

BACKGROUND CHECK OVERVIEW

Background checks are conducted on volunteers and final candidates for critical staff and student positions, and may include investigation of a candidate or appointee's state and FBI criminal history summary. This information is obtained through California Department of Justice (DOJ) Live Scan Fingerprinting. Live Scan is a system for the electronic submission of applicant fingerprints and the subsequent automated background check and response. Live Scan technology replaces the process of recording an individual's fingerprint patterns manually through a rolling process using ink and a standard 8"X8" fingerprint card. DOJ coordinates other electronic processes resulting from the automated submission of fingerprints, including FBI criminal history checks.

The UCSC Live Scans are conducted by Campus Mail Services.

Mail Services/Live Scan Hours of Operation:

- Walk-ins: Monday, Tuesday & Thursday: 9am-1pm
- Appointments: Monday: 1pm-3pm; Wednesday & Friday: 9pm-Noon

*Call 459-2764 to make an appointment or discuss possible appointment times outside the above schedule.

Staff Human Resources Employment accesses Live Scan results via a secure website.

Contact Lori Castro at x2960; lhcastro@ucsc.edu for information on the background check process for individuals working or volunteering outside of California or persons with disabilities precluding them from going through the DOJ LiveScan process.

PROCESS OVERVIEW

Following is an overview of the UCSC Live Scan Fingerprint Background Check process. For information on the campus's Background Investigation Policy including critical position designation¹ contact Lori Castro, SHR Employment Manager (lhcastro@ucsc.edu or 459-2960).

INITIAL LIVE SCAN FINGERPRINT BACKGROUND CHECK

- Applicant/employee/volunteer
 - Completes Section I of both the [Background Investigation Request \(BIR\)](#) and the [Live Scan Service Request](#) forms
- Staff Human Resources (SHR) Service Team Representative
 - Schedules Live Scan appointment with Campus Mail Services.
 - Completes Section II of the [BIR](#); routes original to SHR Employment and provides a copy to the applicant/employee/volunteer.

NOTE: individual must provide Social Security number and picture ID at time of appointment.

¹ Critical Functions Guide is available at <http://shr.ucsc.edu/shr-procedures/section-c/c18.pdf>.

- Completes Section II of the [Live Scan Service Request](#); routes original to Mail Services *prior* to appointment; retains a copy for their file.
- Mail Services
 - Enters data from [Live Scan Service Request](#) into DOJ database prior to appointment.
 - Conducts Live Scan and transmits data to California Department of Justice. NOTE: Social Security number and the individual's identity must be verified at the time of appointment or Live Scan will be rescheduled.
 - Completes Section III of the [Live Scan Service Request](#). Routes copy to Service Team Representative. Original is routed to SHR Employment after DOJ Billing statement is received.
- SHR Employment
 - Reviews DOJ web site on a daily basis and responds immediately to any results containing conviction history.² Conviction information is relayed to Labor Relations and Senior Human Resource Partner within the SHR Service Team via phone or in person.
 - Notifies Service Team Representative via email when DOJ results contain no criminal history. Results containing no criminal history will be processed weekly.³
- Senior Human Resource Partner:
 - Consults with Hiring Authority when criminal history is revealed.
- Hiring Authority:
 - Reviews DOJ results and makes final decision regarding individual's suitability for employment in the critical position.⁴
 - Communicates decision to Senior Human Resource Partner.
- Senior Human Resource Partner instructs the Service Team Representative to:
 - Complete Section I of the DOJ [No Longer Interested \(NLI\)](#) form and routes to SHR Employment when final decision is to not hire or place into a critical position.

OR

- Update the [Employee Background Check \(EBCC\)](#) screen in the Payroll/Personnel System (PPS).
- Notify the Employment Background Check Coordinator of decision to retain employee.
- Destroy all hard copy and electronic documentation related to the Live Scan process.

² A delay in response may occur if BIR has not been properly routed.

³ SHR Employment normally receives an initial response from DOJ within 3-5 business days after Live Scan was transmitted. On occasion, DOJ will respond with a "delay" notice. DOJ delay periods vary and have been known to last 6 months or longer.

⁴ Consultation with Labor Relations, Campus Police, Risk Management and other areas of Staff Human Resources may be necessary to determine suitability of employment in critical position when criminal history is revealed.

- SHR Service Team Representative:
 - Notifies Hiring Authority when DOJ results reveal no criminal history.
 - Updates the [Employee Background Check \(EBCC\)](#) screen in the Payroll/Personnel System (PPS).
 - Destroys all hard copy and electronic documentation related to the Live Scan process.
- SHR Employment:
 - Uses original [BIR](#) and Live Scan Service Request forms to verify accuracy of DOJ Billing statement; notifies Mail Services of any discrepancies.
 - Maintains records in accordance with campus **Records Retention Guidelines**, and applicable State and Federal laws.

SUBSEQUENT CONVICTION NOTICE PROGRAM

UCSC employees and volunteers in critical positions must immediately report any subsequent convictions to his/her direct supervisor. Failure to do so may be sufficient reason to take disciplinary action up to and including dismissal. In addition, the DOJ will notice the University when an individual who previously underwent a Live Scan background check has subsequent conviction activity.

- Employee/volunteer in critical position:
 - Immediately reports any subsequent convictions to his/her direct supervisor.
- SHR Employment:
 - Receives subsequent notice from DOJ; notifies Labor Relations and Senior Human Resource Partner within the SHR Service Team via phone or in person.
- Senior Human Resource Partner:
 - Consults with Hiring Authority.
- Hiring Authority:
 - Reports subsequent convictions for individuals in cash handling positions to the Campus Risk Manager.⁵
 - Reviews DOJ results and makes final decision regarding individual's suitability for employment in the critical position.⁶
 - Communicates decision to Senior Human Resource Partner.
- Senior Human Resource Partner instructs the Service Team Representative to:
 - Complete Section I of the DOJ [No Longer Interested \(NLI\)](#) from and routes to SHR Employment when final decision is to not hire or place into a critical position.

OR

⁵ <http://www.ucop.edu/ucophome/policies/bfb/bus49.html>

⁶ Consultation with Labor Relations, Campus Police, Risk Management and other areas of Staff Human Resources may be necessary to determine suitability of employment in critical position when criminal history is revealed.

- Update the [Employee Background Check \(EBCC\)](#) screen in the Payroll/Personnel System (PPS).
 - Notify Employment Background Check Coordinator of decision to retain employee.
 - Destroy all hard copy and electronic documentation related to the Live Scan process.
- SHR Employment:
 - Maintains records in accordance with campus **Records Retention Guidelines**, and applicable State and Federal laws.

EMPLOYEE/VOLUNTEER NO LONGER IN A CRITICAL POSITION

The University is required by law to notify the California Department of Justice when we no longer require subsequent conviction information for an employee or volunteer. This applies to employees or volunteers who separate from the University or move into a non-critical position.

- SHR Service Team Representative:
 - Completes Section I of the [DOJ NLI](#) form and routes to SHR Employment.
- SHR Employment:
 - Completes Section II of the [NLI](#) and routes to DOJ.
 - Maintains records in accordance with campus **Records Retention Guidelines**, and applicable State and Federal laws.