



## Compliance Component

| DEFINITION  |  |
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| <i>Name</i>   | Background Screening   |
| <i>Description</i>                                  | Background screening is a review of a potential or current employee's record for criminal convictions, traffic violations, credit history, etc.  |
| <i>Rationale</i>                                    | Background screening is an important step in determining whether a particular individual is acceptable for a given position.   |
| <i>Benefits</i>                                     | <p>Agencies utilize employee background screenings to:</p> <ul style="list-style-type: none"> <li>• Promote a safer, more productive workplace</li> <li>• Decrease internal theft</li> <li>• Prevent workplace violence</li> <li>• Reduce potential liabilities</li> <li>• Combat resume fraud</li> <li>• Decrease turnover</li> <li>• Promote a drug-free workplace</li> <li>• Meet regulatory compliance standards</li> </ul>  |
| ASSOCIATED ARCHITECTURE LEVELS                      |  |
| <i>Specify the Domain Name</i>                      | Security   |
| <i>Specify the Discipline Name</i>                  | Management Controls  |
| <i>Specify the Technology Area Name</i>             | Personnel Security   |
| <i>Specify the Product Component Name</i>           |  |
| COMPLIANCE COMPONENT TYPE                           |  |
| <i>Document the Compliance Component Type</i>       | Guideline  |
| <i>Component Sub-type</i>                           |  |
| COMPLIANCE DETAIL                                   |  |
| <i>State the Guideline, Standard or Legislation</i> | <p>The exact type and frequency of background screening that takes place depends upon the sensitivity of the position and applicable agency regulations.</p> <p>Screening shall not be conducted by the prospective employee's manager. The background screener should consult the agency security and personnel officers for agency-specific guidance.</p> <p>The basic screening technique involves;</p> <ul style="list-style-type: none"> <li>• a check for a criminal history,</li> </ul> |

|                                    |  |                |   |
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|                                    | <ul style="list-style-type: none"> <li>• a person's work and educational history,</li> <li>• Other state or federal indices.</li> </ul> <p>More extensive background screening examines other factors, such as;</p> <ul style="list-style-type: none"> <li>• checking of FBI fingerprint records,</li> <li>• credit history,</li> <li>• personal interview,</li> <li>• history of possession or use of illegal substances</li> <li>• interviews with current and former colleagues, neighbors, and friends.</li> </ul> <p>Finding something compromising in a person's background does not necessarily mean they are unsuitable for a particular job. A determination should be made based on the type of job, the type of finding or incident, and other relevant factors.</p> <p>The appropriate investigation shall be requested by the agency to ensure the screening of all individuals including non-agency individuals, (e.g. contractors, volunteers, work-studies) before they are granted access to sensitive data or are allowed to participate in the design, operation or maintenance of sensitive information systems.</p> <p>An agency shall not accept criminal history record information directly from the subject of the record, as there would be no way to verify that the information contained on the record had not been altered.</p> <p>All materials gathered as a result of the background screening will be maintained separately as a closed personnel record pursuant to Section 610.021 RSMo. A notation that the check was completed shall be made in the employee's personnel file.</p> <p>All background screenings shall be conducted in a non-discriminatory manner.</p> <p>Nothing in this policy shall be construed to authorize the violation of the Civil Rights Act of 1964, or any other federal, state, or local law governing fair hiring practices.</p> <p>Criminal history information will be obtained and submitted to Human Resources. Human Resources will maintain all information obtained through any criminal history check.</p> <p>The agency shall conduct a refresher screening upon a change of employee responsibility and at any additional time as deemed appropriate.</p> <p>Note: It is more effective to use separation of duties and access control, than relying solely on screening to reduce the risk to the agency.</p> |                |   |
| <i>Document Source Reference #</i> | NIST SP 800-12, Rev. 1 - An Introduction to Computer Security<br>NIST SP 800-53, Rev. 5 – Security and Privacy Controls for Information Systems and Organizations  |                |   |
| <b>Compliance Sources</b>          |  |                |   |
| <i>Name</i>                        | National Institute of Standards and Technology (NIST), Computer Security Resource Center (CSRC)  | <i>Website</i> | <a href="http://csrc.nist.gov/">http://csrc.nist.gov/</a> |

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|---------------------------------|---|--|--|
| Contact Information             | <a href="mailto:inquiries@nist.gov">inquiries@nist.gov</a>  |  |  |
| Name                            |   | Website  |  |
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| <b>KEYWORDS</b>                 |   |  |  |
| List Keywords                   | Criminal, traffic, credit, fingerprints, investigations, personnel, separation of duties, access control, felony, misdemeanor, candidate, employee. |  |  |
| <b>COMPONENT CLASSIFICATION</b> |   |  |  |
| Provide the Classification      | <input type="checkbox"/> Emerging   | <input checked="" type="checkbox"/> Current      | <input type="checkbox"/> Twilight <input type="checkbox"/> Sunset              |
| Sunset Date                     |   |  |  |
| <b>CURRENT STATUS</b>           |   |  |  |
| Provide the Current Status      | <input type="checkbox"/> In Development   | <input checked="" type="checkbox"/> Under Review | <input checked="" type="checkbox"/> Approved <input type="checkbox"/> Rejected |
| <b>AUDIT TRAIL</b>              |   |  |  |
| Creation Date                   | 04/13/2006  | Date Approved / Rejected                         | 06/13/06   |
| Reason for Rejection            |   |  |  |
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| Reason for Update               |   |  |  |