



Pre-Employment Screenings SOP

SOP 08.05.01

Effective Date: January 31, 2020

1.0 Standard Operating Procedure (SOP) Purpose

The purpose of this SOP is to define the process of background screening potential employees.

2.0 SOP

All individuals offered a staff position at Brown University will undergo a criminal history check post-offer, pre-employment. The check will include at a minimum a Social Security number trace, county courthouse review, National Sex Offender check and National Widescreen check.

Additional screening may apply to all applicants who have been offered certain positions identified by the University as having duties which include a risk of physical harm, financial or research loss and/or other harm to the University. Some of the criteria for identifying a position/function as possibly requiring additional checks include, but are not limited to:

- Direct responsibilities for the care, safety, and/or security of humans and/or access to residences or other facilities identified as high risk.
- Direct responsibility for handling or managing cash or credit card information.
- Direct access to or responsibility for controlled substances.
- Responsibility as part of job duties for operating vehicles that could cause injury or accidental death.
- A requirement for a certificate, professional license or accreditation.
- Federal or state mandate.

2.1 Process

Brown University may engage a third-party partner to conduct background screening checks.

- Where a third party conducts all or any portion of a background check, the University will comply with the requirements of the Fair Credit Reporting Act.
- Job postings must identify the specific employee screening checks which will be required for the position.
- Applicants will be informed during the pre-employment process that selection is subject to completion of background screening with results acceptable to the university, and which background check(s) would apply.
- Prior to conducting the background check(s), an electronic consent will be obtained from the prospective employee for the position.
- The information obtained through employee screening checks will be maintained electronically in University Human Resources (UHR).
- Pre-employees who have accepted an offer of Brown employment and consented to a criminal history or other background check will be permitted to provide responsive information regarding their criminal conviction record and other background records, including evidence of rehabilitation, character, educational achievements, length of time since the last criminal conviction, and other extenuating circumstances.

2.1.1 Motor Vehicle Records (MVR)

Finalists for positions requiring driving responsibilities or operation of University vehicles (owned, rented or leased) are subject to a background check of their motor vehicle records. Driving records will be reviewed solely for the purpose of evaluating an applicant's suitability for employment, promotion or transfer.

Employees in positions requiring driving responsibilities or operation of University vehicles (owned, rented or leased) must complete the Request for Driver Authorization & Training form. The hiring department should contact the Office of Insurance and Purchasing to determine license requirements. The process for completing the form includes a visual inspection of the individual's valid United States drivers' license and written acknowledgement that the University may obtain the motor vehicle record of the applicant or employee from the licensing state on a periodic basis. Employees must adhere to the prompt reporting requirements regarding changes in status of license.

Finalists for positions requiring a Commercial Driver's License (CDL) must demonstrate that they will be eligible to obtain such a license upon employment. Employees in positions requiring a CDL will be subject to the federal and state laws governing the requirements for such licenses (e.g., drug screening and physical exams). MVR checks will be performed annually for drivers required to maintain CDL licenses as part of their Brown job responsibilities.

2.1.2 Educational Credentials and Licensing Checks

Academic credentials and/or professional licensing/certification, as required for the position, will be verified by either UHR or the hiring department.

2.1.3 Substance Screening

Finalists for positions which have been identified as having access to controlled substances and not subject to professional credentialing (e.g., pharmacists, physicians, nurses), or as required by federal regulation, will be screened for controlled substances. Supervisors and managers should contact UHR if they believe the position requires a drug screening. UHR shall make a determination on behalf of the University. If a drug screening is appropriate, UHR will make arrangements for the drug screening by a third-party agency. Such tests will be administered in accordance with RI and/or federal law.

2.2 Special Considerations

Any staff member being transferred or promoted will not be required to go through the background screening process if there is a satisfactory check on file that meets the requirements of the new position. Additional screenings may be required due to the nature and responsibilities of the new position.

Seasonal/Intermittent Employees returning to work the following season/cycle are not required to go through another background screening. If there is a break in service or a cycle where the employee does not return a new background check must be completed prior to returning to work.

3.0 Definitions

For the purpose of this SOP, the term below has the following definition:

Post Offer, Pre-Employment: After an offer of employment has been extended and accepted but before employment has commenced.

4.0 Responsibilities

All individuals to whom this SOP applies are responsible for becoming familiar with and following this SOP. University supervisors are responsible for promoting the understanding of this SOP and for taking appropriate steps to help ensure compliance with it.

5.0 Related Information

The following information compliments and supplements this document. The information is intended to help explain this SOP and is not an all-inclusive list of policies, procedures, laws and requirements.

5.1 Related University Policies:

- Pre-Employment Screenings Policy
- Drugs in the Workplace
- Hiring Employees for Staff Positions
- safeDRIVE: Policy and Procedures for Driver Safety and Motor Vehicle Use

5.2 Related SOPs:

- Hiring Employees for Staff Positions

5.3 Related Forms:

- Request for Driver Authorization & Training Form

5.4 Frequently Asked Questions (FAQs): N/A

5.5 Other Related Information:

- Fair Credit Reporting Act
- Rhode Island Fair Employment Practices Act

6.0 SOP Owner and Contact

6.1 SOP Owner: Vice President for Human Resources

6.2 SOP Approved by: Vice President for Human Resources

6.3 Contact Information: Director, Recruitment and Staffing Operations

- Telephone: 401-863-1785
- Email: universityhr@brown.edu

7.0 SOP History

7.1 SOP Effective Date: January 31, 2020

7.2 SOP Last Reviewed: N/A

7.3 SOP Update/Review Summary: Formatted to comply with the new University SOP Template.