

SECTION 2: BACKGROUND CHECK STANDARD

2.1 Purpose and Scope

This standard implements the *Human Resources Policy*.

2.1.1 Overview

Smooth Sailing Solutions is committed to ensuring that its mission is supported by qualified staff, and that its community is safe. Therefore, all offers of employment at Smooth Sailing Solutions are contingent upon clear results of a thorough background check. Background checks will be conducted on all final candidates and on all employees who are promoted, as deemed necessary.

2.1.2 Purpose

The purpose of this standard is to provide guidance for conducting pre-employment and other background checks by Smooth Sailing Solutions.

2.1.3 Scope

This standard applies to all applies to candidates who go through the Smooth Sailing Solutions hiring process. It may also apply to internal candidates who are being considered for a promotion or transfer, whether they are employees, contractors, consultants, temporary or other workers at Smooth Sailing Solutions and its subsidiaries.

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2.2 Standard

2.2.1 Applicability

1. As a condition of hire, background checks are required on all applicants offered a position which expected to last (4) four months or longer. If an initial employment period of less than four (4) months is subsequently extended to exceed four (4) months, a background check must be completed at the time employment is extended.
2. Background checks may be required for employees obtaining sensitive duties, such as a change in positions or significant change in duties as determined by HUMAN RESOURCES.
3. Employees who have a completed background check on file and experience a break in service in employment will not be required to have an additional background check if they have been in an active work status within two (2) years.

2.2.2 Elements of the Background Check

Background checks will include:

1. **Social Security Verification:** validates the applicant's Social Security number, date of birth, and former addresses.
2. **Prior Employment Verification:** confirms applicant's employment with the listed companies, including dates of employment, position held, information available pertaining to performance rating, reason for departure, and eligibility for rehire. This verification will be run on the past two employers or the previous five years, whichever is longer.
3. **Personal and Professional References:** calls will be placed to individuals listed as references by the applicant.
4. **Educational Verification:** confirms the applicant's claimed educational institution, including the years attended and the degree/diploma received.
5. **Criminal History:** includes review of criminal convictions and probation. The following factors will be considered for applicants with a criminal history:
 - The nature of the crime and its relationship to the position.
 - The time since the conviction.
 - The number (if more than one) of convictions.

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- Whether hiring, transferring or promoting the applicant would pose an unreasonable risk to the business, its employees, or its customers and vendors.
6. The following additional background searches will be required if applicable to the position:
 - A. **Motor Vehicle Records:** provides a report on an individual's driving history in the state requested. This search will be run when driving is an essential requirement of the position.
 - B. **Credit History:** confirms candidate's credit history. This search will be run for positions that involve management of Smooth Sailing Solutions funds and/or handling of cash or credit cards.

2.2.3 Results

1. If the background check reveals criminal records or other serious misconduct (other than minor traffic violations), HUMAN RESOURCES will consult with Legal Counsel. In such cases, HUMAN RESOURCES, Legal Counsel, and, if determined necessary, the hiring authority shall make an initial determination as to whether the background check results would disqualify the candidate for the position.
2. To the extent required by the Fair Credit Reporting Act (FCRA), applicants will be informed, in writing, notice of adverse information discovered in the background check and given an opportunity to respond. Upon conclusion of the review, written notice will be sent to the candidate regarding the employer's decision of eligibility for the position.
3. All results of the background check will remain confidential, will be maintained by HUMAN RESOURCES, and will be disclosed only to authorized employees who have a need to know in the performance of their job assignments.
4. Failure to disclose criminal convictions requested during the application process may result in disqualification for employment or termination of employment.
5. Disqualification of a candidate based on information discovered in the background check is not subject to grievance or appeal by the candidate.

2.3 Compliance and Control

HUMAN RESOURCES will verify compliance to this standard through various methods, including but not limited to, business tool reports, internal and external audits, and feedback to the policy owner.

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Any exception to the standard must be approved by HUMAN RESOURCES in advance.

An employee found to have violated this standard may be subject to disciplinary action, up to and including termination of employment.

Section 2: *Background Check Standard* is a controlled document. While this document may be printed, the electronic version maintained on the Smooth Sailing Solutions POLICY DOCS LOCATION is the controlled copy. Any printed copies of this document are not controlled.

Document Section Classification: Internal Only

2.3.1 Related Policies, Standards, and Procedures

None.

2.3.2 Change Control

Table 2-1: Amendment History

Version	Date	Person	Description of Change
0.1	June 18 2019	T. Ryng	Initialization per template.

2.3.3 Review and Approval

This document is valid as of [date].

The owner of this document is indicated in Table 2-2. This person must review and, if necessary, update the document at least annually.

Table 2-2: Approval

Name	Title	Signature	Date

