

## **POLICY ON PRE- AND POST-EMPLOYMENT BACKGROUND CHECKS**

University of Maine System Chancellor's Office  
and Systemwide Services

Appropriate background checks will be conducted by the System Office of Human Resources for employees hired by any department of the University of Maine System Chancellor's Office/Systemwide Services (including Information Technology Services, University College Centers, and SWS).

### **I. TYPES OF BACKGROUND CHECKS**

The following types of background checks will be conducted:

- A. Verification of educational degree and/or license certification when required by the job description for the position being filled. All educational degrees listed on the employee's resume or application will be confirmed.
- B. Driving record check for positions that require driving as an assigned duty (not driving incidental to attending meetings).
- C. Credit history check for financially sensitive positions.
  - 1) **Financially Sensitive** positions include those with significant access to University assets (such as cash or cash equivalents, inventories, employee compensation) in areas such as finance, accounting, purchasing, human resources, internal audit, and departments with a cash-receiving component.
  - 2) **Highly Financially Sensitive** positions are those where the employee oversees and checks the work of other financially sensitive positions or the employee is responsible for large financial transactions.
- D. Criminal records check for:
  - 1) Financially sensitive positions.
  - 2) Highly financially sensitive positions.
  - 3) Positions where the employee has a grand master key providing access to all facilities.
  - 4) Positions that regularly require a work schedule when few or no other employees are present in the workplace.

## II. CATEGORIES OF PERSONNEL ACTIONS

Background checks will be conducted when the following personnel actions occur:

- A. All new regular and temporary employees: All background checks as required by the position description.
- B. Transfers and promotions (*whether a search was conducted or not*):
  - Education/License: Educational degrees and license certification will not be reconfirmed for internal candidates if previously conducted and documented in the employees' personnel file. However, if the requirements of the new position differ from the prior position or documentation does not exist in the personnel file, educational degree and/or license certification will be confirmed.
  - Credit and/or Criminal: Credit and/or criminal checks will be conducted for internal candidates when an employee who was not previously in a financially sensitive or highly financially sensitive position moves to such a position. Credit and/or criminal checks will also be conducted when an internal employee previously in a financially sensitive position moves to another financially sensitive or highly financially sensitive position.

## III. PROCEDURES

- A. Appointment letters for new hires and internal transfers/promotions resulting from a search will normally be sent after the satisfactory results of the background checks have been received.
- B. The Office of Human Resources will inform the hiring supervisor in writing of the results of background checks and will send a copy to the employee and personnel file.
- C. Documentation regarding completed background checks will be retained in a confidential file to restrict access by others who may appropriately need to access the personnel file. (If an employee asks to review his or her personnel file, the employee should have the opportunity to review both the "official" personnel file and separate file containing the background check reports.)