



Compliance Component

DEFINITION

<i>Name</i>	Background Screening
<i>Description</i>	Background screening is a review of a potential or current employee's record of criminal convictions, traffic violations, credit history, etc.
<i>Rationale</i>	Background screening is an important step in determining whether a particular individual is suitable for a given position.
<i>Benefits</i>	<p>Agencies utilize employee background screenings to;</p> <ul style="list-style-type: none"> • Promote a safer, more productive workplace. • Decrease internal theft • Prevent workplace violence • Reduce potential liabilities • Combat resume fraud • Decrease turnover • Promote a drug-free workplace

ASSOCIATED ARCHITECTURE LEVELS

<i>List the Domain Name</i>	Security
<i>List the Discipline Name</i>	Management Controls
<i>List the Technology Area Name</i>	Personnel Security
<i>List 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 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>Depending on the sensitivity of the information to be handled, the risk and magnitude of loss or harm; the level of screening required varies from minimal checks to a full background investigation.</p> <p>The basic screening technique involves;</p> <ul style="list-style-type: none"> • a check for a criminal history,
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- checking FBI fingerprint records,
- other state or federal indices.

More extensive background screening examines other factors, such as;

- a person's work and educational history,
- credit history,
- personal interview,
- history of possession or use of illegal substances, and
- interviews with current and former colleagues, neighbors, and friends.

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.

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.

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.

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. Sup. 2001 as amended. A notation that the check was completed shall be made in the employee's personnel file.

All background screenings shall be conducted in a non-discriminatory manner.

Nothing in this policy shall be constructed to authorize violation of the Civil Rights Act of 1964, or any other federal, state, or local law governing fair hiring practices.

Criminal history information will be obtained and submitted to the Division Director or comparable person of authority. The Division Director (or comparable person of authority) will maintain all information obtained through any criminal history check.

The agency shall conduct a refresher screening upon a change of employee responsibility and at any additional time as deemed appropriate.

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.

Standard Organization			
Name		Website	
Contact Information			
Government Body			
Name	National Institute of Standards and Technology (NIST), Computer Security Resource Center (CSRC)	Website	http://csrc.nist.gov/
Contact Information	inquiries@nist.gov		
KEYWORDS			
List all Keywords	Criminal, traffic, credit, fingerprints, investigations, personnel, separation of duties, access control, felony, misdemeanor, candidate, employee.		
COMPONENT CLASSIFICATION			
Provide the Classification	<input type="checkbox"/> Emerging <input checked="" type="checkbox"/> Current <input type="checkbox"/> Twilight <input type="checkbox"/> Sunset		
Rationale for Component Classification			
Document the Rationale for Component Classification			
Conditional Use Restrictions			
Document the Conditional Use Restrictions			
Migration Strategy			
Document the Migration Strategy			
Impact Position Statement			
Document the Position Statement on Impact			
CURRENT STATUS			
Provide the Current Status	<input type="checkbox"/> In Development <input type="checkbox"/> Under Review <input checked="" type="checkbox"/> Approved <input type="checkbox"/> Rejected		
AUDIT TRAIL			
Creation Date	04/13/2006	Date Accepted / Rejected	06/13/06
Reason for Rejection			
Last Date Reviewed		Last Date Updated	
Reason for Update			