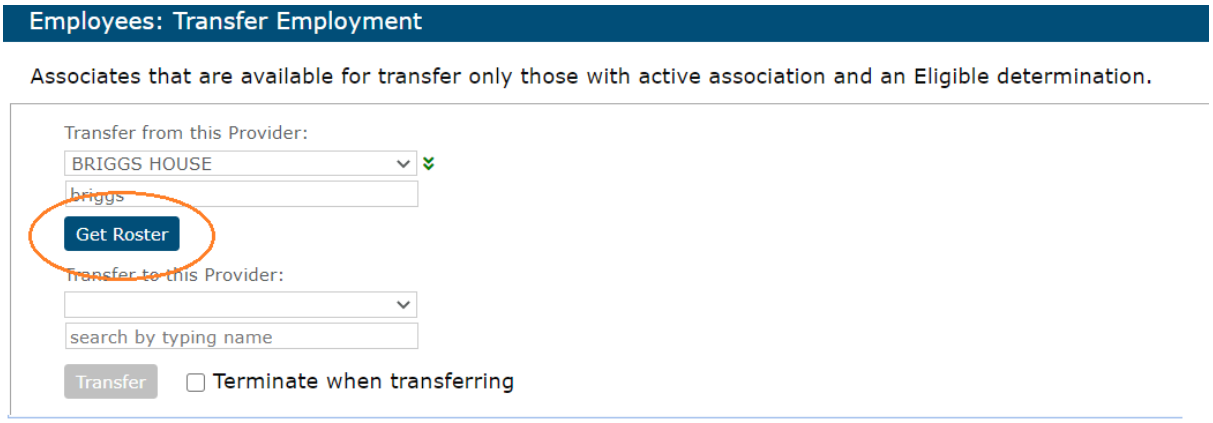
1. To access the Employee Transfer function, Access **Rosters > Employee Transfer** on the Navigation bar. The Employees: Transfer Employment screen will appear. **Note**: Only those with active associations and an Eligible Determination will be available for transfer.



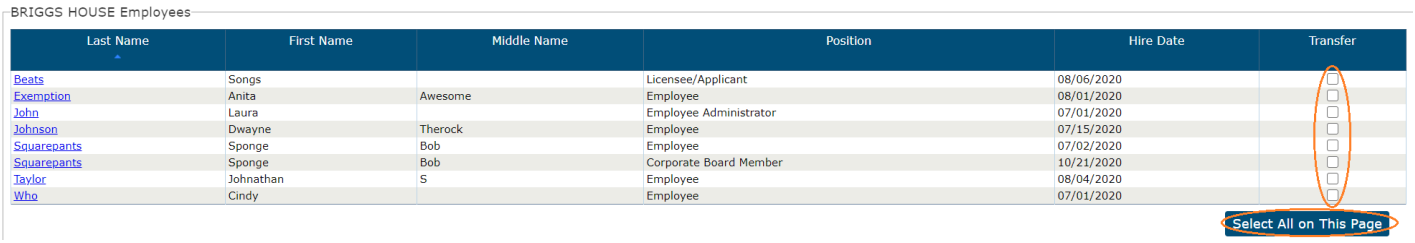
2. Search for the Provider in which the roster will be extracted from, by typing into the “search by typing name” box. **Note**: You can only search agencies within your Program.



3. Select the appropriate Provider from the drop down and **select, Get Roster.** The agency’s roster will populate towards the bottom of the page.

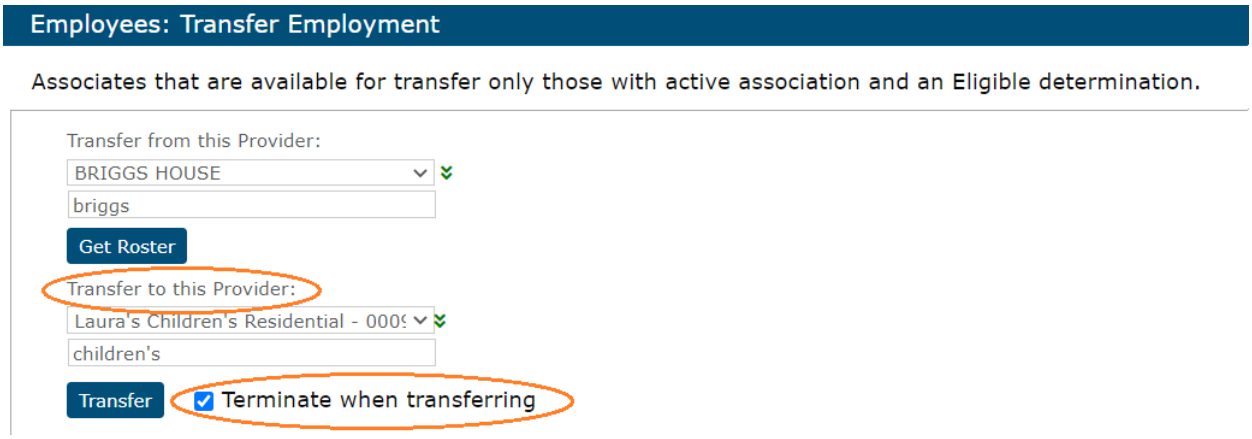


4. Select all applicable employees, by selecting the **check box**, under the Transfer column or select the **Select All on This Page** button.

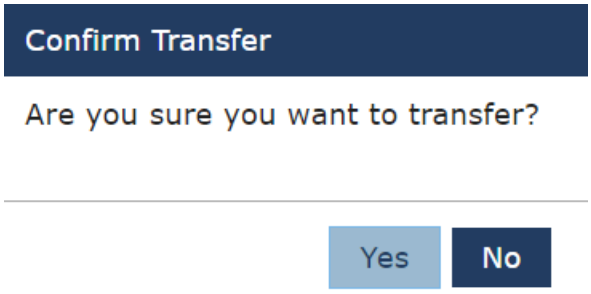


Last Name	First Name	Middle Name	Position	Hire Date	Transfer
Beats	Songs		Licensee/Applicant	08/06/2020	
Exemption	Anita	Awesome	Employee	08/01/2020	
John	Laura		Employee Administrator	07/01/2020	
Johnson	Dwayne	Therock	Employee	07/15/2020	
Squarepants	Sponge	Bob	Employee	07/02/2020	
Squarepants	Sponge	Bob	Corporate Board Member	10/21/2020	
Taylor	Johnathan	S	Employee	08/04/2020	
Who	Cindy		Employee	07/01/2020	

5. Once selected, **enter and select** the appropriate Provider the roster must be transferred to, select the **Terminate when Transferring** box and select **Transfer.** Note: Terminate when transferring will remove the individuals from the previous roster automatically.



6. Guardian will provide a confirmation message prior to completing the action.



Connections (Transfers/Associations)

To perform a real-time connection, a search must be conducted to locate the individual in the database, it may be conducted by utilizing an applicant's identifying information or application number. Searching for an individual will search Guardian's entire database and will populate an individual regardless of previous program association. Connections for applicants with either an Exemption or a Conditional Exemption must be sent to the CPMB as they need to be reviewed and performed by an CPMB Exemption Analyst.

If the database locates the individual, you will be routed to the individual's Person Summary page. For more information on conducting a person search, please refer to the Person Search and Person Summary section, (p. 6). Person searches should only be conducted utilizing Person Search or Application Search. **Do not utilize the Applications > Add New function on the navigation bar**

Reminder: *Applicants who have previously worked in an Adult and Senior Care agency may only have the DOJ and FBI background checks conducted. Applicants who are transferring to a Child Care or Children's Residential agency must obtain DOJ, FBI and CACI checks. If the applicant has not previously had the required background checks completed, Guardian will generate a Live Scan form upon application (transfer) submission using Route B. It is the Regional Office user's responsibility to inform the agency their applicant needs to submit new fingerprints if this occurs.*

Connections can be accomplished utilizing two different routes; the Add Employment route (A) and the Add New Application route (B) which must be utilized for FFA/RFA's. This section will cover both:

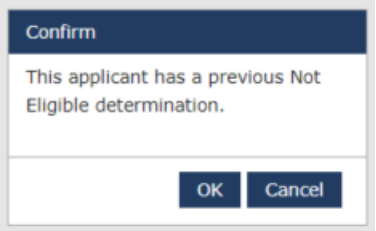
- Route A: Utilizing the Add Employment Feature
- Route B: Utilizing the Add New Application Feature (required route for **FFA/RFA)**

Troubleshooting Note: If the connection you are working on is not successful using Route A. Try Route B the Add Application feature. If the applicant's fingerprints are inactive, for example; a new Live Scan form will be created. See reminder noted above.

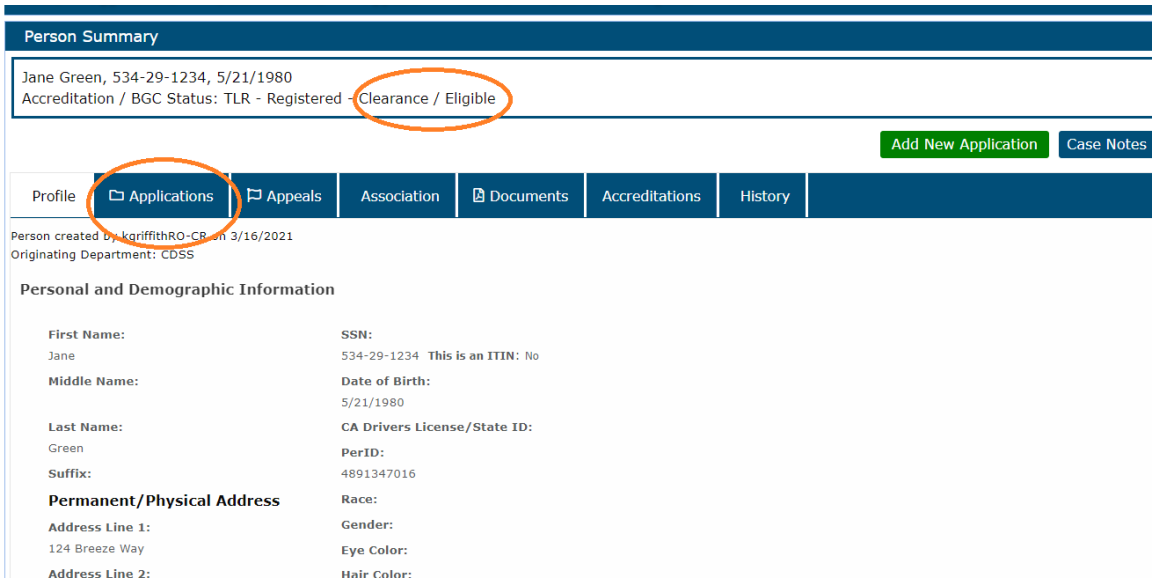
Route A: The Add Employment Feature

1. This route cannot be used for an FFA/RFA transfer, Route B must be used by FFA/RFA. Once an applicant has been located, the Person Summary page will populate.

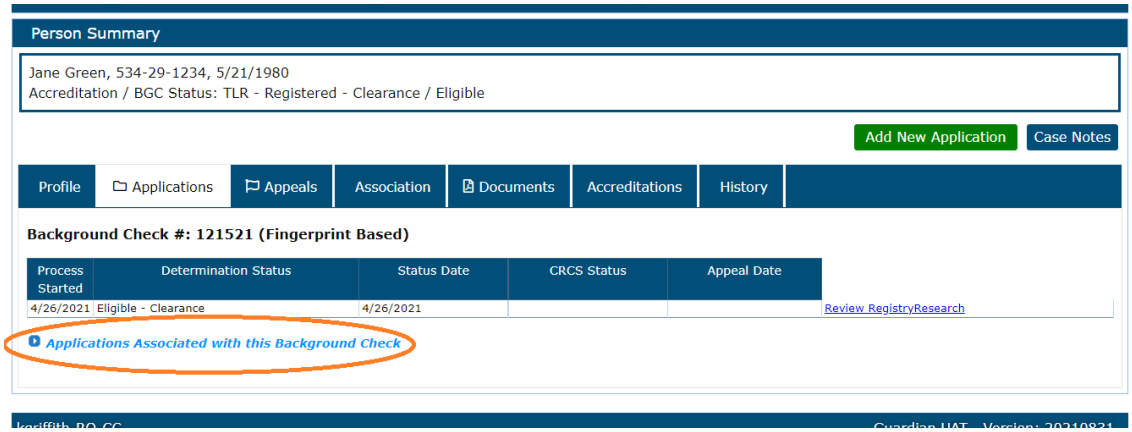
   Note: If the individual has a Not Eligible determination status, Guardian will provide a notification indicating so (see below). Based on the timeframe since the individual's last denial, the applicant may be eligible to submit new fingerprints to go through the exemption process. Please follow your office protocols on how to process a transfer for an individual with a denied exemption. Either submit a new application or have the agency/applicant contact the Care Provider Management Bureau at (888) 422-5669 or guardian@dsss.ca.gov for more information.



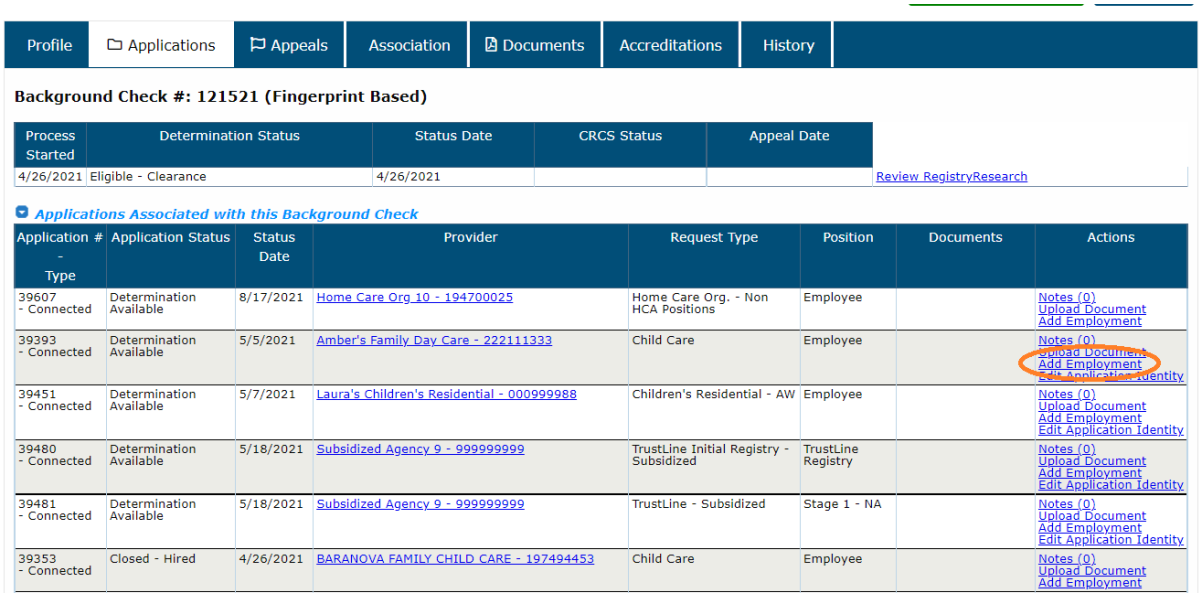
2. Confirm that there is an email address entered in the Person Summary page under the Profile tab. Note: If you do not have the applicant's email address please use unknown@unknown.com. Select the Applications Tab.



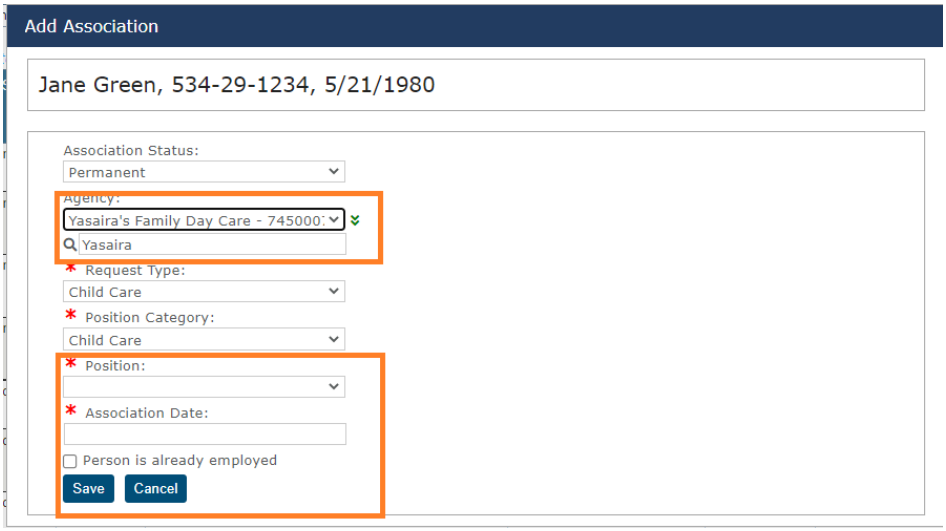
3. Once on the Applications Tab. Open Applications Associated with this Background Check by clicking on the small blue arrow.



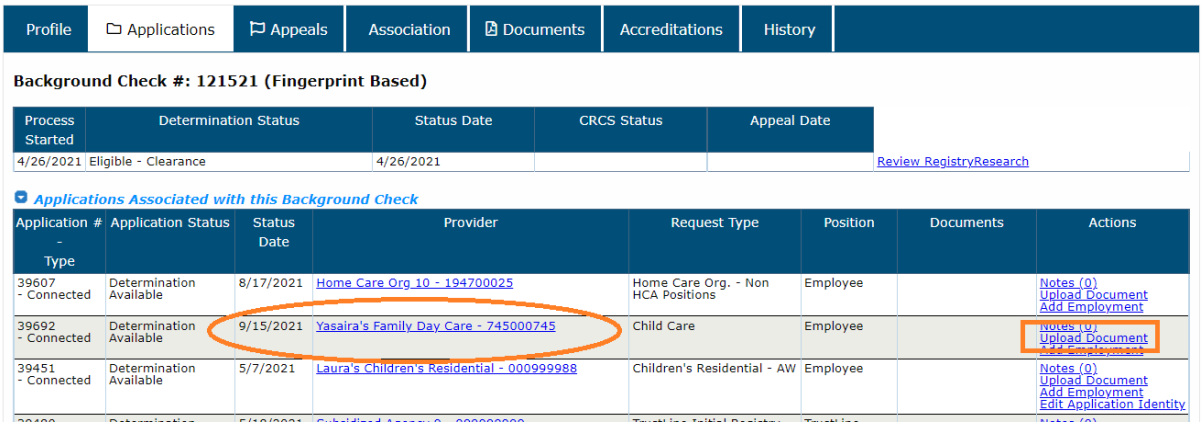
4. From there choose an Add Employment link from the Actions Column. (If there are several to choose from, you can choose a facility that is most like the one you are connecting to; but it is not necessary).



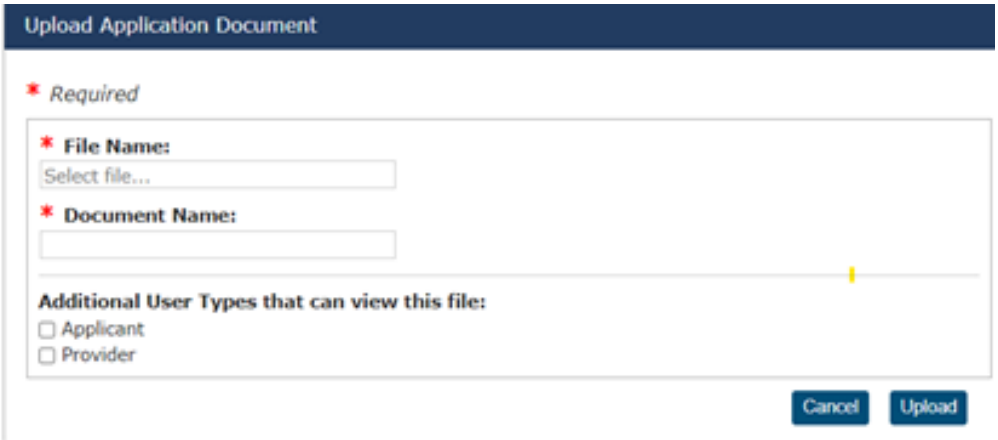
5. An Add Association Dialog box will pop up. Many of the fields are self-populating. Select the appropriate Agency you are connecting to and the Position and Association Date. And Select Save.



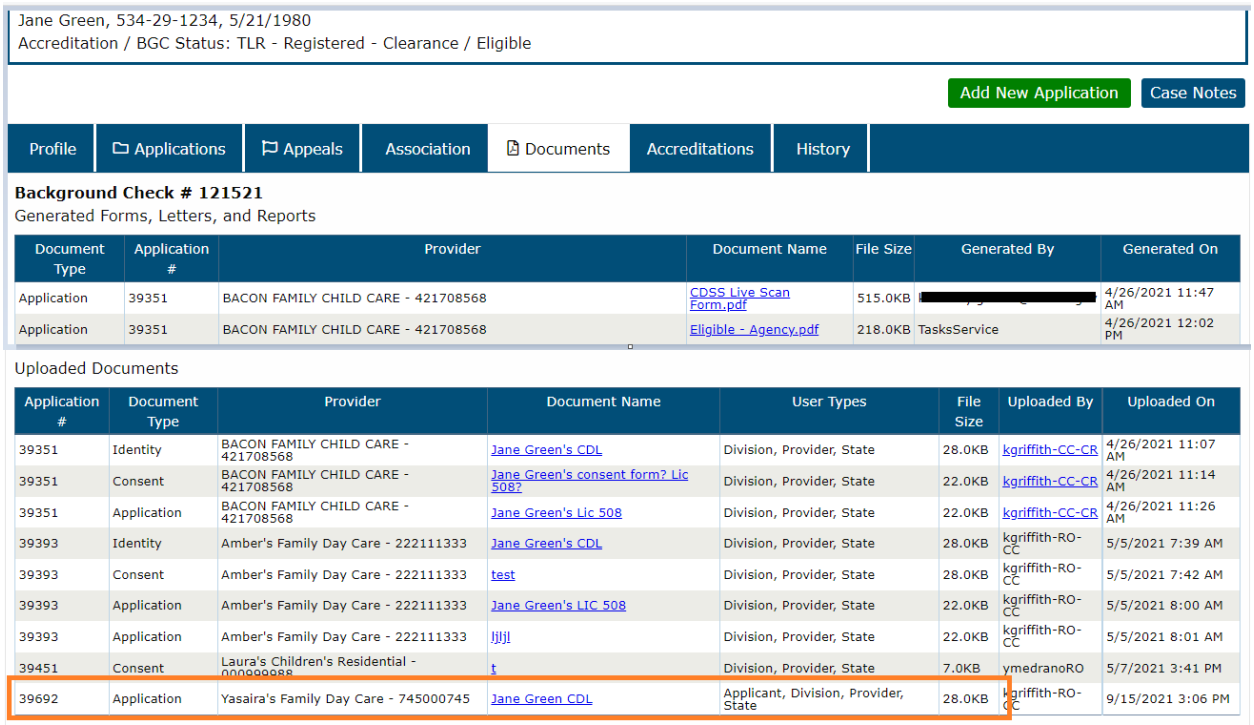
6. After selecting Save you will be back in the applicant's Person Summary page. From there go back to the applications tab and once again press the blue arrow to open Applications Associated with this Background Check. You should see the connection listed. To complete this process, you must select Upload Documents from the Actions Column of the connection you are working on.



7. The Upload Application Document Dialog box will appear. Use this Dialog box to upload the required Transfer/Connection documents; (the LIC 9182, a copy of a government issued photo ID, and the LIC 508). Select the Documents from your device and enter a Document Name (i.e. Jane Doe LIC 9182). Select **Upload**. Note: Selecting the Applicant or Provider Checkboxes will allow agencies or an applicant to view the uploaded item. It is not necessary to select either. Your connection is now complete and compliant.

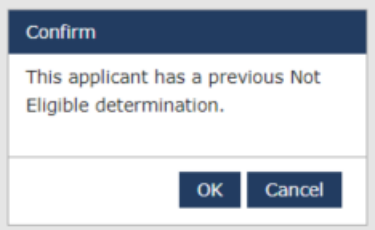


8. The uploaded documents will be viewable by state users (i.e. Regional Office Users and CPMB Staff). The uploaded items will appear in the Documents Tab on the individuals Person Summary.

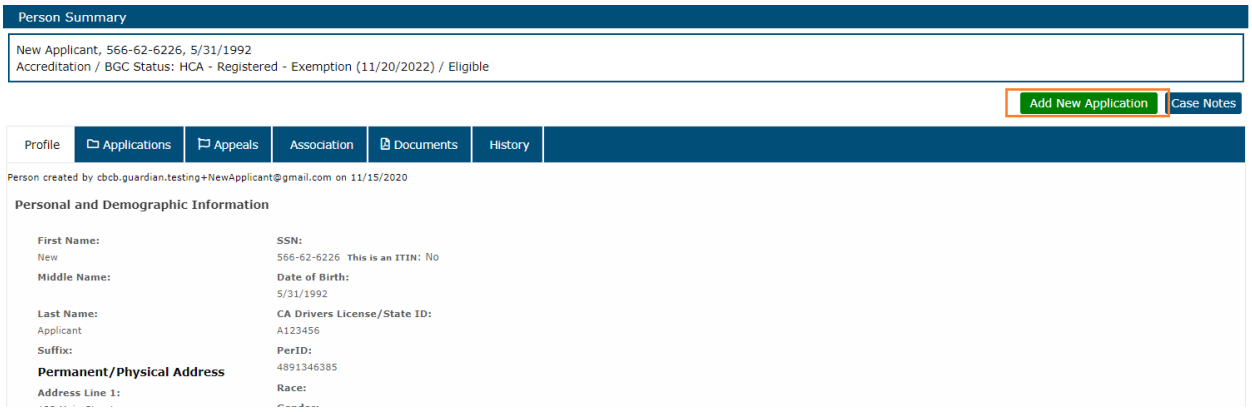


Route B: The Add New Application Feature

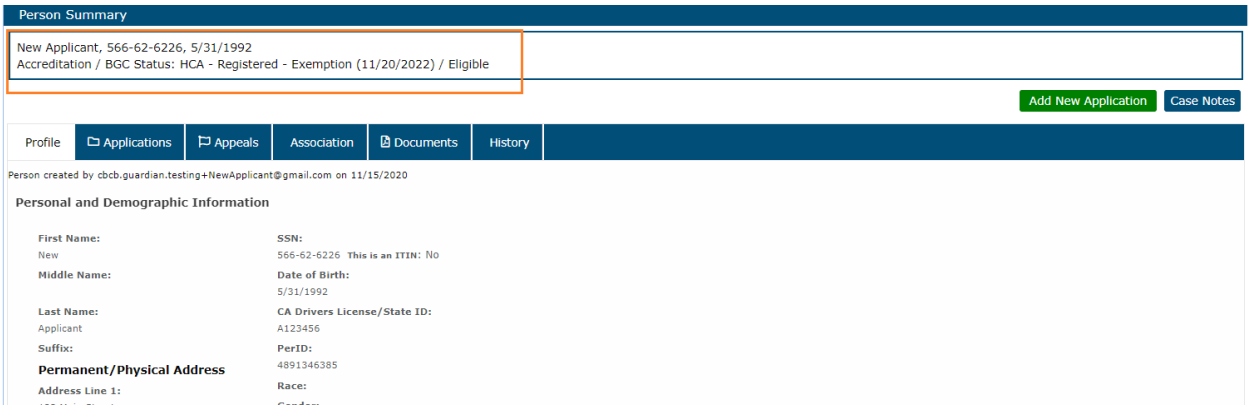
1. This route must be used for FFA/RFA. Once an applicant has been located, the Person Summary page will populate. Note: If the individual has a Not Eligible determination status, Guardian will provide a notification indicating so (see below). Based on the timeframe since the individual's last denial, the applicant may be eligible to submit new fingerprints to go through the exemption process. Please follow your office protocols on how to process a transfer for an individual with a denied exemption. Either submit a new application or have the agency/applicant contact the Care Provider Management Bureau at (888) 422-5669 or guardian@dsss.ca.gov for more information.



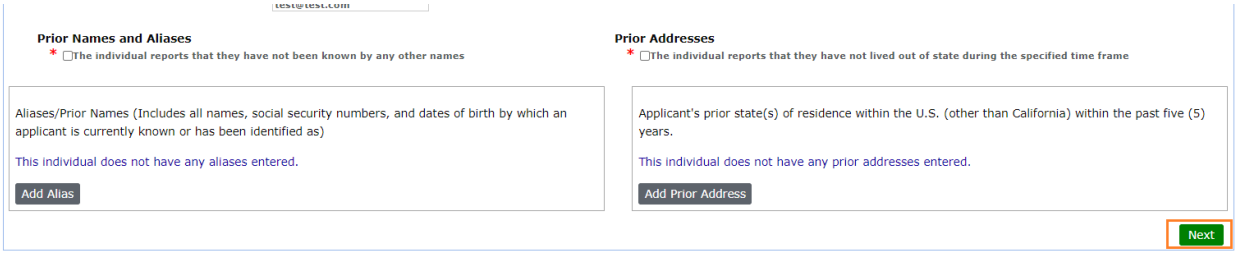
2. Confirm that there is an email address entered in the Person Summary page under the Profile tab. Note: If you do not have the applicant's email address please use unknown@unknown.com. Select the green **Add New Application** button to create a new agency association.



3. If applicable, the applicant's previous Eligible and Accreditation (Registry Associations) Background Check (BGC) Status' will display at the top of the page.

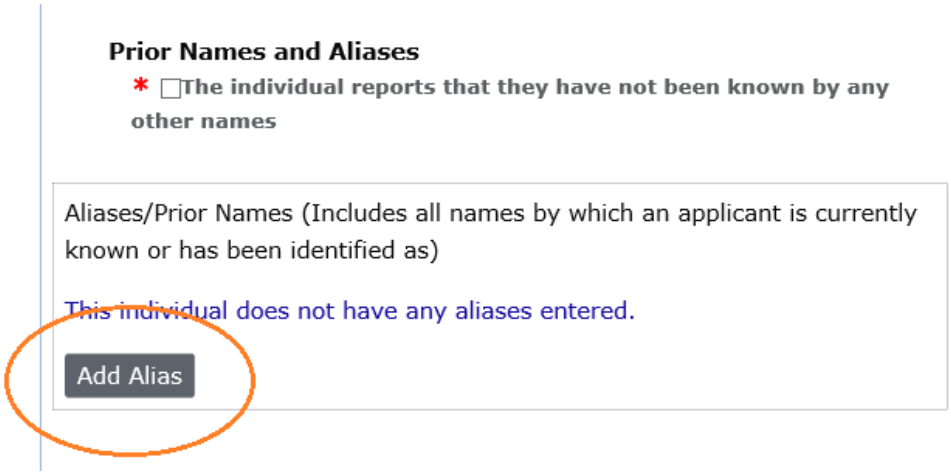


4. Upon selecting Add New Application, the applicant's Personal and Demographic page will populate to review and update as needed. Add any additional aliases or prior addresses and select **Next**.

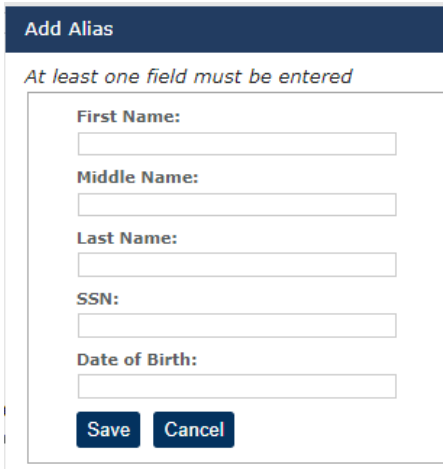


5. To add an **Alias/Prior Name**, select **Add Alias** in the **Prior Names and Aliases** section of the profile.

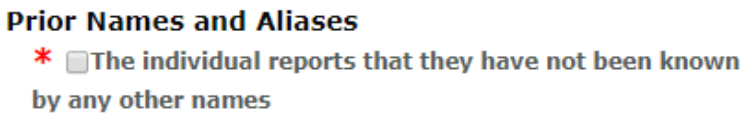
   Note: Aliases/Prior Names are any additional names an individual may use or has used in the past. This might include an applicant's maiden name, a nickname, or a formal name (for instance, Theodore Booker as an alias for Ted Booker.) **Alias/Prior Names** can also include other SSNs or Dates of Birth that an applicant may be using currently or may have used in the past.



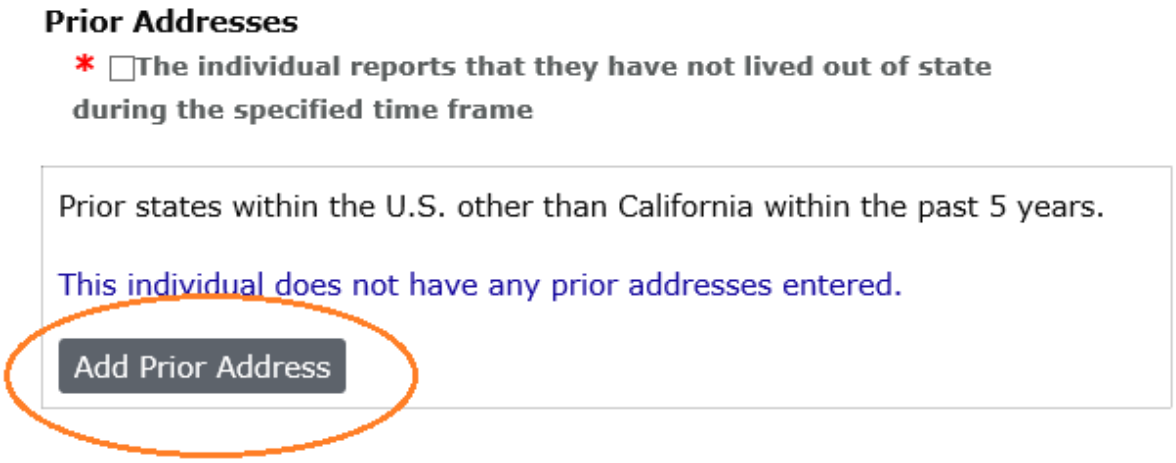
6. The **Add Alias** dialog box appears. Enter the alias information for the applicant; then select **Save.** The dialog box will close and the **Applicant: Profile** screen will update with the information entered.



7. If the individual does not have any Aliases/Prior Names, you may select the box with the asterisk (*) indicating the individual has not been known by any other names.

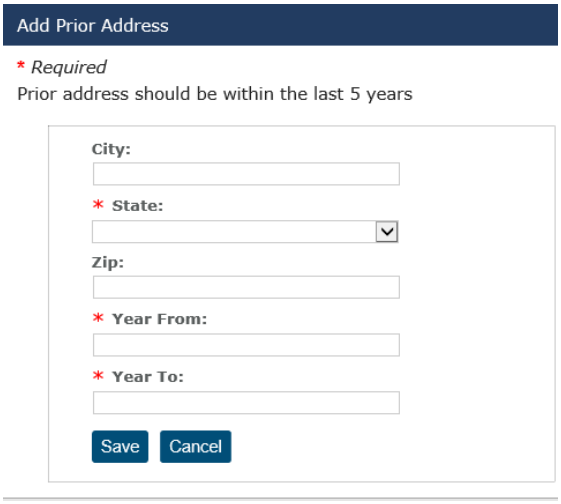


8. If the applicant has lived in a **different state** within the last five (5) years, you will need to enter Prior Addresses to the applicant's profile. To add a Prior Address, select **Add Prior Address** in the **Prior Addresses** section of the profile.



9. The **Add Prior Address** dialog box appears. Enter the address information for the applicant; then select **Save**. The dialog box will close and the **Applicant: Profile** screen will update with the information entered.

   Note: You can add multiple previous addresses for an applicant.



10. If the individual has not lived in a different state within the last five (5) years, you may select the box with the asterisk (*) indicating the individual has not lived out of state during the specified time frame.

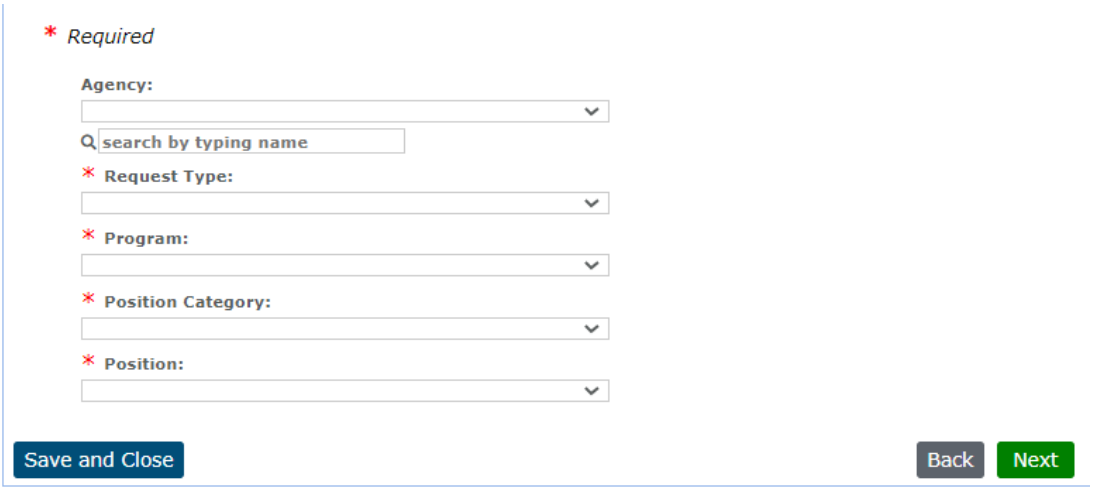
Prior Addresses

* ☑ The individual reports that they have not lived out of state during the specified time frame

11. Once the applicant's profile information is complete, select **Next** at the bottom of the page. Guardian will route you to the next step in the application process: **Pre-Association Information**. Note: for the Pre-Association step there are specific instructions for FFA/RFA

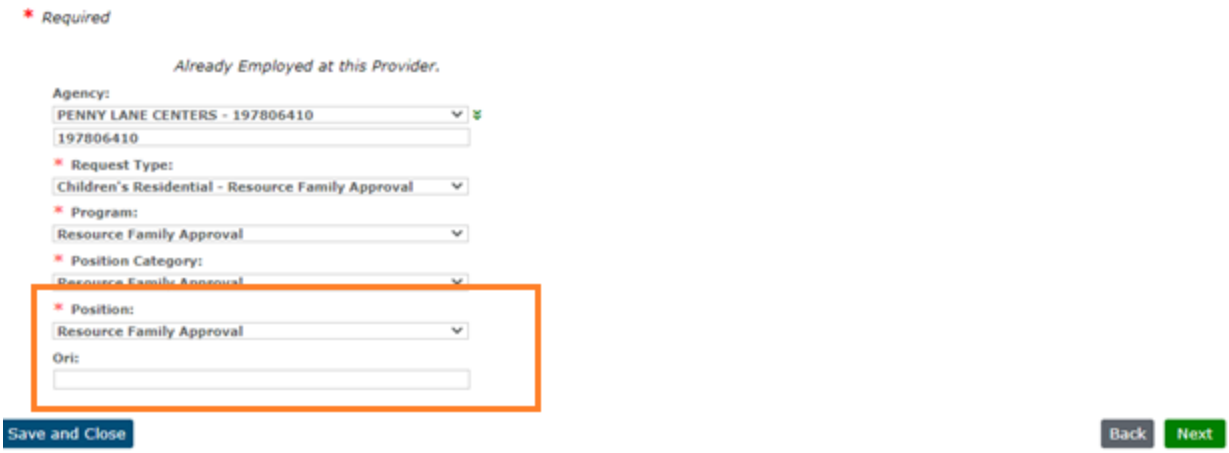
Entering Pre-Association Information
(SEE BELOW FOR FFA/RFA SPECIFIC Pre-Association information)
This step of the process allows you to enter specific information regarding the position for which the agency is requesting the applicant be associated to.

12. The Pre-Association page will populate. In the **Application Details** section of the page, enter values for the following fields and select Next when complete:
    - **Agency**: Conduct a search for the agency by typing into the 'Search by Typing Name' text box. Select the agency from the drop-down. Searches may be conducted by entering an agency name or number. You may only transfer applicants to agencies within your Program.
    - **Request Type**: Request type will be pre-populated based on the agency selection. (i.e. Adult and Senior Care, Child Care, Children's Residential)
    - **Program**: Program type will be pre-populated based on the agency selection. (i.e. Adult and Senior Care, Child Care, Children's Residential)
    - **Position Category**: Position Category will be pre-populated based on the agency selection. (i.e. Adult and Senior Care, Child Care, Children's Residential)
    - **Position**: Select the specific position for which the applicant is applying. (i.e. Employee, Non-Client Adult Resident, Corporate Board Member, etc.)



Entering Pre-Association Information (FFA/RFA SPECIFIC ONLY)
This step of the process allows you to enter specific information regarding the position for which the agency is requesting the applicant be associated to.

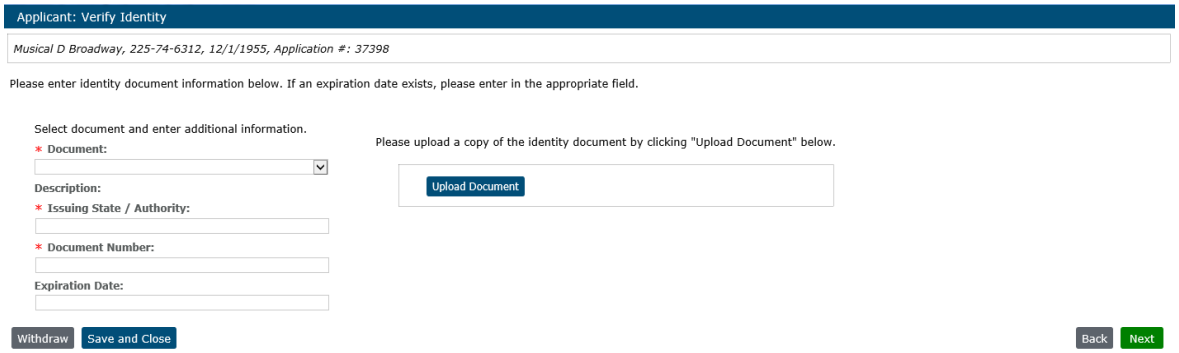
1. The Pre-Association page will populate. In the **Application Details** section of the page, enter values for the following fields and select Next when complete:
   - **Agency**: Conduct a search for the Foster Family Agency (FFA) by typing into the 'Search by Typing Name' text box. Select the agency from the drop-down. Searches may be conducted by entering an agency name or number. You may only transfer applicants to agencies within your Program.
   - **Request Type**: Select the applicable option from the drop-down. (i.e. Foster Family or Resource Family Approval)
   - **Program**: Program type will be pre-populated based on the Agency selected (i.e. Foster Family Agency, Resource Family Approval, Children's Residential, etc.)
   - **Position Category**: Position Category will be pre-populated based on the Request Type selected. (i.e. Adult and Senior Care, Child Care, Children's Residential)
   - **Position**: Select the specific position for which the applicant is applying. (i.e. Employee, Non-Client Adult Resident, Resource Family Approval, etc.) Note: If the Resource Family Approval request type is selected, an additional box will populate to input the ORI. The ORI will be auto-populated onto the Guardian generated Live Scan form to ensure rap back services for the FFA.



Verify Applicant Identity (For all Programs)

The **Verify Identity** page will be displayed. The **Verify Identity** page allows you to enter information regarding the government-issued photo ID used to verify the identity of the applicant. To complete this step:

13. Enter values for the following fields:
    a. **Document**: Select the document used to verify identity from the dropdown list.
    b. **Issuing State/Authority**: Enter the state or government agency that issued the ID. For instance, if you used the applicant's driver's license for identity verification, you would enter the state that issued the license.
    c. **Document Number**: The document number issued for the identity document selected. For example, if you used the applicant's driver's license for identity verification, you would enter the driver's license number.
    d. **Document Expiration Date**: The date of expiration for the identity document selected.



Note: The **Verify Identity** page will give you the option to Withdraw or Save and Close an application. If you wish to continue and complete the application do not select either.

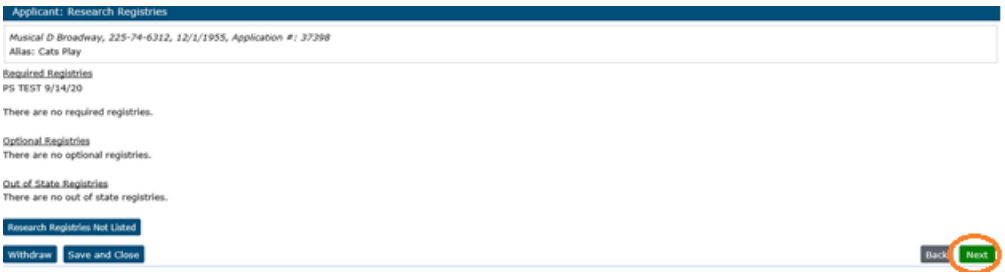
- **Withdraw:** Permanently closes an application. A confirmation page will appear prior to completing the action.
- **Save and Close**: Allows you to save the application and continue at a later time. To access a saved application, go to **Applications > Not Yet Submitted** on the navigation bar. You will be able to locate the application and select **Resume** to continue. Note: You will only see applications you have started in the Not Yet Submitted Queue.

14. You also have the option to upload a scanned copy of the identity verification document to Guardian. The document will be stored with the application. Select **Upload Document** and follow the prompts to select and upload the file for the scanned document. Once complete, the page will display the document name of the uploaded file. Note: The upload feature is not required to move forward.

15. After entering the required information, select **Next** at the bottom of the page. The next step in the process will be displayed.

Research Registries

16. The Applicant Research Registries page will populate. The Research Registries page is intended to assist with applicants associated to the Home Care and TrustLine Registry. For licensing Regional Office users, no further action is needed on this page. Select **Next**.

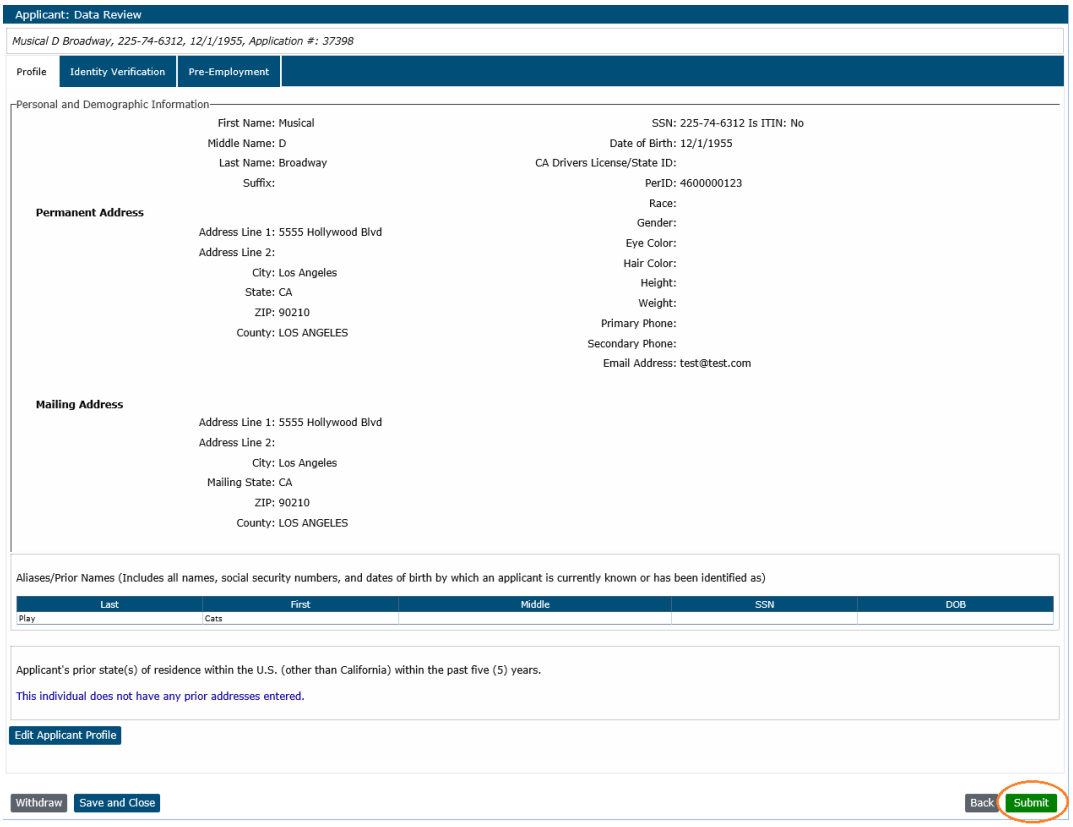


Payment

17. The Agency Payment page will populate. The Payment page is intended for Home Care and TrustLine Registry fees. For licensing Regional Office Users, Guardian will advise a payment is not required for the application. Select **Next** at the bottom of the page.

Data Review and Application Submission

18. The next step of the application process is to review and confirm the applicant's data is correct and select **submit**. If the profile information needs to be changed, you may select the **Edit Applicant Profile** button. If all information is correct, select the green **submit button**.

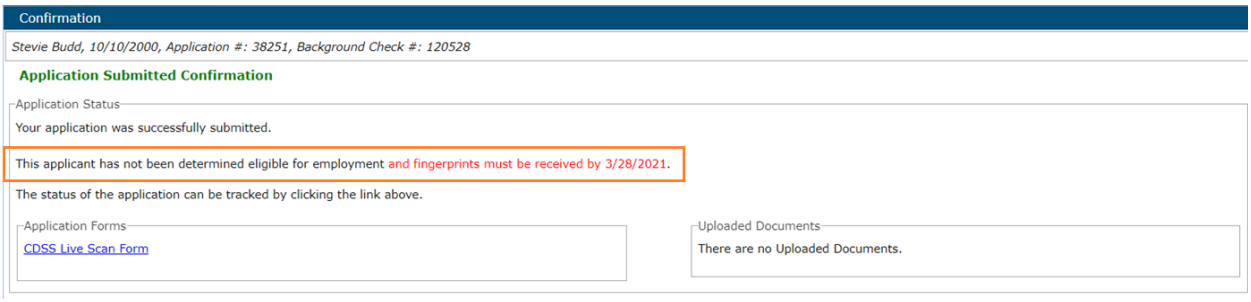


Application Submitted Confirmation

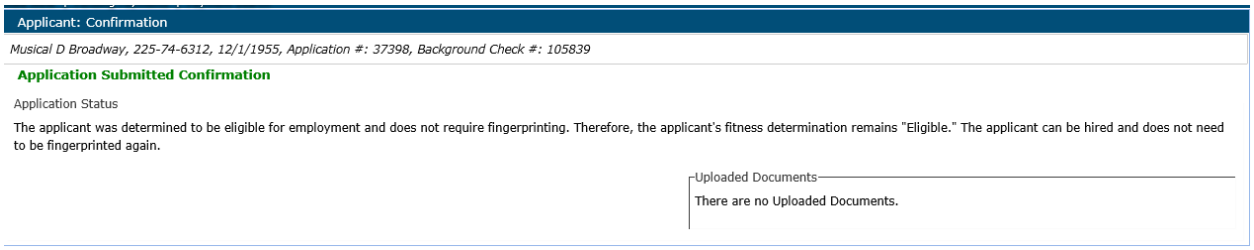
19. The Applicant: Confirmation page will populate.

<u>Reminder:</u> Applicants who have previously worked in an Adult and Senior Care agency may only have the DOJ and FBI background checks conducted. Applicants who are transferring to a Child Care or Children's Residential agency must obtain DOJ, FBI and CACI checks. If the applicant has not previously had the necessary background checks completed, Guardian will generate a Live Scan form upon application (transfer) submission. It is the Regional Office user's responsibility to inform the agency their applicant needs to submit new fingerprints if this occurs.

- If the applicant needs to submit new fingerprints, the new CDSS Live Scan form will generate. Guardian will advise 'The applicant is not eligible for employment' and provide the deadline the applicant must submit new fingerprints. The Regional Office user must inform the agency, the applicant must submit new fingerprints. *If* the agency and applicant are Guardian users, they will receive an email notification informing them fingerprints must be submitted. **Failure to submit new fingerprints within the specified timeframe will result in an application closure. For FFA/RFA a Live Scan form will generate here.**



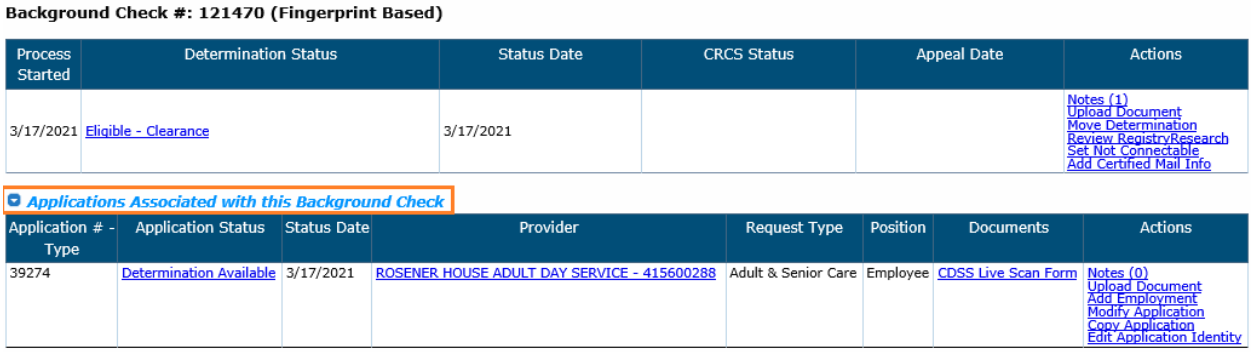
- If the submission was successful, and the applicant does not need to submit new fingerprints, Guardian will advise 'The applicant is eligible and does not require fingerprints'. Note: A message may or may not appear prompting the upload of the transfer request document (LIC 9182) to the application. Regardless, the applicant's Transfer documents (LIC 9182, Government Issued Photo ID, and LIC 508) will need to be uploaded to the corresponding application number. Take note of the application number as document uploading is needed.



Uploading Transfer Documents to an Application

To upload the transfer request document, return to the applicant's **Person Summary** Page and select the **Applications Tab**.

1. Select the **Applications Associated** using the blue arrows.



2. Locate the correct Application number and go to the **Upload Documents** link in the Actions column.

Background Check #: 121470 (Fingerprint Based)

Process Started	Determination Status	Status Date	CRCS Status	Appeal Date	Actions
3/17/2021	Eligible - Clearance	3/17/2021			Notes (1) Upload Document Move Determination Review RegistryResearch Set Not Connectable Add Certified Mail Info

Applications Associated with this Background Check

Application # - Type	Application Status	Status Date	Provider	Request Type	Position	Documents	Actions
39274	Determination Available	3/17/2021	ROSENER HOUSE ADULT DAY SERVICE - 415600288	Adult & Senior Care	Employee	CDSS Live Scan Form	Notes (0) Upload Document Add Employment Modify Application Copy Application Edit Application Identity

3. Select the Document from your device and enter a Document Name (i.e. Jane Doe LIC 9182). Select **Upload**. Note: Selecting the Applicant or Provider Checkboxes will allow agencies or an applicant view the uploaded item. It is not necessary to select either.

Upload Application Document

* *Required*

* **File Name:**

Select file...

* **Document Name:**

Additional User Types that can view this file:

☐ Applicant

☐ Provider

Cancel Upload

4. The uploaded document will be viewable by state users (i.e. Regional Office Users and CPMB Staff). The uploaded items will appear in the documents tab.

Profile | Applications | Appeals | Association | Documents | Accreditations | History

Background Check # 121470

Generated Forms, Letters, and Reports

Document Type	Application #	Provider	Document Name	File Size	Generated By	Generated On	Action
Application	39274	ROSENER HOUSE ADULT DAY SERVICE - 415600288	Eligible.pdf	218.0KB	TasksService	3/17/2021 1:14 PM	Delete

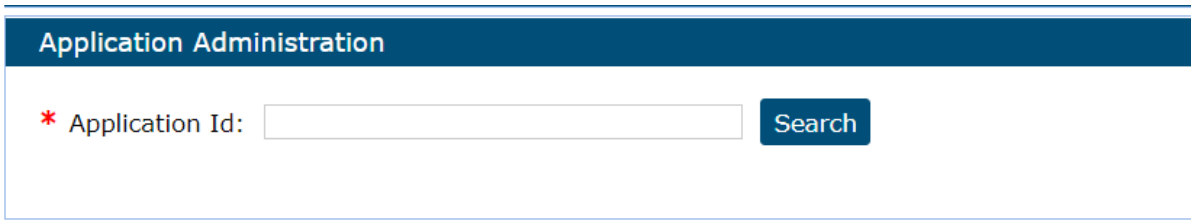
Uploaded Documents

Application #	Document Type	Provider	Document Name	User Types	File Size	Uploaded By	Uploaded On	Action
39274	Application	ROSENER HOUSE ADULT DAY SERVICE - 415600288	Jane Doe LIC 9182	State	7.0KB	[redacted]	5/20/2021 8:41 PM	Edit User Types Delete

Application Administration

After an electronic application has been submitted, Agencies (facilities) must upload a copy of the LIC 508 *or* LIC 508D Criminal Record Statement, into Guardian due to the disclosure questions. **Note**: Agencies are required to upload a scanned copy of the disclosure, signed by the Applicant, to complete the application process. If this step is not completed, Guardian will send a reminder notification advising this step is needed. By request, Regional Office users can assist agencies with completing this process.

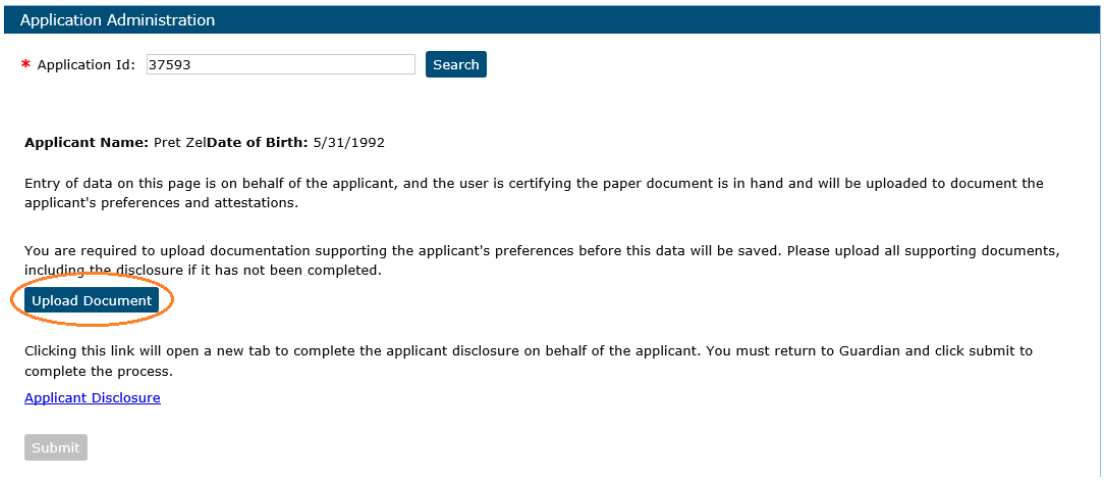
1. From the home page, access applications > **Application Administration**. The Application Administration page will populate.



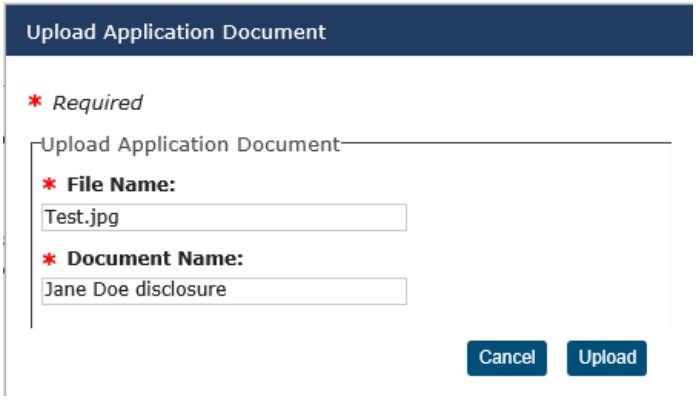
2. In the Application ID (Application Number) search field, enter the application number for the applicant. Select **Search** when complete. Note: The application number is provided upon submission of the application and can also be obtained by locating the applicant on the agency's roster.

3. The Applicant's name and date of birth will populate at the top of the page. Review the information to ensure you are submitting the disclosure (LIC 508/LIC 508D) for the correct individual.

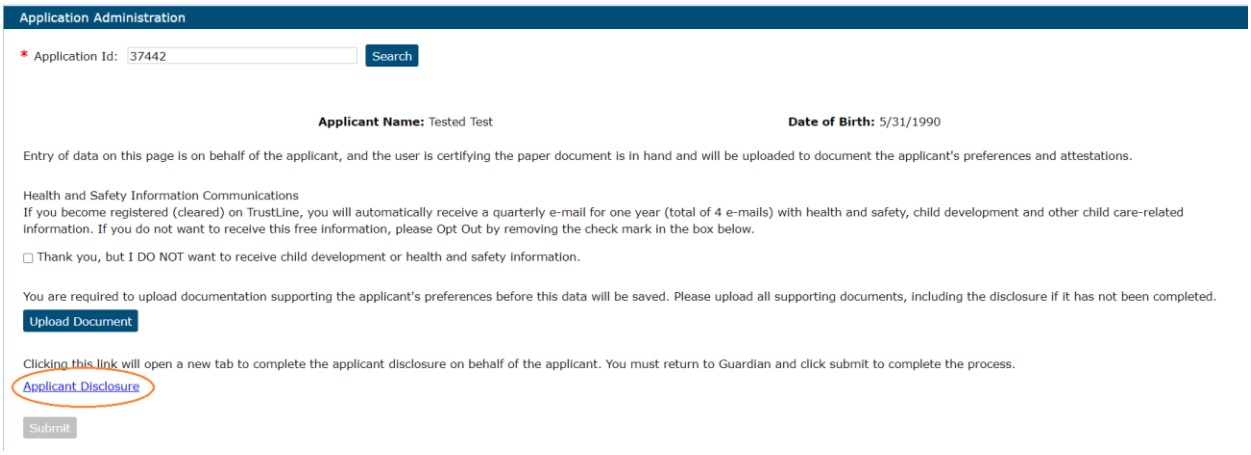
4. Select **Upload Document** to search your device for the applicant's disclosure (LIC 508/LIC 508D) and upload to Guardian. Note: The Submit button will be grayed-out until all steps have been completed.



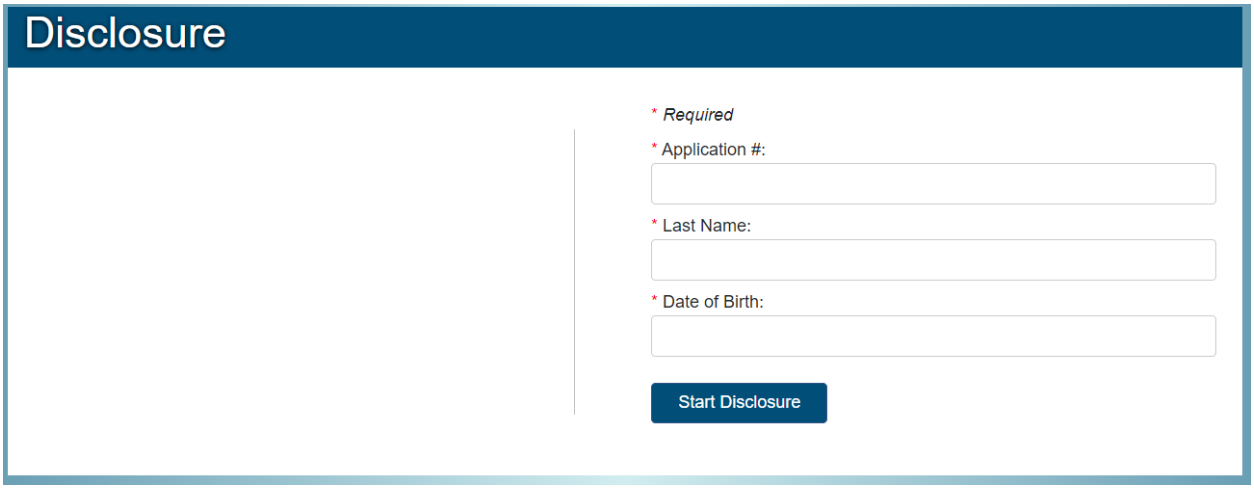
5. The Upload Application Document screen will populate. Select a file by clicking into the text box. Name the document (i.e. Jane Doe disclosure) by entering text in the **Document Name** text box and select **Upload**.



6. Select **Applicant Disclosure**, which will open a new tab to complete the applicant disclosure on behalf of the applicant. Note: You must return to Guardian and select **submit** to complete the process.

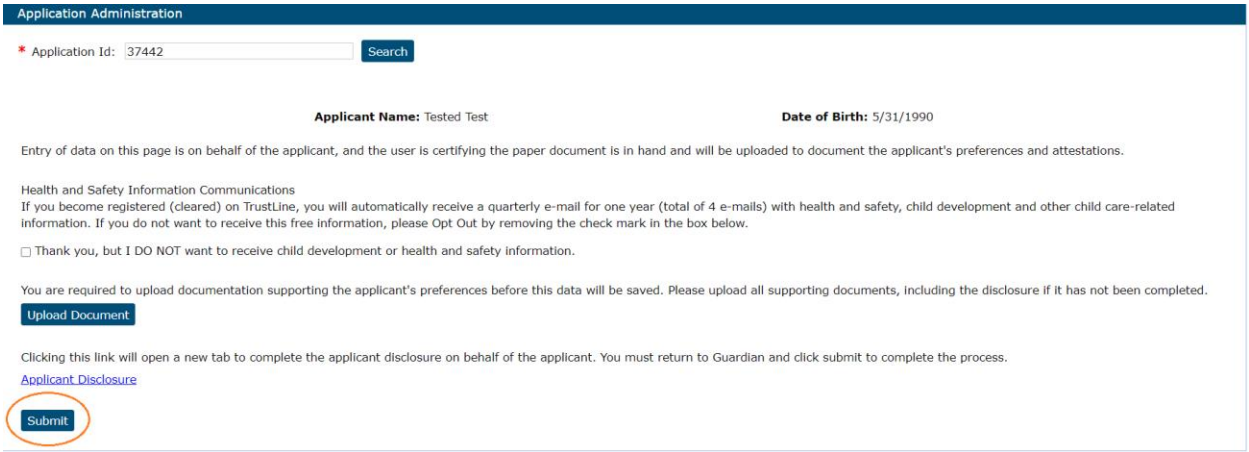


7. Guardian will open a new tab, and require the Application number, applicant's last name and date of birth to access the online disclosure. Enter all required information and select **Start Disclosure.**



8. Complete the entirety of the following disclosure screens. The **Disclosure Complete** page will populate upon completion. Utilize the applicant's disclosure and record their answers in the following screens. The answers input must reflect the applicant's answers on their form.

9. Return to Guardian and select **Submit**.



Roster Management

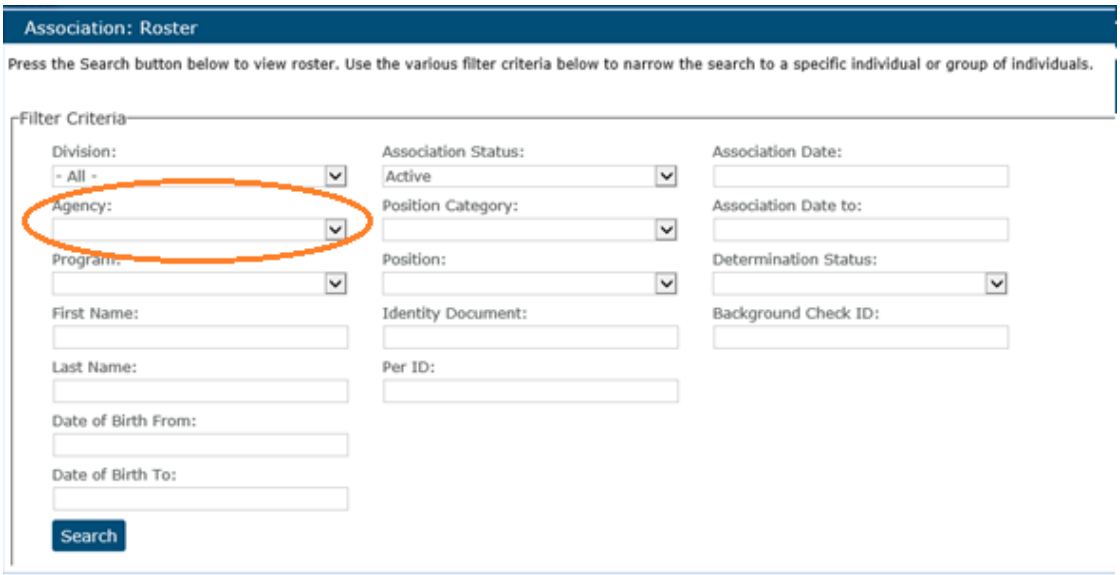
Agency users of Guardian will now have access to view and manage their rosters. Regional Office users may also view, print and assist agencies with roster management, utilizing Guardian. This section will cover the following:

- Locating and Reading Roster
- Printing a Roster
- Separating (Disassociating) Individuals from a Roster
- Disassociating Due to a Not Eligible Determination Status

Locating and Reading a Roster

1. Rosters are accessible by hovering over **Rosters** from the navigation bar and selecting **Roster.**

2. The Association: Roster screen will appear. Utilize the various filter criteria to narrow the search to a specific agency.
   Helpful tip: The quickest way to locate an agency is type in the agency's name or nine-digit licensing number in the 'Search by Typing Name' textbox. Utilize the arrow drop-down to locate the agency from the generated list. Select the agency from the **agency drop-down** and select **Search**. Note: You may only generate agency rosters within your program.



3. The Agency roster will populate towards the bottom of the page. The roster will display each individual's Application Number, Background Check ID, personal identifying information, association status, association date (start and end if applicable) and determination of each associated individual. Note: The Approval Conditions column will display a hyperlink if the applicant was granted a Conditional Exemption. Select the hyperlink to view the condition placed.

Printing a Roster

1. To **print a roster**, select the **print** option at the bottom of the page.

6000	105922	BRIGGS HOUSE	Possible	Kim	02/14/1999	Licensee/Applicant	Permanent	08/23/2020			In Process		Edit
6008	105927	BRIGGS HOUSE	Prince	Purple	08/22/1960	Employee Administrator	Permanent	08/24/2020			In Process		Edit
22545	115515	BRIGGS HOUSE	Rap	Subsequent	06/10/1992	Employee	Permanent	10/16/2020			Eligible - Exemption - No Longer Valid		Disassociate from Roster Edit
5937	105874	BRIGGS HOUSE	Rubble	Betty	05/20/1970	Employee	Permanent	08/14/2020			In Process		Edit
6002	105924	BRIGGS HOUSE	Seville	Alvin	08/18/1988	Employee Administrator	Permanent	08/28/2020			In Process		Edit
4363	104350	BRIGGS HOUSE	Squarepants	Sponge	10/24/1993	Corporate Board Member	Permanent	10/21/2020			Eligible - DSS Clearance		Edit

1 2 23 Total Results

CSV File Print

2. The **CSV File** (Comma Separated Value) will export the data into a database file format. **Note**: Roster information is also printable utilizing this feature.

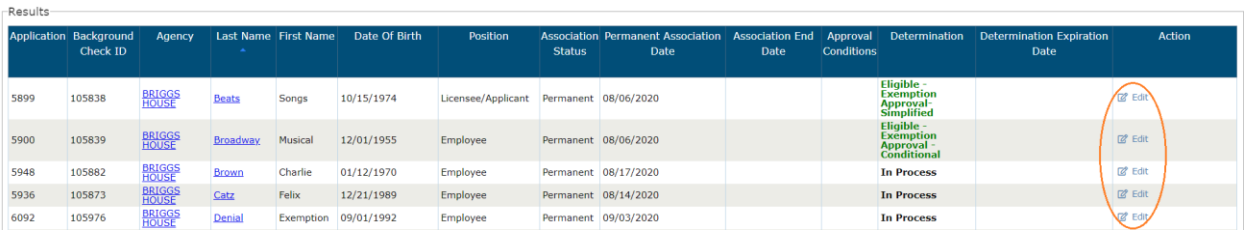
6000	105922	BRIGGS HOUSE	Possible	Kim	02/14/1999	Licensee/Applicant	Permanent	08/23/2020			In Process		Edit
6008	105927	BRIGGS HOUSE	Prince	Purple	08/22/1960	Employee Administrator	Permanent	08/24/2020			In Process		Edit
22545	115515	BRIGGS HOUSE	Rap	Subsequent	06/10/1992	Employee	Permanent	10/16/2020			Eligible - Exemption - No Longer Valid		Disassociate from Roster Edit
5937	105874	BRIGGS HOUSE	Rubble	Betty	05/20/1970	Employee	Permanent	08/14/2020			In Process		Edit
6002	105924	BRIGGS HOUSE	Seville	Alvin	08/18/1988	Employee Administrator	Permanent	08/28/2020			In Process		Edit
4363	104350	BRIGGS HOUSE	Squarepants	Sponge	10/24/1993	Corporate Board Member	Permanent	10/21/2020			Eligible - DSS Clearance		Edit

1 2 23 Total Results

CSV File Print

Separating (Disassociating) Individuals from a Roster

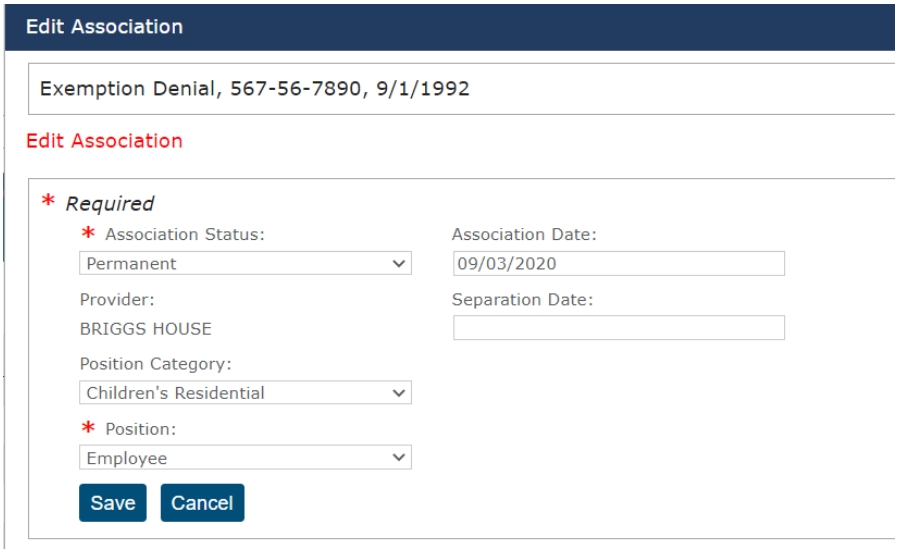
1. Utilize the **Action** column to **Edit the Association** of an individual on the roster.



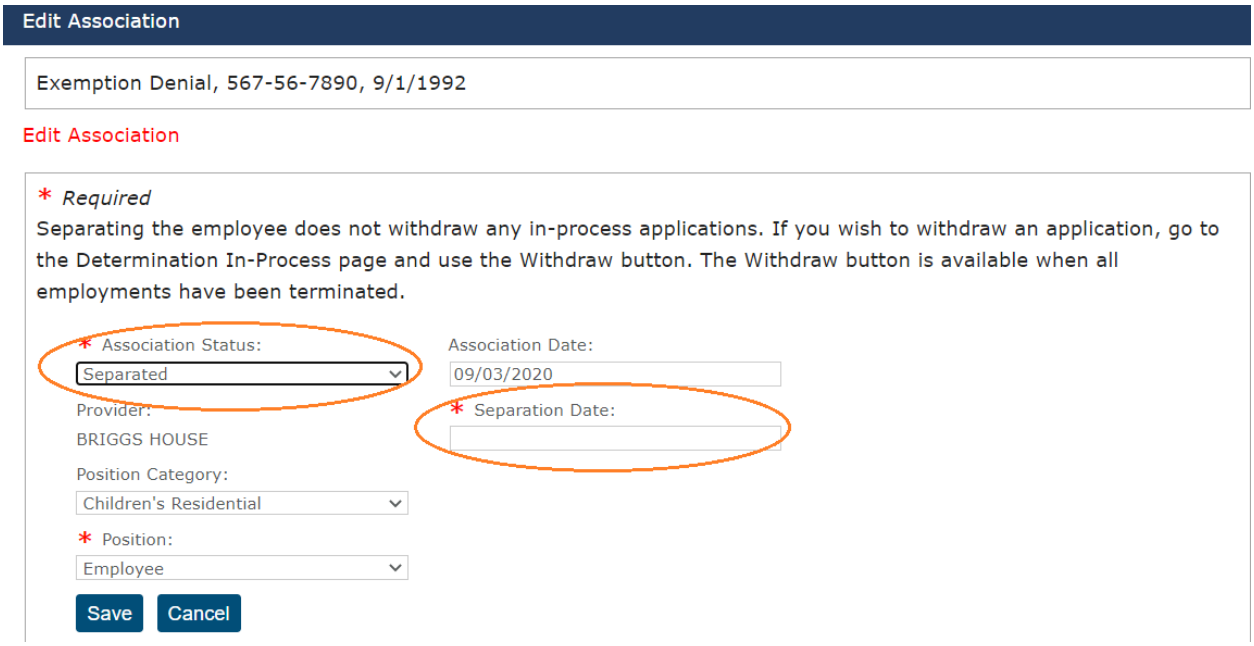
Results

Application	Background Check ID	Agency	Last Name	First Name	Date Of Birth	Position	Association Status	Permanent Association Date	Association End Date	Approval Conditions	Determination	Determination Expiration Date	Action
5899	105838	BRIGGS HOUSE	Beats	Songs	10/15/1974	Licensee/Applicant	Permanent	08/06/2020			Eligible - Exemption Approval- Simplified		Edit
5900	105839	BRIGGS HOUSE	Broadway	Musical	12/01/1955	Employee	Permanent	08/06/2020			Eligible - Exemption Approval - Conditional		Edit
5948	105882	BRIGGS HOUSE	Brown	Charlie	01/12/1970	Employee	Permanent	08/17/2020			In Process		Edit
5936	105873	BRIGGS HOUSE	Catz	Felix	12/21/1989	Employee	Permanent	08/14/2020			In Process		Edit
6092	105976	BRIGGS HOUSE	Denial	Exemption	09/01/1992	Employee	Permanent	09/03/2020			In Process		Edit

2. To separate an individual from an agency roster, select **edit**. The **Edit Association** box will appear.



3. Under the **Association Status**, change the drop-down from **Permanent** (associated) to **Separated** (disassociated) <u>and</u> enter a **Separation Date.** Select **Save** when complete.



4. To confirm the individual has successfully been disassociated from the agency roster, an **Association End Date** should populate in the appropriate column.

Results

Application	Background Check ID	Agency	Last Name	First Name	Date Of Birth	Position	Association Status	Permanent Association Date	Association End Date	Approval Conditions	Determination	Determination Expiration Date	Action
5899	105838	BRIGGS HOUSE	Beats	Songs	10/15/1974	Licensee/Applicant	Permanent	08/06/2020			Eligible - Exemption Approval-Simplified		Edit
5900	105839	BRIGGS HOUSE	Broadway	Musical	12/01/1955	Employee	Permanent	08/06/2020			Eligible - Exemption Approval - Conditional		Edit
5948	105882	BRIGGS HOUSE	Brown	Charlie	01/12/1970	Employee	Permanent	08/17/2020			In Process		Edit
5936	105873	BRIGGS HOUSE	Catz	Felix	12/21/1989	Employee	Permanent	08/14/2020			In Process		Edit
6092	105976	BRIGGS HOUSE	Denial	Exemption	09/01/1992	Employee	Separated	09/03/2020	10/28/2020		Closed - All Applications Closed		Edit

Changing an Individual's Position Type

1. An individual's position type may also be completed by locating the individual on an agency's roster and utilizing the 'Edit' feature under the actions column.

Results

Application	Background Check ID	Agency	Last Name	First Name	Date Of Birth	Position	Association Status	Permanent Association Date	Association End Date	Approval Conditions	Determination	Determination Expiration Date	Action
38259	120537	Laura's Children's Residential - 000999988	Alfaro	Betty	03/20/1989	Corporate Board Member	Permanent	12/29/2020			In Process		Edit
38336	105838	Laura's Children's Residential - 000999988	Beats	Songs	10/15/1974	Licensee/Applicant	Permanent	10/28/2020			Eligible - Exemption Approval-Simplified		Edit
37611	119332	Laura's Children's Residential - 000999988	Belle	Tink	11/08/2000	Employee	Permanent	11/13/2020			Eligible - Clearance		Edit

2. Select the position drop-down and choose the correct position type.

Edit Association

Songs Beats, 768-54-9012, 10/15/1974

Edit Association

* Required

* Association Status: Permanent

Association Date: 10/28/2020

Provider: Laura's Children's Residential - 000999988

Separation Date:

* Request Type: Children's Residential - AW

Position Category: Children's Residential

* Position: Licensee/Applicant

Save Cancel

3. Select Save once complete. This action may also be completed by accessing the 'Association' tab on the Person Summary page. For more information on this, please refer to the Person Search and Person Summary, Association tab section.

Disassociating Due to a Not Eligible Determination Status

When viewing a roster, Regional Office users may notice further action needs to be taken for those individuals whose background check resulted in a Not Eligible determination status. When a determination status results in a Not Eligible status, the agency or state user must disassociate the individual from the roster.

- Once a roster has been located, the user may review the **action column** to determine if further action is needed.

Results

Application	Background Check ID	Agency	Last Name	First Name	Date Of Birth	Position	Association Status	Permanent Association Date	Association End Date	Approval Conditions	Determination	Determination Expiration Date	Action
19	100018	BRIGGS HOUSE	Lapointe	Sally	03/15/1979	Employee	Permanent	02/18/2020			Closed - Fingerprints Not Taken		Edit
4359	104356	BRIGGS HOUSE	Newsom	Gavin	07/02/2000	Non-Client Adult Resident	Provisional	07/01/2020		Yes	Not Eligible - Exemption Denial		Disassociate from Roster

- If an individual on the roster displays further action is needed, (i.e. Disassociate from Roster) the user will select the **Disassociate from Roster** link, under the actions column. The Terminate Employment box will appear.

Results

Application	Background Check ID	Agency	Last Name	First Name	Date Of Birth	Position	Association Status	Permanent Association Date	Association End Date	Approval Conditions	Determination	Determination Expiration Date	Action
19	100018	BRIGGS HOUSE	Lapointe	Sally	03/15/1979	Employee	Permanent	02/18/2020			Closed - Fingerprints Not Taken		Edit
4359	104356	BRIGGS HOUSE	Newsom	Gavin	07/02/2000	Non-Client Adult Resident	Provisional	07/01/2020		Yes	Not Eligible - Exemption Denial		Disassociate from Roster

- A **separation date** must be entered. Select **save** once complete. The individual will be removed from the agency's roster. Note: These dates may be backdated.

Terminate Employment

[redacted]888-77-6665, 7/2/2000

By disassociating this individual from the agency roster, the agency will not receive any future updates about the background study status, even if a disqualification is set aside.

* *Required*

Association Status: Separated

Provider: BRIGGS HOUSE

Position Category: Children's Residential

Position: Non-Client Adult Resident

Association Date: 07/01/2020

* Separation Date:

Cancel Save

Regional Office Admin User Functions

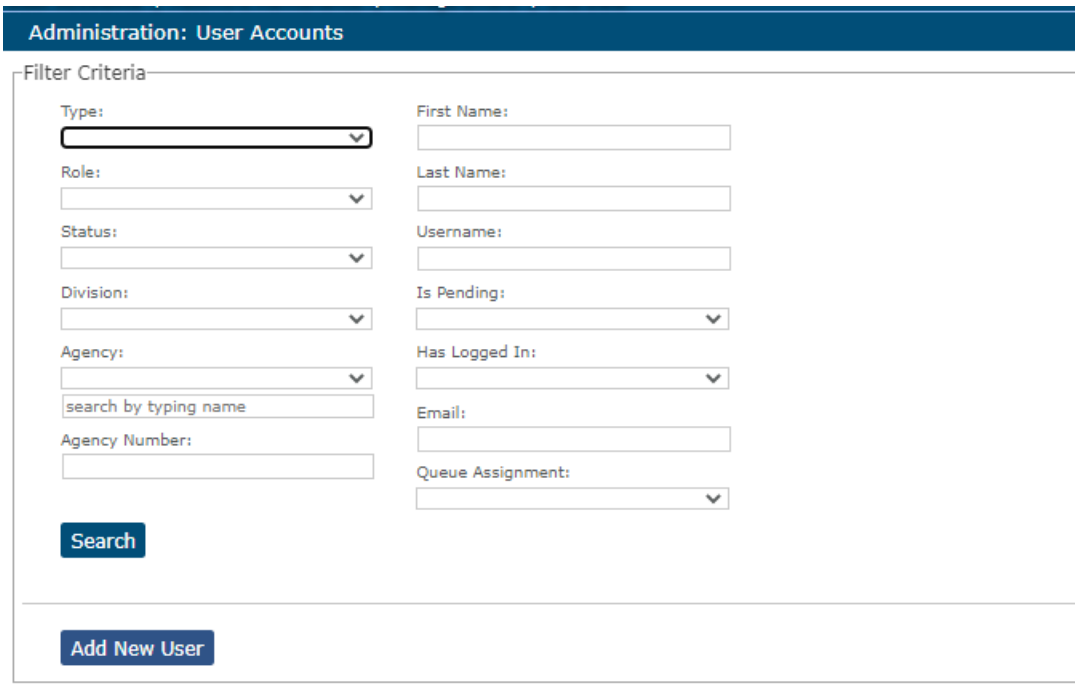
Regional Managers (RMs) will be creating user accounts for staff on an as needed basis. (i.e. Licensing Program Managers (LPMs), Licensing Program Analysts (LPAs), Office Technicians (OTs), etc.) When creating user accounts, RMs have the ability to designate specific levels of access based on the user's workflow need. The following sections will provide an overview for Grantable – Division Administrator Users. If your Regional Manager has assigned you with the Grantable – Division Administrator role, you will be able to perform the following functions:

- Create a New User Account
- Disable a User Account
- Unlocking (Enabling) a User Account

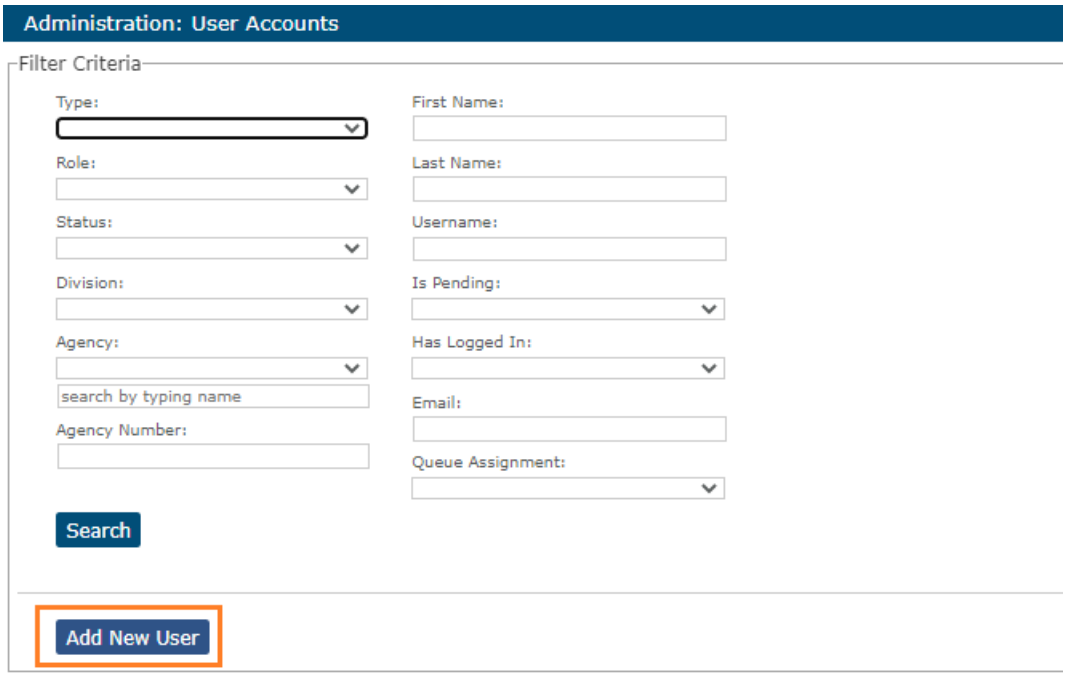
Create a New User Account

The following section will demonstrate how to create a user account for staff and provide clarification on the functions on each role.

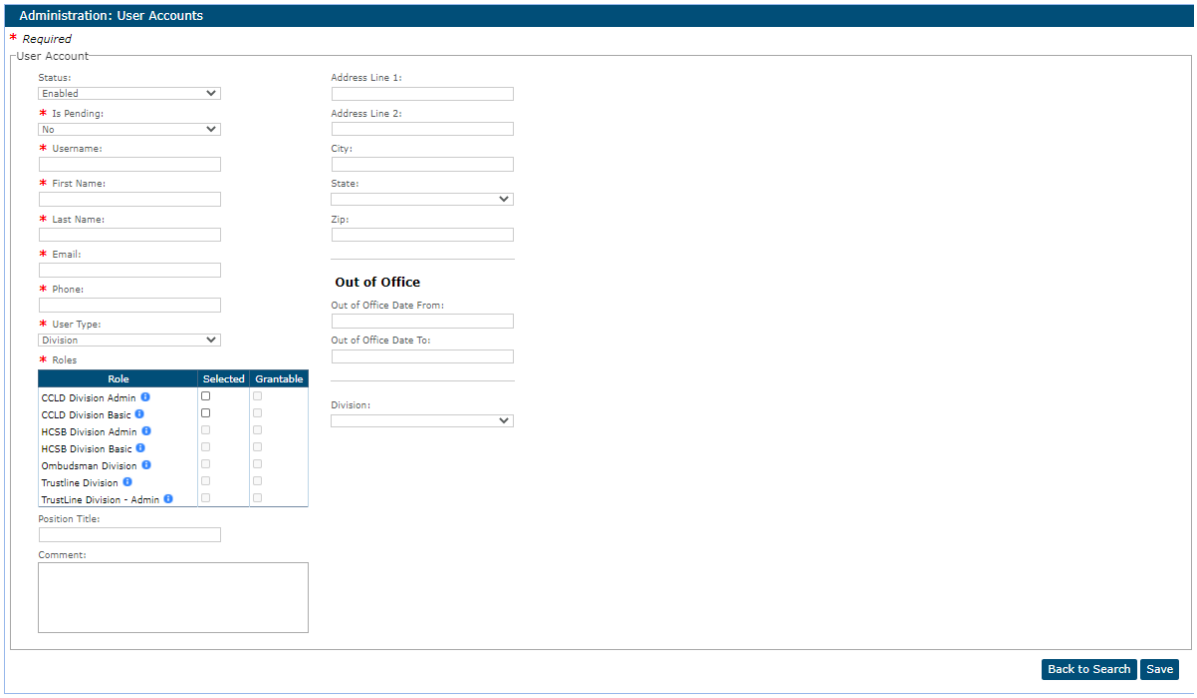
1. From the home page, hover over **Admin** on the navigation bar and select **User Accounts.** The Administration: User Accounts screen appears.



2. Select **Add New User**.



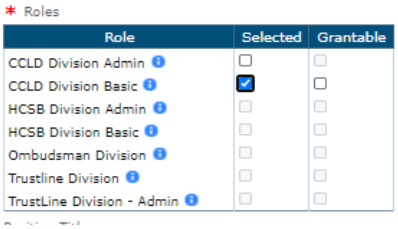
3. The User Accounts page will populate. All required fields are marked with a red asterisk (*). Note: The ‘Status’ field should auto-populate to ‘Enabled.’ The ‘Is Pending’ field should auto-populate to ‘No.’ The ‘User Type’ drop-down will auto-populate to Division. These do not need to be changed.



4. Utilize the new user’s **<u>DSS email address</u>** in the Username text box. Other required information includes the user's First Name, Last Name, Email Address (DSS email) and Phone Number. The Username and Email Address fields must match. **Note: If the username is not the new user’s DSS email address, they will not be able to log into Guardian and receive an error message.**

5. In the Role(s) field, each program has four (4) checkboxes which control what a user can see and do in the system. There are two user roles in which you may assign your staff: CCLD Division Basic and CCLD Division Admin.
Note: Do not utilize the HCSB, Ombudsman or TrustLine Division user roles.

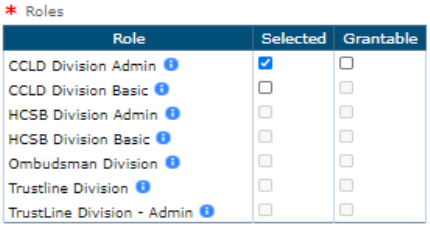
a. CCLD Division Basic: This role provides a user basic, view only capability and cannot create additional user accounts (even if Grantable check box is selected). To assign this role select the following:



* Roles

Role	Selected	Grantable
CCLD Division Admin	☐	☐
CCLD Division Basic	☑	☐
HCSB Division Admin	☐	☐
HCSB Division Basic	☐	☐
Ombudsman Division	☐	☐
Trustline Division	☐	☐
TrustLine Division - Admin	☐	☐

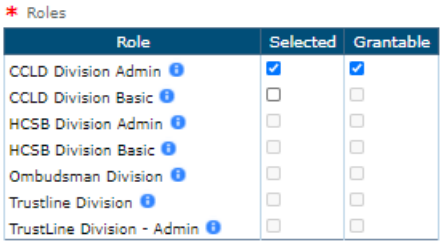
b. CCLD Division Admin: This role provides editing and roster management capability. To assign staff with this role, select the following:



* Roles

Role	Selected	Grantable
CCLD Division Admin	☑	☐
CCLD Division Basic	☐	☐
HCSB Division Admin	☐	☐
HCSB Division Basic	☐	☐
Ombudsman Division	☐	☐
Trustline Division	☐	☐
TrustLine Division - Admin	☐	☐

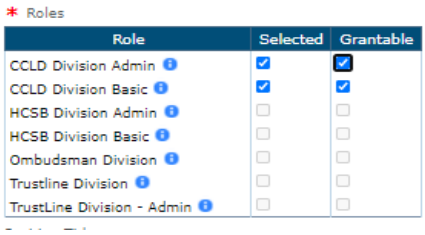
Note: By checking in the selected column only, you provide this user with access to perform all Admin functions <u>except</u> create additional user accounts. To allow this user to create additional Admin user accounts, select <u>both</u> selected and grantable. Grantable provides the permission to create additional user accounts.



* Roles

Role	Selected	Grantable
CCLD Division Admin	☑	☑
CCLD Division Basic	☐	☐
HCSB Division Admin	☐	☐
HCSB Division Basic	☐	☐
Ombudsman Division	☐	☐
Trustline Division	☐	☐
TrustLine Division - Admin	☐	☐

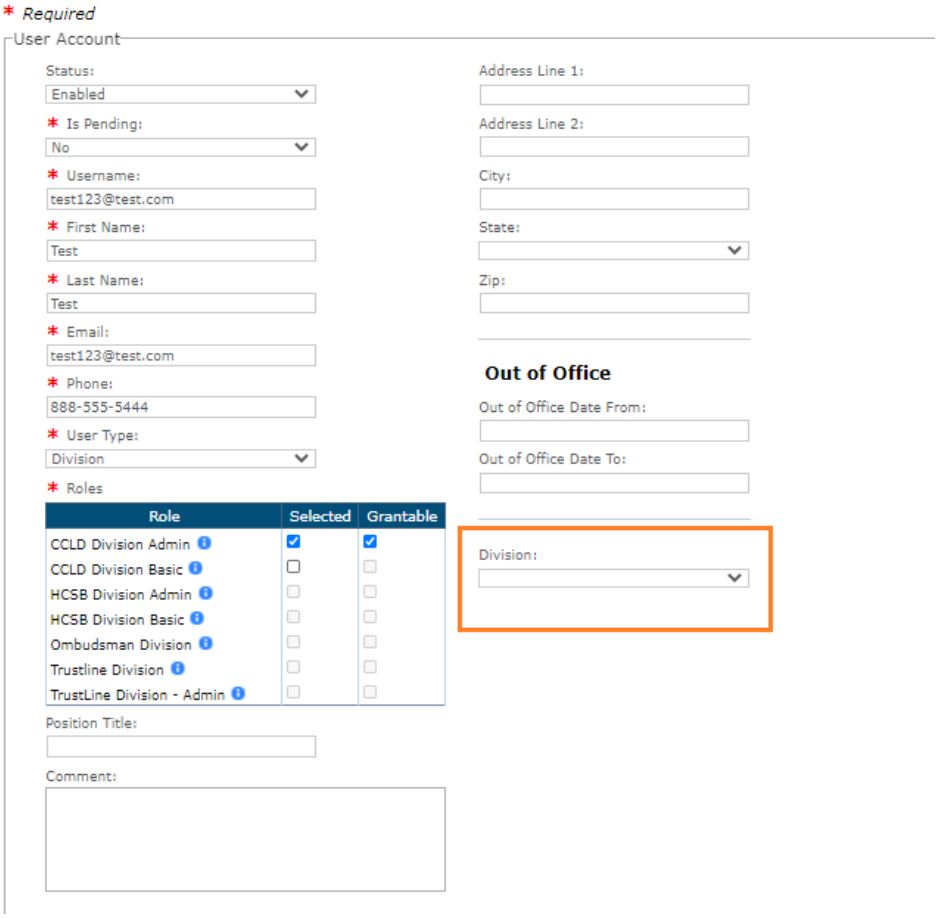
If you would like this user to be able to create both basic and Admin user accounts (same access as RMs), select all four checkboxes:



* Roles

Role	Selected	Grantable
CCLD Division Admin	☑	☑
CCLD Division Basic	☑	☑
HCSB Division Admin	☐	☐
HCSB Division Basic	☐	☐
Ombudsman Division	☐	☐
Trustline Division	☐	☐
TrustLine Division - Admin	☐	☐

6. Ensure to assign your new user a Division. This is a required field. (i.e. Adult and Senior Care, Child Care, Children's Residential) Note: If your Regional Office oversees multiple Programs, the Regional Manager must provide a list of users who need access to GuardianLoginSupport@dss.ca.gov. Specify which program(s) the user(s) needs access to.



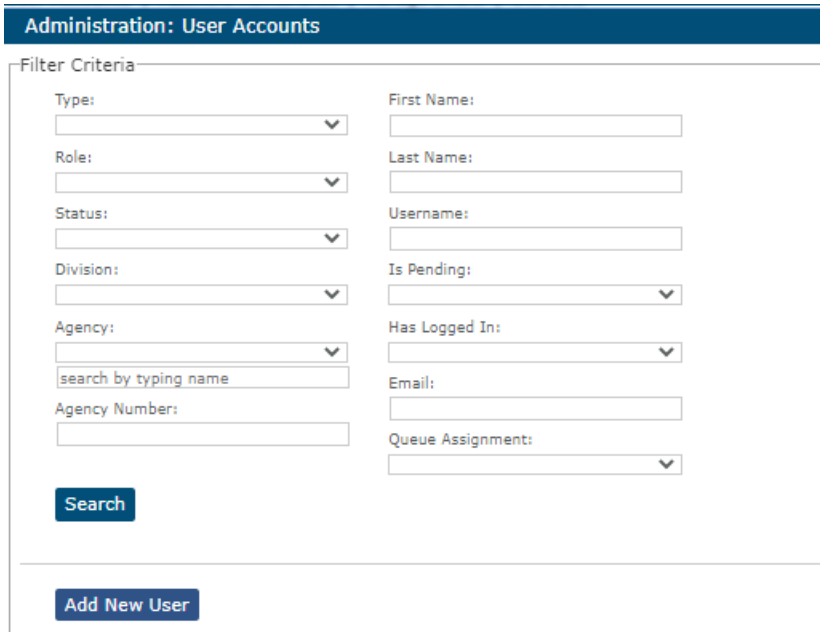
7. Select **Save** once complete. The new user will receive a welcome email with a temporary password. **The temporary password should be disregarded.** Guardian will recognize the new user as a State user and not require a password to be entered. The email will be sent from guardian-noreply@dss.ca.gov. Ensure the user checks all junk and spam folders.

   Note: Be sure to inform the new user to disregard the temporary password in their welcome email. They will be able to select their link in their email and Guardian should not require them to enter a password.

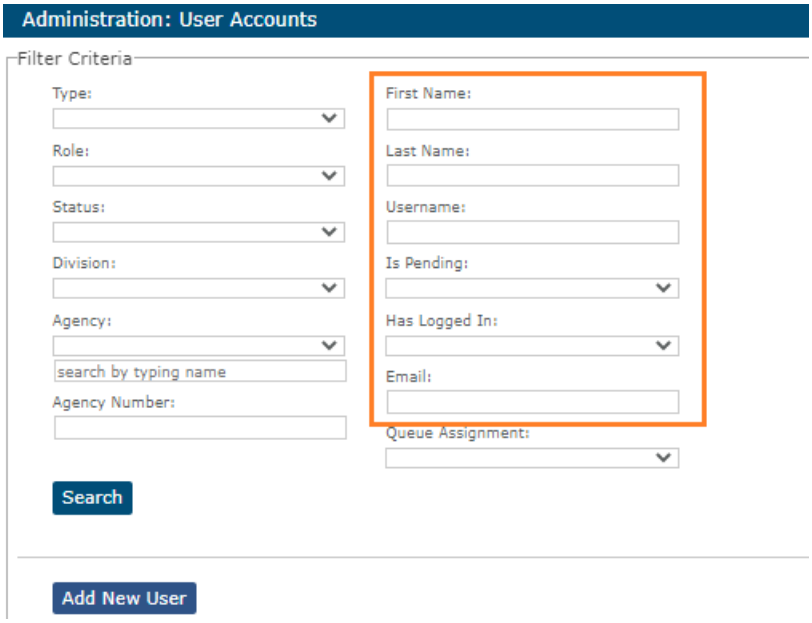
Disable a User Account

As staffing changes occur, you may need to disable a user account for an individual who is no longer employed in your Regional Officer or no longer needs Guardian access. These changes must be completed by a Regional Manager or an individual with an equivalent grantable - Division Administrator user role assigned to them.

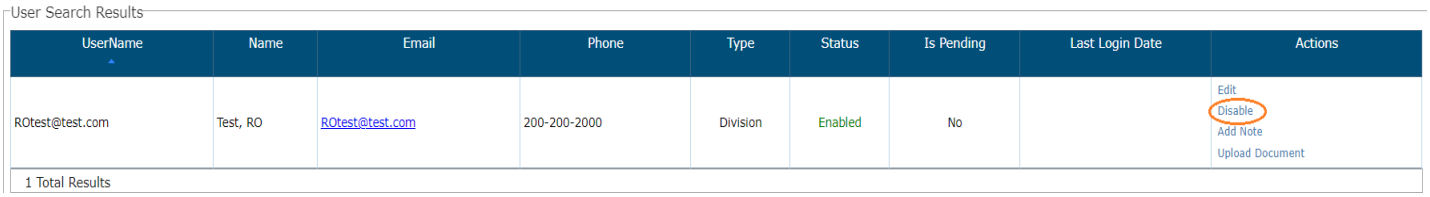
1. From the home page, hover over **Admin** on the navigation bar and select **User Accounts.** The Administration: User Accounts screen appears.



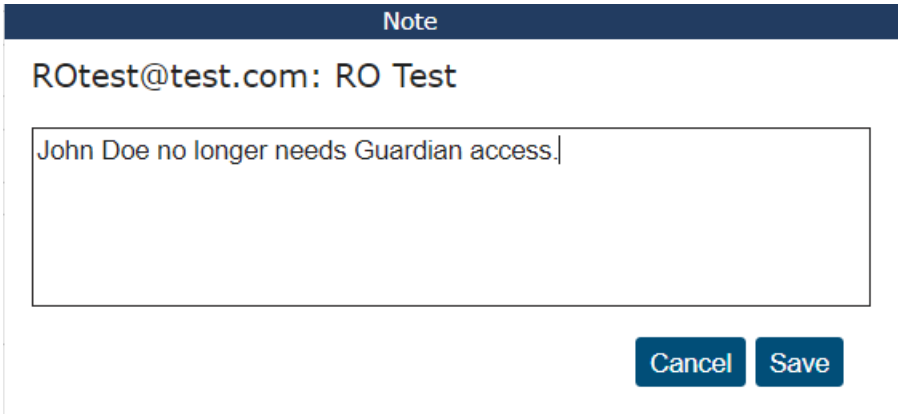
2. Search for the individual by entering their First Name, Last Name, Guardian Username or Email address in the appropriate fields. Select **Search** once complete.



3. The user account will populate towards the bottom of the page under User Search Results. Once the account is located, select the **Disable** option under the Actions column.



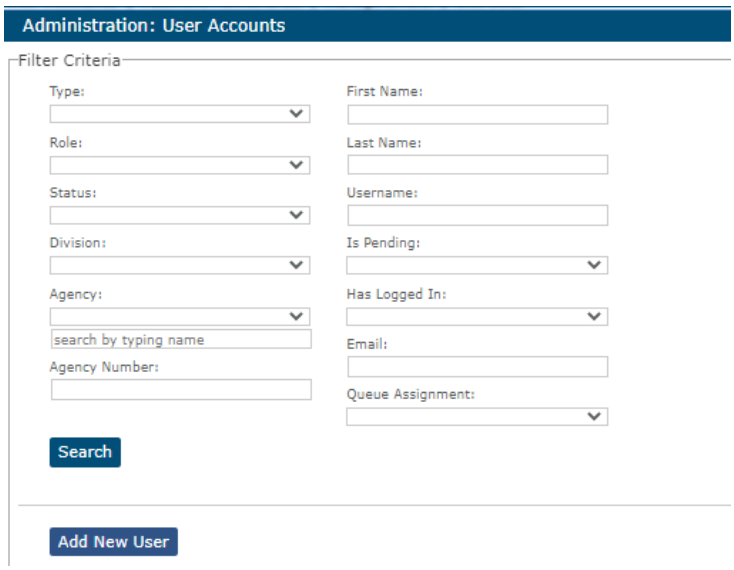
4. A Note box will appear. Input the reason for disabling the account. (i.e. Individual no longer works for division) Select **Save** when complete. The Guardian user will no longer have access to their user account.



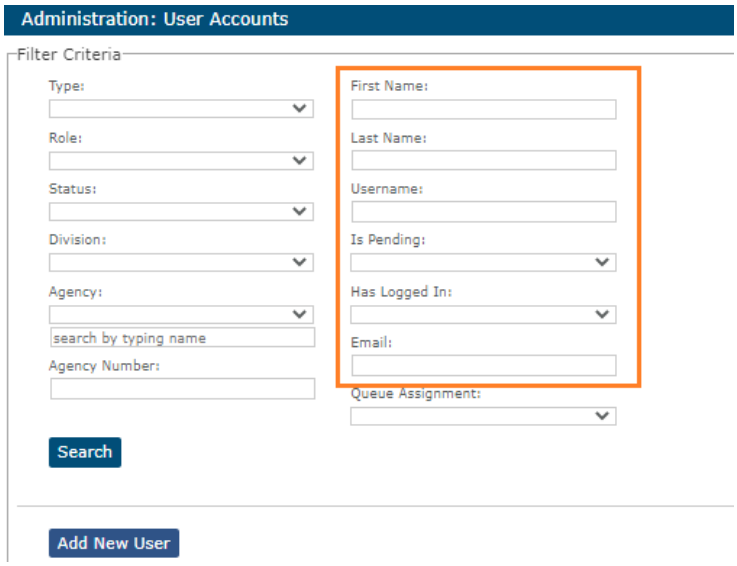
Unlocking (Enabling) a User Account

If a user (i.e. OT, LPA, LPM) has been locked out of Guardian, an individual with a grantable – Division Administrator user role will need to unlock (enable) the user's account. These changes must be completed by a Regional Manager or an individual with an equivalent Division Administrator user role assigned to them.

1. From the home page, hover over **Admin** on the navigation bar and select **User Accounts.** The Administration: User Accounts screen appears.



2. Search for the individual by entering their First Name, Last Name, Guardian Username or Email address in the appropriate fields. Select **Search** once complete.



3. The user account will populate towards the bottom of the page under User Search Results. The Status column will confirm the account has been locked.

User Search Results

UserName	Name	Email	Phone	Type	Status	Is Pending	Last Login Date	Actions
ROtest@test.com	Test, RO	ROtest@test.com	200-200-2000	Division	Locked	No		Edit Enable Notes (2) Add Note Upload Document

1 Total Results

4. To unlock the account, select **Enable** under the Actions tab.

User Search Results

UserName	Name	Email	Phone	Type	Status	Is Pending	Last Login Date	Actions
ROtest@test.com	Test, RO	ROtest@test.com	200-200-2000	Division	Locked	No		Edit Enable Notes (2) Add Note Upload Document

1 Total Results

5. The user account will then be Enabled, and the user will get an email notification notifying them their account has been unlocked.

User Search Results

UserName	Name	Email	Phone	Type	Status	Is Pending	Last Login Date	Actions
ROtest@test.com	Test, RO	ROtest@test.com	200-200-2000	Division	Enabled	No		Edit Disable Add Note Upload Document

1 Total Results

6. Once the user account has been unlocked, the user should be able to access https://guardian.dss.ca.gov/State/Auth and access their Guardian account. A password is not required, because the individual is a state user.

   Note: If the user is having difficulties logging in, ensure their Guardian Username is their DSS email address. If their username is anything other than their DSS email address, Guardian will not recognize them, and not allow them to login. Their existing account will need to be disabled, and a correct account will need to be created for them with their DSS email address as their username.

Glossary

- **Agency:** An agency is defined as a TrustLine Agency, Home Care Organization or Licensing facility.
- **Accreditation Module:** The Registry module utilized for Trustline and Home Care Services Registry status management.
- **Application Number (#):** A unique number created for an applicant for each new agency association or when Guardian receives a set of fingerprints from Department of Justice (DOJ). The Application Number is searchable in Guardian.
- **Background Check ID (#):** A unique identifier for a background check decision which is associated to a set of fingerprints. A Background Check ID may have multiple applications associated to them. Example: An applicant may have a Background Check ID which does not include a Child Abuse Central Index (CACI) check. If a CACI check was needed for employment, the applicant would need new fingerprints, resulting in a new Background Check ID.
- **Closed (determination status):** The closed determination status indicates a background check has been closed by CDSS Staff due to failure to comply with the background check process. (i.e. respond to correspondence)
- **Connected**: Transferred.
- **Determination Status:** Background check determination
- **Disassociate:** The action of separating an individual from your roster.
- **Eligible:** Indicates an applicant is eligible to work as a result of a clearance or exemption approval. The eligible determination status may have further background check details. (i.e. Eligible – Cleared, Eligible – Exemption Granted, etc.)
- **In Process (determination status):** An Application has been submitted in Guardian and is awaiting fingerprints, self-disclosure, Registry Research to be submitted (if CACI, AARS, or OSCA match exists) or background check review.
- **Not Eligible (determination status)**: Indicates an applicant is not eligible to work due to the result of a background check decision. The eligible determination status may have further background check details. (i.e. Not Eligible – Exemption Denied, Eligible – Exclusion, etc.)
- **Permanent:** Indicates an applicant is association to an agency.
- **Provider:** An agency is defined as a TrustLine Agency, Home Care Organization or Licensing facility.

  Separated: Indicates an application is not associated (disassociated) from an agency.