

Background Check Procedures

April 2014

I. Employment Background Checks

- A. The Background Check Policy requires the verification of the following employee credentials:
 1. Employment History: For Staff positions, hiring departments must verify that the selected applicant actually worked in those positions cited by the applicant that qualify him or her for the position, as well as all employment during at least the previous seven years.
 2. Education: For Staff positions, hiring departments must verify education beyond the high school level that qualifies the applicant for the position.
 3. Licenses: For Staff and Temporary positions, hiring departments must verify any licenses required for the position.
 4. Criminal History & Sex Offender Registry: For Staff and Temporary positions the hiring department must request a criminal history and registry check from GIS, a third-party vendor.
- B. All applicants (Staff and Temporary) must complete the university-designated application to be considered for employment with Indiana University, disclosing relevant credentials and work history and all criminal history for verification.
 1. Professional (PA) and Support Staff (SS) application forms will be completed through the On-Line Application (OLA) System.
 2. Service (SM) and Temporary application forms are available from the campus HR office.
- C. The existence of a criminal conviction does not automatically disqualify an applicant from employment. Supervisors are expected to make good decisions regarding an applicant's background and potential duties and responsibilities to be assigned.
- D. All written and oral offers of employment are conditional based on the completion of the employment, education, license, and criminal history checks and will contain the following statement: "This offer is contingent on the university's verification of credentials and other information required by state law and IU policies, including the completion of a criminal history check."
 1. Employment History, Education, and Licenses: It is strongly recommended that these verifications be completed before making an offer of employment. All verifications should be completed within 30 days of making an offer of employment.
 2. Criminal History & Sex and Violent Offender Registry: These background checks are to be initiated through GIS after acceptance of the conditional offer of employment.
- E. The hiring department can request that GIS perform a check of education history for an additional fee by selecting the Staff/Temporary Check plus Education package.
- F. The hiring process, including the initiation of the E-Doc and the applicant beginning work, may proceed while the various background checks are underway.

II. Employment Criminal Background Check Process

- A. The applicant must complete the **Indiana University Background Check Consumer Disclosure and Consumer Report Consent & Authorization** forms, which gives Indiana University the explicit written consent and authorization of the candidate to conduct a criminal background check.
 - 1. For those positions filled using OLA, the Background Check Consumer Disclosure and Consumer Report Consent & Authorization is part of the process and is completed when an application is submitted online.
 - 2. For positions filled using paper applications, the Background Check Consumer Disclosure and Consumer Report Consent & Authorization forms are completed at time of submission of the paper application.
 - a. The department must receive a paper copy of the selected candidate's signed and dated Background Check Consumer Disclosure and Consumer Report Consent & Authorization prior to conducting the criminal history and sex and violent offender registry checks. A faxed or photocopied form is acceptable. Departments are to maintain the completed Background Check Consumer Disclosure and Consumer Report Consent & Authorization forms with the candidate's application material.
- B. After a conditional offer of employment is made and the department has received the signed forms, the department can obtain the selected candidate's social security number and date of birth.
 - 1. The private information may be collected in person, over the telephone, or in writing from the selected candidate.
 - 2. Due to security concerns, this private information is not to be sent electronically.
- C. The request for a criminal background check is entered on the GIS website by the hiring department's authorized person.

III. Programs Involving Children Background Checks

Programs must ensure that all Faculty and Academic Staff, Staff, Temporary employees, Students, Volunteers, or other personnel who will work with children have been subject to a criminal background check and sex offender registry check within the last five years. Background and sex offender registry checks must be repeated at least every five years thereafter. The background check and sex offender registry check are included in all of the GIS Standard packages. Individual programs or units may require more frequent updates.

Indiana University programs must use GIS, the university-designated vendor to complete criminal background checks for anyone in an employee relationship – staff, faculty, academic, or temporary. IU programs that require background checks for students or volunteers (that are not also employees) may use GIS or require those students or volunteers to pay for their own check using the university-designated vendor Backgroundchecks.com. For programs that do not fall under the definition of “program” for purposes of the policy, e.g. student teaching with an external entity for credit, other vendors may be designated by the external entity.

A. The Programs Involving Children Criminal Background Check Process for GIS

1. Any person who has not signed an electronic **Indiana University Background Check Consumer Disclosure and Consumer Report Consent & Authorization** must complete the hardcopy IU Background Check Consumer Disclosure and Consumer Report Consent & Authorization forms, which gives Indiana University the explicit written consent and authorization of the candidate to conduct a criminal background check.
 - a. The department must receive a paper copy of the selected person's signed and dated Background Check Consumer Disclosure and Consumer Report Consent & Authorization forms prior to conducting the criminal history and sex and violent offender registry checks. A faxed or photocopied form is acceptable. Departments are to maintain the completed Background Check Consumer Disclosure and Consumer Report Consent & Authorization forms. (Departments do not need to collect electronic forms.)
2. After the department has received the signed forms, the department can obtain the social security number and date of birth.
 - a. The private information may be collected in person, over the telephone, or in writing from the selected employee.
 - b. Due to security concerns, this private information is not to be sent electronically.
3. The request for a criminal background check is entered on the GIS website by the department's authorized person.

B. The Programs Involving Children Criminal Background Check Process for Backgroundchecks.com

1. If a student or volunteer, who are not also in an employment role, will be using Backgroundchecks.com, the IU Background Check Consumer Disclosure and Consumer Report Consent & Authorization is included in the account set-up process and departments do not need to collect this information.
2. For Backgroundchecks.com information on processing background checks and departmental record keeping procedures, go to <https://protect.iu.edu/police/pic/backgroundchecks>

IV. Select a background check package based on the Person’s University Category

The person’s IU category and the reason for the background check determines which GIS package should be selected to submit the request. The package selected determines the office that will adjudicate the background check report. See the chart:

| Category | Package | Adjudicator |
|---|--------------------------------------|---|
| Current Academic Employee for Programs Involving Children (PIC) | Academic PIC Standard Package | University Public Safety Office |
| New Hire Academic Employee | Academic Standard Check | Campus Academic Affairs Office (campus HR office at some regional campuses) |
| Student (Non-Academic or Temporary employee) and Volunteer for Programs Involving Children (PIC) | Student/Volunteer PIC Standard Check | University Public Safety Office |
| Staff and Temporary (including Student Temporary) | Staff/Temporary Standard Check | Campus HR office |

V. Becoming an Authorized GIS User

- A. Contact the campus HR or Academic Affairs office and provide the following information for the department's authorized person:
 - 1. First and last name
 - 2. Position title
 - 3. Campus phone number
 - 4. E-mail address
 - 5. Dept. code (i.e. BL-BUS, UA-HUMM)

Authorization for access must come from a member of management within the department.

- B. The campus HR or Academic Affairs office will notify the department's authorized user after the GIS new user request has been submitted. The authorized user will receive two emails from GIS with a User ID and Password.
- C. Once the emails are received, the authorized user can log in to the GIS system.
 - 1. Go to
 - 2. In the User ID field, enter the user ID provided by GIS
 - 3. In the Password field, enter your GIS password (case sensitive)
 - 4. Click on "GO"
 - 5. Once you have successfully logged in to the GIS system for the first time, create a new password

VI. Submitting Requests for Criminal Histories

- A. Detailed instructions for requesting a background check are on the University HR website. Once logged in, the steps are:
1. Click on "Order Reports"
 2. Select the applicable package using the job class menu
 3. Select the employee's work state
 4. Type the employee's SSN
 5. Type in the employee's name, date of birth, contact phone number, email address (if known)
 6. Select the applicable IU Account
 7. Type in the IU Department Code
 8. Type in the Department's billing account code and sub account number (if applicable)
 9. Indicate whether or not the applicant will be working with Programs Involving Children (yes or no)
 10. Select a position type from the "Position Category" dropdown menu
 11. Click on "Next"
 12. Enter the employee's current address and any previous addresses that are known
 13. A summary of the information entered will appear for review (**Note:** It is important to confirm the correct information has been entered before proceeding. Failure to verify the information could lead to additional charges, complications in the billing process, and incomplete or false results.)
 14. Click "Process Order"

VII. Criminal History Background & Sex and Violent Offender Registry Check Results

- A. Upon completion of the background check, GIS will inform the University of the results.
- B. If there are **no court records or SSN Trace issues**, an email will be sent to the person who submitted the request stating the employee "**Meets University Standards-Emp & PIC.**" The department can then proceed with finalizing the hire. (PIC stands for Programs Involving Children)
- C. If the background check results in a **court record or SSN Trace issue** found, the status is "**Pending.**" The adjudicating office will take the following steps:
1. The appropriate office will contact the hiring department to (a) determine if the candidate is already working and (b) obtain the employment application & consent form if not already on file with the campus HR office.
 - a. If the individual is already working, and the conviction was not indicated on the application, he or she will be suspended in accordance with the appropriate university policy until the issue is resolved.
 2. The campus HR office will send a letter to the candidate or employee informing him or her of the results of the background check, along with a copy of the background check report and a statement of his or her rights under the Fair Credit Reporting Act (FCRA).
 - a. The letter can be sent electronically (email) or through the U.S. Postal Service.

- b. The letter or email will state that (a) a conviction has been found, (b) a final decision will be made shortly about the individual's conditional offer of employment, (c) the report may be considered in that decision, and (d) if the individual has any questions about the accuracy of the report, he or she should contact GIS at the provided address.
3. The campus HR office will review the report, compare it with information provided on the individual's application, and discuss the issue with the hiring department.
4. If the GIS report provides a **confirmation** of a conviction reported in the application material, the original hiring decision will be reviewed and a final decision will be made, with the expectation that, in most cases, the hiring will go forward.
 - a. If the offer of employment is confirmed, the hiring department must inform the campus HR office, who will change the individual's status from "**Pending**" to "**Meets University Standards-Emp & PIC or Emp only or PIC only**" on the GIS website.
5. If the GIS report reveals a **falsification** in the application material, the offer of employment will be revoked and the individual will be terminated if already employed.
 - a. If the offer of employment is revoked, either because of a falsification or because the campus HR office and the department concur that it was not an acceptable hiring decision, the campus HR office will inform the candidate of this decision either by letter through the U.S. Postal Service or via email. The letter will state (a) the conditional offer of employment has been withdrawn, (b) the report from GIS may have influenced the decision, and (c) to contact GIS if the candidate wishes to dispute the contents of the report.
 - b. If the offer of employment is revoked, the campus HR office will change the candidate's status from "**Pending**" to "**Does Not Meet University Standards**" on the GIS website.
- o NOTE: The contents of all letters are prescribed by the FCRA.

D. Social security trace

1. If the social security trace could not be completed due to a lack of credit information:
 - a. The department's authorized person should verify the social security number was entered correctly by contacting GIS customer service and, if not, resubmit the request. The department will be charged for a second background check request.
 - b. If the SSN was entered correctly, the hiring department should contact the candidate to verify the number or and, if there was an error, resubmit the request. The department will be charged for a second background check request.
 - c. If the candidate has a credit block with the credit bureau which prevents the SSN trace from being completed the department must ask the candidate to remove the credit block temporarily so that the SSN trace can

be completed. The department must resubmit the background check once the credit block has been removed. The department will be charged for a second background check request.

- d. If the social security trace cannot be completed because the candidate has not yet established any type of credit history the background check is based on the address provided by the candidate

E. SSN trace for new hires

1. If the social security trace cannot be completed because the candidate has not yet established any type of credit history, an employment offer can proceed with significant attention given to the I-9/E-Verify process.
 - a. The department must notify the campus HR office of the results of the I-9/E-Verify process.
 - b. The campus HR office will change the candidate's status from "**Pending**" to "**Meets University Standards-Emp & PIC**" on the GIS website if the I-9/E-Verify final results authorized the person to work in the U.S.
 - c. The campus HR office will change the candidate's status from "**Pending**" to "**Does Not Meet University Standards**" in the GIS website if the I-9/E-Verify final results are that the person is not authorized to work in the U.S.
 - d. Important note: If the person receives a "**Tentative Non-Confirmation**" (TNC) result from E-Verify and elects to contest the TNC, the person must be allowed to work during the appeal process until the U.S. Department of Homeland Security makes a final decision.
2. If the issue cannot be satisfactorily resolved with a verifiable social security number (e.g., due to the applicant providing a false number or having a credit history under another name), the department will receive a message from GIS indicating the discrepancy.
 - a. If the I-9/E-Verify process has not yet been initiated, complete and submit the I-9 to E-Verify. Notify the campus HR office of the I-9/E-Verify results and follow the same procedures as described above in "Social Security trace."

VIII. Billing

- A. Each month, GIS will submit a bill to University Human Resources for the previous month's requests. The bill will contain the name of each individual for whom a check has been performed and the cost of that check. University HR will sort the requests by university account number and charge the appropriate accounts.