Selection and Appointment
University of California (PPSM-21)
Update on UC Santa Cruz Implementation
What Has Changed?

● The Office of the President (OP) recently revised staff policy, *Selection and Appointment - PPSM 21*. The Policy section that has been revised relates to the disclosure of and response to prior conviction history per the recent “Ban the Box” legislation (AB 1008).
  ○ Most notably, Livescan background checks are now required prior to appointment of candidates into positions responsible for performing critical functions. *This does not apply to non-critical positions.*

● The policy was effective January 1, 2018. We have modified our procedures to comply with these policy updates and will adhere to new requirements effective September 17, 2018 for all staff.
  ○ Procedure changes for all student employees will be deployed at a later date.
What Has Changed?

- Per policy, Staff Human Resources (SHR) shall now be solely responsible for the assessment and final determination of employment eligibility for candidates returning potentially disqualifying information, SHR will not disclose the specifics or nature of potentially disqualifying information to hiring units at any point in the assessment, hiring, or employment processes.

- Hiring units are encouraged to continue reaching out to their top candidate to inform them of the next steps. The conditional (previously called the informal) offer comes from Staff HR. The background check cannot start until this offer is made. Once the conditional offer prompts a background check and the results are subsequently received and assessed by SHR, the formal offer can then be extended.

- If the background check contains potentially disqualifying information (PDI), Staff Human Resources will determine the appropriate course of action and inform the hiring manager of the decision.
Assessment Process:

- **Step 1:** The SHR Business Administration, Process, Policy and Resource (BAPPR) team will receive the Background Check (Livescan) results from the Department of Justice (DOJ).

- **Step 2:** If the results contain potentially disqualifying information (PDI), the information will be routed to the appropriate Employee Relations (ER) Analyst who will then determine whether or not the information warrants convening the “Assessment Team (A Team)”.
  - This team is comprised of a member from ER, Talent Acquisition (TA), and the BAPPR teams.

- **Step 3:** If the PDI does not warrant further assessment, the ER analyst will indicate that the hire can proceed. If the PDI does warrant analysis, the A Team admin will send a delay notice to the unit and TA while the A Team convenes to assess the PDI.
Assessment Process:

- **Step 4:** When the A Team meets to review the PDI, they will assess said PDI based on the criteria dictated by policy. The A Team may also request additional information from the candidate.

- **Step 5:** If the A Team determines that the PDI does not present risk/nexus to the critical functions of the position which would disqualify the candidate, no disclosure of the PDI will be made to the unit or candidate and the formal offer may be finalized.

- **Step 6:** If the PDI presents a risk/nexus which disqualifies the candidate from employment eligibility the candidate will be provided a copy of the PDI and applicable appeal entitlements. If the candidate does not provide sufficient mitigating information, the candidate, the unit, and TA are informed that the candidate has been disqualified from employment and the conditional offer is rescinded.
Key Highlights

- This new process will now prevent the need to duplicate background checks in many instances, as SHR can process a hire without an additional background check if the employee has already been cleared for the critical functions associated with the new position. These clearances are documented in a secure database maintained by SHR.
Key Highlights

Best Practices for Retaining Candidates:

- Stay in frequent contact with your candidate in order to prevent them from withdrawing candidacy during the Livescan receipt and assessment period.
- Consult with TA for guidance in how to retain candidates.
- Remember that a delay in Livescan results does not always signify PDI, but could be related to a variety of regional and record retention factors.
  - Reasons delays can occur can be due to poor fingerprint quality, incorrect data submitted on the electronic transaction, or the applicant living in different states.
Questions?

Please contact the SHR BAPPR team at background-check-group@ucsc.edu