



CRIMINAL BACKGROUND CHECK POLICY

No: SAAP 7-4

Authority: Board of Regents Policy 20-19
202013 (revised)

Date: February-[Month]

February 2013 (revised)
March 10, 2008 (original)

Initiator: Vice Chancellor for Finance & Administrative Affairs

Responsible Party: Human Resources

The Board of Regents Policy 20-19 requires that a criminal background check be performed on each new hire for a UW System position, and on current employees and volunteers holding a position of trust with access to vulnerable populations- that have not previously been subject to a criminal background check, except as otherwise provided in this policy. This UWM policy describes how the BOR policy is implemented at UWM. The purpose of this policy is to provide a safer campus environment for students, employees and visitors. Any subsequent changes to the Criminal Background Check Policy must be submitted to the UW System Office of Human Resources for review and approval prior to implementation.

0. DEFINITIONS

- 0.1 Vulnerable Populations. Minors under the age of 18 that are not enrolled or accepted for enrollment at a UW institution, and medical patients.
- 0.2 Position of Trust. A paid or volunteer position with one or more of the following responsibilities:
- 0.2.a Access to vulnerable populations. Responsibilities require unsupervised or significant access to vulnerable populations in settings such as child care centers, summer camps for minors, precollege programs and health care facilities. This includes employees not working in the units but who have unsupervised access to the unit when the vulnerable population is present. It does not include faculty or instructors performing regular teaching, service and research unless those responsibilities include unsupervised access to vulnerable populations.
 - 0.2.b Access to Property. Responsibilities require the use of master keys or key card access to offices, facilities and worksites other than the employee's own, including residential housing facilities.
 - 0.2.c Fiduciary Duty. Principal responsibilities require handling, receiving or custody of money, checks or securities; accounting for supplies or other property; authorizing expenditures; approving, signing or countersigning checks, drafts, warrants, vouchers, orders or other documents for the paying over of money, securities, supplies or other property; and maintaining or auditing accounts of money, checks, securities, time records, supplies or other property.

- 0.2.d Executive Positions. Top level management positions throughout the institution, all of which are limited appointments, including such titles such as Chancellor, Provost, Vice Chancellor and Dean.

1. STATEMENT OF POLICY

- 1.1. It is the policy of the University of Wisconsin Board of Regents that all UW System institutions have a comprehensive policy of conducting criminal background checks on prospective employees for a University position. Except as otherwise provided in the UW System Criminal Background Check Policy, or in this policy, UW-Milwaukee (UWM) shall conduct a criminal background check on prospective employees for all positions at UWM.
- 1.2 It is the policy of the University of Wisconsin Board of Regents that all UW System campuses have a comprehensive policy of conducting criminal background checks on current employees and volunteers holding or seeking a position of trust with access to vulnerable populations. Except as otherwise provided in the UW System Criminal Background Check Policy, or in this policy, UWM shall conduct a criminal background check on current employees and volunteers holding a position of trust with access to vulnerable populations that have not previously been subject to a criminal background check.
- 1.3. For individuals that are not currently employees of a UW System institution, criminal background checks should be completed before an offer of employment is made. ~~In exceptional situations, or as part of an~~ offers of employment ~~may be made~~ that is contingent upon a successful criminal background check. Individuals may not commence employment until they have successfully completed a criminal background check unless an exception is granted by the Vice Chancellor of the individual's division or their designee. In any case, a criminal background check should be completed, and a decision made within 60 days of the start of employment.
- 1.4 For individuals that hold a position of trust with access to vulnerable populations ~~and those seeking to move to such positions of trust~~, criminal background checks must be completed every four years.
- 1.5. Criminal background checks must be conducted on prospective hires who are not University of Wisconsin employees, and on employees currently not in a position of trust who are seeking to move to a position of trust within the University through promotion or otherwise. A 'new hire' shall be defined as any prospective employee that is not currently a UWM employee, UW System Administration employee, an employee of another UW System institution subject to Section 2.1.a, or another State of Wisconsin agency employee subject to Section 2.1.a.
- 1.6. If an individual being considered for a position has a criminal conviction or pending charge that is substantially related to the job responsibilities, that individual may not be employed in that position. If an offer has already been extended or, due to the presence of special circumstances ~~as described in the preceding paragraph or otherwise~~, employment has commenced, the offer should be rescinded and the appointment terminated.

- 1.7 If an individual holding a position of trust ~~with access to vulnerable populations~~, or seeking to move into such a position of trust through promotion or otherwise has a criminal conviction or pending charge that is substantially related to the job responsibilities, that individual may not be employed in that position.
- 1.8. Information collected in connection with the background check will be treated confidentially to the extent permitted by the Wisconsin Public Records Law and other applicable laws. ~~An individual or individuals in the UWM Police Department will oversee all aspects of conducting criminal background checks.~~ Appropriate training shall be provided.
- 1.9. ~~The University will comply with the Wisconsin Fair Employment Act and other applicable laws to ensure individuals are not discriminated against because of arrest or conviction records.~~

2. POSITIONS COVERED BY THIS POLICY

- 2.1. Prospective employees. This policy will apply to all new hires and rehires to all positions. This includes new hires to all faculty, academic staff, limited title, university staff positions (including project, fixed, limited term and temporary), graduate assistants and student employees.
 - 2.1.a. Current UW-Milwaukee employees who return to their positions after a break in service of one year or less are considered ~~as~~ continuing employees and not ~~as~~ new hires for the purpose of this policy.
- 2.2. Current employees holding positions of trust ~~with access to vulnerable populations~~ and those seeking to move into such positions. This policy applies to all new hires and existing employees in all faculty, academic staff, limited title, university staff positions (including project, fixed, limited term and temporary), interns, volunteers, graduate assistants and student employees.
- 2.3 Vendors and Contractors. To the maximum extent possible, any agreement with a vendor or contractor whose employees, affiliates or volunteers will have routine or unsupervised access to vulnerable populations in the course of the contract, must represent to UWM in the agreement that these employees, affiliates or volunteers have satisfied a criminal background check by a criminal background check vendor that includes a check of the vendor's proprietary national criminal background check database.
- 2.4 Volunteers. A criminal background check must be conducted when required by law, or when a prospective volunteer will hold a position of trust ~~with access to vulnerable populations, and thereafter every four years for so long as the volunteer holds a position of trust~~. Criminal background checks must also be conducted on current volunteers holding a position of trust ~~with access to vulnerable populations that who~~ have not previously been subject to a criminal background check. Criminal background checks will be repeated every four years for volunteers in positions of trust with access to vulnerable populations.
- 2.5 Facilities Users and Lessees. Facilities use agreements or leases with outside organizations that use or lease University lands and facilities to operate multi-day or overnight programs for minors must represent to UWM that their employees, affiliates or volunteers have satisfied a criminal background check by a criminal background

check vendor that includes a check of the vendor's proprietary national criminal background check database.

~~2.6. Categories of University Jobs for which Criminal Background Checks are Required by State or Federal Law:~~

~~2.6.a. Day Care Workers and Other Caregiver Employees~~ University of Wisconsin institutions that employ caregivers in day care centers must comply with the Wisconsin Caregiver Law and conduct criminal background checks on all prospective day care employees. Pursuant to Chapter 48 of the Wisconsin Statutes, the Wisconsin Department of Health and Family Services established a process that university employers must use to check the criminal backgrounds of all prospective day care employees. Moreover, University of Wisconsin institutions that employ caregivers in other university facilities or service units that provide direct care or treatment services to clients—and that are required by law to be licensed, certified by, or registered with a State of Wisconsin regulatory agency, must comply with the Wisconsin Caregiver Law and conduct criminal background checks on all prospective caregiver employees.

~~2.6.b. Law Enforcement and Security Workers~~ University of Wisconsin institutions are required to conduct criminal background checks of prospective police, security, and protective service employees, as is standard practice in the law enforcement field. All prospective university law enforcement employees are fingerprinted and undergo an extensive FBI background screening prior to their employment.

~~2.6.c. Positions with Access to Funds or with Fiduciary Responsibilities~~ Wisconsin Act 350, enacted April 18, 2006, amended Chapter 230 of the Wisconsin Statutes and requires public university employers to conduct criminal background checks of applicants for positions that involve “fiduciary responsibility” and duties “which include access to funds administered” by the university. In its May 4, 2005 fiscal estimate narrative, Office of State Employment Relations (OSER) indicated that “positions that could be covered ... include those in the following functional areas: accounting, auditing, financial management, accounts receivable, accounts payable, procurement, retail operations, tax and fee collections, payroll and handling of cash and checks.”

~~2.6.d. Positions with Access to Hazardous Agents or Materials~~ University of Wisconsin institutions will conduct criminal background checks on prospective employees who will handle and work with hazardous agents or materials in campus labs, buildings or storage facilities, pursuant to the Public Health Security and Bioterrorism Preparedness and Response Act of 2002 and the Agricultural Protection Act of 2002. These federal laws require entities to register with either the U.S. Departments of Health and Human Services or Agriculture if they “possess, use or handle biological agents or toxins that could pose a severe threat to public health and safety; to animal or plant health; or animal or plant products.” As part of the requisite registration, these entities must conduct “security risk assessments,” which include the fingerprinting and FBI screening of individuals who will handle the select agents. The federal Hazardous Materials Transportation Security Plan (49 CFR 172.800) requires a background check for individuals who are involved in the shipment of hazardous materials.

3. HIRING

3.1. Position Announcement: All position vacancy announcements should contain a the following statement alerting applicants that criminal background checks are required to

obtain employment with UWM. *“Employment will require a criminal background check.”*

~~3.2. Timing of Check: Criminal background checks should be completed before making an offer of employment. If a check is not completed before an offer is made, the check must be completed prior to commencement of employment, except in special cases as provided in Sections 1.3 and 1.5 of this policy.~~

~~3.23.~~ Contingent Appointments: If an appointment is offered contingent on the successful completion of a criminal background check, the appointment letter must state that the appointment will be withdrawn or terminated if the individual’s criminal background check results are unacceptable ~~(Section 1.3 and 1.5 apply)~~. The following statement may be used in the appointment letter. *“This appointment is conditional pending the results of a criminal background check (if applicable include “and sexual harassment check”). The appointment will be withdrawn if the results are unacceptable”*.

~~3.43. Applicant Consent Form: Prior to conducting a criminal background check, UWM will have the final candidate or each of the finalists, as applicable require the applicant to provide a signed a consent form, Applicant Consent Form (Attachment 1). The cConsent fForm must be filled out accurately and completely and submitted to the Personnel Representative (PREP) in a sealed envelope Human Resources directly by the candidate. The Applicant will certify their personal information in the Criminal Background System. Individuals who fail or refuse to complete the form in a timely manner will no longer be considered a candidate for the position vacancy. An applicant’s failure to accurately and completely disclose his or her criminal conviction history may be grounds for removal from further consideration for a position. For a permanent university staff position, this may or may not result in removal and/or decertification from an exam register and the potential for the recruiting unit to obtain an additional candidate’s name.~~

4. CHECKS ON CURRENT EMPLOYEES

~~4.1. Employee Consent Form: Prior to conducting a criminal background check, UWM will require employees and volunteers that hold a position of trust with access to vulnerable populations to provide a signed a consent form, Employee Consent Form (Attachment X). The cConsent fForm must be filled out accurately and completely and submitted to the PREP in a sealed envelope Human Resources directly by the employee. The Human Resources Department or HR Business Partner shall initiate any re-verification check necessary under this policy. An employee’s failure to accurately and completely disclose his or her criminal conviction history may result in ineligibility for pay increases and discipline up to and including termination be grounds for removal from his or her position.~~

5. SELF DISCLOSURE OF ARRESTS, CHARGES OR CONVICTIONS

~~5.1 Employees or and volunteers that who hold positions of trust with access to vulnerable populations must report any criminal arrests, charges or convictions (excluding~~

misdemeanor traffic offenses punishable only by fine) to ~~the PREP for the school, college or division~~ Human Resources **within 24 hours** or at the earliest possible opportunity. Failure to make the required report may constitute a violation of this policy and result in disciplinary action up to and including dismissal.

6. CONDUCTING CRIMINAL BACKGROUND CHECKS

6.1. ~~A criminal background check on prospective hires, employees and volunteers must include a check of the Wisconsin Department of Justice, Crime Information Bureau electronic database, and a check provided by a criminal background check vendor that includes the following components: In each unit, the PREP shall be authorized to submit the request for the Criminal Background Check (CBC) according to the UWM Criminal Background Check Procedures (Attachment 2) for all positions within the unit.~~

- Social Security Number Trace – authenticates the individual’s information and generates a list of addresses the individual has lived at for the last seven years; as part of the trace, the University may verify that the social security number is valid and appropriately assigned to the individual.
- Criminal Felony/Misdemeanor by County of Residence – superior and municipal court records search in any county in the U.S. in which the individual has resided in the last seven years.
- Sex Offender Registry – sex offender search by state.
- National Criminal Background Database – search of the vendor’s proprietary national criminal background check database.

Additional criminal and non-criminal checks (e.g., motor vehicle, etc.) may be run when appropriate in relation to the position.

~~The Criminal Background Check on prospective hires, employees and volunteers must include a check of the Wisconsin Department of Justice Crime Information Bureau electronic database, and a check by a criminal background check vendor that includes the following: (i) Social Security Number Trace, (ii) Criminal Felony/Misdemeanor convictions and/or pending charges by county of residence in any US county in the last seven years, (iii) Sex Offender Registry by state and (iv) the vendor’s National Criminal Background Database.~~

6.2. For foreign nationals or citizens who have lived outside the US, a criminal history check will be conducted covering time in the United States. Additionally, a criminal history check in the individual's prior country-(ies) of residence will also be conducted only if his or her country-(ies) of residence provides criminal background information for the time period during which the individual was a resident. Media searches are not considered a criminal background search.

6.3. Costs associated with the criminal background checks will be incurred by the hiring School, College, Division or Department.

7. MAKING DECISIONS REGARDING SUBSTANTIAL RELATIONSHIP

- 7.1. Once the criminal background check is completed, UWM will ~~need to make a decision~~ make a hiring, transfer, or retention decision based on the information gathered. Wisconsin law prohibits 's Fair Employment Act states that employers ~~from~~ cannot discriminate against prospective or current employees based on past or pending arrests or convictions unless the. ~~There are exceptions to this requirement if a~~ "pending criminal charge" or "conviction ~~record~~" ~~is determined to be~~ "substantially related" to the "circumstances of the particular job." Applicants and current employees with a criminal history will not be automatically disqualified from employment or automatically subject to disciplinary action or dismissal. To determine if there is a relationship, UWM will engage in an individual analysis to determine whether a substantial relationship exists between the pending charge or criminal conviction and the needs to review the circumstances of an offense compared to the circumstances of a job functions of the UWM position. The more similar the circumstances, the more likely a "substantial relationship" exists.
- 7.2. ~~Prospective Employees. If the criminal background check does not reveal any records, the recipient of the criminal background check report informs the appointing authority that the offer letter can be processed.~~
- 7.3. ~~Current Employees and Volunteers. If the criminal background check does not reveal any records, the recipient of the criminal background check report informs the employee or volunteer that nothing has been found.~~
- 7.4. ~~If the criminal background check reveals a pending criminal charge or a criminal conviction, and a negative decision on the selection or employment of the candidate or employee hiring, transfer, or continued employment is contemplated on the basis of the finding, the Vice Chancellor, or their designee, for the position's division, or their designee, will consult with the a review group described below of at least three individuals to determine whether the criminal activity is substantially related to the functions of the position. The campus review group shall include, tThe Director of Legal Affairs, tThe Associate Vice Chancellor for Human Resources, and the Chief of Police, or their designees. The review group will review the vacancy announcement, position description and criminal history to determine if a nexus between the position and offenses exists. The review group shall make a recommendation to the Vice Chancellor, Dean or Division Head. The Dean or Division Head's or their designee, and that individual's decision shall be final. Each Vice Chancellor shall designate the review group for his/her division which shall consist of a UWM legal counsel and two others. For academic staff positions, at least one of the review group members shall be an indefinite status academic staff member appointed in consultation with the Academic Staff Committee. For faculty positions, the review group shall include one tenured faculty member appointed in consultation with the University Committee. For university staff positions, the review group shall include one permanent university staff member appointed in consultation with the University Staff Council. The underlying principle is that the review group collectively has broad knowledge of positions in the division and legal issues related to determining if a substantial relationship exists.~~
- 7.35. ~~The Vice Chancellor of a division~~ Vice Chancellor or their designee (such as a /Dean or/ other Division Head), or designee, shall be the decision-maker for all positions that are within the respective division, school/college, department or other administrative structures that ultimately report to the Vice Chancellor. In this process, the ~~Vice~~

~~Chancellor, or designee decision-maker;~~ may consult with other offices and individuals, inside and outside of the University (including the ~~Human Resources Department-UWM Police Department~~), as appropriate to determine whether a substantial relationship exists while maintaining strict confidentiality.

~~7.6. For student hourly employees, graduate assistants and temporary employees, the Vice Chancellor of the division may delegate the review of the criminal background check results and the determination of substantial relationship to the Dean of the school/college or equivalent position. If a negative decision is contemplated, the Dean, or equivalent, shall consult with the review group established by the Vice Chancellor for the division in the application of the substantial relationship test.~~

~~7.47. The Vice Chancellor, Dean or Division Headr's office in each division shall maintain a current list of designees for making decisions for various positions in the division in accordance with Sees. 5.5 and 5.6.~~

7.458. In reviewing the results of a criminal background check on an individual candidate or employee, the ~~CBC R~~review ~~G~~group described above will review each individual on a case-by-case basis and consider the following factors in order to determine whether there is a substantial relationship between the pending charge or conviction and the position and whether an applicant should be further considered for the position or an employee retained in his or her position:

7.458.a. The Offense. The nature, severity and intentionality of the offense(s) including but not limited to:

- i. The statutory elements of the offense (rather than the individual's account of the facts of the offense);
- ii. The individual's age at the time of the offense(s);
- iii. Number and type of offenses (felony/misdemeanor, traffic for positions requiring an acceptable driving record, other);
- iv. Time elapsed since the last offense;
- v. The individual's probation or parole status;
- vi. Whether the circumstances arose out of an employment situation;
- vii. Whether there is a pattern of offenses.

7.458.b. The Position. The duties, responsibilities and circumstances of the position applied for or held, including but not limited to:

- i. The nature and scope of the position, including key access to residential facilities, key access to other facilities, access to cash, and access to vulnerable populations;
- ii. The nature and scope of the position's student, public or other interpersonal contact;
- iii. The nature and scope of the position's autonomy and discretionary authority;

- iv. The amount and type of supervision received in the position or provided to subordinate staff;
- v. The sensitive nature of the data or records maintained or to which the position has access;
- vi. The opportunity presented for the commission of additional offenses; and
- vii. The extent to which acceptable job performance requires the trust and confidence of the employer, the University or the public.

7.854.c. Using these and other appropriate factors, the ~~Vice Chancellor (or designee)~~ Vice Chancellor or designee for the position (such as the /Dean or other/ Division Head)/designee for the position's division, in consultation with the appropriate review group ~~(and the Dean of school/college for positions in academic units)~~, will make the final determination on whether to appoint or reject the candidate or take personnel action. The ~~appropriate Vice Chancellor/Dean/Division Head, or designee~~ decision-maker, will be responsible for documenting the basis for the decision to appoint, or to refuse to appoint a candidate or take appropriate action regarding an employee or volunteer based on the criminal background check review.

8. ~~CANDIDATE~~ NOTIFICATION OF NEGATIVE RESULTS

- 8.1. If a candidate is not selected based on the criminal background check results, or if a current employee will be subject to discipline or termination on the basis of criminal background, the appropriate ~~Vice Chancellor~~ Vice Chancellor/Dean/Division Head, or designee, will provide the results to the candidate individual. The candidate individual will be given three (3) working days to challenge the findings and then a five (5) working day period to successfully resolve it.
- 8.2. Additional time extensions may be provided to the candidate at the sole discretion of UWM.
- 8.3. If the negative decision stands after the period described above ~~findings are upheld~~, the ~~Vice Chancellor~~ Vice Chancellor/Dean/Division Head, or designee, will notify the individual of this final outcome non-selection. ~~Although the federal Fair Credit Reporting Act (FCRA) requires this notification process if an outside vendor is used to conduct the checks, t~~ This notification process will be followed regardless of the manner in which the background check was conducted even if an outside vendor is not used.

9. ~~EMPLOYEE~~ NOTIFICATION OF NEGATIVE RESULTS

- 9.1. ~~If the results on an employee employed in a position of trust are negative, the appropriate Vice Chancellor, or designee, will provide the results to him or her. The employee or volunteer will be given three (3) working days to challenge the findings and then a five (5) working day period to successfully resolve it. Additional time extensions may be provided at the sole discretion of UWM.~~
- 9.2. ~~If the findings are upheld, the Vice Chancellor, or designee, will notify the individual of the employment action to be taken.~~

910. KEEPING RECORDS

~~910.1. Criminal background Rrecords gathered as a result of a criminal background check will be kept by Human Resources in separate, secure files segmented by the candidate/employee's names shall remain confidential with access limited to only the Human Resources Office and any party consulted pursuant to this policy having access to the electronic records. The files will be maintained separately from a candidate/employee's general personnel records. Records related to student employees will be maintained by the hiring department in separate, secure files, separate from the student's personnel file.~~

~~910.2. The Vice Chancellor Dean/Division Head, or designee (designated per Sec. 7.7), of each division is responsible for gathering ensuring that all the relevant records are gathered and sending them confidentially to Human Resources. Appropriate training will be provided. These records should include:~~

~~i. Consent Form~~

~~ii. Information collected from the check~~

~~iii. Analysis and decision if criminal activity substantially related to position~~

~~iv. Correspondence related to criminal background check~~

~~910.23. The records will be securely maintained for a period of seven years after the position has been filled, and may be accessed only on a need-to-know basis or as required by applicable law.~~

~~9.3 The chairs of the University Committee, the Academic Staff Committee, and the University Staff Committee will each receive an annual report summarizing criminal background check activity for their respective employee category. This report shall describe the total number of background checks performed during the previous year and the total number of individuals who were refused or removed from positions as a result of such checks. This report shall not provide any identifying information related to such individuals.~~

101. OTHER CRIMINAL BACKGROUND CHECKS

~~101.1. Nothing in this policy shall be construed to prevent UWM from obtaining criminal background check information on any current employee or volunteer at any time upon a reasonable basis.~~

~~101.2 Notwithstanding anything in this policy, UWM shall continue to perform criminal background checks for certain, specified positions in the form and manner required by state or federal law. Laws mandating criminal background checks for certain positions include: the Wisconsin Caregiver law (covering prospective caregivers for vulnerable populations such as minors, as well as those licensed by the state to provide direct health care services and treatment to clients); the Wisconsin Fiduciary law (covering positions that involve accounting, auditing, financial management, accounts receivable, accounts payable, procurement, retail operations, tax and fee collections, payroll, and handling of cash and checks); and the federal Public Health Security and Bioterrorism Preparedness and Response~~

Act of 2002 and the Agricultural Protection Act of 2002 (covering employees who handle and work with hazardous agents or materials in campus labs, buildings or storage facilities).

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