PeopleMatter®
POWERED BY FOURTH

BACKGROUND CHECKS

REFERENCE GUIDE (STERLING INFOSYSTEMS)

V.2 - October 4, 2016

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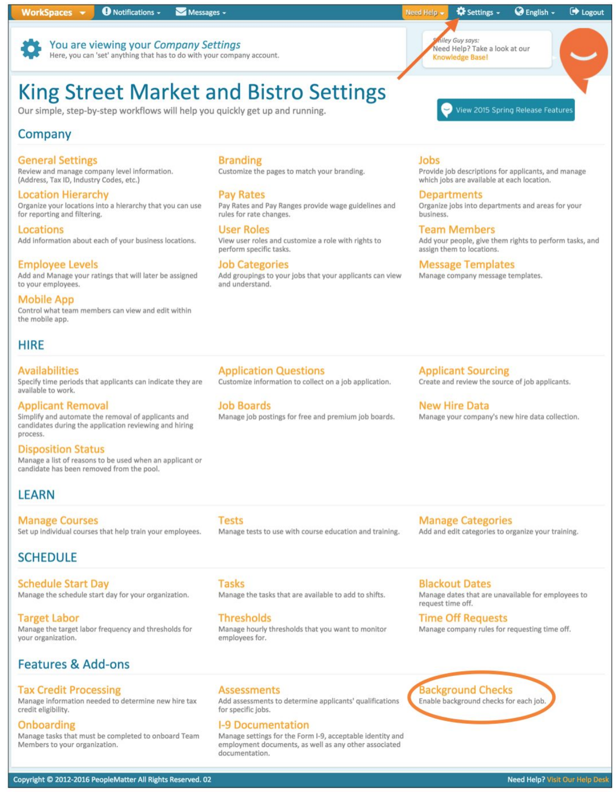
Configuring Sterling Background Checks

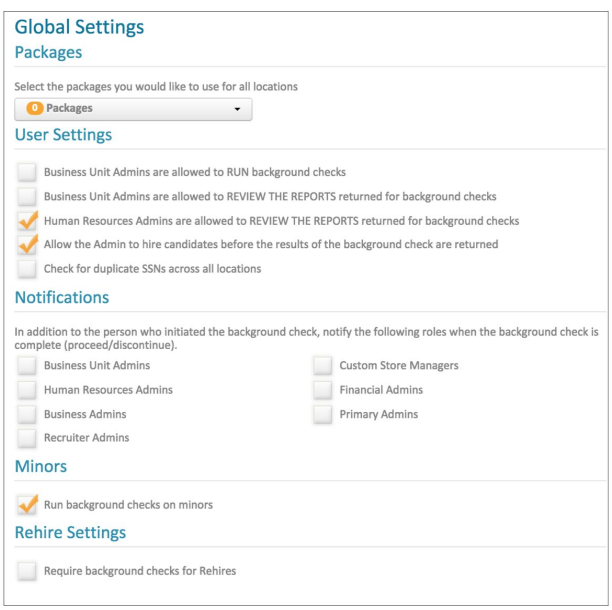
- Sterling background checks can be configured to provide differing levels of access, based on your needs. In order to configure background checks, you must have Primary Administrator user privileges or higher.

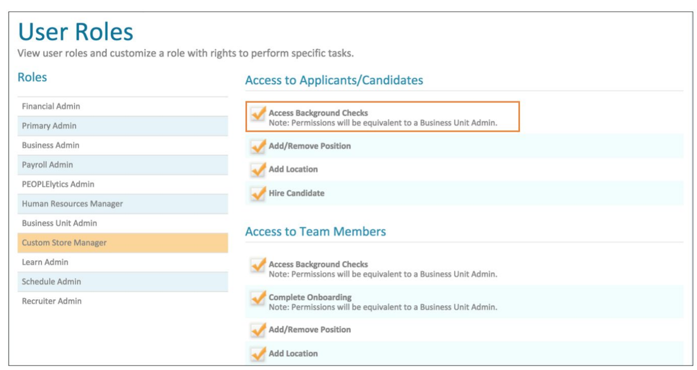
- To begin, access the **Company Settings** page by going to the top, right corner of your screen and selecting **Settings**>**Company Name**.

- Once on the **Company Settings** page, scroll to the bottom and select **background checks** under **Features & Add-ons**.

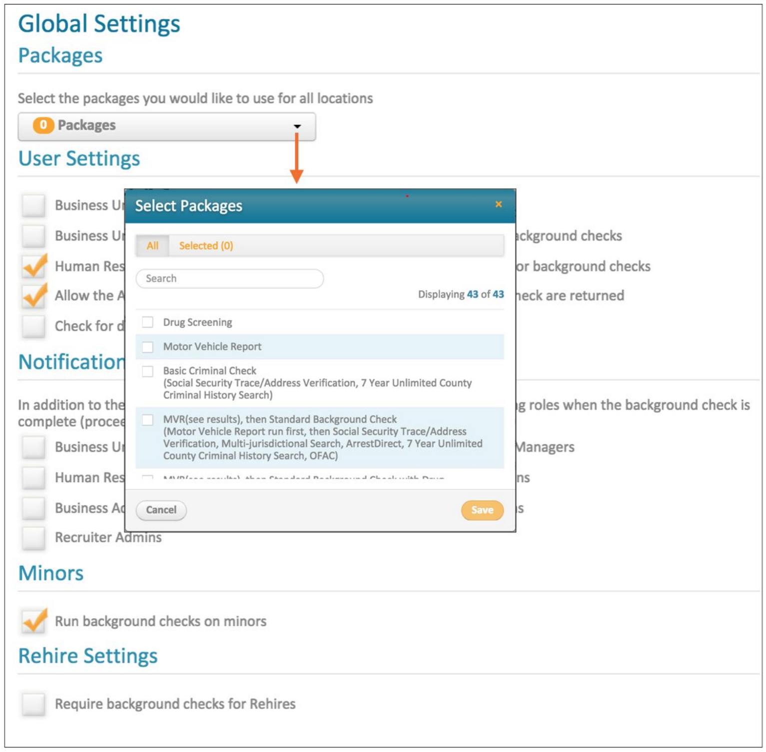


The Global Settings page determines which background check packages are available to run and how much access is available to the Business Unit Administrator and Custom Store Manager. The Custom Store Manager's right to run background checks is turned on through Settings > Company Settings > User Roles.



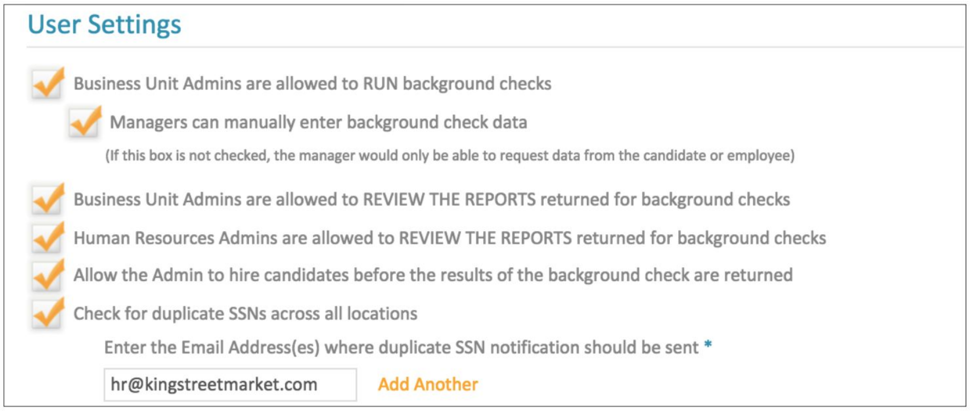


+ PACKAGES



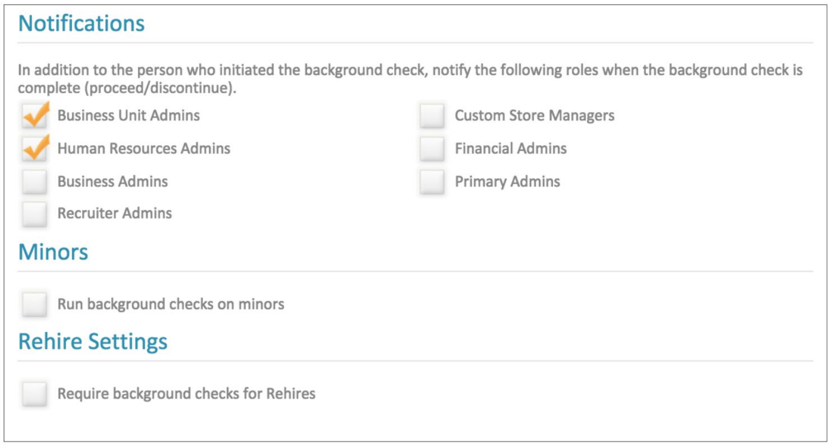
- From the Packages drop list, select which background check packages are available in your business. You will have the option of limiting what specific checks can be run by job in a separate setting.
- There are 43+ package variations to choose from and, depending upon your agreement with Sterling, you can pick the correct ones for your business.
- Individually selected background checks will run as independent orders. If you typically run several types of background checks, then you may want to use a package that contains your most frequently ordered types.
- Packages that run background checks in a specific order, as noted with the phrase (see results) in the title, run the DMV before running the additional background checks. If the DMV results come back as "Proceed" the additional checks will automatically run. If they come back needing review, you will have to initiate the additional background check(s) in order for them to run.
- Packages that have more than one type of background check listed, will have the components of the package run in parallel, but different types of background checks will vary on the time they take to run.

+ USER SETTINGS



- Business Unit Admins' and HR Admins' access is determined under Settings>Company Settings> User Settings. When access is turned on, Custom Store Managers' access will follow the BUAs' settings.
- Select if Business Unit Admins are allowed to **run** background checks. If so, determine if they can enter data such as SSN and DOB on behalf of the candidate or employee. If not selected, they will only be able to electronically request the data.
- If BUAs cannot review reports, they will still see if the background check provided a proceed/discontinue result, but will not be able to see the details in the background check report as to why.
- HR Admins can always run background checks and see if they were passed. However, there is a user right available to determine if HR Admins can view the report details.
- Select if you want to allow managers to proceed with hiring candidates before results are returned. If selected, the Business Unit Admin will be allowed to hire the candidate and start Onboarding before receiving results.
- Finally, select if you want to the system to check before an order is sent, whether a background check already exists with the same SSN across all locations. If what may be a duplicate background check for the same SSN is found, you can decide who the notification email should be sent to so that a decision can be made whether to send the order or cancel it. You will want this to be an email of a person that has high-level administrator rights, since they will need to login to access the records and make a decision on the order.

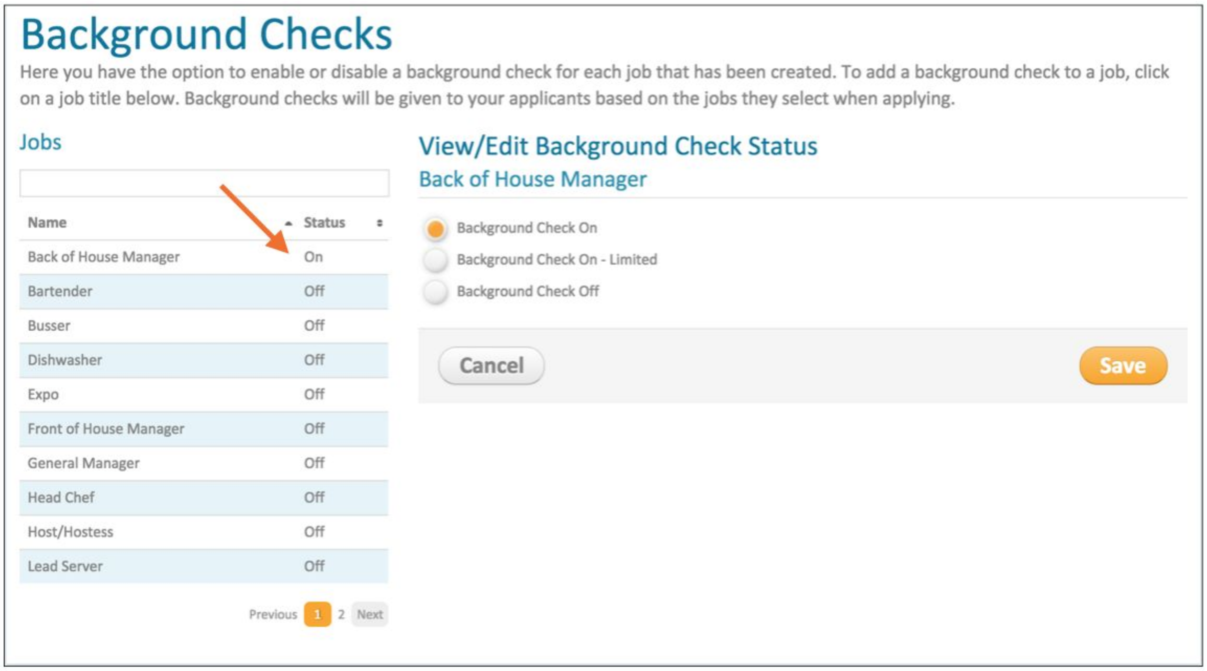
+ NOTIFICATIONS, MINORS, AND REHIRE SETTINGS



- Select who should be notified when background checks are complete. Users, such as HR Administrators, Business Unit Administrators and Custom Store Managers who are restricted to specific locations, will only receive notifications for their location(s).
- Select if background checks can be run on minors. When selected, and a minor is hired, a consent form requiring parent/guardian signature will be emailed to the candidate. The manager must upload the signed consent form before the background check can be performed.
- Select if background checks should be run when rehiring employees, so that an updated background check is available.

+ TURNING BACKGROUND CHECKS ON FOR JOBS

Once Global Settings are configured, in order for Business Unit Administrators and Custom Store Managers to run background checks for specific jobs they must be turned on. Follow the steps below to allow these users to run background checks for specific jobs.



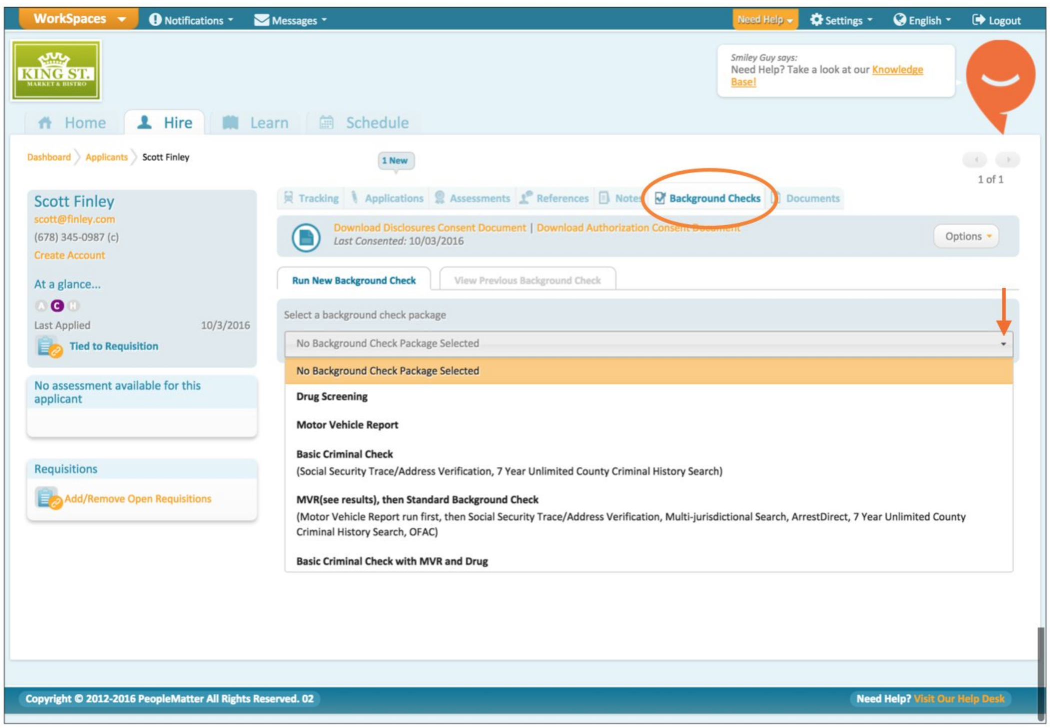
- Begin by selecting the job from the list on the left or by using the search option to search for the job you would like to activate background checks for.
- Once you select the job, select one of the three following options and click Save:
  - *Background Check On* indicates that all packages selected for your business under Global Settings will be offered when Business Unit Administrators and, if applicable, Custom Store Managers run background check(s) for the position.
  - *Background Check On - Limited* presents the packages selected under Global Settings allowing you to further limit the packages offered for this position when Business Unit Administrators and Custom Store Managers run background checks. HR and higher level admins will continue to be able to run any package selected for your business. This is normally set if you have many background packages to choose from and want to ensure the right package is selected for certain positions.
  - *Background Check Off* turns off background checks for the selected position. Business Unit Administrators and Custom Store Managers are not presented the option to run background checks and applicants are not asked to consent to background checks if they apply to this job. However, HR Admins and higher are still able to run background checks for candidates and employees assigned to the position if necessary. In this case, the system will prompt the admin to send a consent request to the candidate before the background check is made available to run.

Running Background Checks

Running a background check is handled under the Background Check tab for both the candidate and employee. When you hire a candidate into a position that requires a background check, you will be prompted to run the background check. Depending on how your Global Settings are configured, you may or may not be able to continue with the hire while waiting on the results. Likewise, if you transfer an existing employee into a job that requires a background check they did not previously complete, you will also be prompted to complete the background check.

+ RUNNING BACKGROUND CHECKS

- For a new hire, access the **Background Checks** tab under the **Candidate** record and select the package you would like to run from the drop list. For an existing employee, access the BG Check tab under their employee record. The list presented to Business Unit Administrators and Custom Store Managers is determined by what was selected for the assigned job title. See page 8 for more information.



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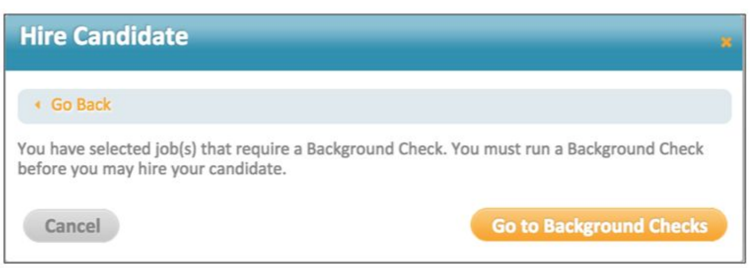
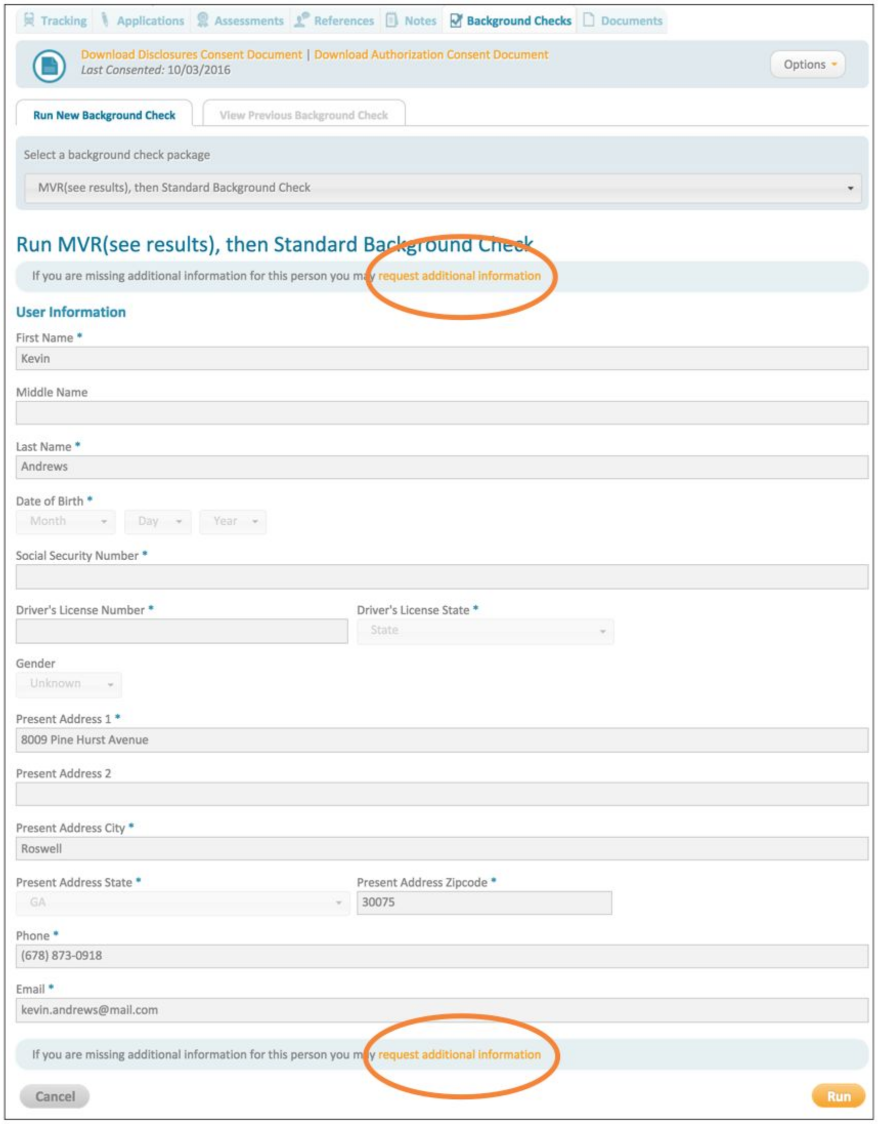
- If you try to hire the candidate or add a position to an employee that requires a background check, prior to running it, you will be presented a reminder and will need to click the button to go to the Background Checks to create the order.

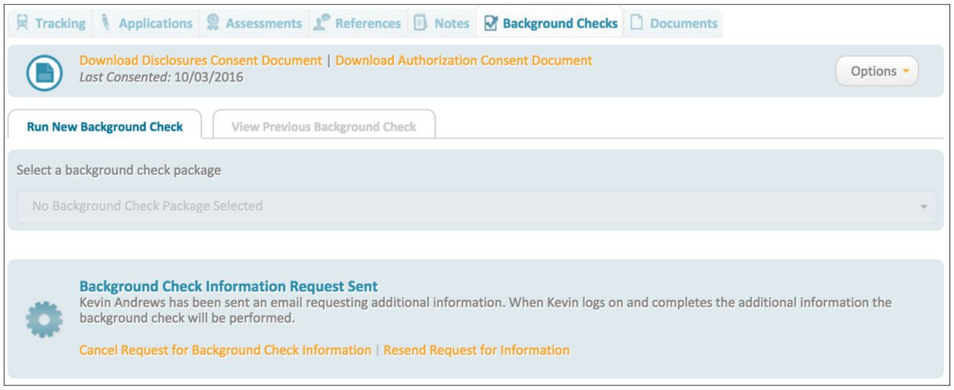


Once you select the background check package you would like ordered, you are presented with the fields that must be completed to run the background check. Required fields are marked with an asterisk. If user rights allow, you need to enter any missing information and click Run.

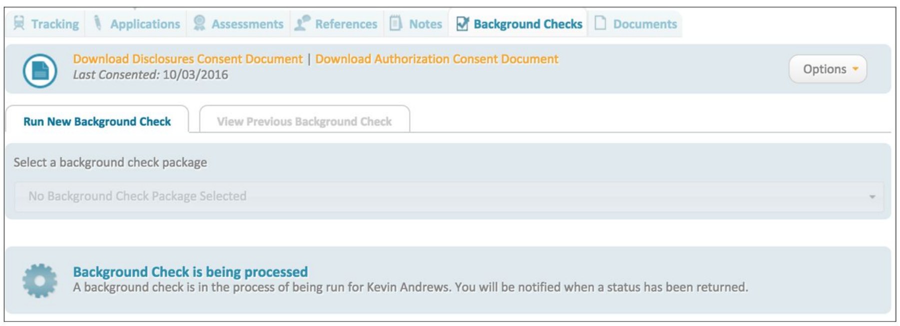
- If the Business Unit Admin or Custom Store Manager are ***not*** allowed to enter personal information for the candidate, as determined under Global Settings, then they must request the additional information from the candidate/employee at either the top or bottom of the page.



  - Once the request for information is sent out the screen is locked down until the information is received. However, you can choose to cancel the request or resend the request.



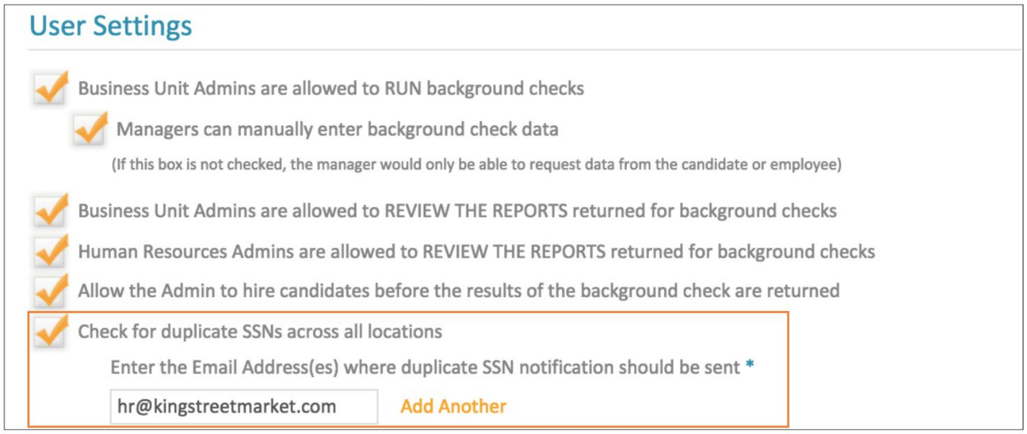
- While the background check is running a note will display on the screen indicating it is being processed. This indicates Sterling has received the order and is performing the background check.

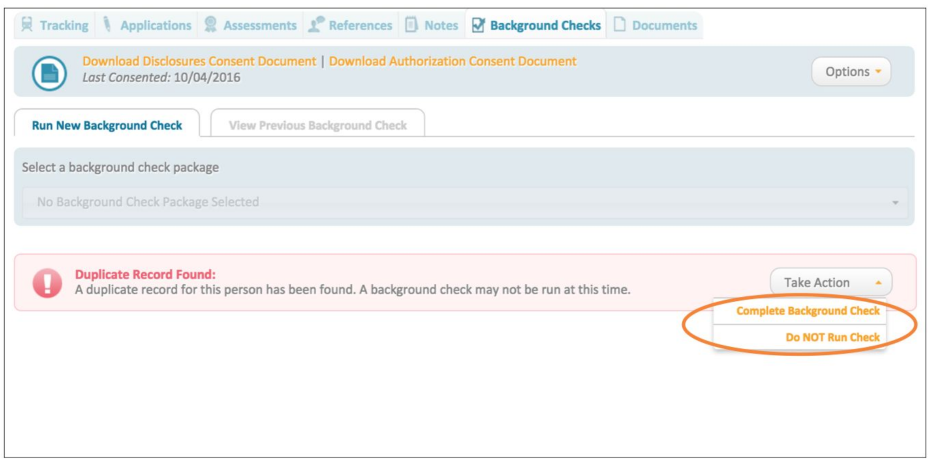


- The initiator of the background check will receive notification once it is complete as well as any users whose roles are selected under Global Settings.
  - The email will state the status of the background check (Proceed, Needs Review, or Discontinue) but will not include details of the background check.
  - User who have rights to view the details of the background check can do so under the Background Check tab in the employee or candidate record.

+ DUPLICATE SOCIAL SECURITY NUMBER

To ensure a background check is not run on the same person multiple times (e.g. if it was previously run on the candidate or employee at another location) we offer the option to check for duplicate social security numbers. As a reminder, this feature is turned on under Global Settings.

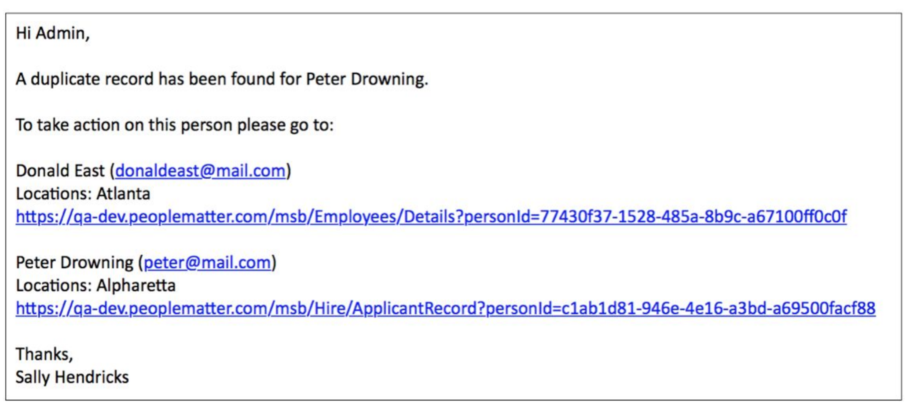




- When this setting is on, and a duplicate SSN is found within any location, a warning will display on the Run Background Check tab. Only HR Admin and higher roles can select to *Complete Background Check* or *Do NOT Run Check* once they have evaluated the background checks found.

- Additionally, an email will be sent to the email addresses entered in Global Settings (see above) alerting them to the duplicate record. The person receiving the email will need to log in to PeopleMatter and must have access rights to the locations for the individuals found.

- Your company's policies and procedures will dictate how to handle the duplicate records going forward.


Hi Admin,

A duplicate record has been found for Peter Drowning.

To take action on this person please go to:

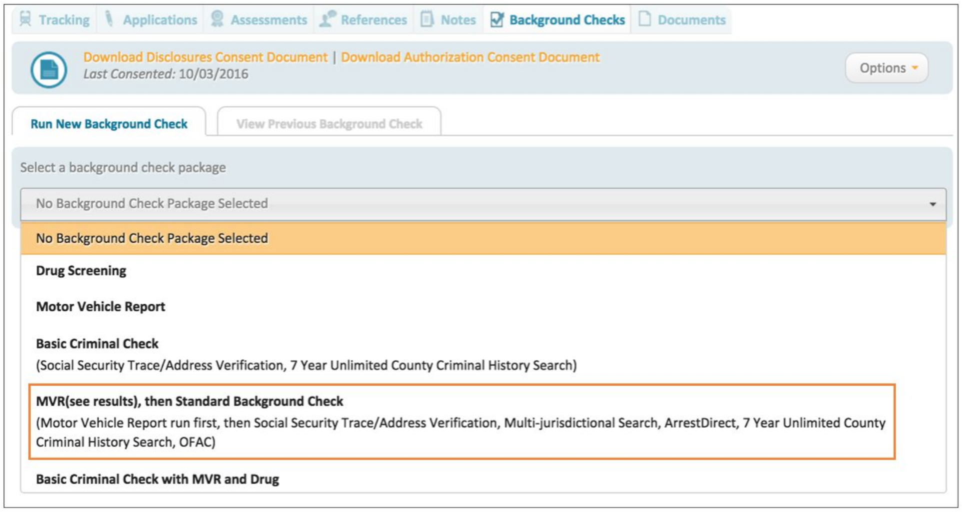
Donald East (donaldeast@mail.com)
Locations: Atlanta
https://qa-dev.peoplematter.com/msb/Employees/Details?personId=77430f37-1528-485a-8b9c-a67100ff0c0f

Peter Drowning (peter@mail.com)
Locations: Alpharetta
https://qa-dev.peoplematter.com/msb/Hire/ApplicantRecord?personId=c1ab1d81-946e-4e16-a3bd-a69500facf88

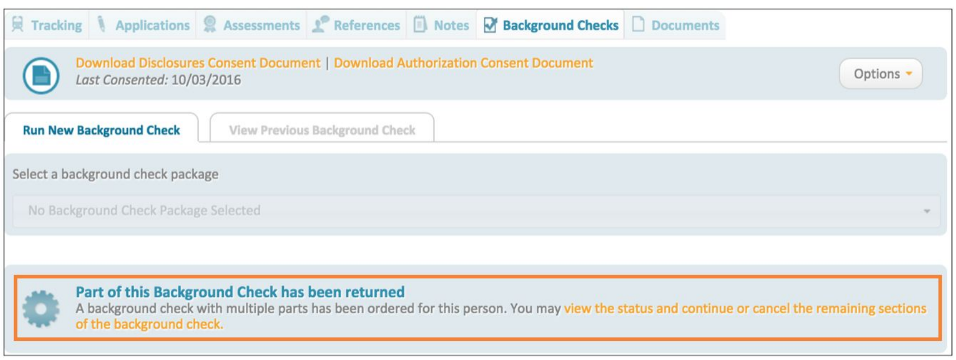
Thanks,
Sally Hendricks

+ (SEE RESULTS) BACKGROUND CHECKS - CASCADING

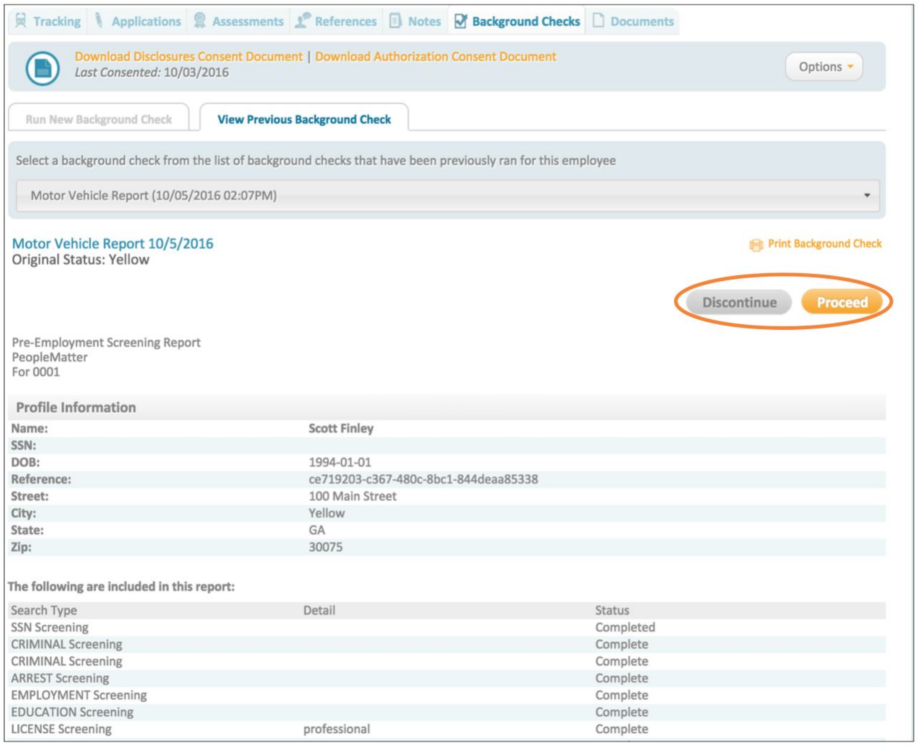
Some background check packages include multiple background checks on the candidate or employee and each background check has a fee associated to it. As a cost savings measure, instead of running all checks at once, you can select packages where the Motor Vehicle Record runs first followed by the remaining checks. If the MVR result is "Proceed" the remaining background checks will automatically run. However, if the results require review, you will need to choose to proceed with the remaining background checks.



- Packages that run the MVR check before running the additional check(s) are noted with the "(see results)" in the title. The MVR typically comes back quickly, is less expensive than other checks, and can be a hard requirement to pass in order to hire for certain positions. If this is the case for your business, you may want to consider one of these packages.



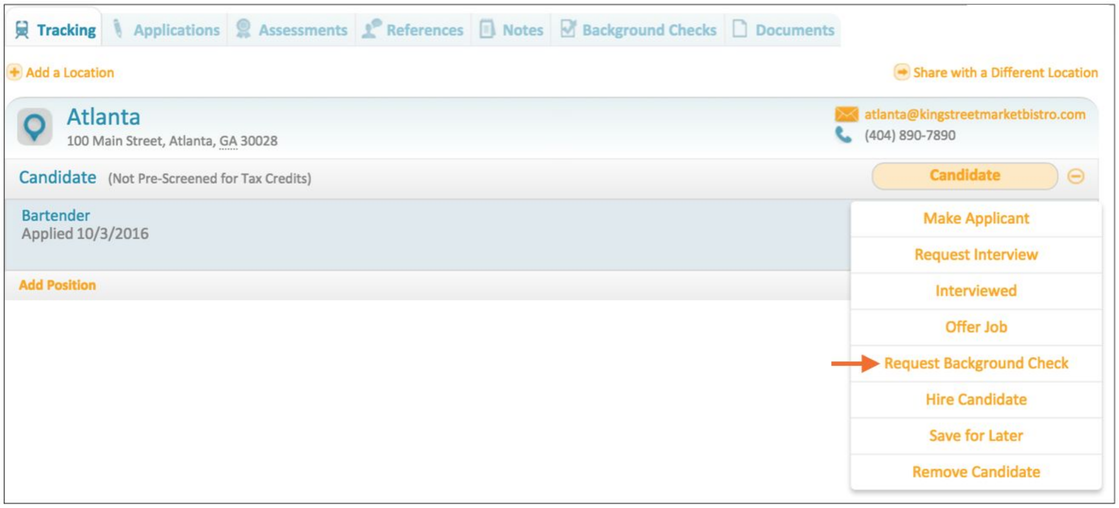
- If the DMV check comes back as **Needs Review** or **Discontinue,** you will receive a message stating you should view the status and continue or cancel the remaining sections of the background check. Click the link to do this.



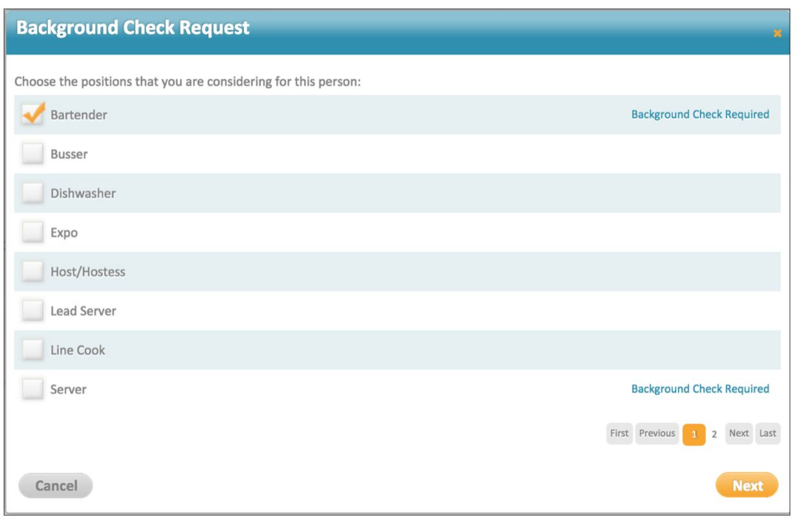
- Clicking the link brings you to the pending DMV background check under the View Previous Background Check tab. You can also access this directly by clicking the tab and selecting the background check from the drop list.
- At this point, the additional background checks will not run until an admin has reviewed and chooses to proceed.
- Clicking Discontinue cancels the remaining background checks from running. Clicking Proceed runs the additional check(s).
- If the DMV background check comes back as Proceed the additional background check(s) will automatically start.

+ REQUESTING BACKGROUND CHECKS

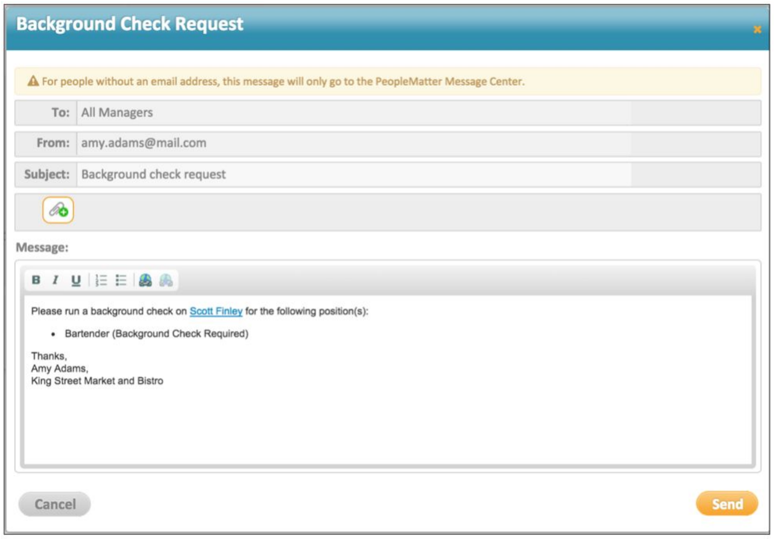
- Not all managers have the rights to run background checks and, therefore, must request for the background check to be run. This is done by selecting **Request Background Check** under the **Candidate** record.

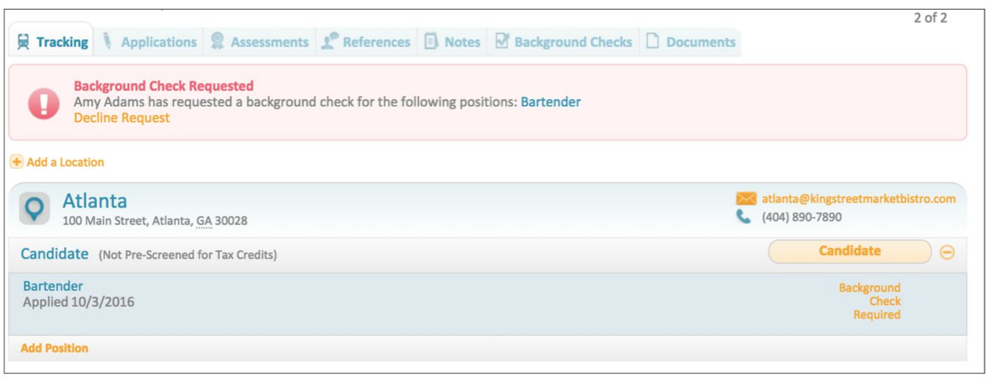


- Once you select to Request Background Check, the system will ask which position you are considering the candidate for with a notation on which positions require background checks. Select the position and click Next.

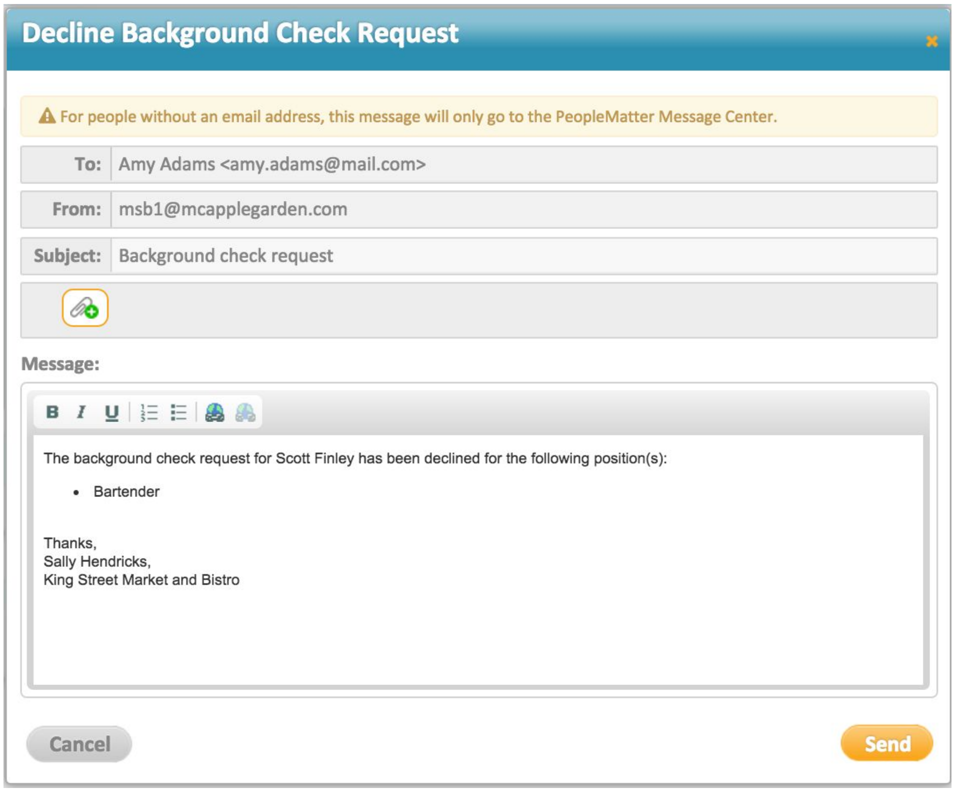


- A default message displays which can be edited by the requesting manager. This message is sent to all HR Admin and higher level roles at the location. Additionally, when the admins login, a banner will appear alerting them of the need to run the background check.





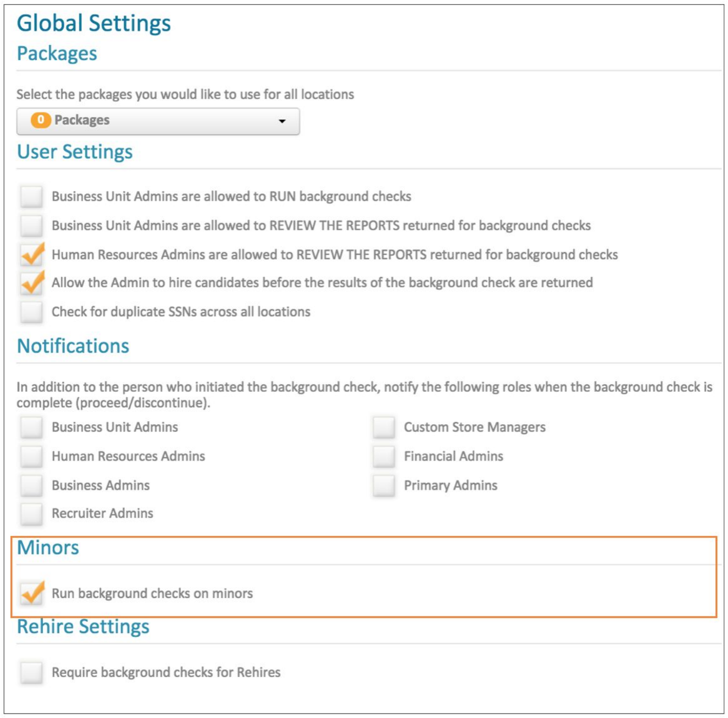
- The HR Admin, or higher level administrator with access to the location, can choose to decline the request which will send an email back to the requesting manager. They can use the canned email response or customize the email.



- **If the Admin chooses to run the background check the requesting manager will be notified once the background check is complete if their role is selected to receive notifications under Global Settings.**

+ RUNNING BACKGROUND CHECKS ON MINORS

- As a reminder, in order for the system to run background checks on minors, the setting must be selected in Global Settings under **Settings**>**Company Name>Features & Add-ons>Background Checks**.



- When this checkbox is selected, and a minor applies, they are emailed a parental consent form that must be completed with a wet signature and uploaded in order for the background check to be run.

Company King Street Market and Bistro

Date ______________________

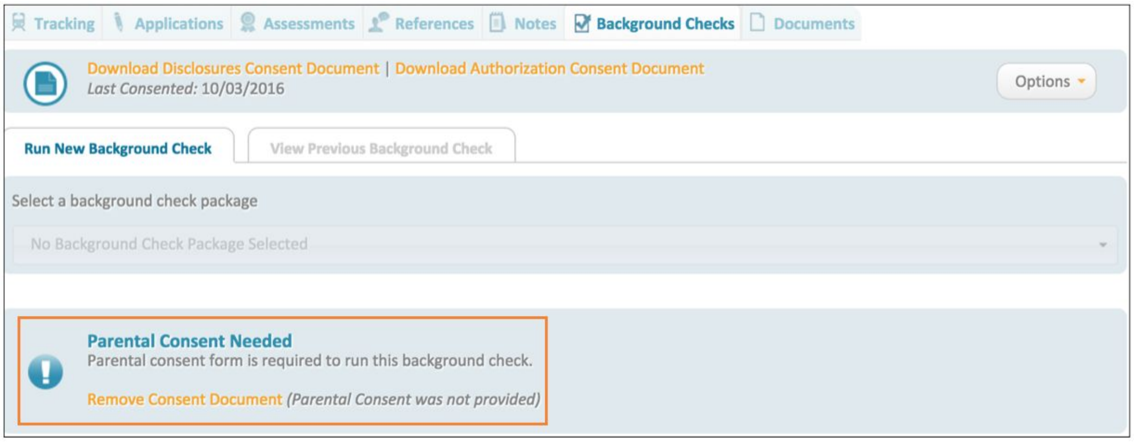
I, legal parent of Lee Tramell ______________________, do hereby declare that I voluntarily agree to allow said child to have a background investigation conducted by Sterling Infosystems, Inc. I do hereby waive in my behalf, and in behalf of my spouse and said child, all rights and do voluntarily agree that background investigations may be performed and the results transmitted to King Street Market and Bistro ______________ for use for employment purposes.

In consideration of and as an inducement for Sterling Infosystems, Inc. to perform a background investigation on my child, I and my spouse do hereby release Sterling Infosystems, Inc., its officers and employees, and King Street Market and Bistro ______________, its officers and employees, and agents from any and all liability whatsoever as a result of said child having a background investigation performed and the transmitting and utilization of the results thereof.

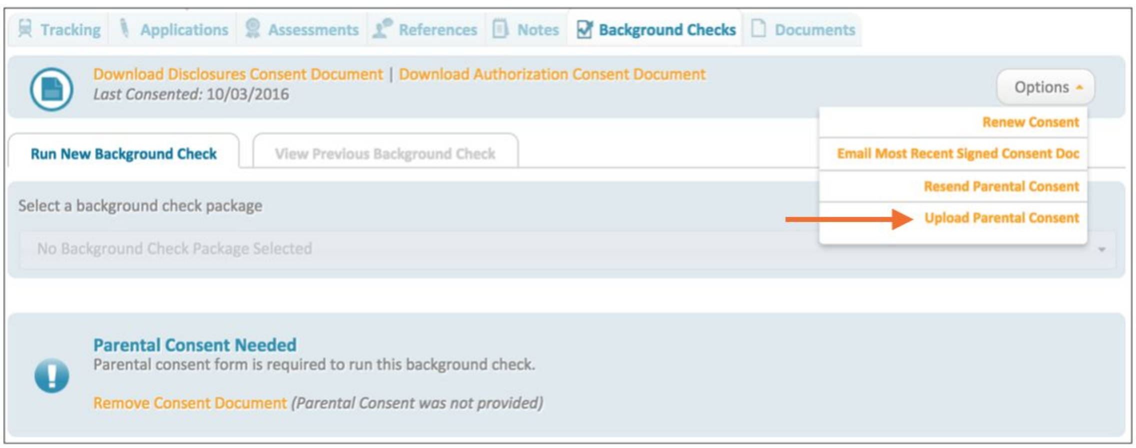
____
Signature Of Legal Parent Or Guardian

____
Print Name

- Until the parental consent form is received, the manager is blocked from running the background check and told consent is needed. If the manager chooses to remove the consent, while it is waiting to be completed and uploaded, it will be permanently deleted.



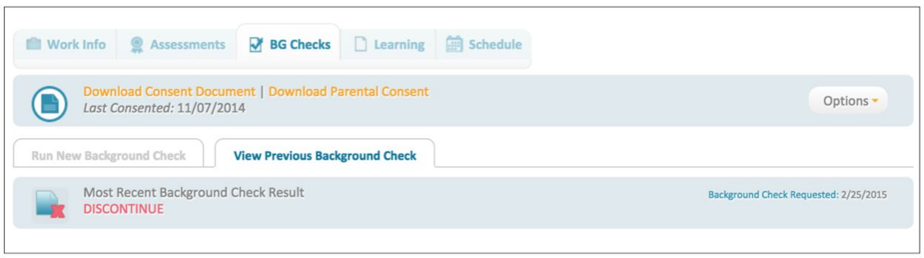
- Once the consent document has been received, the manager uploads it under the Background Checks tab of the Candidate record by selecting Options. Once uploaded, the manager will be able to select a background check package to run.



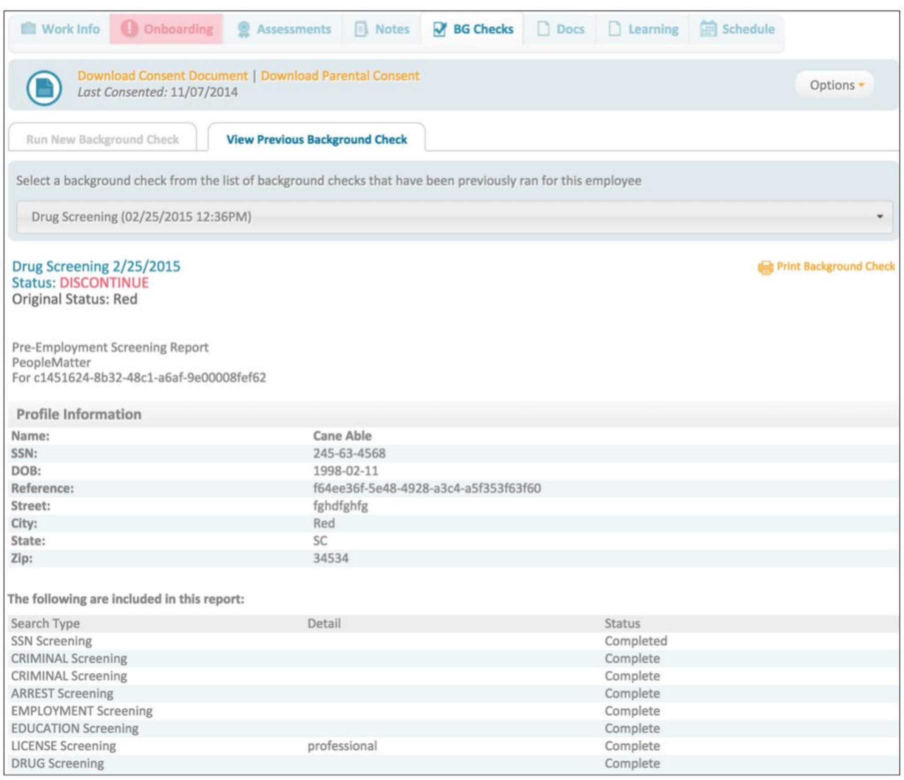
+ REVIEWING BACKGROUND CHECKS

Once a background check is completed, the requestor and anyone whose role is selected under Global Settings, will be notified. Results are accessed under the Background Check tab on the candidate or employee record by selecting the View Previous Background Check sub-tab and selecting the specific background check from the drop list.

- Business Unit Admin level and higher users have access to the Background Check tab and can view if the results are Discontinue, Needs Review, or Proceed. Custom Store Managers can also be given access under User Role Settings, if desired.
- Additionally, under Global Settings, you can determine if the HR Admin and/or the Business Unit Admin/Custom Store Manager are able to view the details of the background check report.
- Business Unit Admins and Custom Store Managers cannot hire a candidate with a discontinue status but HR and higher level admins, with access to the location, are able to.
- If a previously run background check had a Discontinue status, but a more recent one has a Proceed status, then Business Unit Admins and Custom Store Managers can hire the candidate.



- When Admins do not have the rights to review results, they will simply see the status result of Proceed, Needs Review, or Discontinue but no details as to why the status is assigned.

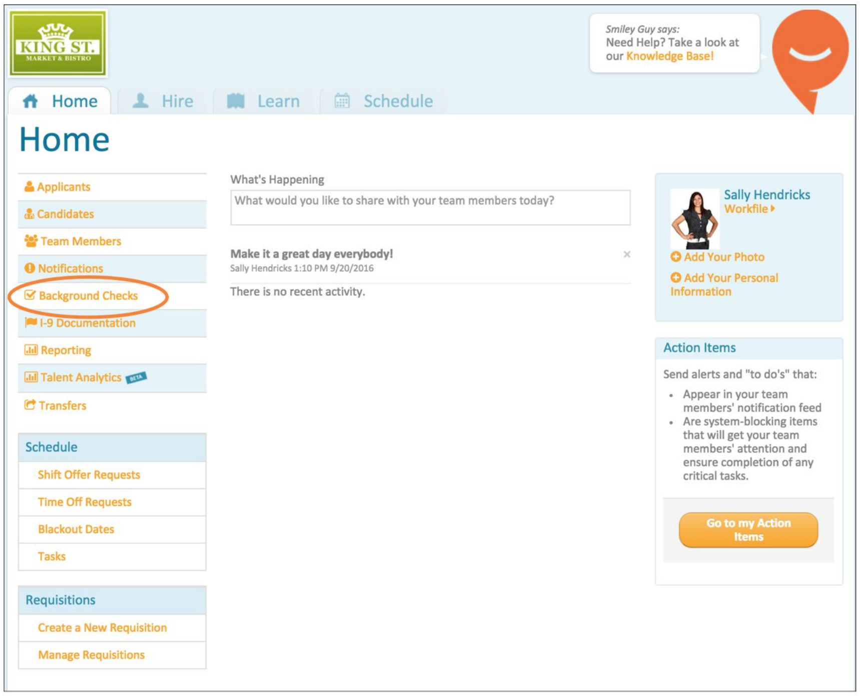


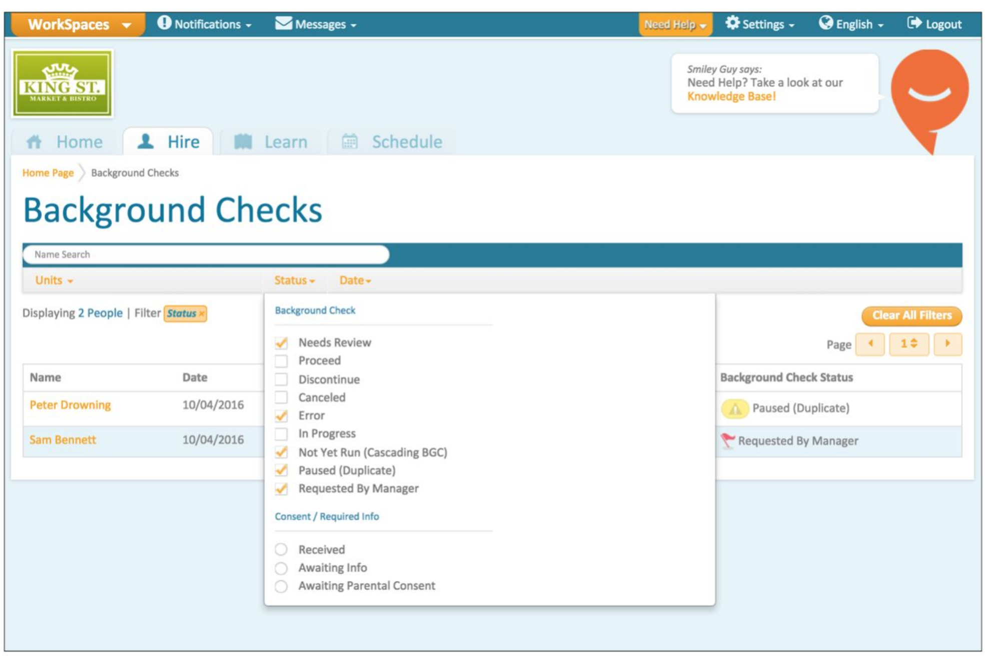
- Admins with access to report results have details they are able to review. This is just a portion of what the Admin will see when results are returned.

+ VIEWING BACKGROUND CHECK STATUS

PeopleMatter provides a snapshot view of your background checks and their current status. Using filters you can easily manage background checks.

- Access background check statuses by navigating to the Home tab and clicking Background Checks.





- Using the Status filter, you can choose to search for specific background check statuses.
- You also have the option to search by if you are waiting on consent from a candidate/employee or parent of minor.
- Each background check run/requested is listed; therefore, if multiple background checks are run on candidates/employees then the candidate/employee will be listed multiple times.

+ BACKGROUND CHECK FILTERING DEFINITIONS

Background Check Status Filter Options

- **Needs Review** - Indicates a background check returned with information that requires review before you can hire the applicant.
  - If you have selected a cascading background check package, where the DMV check is run first, and the DMV check comes back with a Needs Review status you must review the results and choose to proceed in order to start the remaining background check(s).
- **Proceed** - Indicates nothing questionable was found with the background check and you may proceed with hiring.
  - If you have selected a cascading background check package, where the DMV check is run first, and the DMV check comes back with a Proceed status the remaining background check(s) will automatically start running.
- **Discontinue** - Indicates information was found on the background check and the candidate is not recommended for hire. Note that a HR Admin or higher level role can choose to hire a candidate with a Discontinued status but a Business Unit Admin and Custom Store Manager cannot.
- **Canceled** - Indicates a user has canceled the background check. You can only cancel a request when a duplicate SSN has been found and someone has chosen to cancel the background check. Another way that a background check can be canceled is from Sterling. In either case, PeopleMatter will show a note on the person's record.
- **Error** - This is a rare situation, but can indicates that an error occurred with the background check. Contact Support for more information.
- **In Progress -** Indicates the background checks is still running and a result has not been received from Sterling.
- **Not Yet Run (Cascading BGC)** - Indicates a package was selected in which the DMV check must be run before the remaining background checks can be run. This status is applied to the remaining background checks when the DMV check is still runnings; requires review; or results in a discontinue status.
- **Paused (Duplicate)** - Indicates a background check has already been run on this SSN (perhaps at a different location) and thus the check has been paused. You can choose to proceed to cancel the check.
- **Requested by Manager** - Indicates a Business Unit Admin or Custom Store Manager, who does not have rights to run background checks, has requested an HR Admin or higher admin with access to the location run a background check on the candidate/employee.

Consent / Required Info Filter Options

- **Received** - Indicates either consent was requested from the candidate/employee and it has been received or additional information (SSN and date of birth) has been requested from the candidate has been received.
- **Awaiting Info** - Indicates a manager who did not have rights to fill in personal information (SSN and DOB) on behalf of the candidate sent the request but it has not yet been received.
- **Awaiting Parental Consent** - Indicates the parental consent form has not been uploaded for a minor and, thus, the background check(s) cannot be run.