

UAB FACULTY BACKGROUND CHECK PROGRAM

General Purpose Statement

The University is deeply committed to the safety of all our students, faculty, staff, patients, visitors and constituents, as well as the physical security of our academic and medical campuses. A key component of our safety and security efforts is the new Background Check Program (BCP). The BCP will include all new faculty hires (full-time regular, part-time regular, full-time temporary, irregular), volunteer faculty, post-doctoral fellows and trainees, and credentialed credit course instructors. Employment background investigations will not be conducted on current employees, unless their employment status changes to a classification which is subject to background checks. Thank you for your cooperation and helping us grow an ever safer and more secure environment in which to work, study, and receive care and visit.

Employment Background Check Policy

A pre-employment background investigation will be performed on individuals in the final stages of recruitment to UAB. This policy applies to all faculty and staff in the following assignment categories: Full-time regular, Part-time Regular, Full-time Temporary, Part-time Irregular Faculty, Credentialed Credit Course Instructors, Volunteer Faculty, Post-Doctoral Fellows and Post-Doctoral Trainees. For staff positions, the background investigation must be completed prior to an offer of employment. Due to the nature of faculty and post-doctoral appointments, the background investigation will be completed prior to final approval of employment.

Background Check Coordinator (BCC)

The UAB Background Check Program is coordinated by a central point person who facilitates and manages the background check process with the university's third-party vendor, Employment Screening Services (ESS); which will allow the university to administer the background check program efficiently while maintaining the necessary confidentiality of sensitive candidate information. The Background Check Coordinator (BCC) works with final candidates to acquire their consent for background check and completion of the Disclosure Form. They are responsible for handling additional details as necessary to secure a BACKGROUND CHECK PASSED for Faculty Background Checks. For full-time regular (01) and part-time regular (03) faculty hires, the background check process is initiated from within UAB PeopleAdmin, effective November 1, 2016. The process initiates automatically once the Search Chair/Hiring Manager receives the signed offer letter and moves the candidate's Hiring Proposal to Offer Accepted status in UAB PeopleAdmin. Please see the attached **BACKGROUND CHECK HOW TO GUIDE** for additional explanation of the new UAB PeopleAdmin workflow states that will appear as the faculty background check process completes.

Guidelines

The Faculty Background Check Program at UAB has the following implications for recruiting and hiring practices for these employment categories: full-time regular (01) and part-time regular (03). The following guidelines apply:

1. All faculty recruitment advertisements **must** include the following language:
“A pre-employment background investigation is performed on candidates selected for employment.”

2. All faculty (all employment categories) and Credentialed Course Instructors (CCI) Offer Letters must include the following verbiage:

“Please note that the University of Alabama at Birmingham conducts a review of the Office of the Inspector General (OIG) and the General Services Administration (GSA) exclusions lists to establish eligibility for each faculty member (or postdoctoral fellow/trainee) to receive federal funding. These databases are maintained by the federal Government to identify individuals who are excluded from participating in payments by Federal programs or contracts.

Additionally, the university conducts pre-employment background investigations on final candidates including postdoctoral fellows and trainees. The review includes a criminal history background check, degree (education) verification and employment history verification. You will receive information electronically requesting your consent to allow the university to conduct this investigation. In the event that the background check has not been completed at the time your appointment begins, your appointment will be conditioned upon receipt of a background check report that is acceptable to the university. Before a final decision is made to rescind an appointment because of a background check result, you will receive a copy of the background check report and you will have an opportunity to provide explanatory information.

3. Volunteer faculty appointment letters **must** include the following language:

Additionally, the university conducts pre-employment background investigations on final candidates including postdoctoral fellows and trainees. The review includes a criminal history background check, degree (education) verification and employment history verification. You will receive information electronically requesting your consent to allow the university to conduct this investigation. In the event that the background check has not been completed at the time your appointment begins, your appointment will be conditioned upon receipt of a background check report that is acceptable to the university. Before a final decision is made to rescind an appointment because of a background check result, you will receive a copy of the background check report and you will have an opportunity to provide explanatory information. Please note that the University of Alabama at

Birmingham conducts a review of the Office of the Inspector General (OIG) and the General Services Administration (GSA) exclusions lists to establish eligibility for each faculty member (or postdoctoral fellow/trainee) to receive federal funding. These databases are maintained by the Federal Government to identify individuals who are excluded from participating in payments by Federal programs or contracts.

By signing this appointment letter, you are granting consent to UAB to conduct the necessary background check and OIG and GSA clearances.

4. Faculty offers can be extended prior to a background check completion (Background Check Passed); since Faculty Offer Letters will indicate that employment with the University of Alabama at Birmingham (UAB) is contingent upon a successful satisfactory background check (Background Check Passed).
5. Credentialed Course Instructor offer/contract letters can be issued prior to the completion of a background check. However, the letter must state that the hire is contingent upon a satisfactory background check. Please see offer letter template for specific language.
6. For Post-doctoral fellows and trainees, offer/hire letters **must** include the following statements:

“Please note that the University of Alabama at Birmingham conducts a review of the Office of the Inspector General (OIG) and the General Services Administration (GSA) exclusions lists to establish eligibility for each faculty member (or postdoctoral fellow/trainee) to receive federal funding. These databases are maintained by the federal Government to identify individuals who are excluded from participating in payments by Federal programs or contracts.

Additionally, the university conducts pre-employment background investigations on final candidates including postdoctoral fellows and trainees. The review includes a criminal history background check, degree (education) verification and employment history verification. You will receive information electronically requesting your consent to allow the university to conduct this investigation. In the event that the background check has not been completed at the time your appointment begins, your appointment will be conditioned upon receipt of a background check report that is acceptable to the university. Before a final decision is made to rescind an appointment because of a background check result, you will receive a copy of the background check report and you will have an opportunity to provide explanatory information.

6. All post-doctoral fellow and trainee advertisements **must** include the following language.

“A pre-employment background investigation is performed on candidates selected for employment.”

Processes

Following is detail about how the Background Check Program works -- the steps included in the process:

Section I: Full-time Regular (01), Part-time Regular (03) Faculty Hires

- A. Faculty Recruitment Advertisement will include background check language;
 - B. Finalist candidate is selected;
 - C. Hiring Proposal is processed in UAB PeopleAdmin with offer letter attached—offer letter **must** include background check statement.
 - D. Hiring Proposal is submitted electronically through UAB PeopleAdmin for approval; with the Vice Provost approval as the final step when the faculty appointment does not include tenure or is not at the rank of Professor.
 - a. If the faculty appointment is a tenured appointment or at the rank of Professor –with or without tenure—the Hiring Proposal must be approved by the Provost and President of the university.
 - E. Department extends offer to candidate;
 - F. Candidates accepts offer; returns signed offer letter to the department contact – Search Chair/Hiring Manger who moves the candidate’s Hiring Proposal to “Offer Accepted” in UAB PeopleAdmin;
 - G. ***This step initiates the Background Check process*** in UAB PeopleAdmin by generating a data feed to the university’s third-party vendor;
 - a. **Note:** To check the status of the background check, the Search Chair/Hiring Manager should login to UAB PeopleAdmin and check the status of the Candidate’s Hiring Proposal (see list of Workflow States).
 - H. Background Check Coordinator, at this point, facilitates the remainder of the process with the faculty candidate and the third-party vendor as needed;
 - I. Background Check Coordinator determines level of background check that is required for candidate;
 - J. Candidate receives request for consent and disclosure;
 - K. Candidate completes/provides the necessary background check information;
 - L. Once background check is completed; the Search Chair/Hiring receives a system-generated email from UAB PeopleAdmin confirming **Background Check Passed**.
 - M. The candidate’s Hiring Proposal **moves** to the Background Check Passed Workflow State.
- Note:** If a discrepancy results during the background check process or an issue arises which prevents a **Background Check Passed** notification from being sent; the BCC will work with the candidate, UAB Human Resources, the department, and the Office of the Provost, as needed to resolve any issues.
- N. Once the issue and/or discrepancy has been resolved and the university has determined that the hire can move forward; the candidate’s **Hiring Proposal will**

be moved to Background Check Passed Workflow State. And, an email notification will be sent to the Search Chair/Hiring Manager.

Note: If it is determined that a background check has been completed during another hiring process (i.e. UAHSF, staff employment) the candidate's Hiring Proposal moves to **No Background Check Required** workflow State.

Section II: Irregular and Full-time Temporary Faculty *

- A. Candidate is identified by hiring unit for an 04 Irregular faculty appointment or a full-time temporary faculty appointment
- B. Offer letter is extended to candidate—must include “specific” language regarding the university’s background check program; specifically that the candidate will be subject to a background check.
- C. Department makes a request for a background to the BCC; by completing and submitting the [Faculty Background Check Request Form](#).
- D. Initiate ACT document and faculty data form to complete appointment.
 - a. If background is complete, include the confirmation email in the hire packet
 - b. If the background check is not complete, include confirmation that background check request has been made for this candidate/hire.

*Full-time temporary faculty who are recruited and hired through the UAB PeopleAdmin process would be required to follow the same background check process that is outlined in Section I of this guide.

Section III: Credentialed Course Instructors

- A. Credentialed Course Instructor candidate is identified by the hiring unit for an 04 Irregular staff assignment;
- B. The Offer Letter is extended to the CCI candidate, and it must include “specific” language regarding the university’s background check program; specifically that the candidate will be subject to a background check under university policy;
- C. Department makes a request for a background to the BCC; by completing and submitting the [Faculty Background Check Request Form](#).
- D. Initiate ACT document to complete the CCI hire.
 - a. If background check is completed at the time the ACT document is processed, include the confirmation email in the hire packet;
 - b. If the background check is not complete, include confirmation that background check request has been initiated for this candidate/hire.

Section IV: Volunteer Faculty

- A. Candidate is identified hiring/appointing unit for a volunteer faculty appointment.
- B. Offer/appointment letter is extended to individual, and it must include "specific" language regarding the university faculty background policy; specifically that the candidate will be subject to a background check.
- C. Department makes a request for a background to the BCC; by completing and submitting the [Faculty Background Check Request Form](#).
- D. Initiate ACT Document and Faculty Data Form to complete appointment.

Section V: Post Doctoral Fellows and Trainees

- A. Candidates are identified by the faculty member.
- B. The Office for Postdoctoral Education (OPE) generates a draft letter of offer to include language notifying the individual of the university's policy on background investigations.
- C. Simultaneously, OPE enters candidate's demographic information (including email address) into ESS system.
- D. OPE manages the complete process of obtaining consent from the candidate; working with candidates, faculty and ESS as needed to complete the hiring process.
- E. Please visit the OPE Web site (<http://www.postdocs.uab.edu>) for additional information, policies, and guidelines related to hiring Postdoctoral Fellows and Trainees.

Background Check Requests for Irregular and Temporary Faculty

Hiring departments/units must **continue to submit a Request for Background Check** to the Background Check Coordinator for irregular (04), full-time temporary (02) faculty and Credentialed Course Instructors; by completing and submitting the [Faculty Background Check Request Form](#). The BCC is housed in HR Records Administration, and the contact telephone is 934-4408.

Revisions here reflect changing the background check process from the PeopleAdmin ATS to the Onboarding Module. (Implemented in 2020)

Background Checks Process

- 1.** Application moves to Recommend f or Hire
- 2.** Candidate completes Disclosure Form, SSN, and DOB information
- 3.** Background Check Coordinator gets notification of Move To Recommend For Hire
- 4.** Hiring Proposal is created and approved
- 5.** Hiring Proposal moves to Offer Accepted
- 6.** Background Check Coordinator gets notification
- 7.** Background Check Coordinator confirms that Disclosure Form is completed and submitted
- 8.** Background Check Coordinator does review to determine BGC needs
- 9.** Background Check Coordinator initiates Background Check in Swift Hire; if data feed has occurred, Hiring Proposal moves to Onboard Ready by Faculty Affairs
- 10.** ESS Feed generates at Onboard Ready
 - a.** BGC Coordinator would need to confirm that new hire is in the feed before ordering Onboard PKG
- 11.** Onboard Checklist for Background Checks is assigned to BGC Coordinator

