THE DUKE UNIVERSITY
GUIDE TO
BACKGROUND CHECKS

This document contains policies, instructions, guides, and rules for how background checks are conducted currently and beginning January 15, 2014.

Duke Human Resources

Contact the HRIC for questions:

by phone at 919-684-5600

online at www.hr.duke.edu/about/feedback

or by email at hr@duke.edu
Table of Contents

Contents

Background Check Policy ............................................................................................................. 2
New Hire Scenarios .................................................................................................................. 3
Background Check Communications: ...................................................................................... 4
Contact HR Directly if: ............................................................................................................ 6
Background Check FAQ’s .......................................................................................................... 7
Key Terms .................................................................................................................................. 9
Background Check Policy

All applicants who have been recommended for hire must complete a criminal conviction investigation check and government sanction check. Based on a job classification's hiring requirements, some positions require further background investigation (motor vehicle, academic, licensure, credit, etc.).

- As a condition of employment, the applicant is required to complete a form that authorizes Duke to have a criminal conviction investigation performed. If the applicant does not complete the form - or if the results of the investigation are unsatisfactory - employment will not be extended.

- Duke currently conducts pre-employment criminal background checks on all regular and temporary staff, athletic coaches, clinical faculty through the credentialing process, and faculty involved with certain research projects (i.e. select agents). The staff policy has been in existence dating back to the 1980s.

- Temporary employees employed through outside agencies receive background checks.

- Non-Duke employees, such as individuals employed through athletic camps, receive background checks.

- Beginning January 15, all newly hired, paid, non-student employees will go through the Duke Background Check process (Offer letters after January 15).

- All staff and clinical faculty that were subject to background checks prior to the go-live date will continue with their current practice.

- All new hires at Duke University will undergo criminal background checks before entering the payroll system. 95% of the background checks come back clean.
New Hire Scenarios

There are three main hiring scenarios at Duke. Each new hire scenario has a separate process to accommodate differences in the type of position being filled and the system used to initiate the hire. All use our outside background check vendor, InfoMart.

1. **Staff hired through Brass Ring** - This scenario makes up 60% of all new hires. The current process for this scenario has been in place since 2012 (see process map #1). Note that this scenario sends an **automated** letter to the candidate upon reaching the verbal offer step (see letter to staff hired through Brass Ring on page #4)).

2. **Faculty hired through dFac** - this scenario includes all non-clinical faculty entered through the dFac new hire faculty form (see process map #2).
   
   a. The faculty form will send the link to the background check to the faculty member.
   
   b. The background check must be cleared as part of the approval process before the hire form can be completed.
   
   c. Decisions about clearing the background check are made in central Human Resources in conjunction with the Provost Office.
   
   d. The process for hiring Clinical Faculty remains the same.

3. **Staff or Faculty that do not go through Brass Ring or dFac to initiate the hiring process** – this scenario usually includes Job Family 27 and 29. The department will need to initiate a background check request form to the candidate using the iForm “Initiate Background Check” (see process map #3).
Background Check Communications

It is important that our candidates fill out the background check application on-line at our vendor site. Our background check vendor, InfoMart, has security measures in place to protect the sensitive, identifying data candidates are required to submit. Here are the actual letters automatically sent to candidates for the three different types of hires. Please share this information when you extend the employment offer so the candidate expects to see this email and will complete their part of the process as required.

**STAFF HIRED THROUGH BRASS RING**

Congratulations on making it to the next step of employment to Duke. As may have been explained by your hiring manager, all employment opportunities at Duke University and Duke University Health System are subject to a criminal background history check.

It is very important that you fill out this background check request within 48 hours of receiving this email.

Please click here to begin your background check:

**If you are unable to complete this request within 48 hours, you must contact your hiring manager**

If you do not have access to a computer, public computers are available at several locations: (Locations listed).

**FACULTY HIRED THROUGH DFAC**

To: Faculty member  
From: Duke University  
Re: Background check for Duke University

As stated on your offer letter, your offer is contingent upon successful completion of Duke University’s criminal background history check. This background check must be initiated by you, using the following link, within 48 hours of receiving this email. This secure background check process requires the following information to be submitted in one session:
* your name
* social security number
* date of birth
* gender
* current address and personal email address
* prior addresses for the last 7 years
* history of felony or misdemeanor charges (Yes/No)

Please click here to begin:

If you are unable to complete this request in the next 48 hours, please inform your Duke school or department contact person right away.

Thank you for submitting your background check.
Congratulations on making it to the next step of employment to Duke. As may have been explained by your hiring manager, all employment opportunities at Duke University and Duke University Health System are subject to a criminal background history check.

It is very important that you fill out this background check request within 48 hours of receiving this email.

Please click here to begin your background check:

**If you are unable to complete this request within 48 hours, you must contact your hiring manager**

If you do not have access to a computer, public computers are available at several locations: (Locations listed).

After the candidate receives one of the letters above and completes the online background check, the requisition team can expect to receive communication from InfoMart to provide updates on the status.

**Submission Status Notification:**

InfoMart will send an email notification to the recruitment team when an applicant completes and submits the online background check authorization.

The department can see if the candidate has submitted the application. This can be found under: iForms\Reporting\HR Reports\Candidate Invited But not Submitted, and includes the applicant’s name, requisition number, email address, date sent, and notification status.
Contact HR Directly if:

1. The employee’s position requires a non-standard background check i.e. an educational, financial or motor vehicle check.

2. The employee is a returning employee due to a termination error or as the result of a legal or employment appeal.

3. Whenever you need assistance or have questions about the background check process.
Background Check FAQ’s

**General**

**Why does it take 2-10 days to get a Background Check result back?**

Different agencies and offices reporting Background Check results will have different processes and if the employee lists out of state addresses and several different county addresses the amount of time to receive results back from all locations will vary. The amount of time will depend on the specific processes of the listed counties/states.

**How do I know if the candidate filled out the authorization form?**

There is a report that can be accessed through the Duke@Work site. Go to iForms/Reporting/HR Reports/Candidate Invited But not Submitted. This report will show who has been sent an invitation, but has not filled out the authorization.

**Will the hiring manager get to see the Background Check results?**

No. Results will be returned electronically and any results that have nothing listed will be cleared automatically in iForms or Brass Ring. In the event that something is received on the Background Check result the Background Check center in Recruitment will review the specific offenses listed and follow the current process of contacting the department as appropriate.

**How will special populations that do not go through Brass Ring be handled?**

There is a special iForm to launch to invite certain positions. The results are returned electronically and other processes are the same. All positions must have a background check to be approved.

**Do individuals who do not have a social security or social insurance need to have a Background Check completed?**

A valid social security (U.S.) or social insurance (Canada) number is required to run a criminal background check through InfoMart. Foreign nationals without a social security number will still require a government sanctions verification administered manually through the OIG and EPLS websites.

**What about Job Family 27?**

Jobs in this job family are required to go through the criminal background check process. The department will need to initiate a background check request form to the candidate using the iForm “Initiate Background Check” (see process map #3).

**What about Zero Rates of Pay?**

All individuals put into the payroll system are subject to a criminal background check.
Why does the invitation say you only have 48 hours to complete the request?
After 5 days the link in the e-mail invitation expires. We have asked they try to comply in 48 hours to speed the hiring process. If the invitation link expires, another invitation will need to be sent.

Faculty Background Checks
Will the hiring manager get to see the Background Check results?
No. Results will be returned electronically and any results that have nothing listed will be cleared automatically in iForms. In the event that something is received on the Faculty background check result the Background Check center in Recruitment will review the specific offenses listed and follow the current process of contacting the department as appropriate. In the event that something is listed on a Regular-Rank Faculty candidate a decision will be made in consultation with the Office of the Vice President of Administration and/or the Office of the Provost.

What about Clinical Faculty?
Clinical faculty members go through a vigorous but separate background check process that includes a criminal background check.

What about Zero Rates of Pay?
All individuals put into the payroll system are subject to a criminal background check.
Key Terms

**Fail**: background check result that keeps Duke from hiring the applicant and where the applicant's HR status is updated to DNI-Duke Not Interested. Generally, candidates who have lied about background and credentials or have been convicted of felonies will result in a failed status.

**Fair Credit Reporting Act (FCRA)**: The FCRA is the central law that regulates the practice of background screening. Provisions within the Act require that employers notify applicants that a background check will be performed for employment purposes and that the applicant agrees to the search.

**Government Sanction**: An important search for health care providers as the Congress of the United States established a Civil Monetary Penalty for institutions that knowingly hire excluded parties. Includes the GSA/OIG - Office of Inspector Generals (OIG), List of Excluded Individuals/Entities. Determines if a person has been excluded from participation in the Medicare, Medicaid and all Federal health care programs.

**InfoMart**: applicant-screening company contracted by Duke to perform background checks.

**Joint Commission on Accreditation of Healthcare Organizations (JCAHO)**: a private nongovernmental agency that establishes guidelines for the operation of hospitals and other health care facilities, conducts accreditation programs and surveys, and encourages the attainment of high standards of institutional medical care in the United States.

**Meets Criteria**: a background check result that is clear and is updated to allow the applicant to continue through hire process (Offer may still be contingent on drug screening or other pre-employment investigations i.e. licensure).

**Multi-State Criminal Search**: database search that can identify criminal records in jurisdictions outside the applicant’s residence.

**National Social Security Search (NSSS)**: identity verification and fraud search matching the Social Security Number to the issued name. This search can reveal all names used by the applicant, the applicant’s current address and multiple known addresses over a 7-year history. Additionally, addresses obtained can be used in expanding an applicant's criminal history search.

**Pre-employment screening**: the process of investigating the backgrounds of potential employees and is used to verify the accuracy of an applicant's claims; as well as, to discover any possible criminal history, or employer sanctions.