

Stanford University Background Check Policies

Stanford's goal is to hire the *best talent*. Additionally, it is the policy of the University to promote a safe and secure environment for all members of the University community and its property.

To that end, new staff hires must pass a background check prior to starting work at Stanford University. The background check always includes a criminal court record search, and may also include independent verification of employment history, and the education level required in the posting and used in evaluating and selecting the candidate.

A. General Policies

1. **Privacy of Information:** the use of information obtained in connection with a background check will be in compliance with all applicable laws.
2. **Disclosure:** all job postings must include a notice that a background check will be required.
3. **Timing:** the background check should be completed as soon as a final candidate has been identified, and in advance of the offer letter. Occasionally an offer of employment may be made contingent upon the successful completion of the background check and the offer letter must explicitly identify this contingency. In rare circumstances and with senior level approval, a candidate may be allowed to start work while the background check has not yet completed. In such cases, continuation of employment must be made contingent upon successful completion of background check promptly after the start of employment.
4. **Failure to Complete a Background Check:** if a candidate starts work and Local HR or UHR later determines that a background check has not been completed, Local HR will ask the hiring manager to have the employee stop work, send the employee home, and not schedule any further work hours for the employee until an appropriate background check has been successfully completed. If an employee has started work and a final background check adjudication of "Does Not Meet Company Standards" subsequently occurs, then the hiring manager shall terminate the employee under the advisement of Local HR and Employee & Labor Relations, and with the appropriate adverse action notice provided in writing as part of the termination discussion. Failure to ensure that a background check has been successfully completed may subject those with responsibility for hiring to disciplinary action up to and including termination.
5. **Background Check Options:** departments will initiate the appropriate background check using the online site of Stanford's background check vendor. The option selected is dependent upon the job responsibilities and requirements (see Exhibits One and Two).
6. **Confidentiality:** To ensure confidentiality of all applicant information University Human Resources, together with the local Human Resources Manager, will coordinate the background check process. The use of information obtained in connection with a background check will be in compliance with all applicable laws.

7. **Release Forms:** online legal releases or consent forms may be required of the candidate by Stanford's background check vendor, before background check components can begin. Refusal to submit the appropriate form(s) will eliminate an applicant from further consideration for employment.
8. **Reference checking:** The background check process does not replace reference checking with past employers (for external candidates) or Stanford personnel file review (for internal candidates) that managers are expected to complete prior to making an employment offer.
9. **Negative/Indeterminate Results:** If the background check vendor finds results that require further review, the vendor will notify Stanford that the Background Check is in "Pending" status. If the candidate properly disclosed an offense on his or her application, University HR (Employee and Labor Relations), in conjunction with the local HR manager or group, will conduct further adjudication of the negative result or disqualify the candidate from further consideration. Stanford does not require "infractions" to be disclosed on employment applications.
10. **Does Not Meet Standards:** if the final result of adjudication is "Does Not Meet" (DNM) standards, then Stanford' background check vendor will notify the candidate. An applicant whose background check resulted in DNM must wait one year before applying for another position at Stanford. If that same applicant is subsequently selected as a final candidate the results of the new background check, and any previous one, will be considered in the adjudication process. If an applicant receives DNM adjudication due to a pending court date, s/he is eligible to re-apply as soon as the court action is resolved, rather than waiting one year.
11. **Factual Appeals:** Stanford's background checks vendor will process any appeal of the factual findings from criminal court, educational, motor vehicle, or employment sources. This may entail the applicant working with a court, school, or employer to correct source records about the applicant. The position need not be held open pending the outcome of this factual appeal.
12. **Adjudication Appeals:** an applicant may appeal a "Does Not Meet Standards" adjudication. Stanford's Employee & Labor Relations team will process any appeal of the decision not to hire that is based, at least to some degree, on the background check findings. The applicant will be asked to submit a written statement of appeal. Generally, the Associate Vice President of E&LR will adjudicate the appeal. When circumstances warrant, the Associate Vice President of E&LR will convene an ad hoc appeal review team, comprising five Steering Committee members, to assist with the adjudication. The position will be held open pending the outcome of this internal appeal.
13. **Positions working with Minors:** when any Stanford employee or applicant will be working with minors, that person must pass a background check prior to beginning the assignment. This policy expands background checks to populations not otherwise covered.
 - This policy governs all positions in which the incumbent or applicant will be working directly with, supervising, chaperoning or otherwise overseeing minors, such as internships, seasonal athletic or academic camps, clinics, or other programs.

- This policy governs all categories of Stanford employees and students who work with minors. None of the employee exclusions in Section C apply. Therefore faculty, current/recent Stanford employees, Stanford students, Stanford postdocs, high school students, and other minors all must pass a background check if they are working with minors in a program sponsored by Stanford.
- Each program sponsor shall use the appropriate background check method(s) for the applicable employee population (see Exhibit Four).
- Live Scan is the required method for positions that will work with minors on an ongoing basis.
- When the candidate cannot be physically present at the Stanford program site to complete Live Scan fingerprinting in advance (for example, those who are relocating to take the position at Stanford), HireRight is the acceptable method to screen candidates in advance of the final hiring decision.

B. Populations and Positions Included under Stanford’s Background Check Program

1. Temporary, Casual, Academic Staff, Other Teaching Title, and Non-academic Staff positions (including bargaining unit positions)
2. Stanford undergraduate or graduate students, when employed by Stanford after graduation
3. Stanford postdocs, when employed by Stanford after the postdoc appointment is completed or when employed by Stanford in an additional capacity during the postdoc appointment.
4. Rehires, when the former Stanford employee has had a break in service of more than one year, or more than the service bridging period due to a layoff.

C. Populations and Positions Excluded under Stanford’s Background Check Program, unless working with minors as defined in A.13 above

1. **Faculty**, and specific similar roles as stated below:
 - a. Professoriate, including Emeriti and PAVAHC (Palo Alto Veterans Administration Hospital and Clinics)
 - b. Hoover Senior Fellows, Center Fellows, Senior Fellows
 - c. “Visiting” appointments: Assistant, Associate, and full Professors.
 - d. “Acting” appointments that have been identified as “professor-to-be” roles : Assistant, Associate, and full Professors
 - e. Clinician Educators, who are screened by the Stanford Hospitals

- f. By request from the Dean, appointments that recur less frequently than once per year or appointments from corporate, medical, or other business sectors who are not primarily employees of Stanford University.
 - i. Having once successfully passed a background check, it is not necessary for an individual to repeat the background check upon each subsequent re-appointment.
 - ii. Waiver of a background check must be communicated in writing via email to University HR's Background Check team by the Dean's Office.
 - iii. The Dean will be responsible and accountable for approved exceptions
2. **Minors**, i.e. persons under the age of 18
 3. **High school students** hired specifically into job code 9153: "High School Student"
 4. **Stanford students**, undergraduate or graduate, during their years of study at Stanford. This exclusion extends to one quarter before matriculation, to any summer quarters during the course of study, and to one quarter after graduation in temporary, causal or student positions. This exclusion also extends to any period after completing graduation requirements but prior to the graduation ceremony, or to an approved academic leave of absence, until it is determined that the student will not return to student status and has transitioned to become an employee of Stanford.
 5. **Stanford postdocs**, during their active appointment at Stanford. Lecturing within one's postdoctoral area of expertise is considered a normal part of the postdoc role, and not subject to a background check. If the nature of the work performed, or a change in research funding, causes a change from postdoc status to employee status, then a background check is required.
 5. **Non-employee affiliates**, volunteers, or any other position that is formally established to be an unpaid position.
 6. **Rehires**, when the former Stanford employee has had a break in service of one year or less, or within the service bridging period due to a layoff.
 7. **Agency Temps**: A temporary employee supplied by a temp agency is an employee of the agency, not of Stanford. When an agency supplies you with a temporary worker, that person must undergo the agency's background check. When you hire an agency temp into a Stanford-paid position, a Stanford background check is required.

Exhibit One

HireRight Background Check Packages and Options

Basic: This is the minimum level of background check package that includes a search for the previous seven years of residence history, a court records search for criminal felony and misdemeanor convictions in prior counties of residence, a national criminal database search, and a national sex offender registry search.

Basic + Education: This package includes all elements of the Basic background check, plus an education report when required by the position posting to verify the highest degree earned, or a high school diploma, or college attendance without completing a degree.

Standard: This package includes all elements of the Basic + Education background check, plus verification of current (or last) employment.

Add-on Product Options:

SSN Verification: initiated by University HR if no address data is initially found under a social security number. This product verifies that the number is a valid SSN owned by the applicant and issued by the U.S. Government. The Background Checks team will order SSN Verification automatically when required.

Motor Vehicle Report (MVR): applicable if the position's duties and responsibilities require the regular and frequent use of a Stanford motor vehicle. The Background Checks team will order an MVR report upon request, when required.

Education Verification: may be used to verify a required degree, diploma, or other trade certification at a specific school.

Employment Verification: may be used to verify the job title, salary, work start date, and end date of employment, at a specific employer. Only paid positions can be verified.

Credit Report: may be used in very limited circumstances to verify an applicant's financial standing. This report must be ordered through the University HR Background Checks team.

A credit check is ***permitted and required*** for a position meeting any of these three criteria: (1) a position that involves regular access to three types of information at the same time – bank or credit card account numbers, social security number, and date of birth; (2) a position in which the incumbent would be a named signatory, authorized to transfer money, or authorized to enter into financial contracts on behalf of Stanford University; (3) a position that would involve regular access to \$10,000 or more in cash for Stanford University, a customer, or client, during the workday. Exception #2 does not apply to positions requiring use of a Stanford purchasing card.

Exhibit Two
Selecting the Appropriate HireRight Background Check
New Hires & Rehires with More than 1-Year Break in Service

Education Requirement of the Position	Required Background Check
No degree required (e.g. most temp/casual, bargaining unit, and non-exempt positions), or positions calling for a combination of degree and/or experience, when the degree is not the determining factor in the hiring decision.	Basic (Criminal Check)
Academic Staff, with degree required	Basic + Education (Criminal, Education)
Non-academic Staff, with degree required	Standard (Criminal, Education, Employment)

Note: It is never necessary to repeat a HireRight verification of a specific degree, diploma, or employment. Stanford University Background Checks can provide the outcome of a previous Education or Employment verification that was completed as part of a Stanford background check.

Exhibit Three
Selecting the Appropriate HireRight Background Check
Current Stanford Employees & Rehires with Less than 1-Year Break in Service

<i>Job Movement Situation:</i>	Required Background Check
1. Temp/casual to temp/casual 2. Benefits-Eligible to Benefits-Eligible 3. Benefits-Eligible to temp/casual	Education only , if a degree is required for the new position

4. Temp/casual to Benefits-Eligible:

Previously passed a background check?	Yes	No
Previous temp-casual role required a degree	None	Basic -or-
Previous temp-casual role: NO degree required	Education only , if a degree is required for the new Benefits-Eligible position	Basic + Education if a degree is required for the new Benefits-Eligible position

Note: it is not necessary to verify a degree for a second time if the degree was previously verified.

Exhibit Four
Selecting the Appropriate Background Check Method
All Positions Working with Minors

Employee Population	Required Background Check Method
New hires (NOT a Stanford employee within the past year)	<ul style="list-style-type: none"> • HireRight is required for the initial employment decision • Live Scan is required <i>in addition</i> if the position will have ongoing interaction with minors, i.e. multiple camps, clinics, sessions, or programs
Employed by Stanford within the past year	Live Scan
Current Stanford employees: student, temporary, casual, staff, and faculty	Live Scan
Current Stanford students: undergraduate or graduate	Live Scan
Current Stanford postdocs	Live Scan