



Operating Procedure

Effective Date November 1, 2017	Number 102.3
Amended 3/2/18	Operating Level Department
Supersedes Operating Procedure 102.3 (11/1/14)	
Authority COV §19.2-389, §53.1-10	
ACA/PREA Standards 4-4061; 4-ACRS-7B-05; 4-APPFS-3A-02; 2-CO-1C-18 1-CTA-1C-06; §115.17, §115.217	
Office of Primary Responsibility Human Resources Director	

Subject
BACKGROUND INVESTIGATION PROGRAM

Incarcerated Offender Access Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Public Access Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Attachments Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
--	--

I. PURPOSE

This operating procedure establishes protocols to ensure that the Department of Corrections has a uniform and consistent process whereby all applicants for employment, contractors, interns, and volunteers, prior to appointment, are subjected to a background investigation appropriate to the position being sought.

II. COMPLIANCE

This operating procedure applies to all units operated by the Department of Corrections (DOC). Practices and procedures shall comply with applicable State and Federal laws and regulations, Board of Corrections policies and regulations, ACA standards, PREA standards, and DOC directives and operating procedures.

III. DEFINITIONS

Applicant - An individual applying for an initial position or changing sensitivity levels in employment. This term will also be used for contract staff, interns, and volunteers being processed for background investigations.

Appointing Authority - The Organizational Unit Head or the next level of supervision above the Organizational Unit Head, if the Organizational Unit Head position is vacant; this is the person who must give final approval for the selection. This authority may be delegated down the chain of command to the immediate supervisor.

Authority for Release of Information - A written and signed form completed by the subject of the background investigation, authorizing permission to collect information or initiate a background investigation or criminal records check

Background Investigation (BI) - The process of authenticating information on an individual through records reviews and interviews with sources of information which may include but not be limited to a report of that individual's driver's license, full criminal history, visitation history, written and telephone inquiries about prior employment, military background, credit reporting, gang affiliations, and business, professional and personal references.

Full Background Investigation - An investigation for sensitive classified and wage positions including contractors to be processed at initial employment and/or at time of contract award and new hires for the contractors during the term of the contracts. This level of investigation will include education verification, professional license verification, employment reference checks, criminal record checks, DMV checks, local agency record checks, expanded local agency record checks, VACORIS Gang Module checks, and visitation history checks. For sensitive specialist positions, additional background information will be obtained through the Virginia State Police, conducting one on one interviews within the home environment (to include neighbors and family members), credit bureau and banking accounts, and investigational interviews with the candidate.

Limited Background Investigation - An investigation of limited scope, focusing on criminal and local law enforcement or judicial record checks, VACORIS Gang Module checks, professional licensure and credentials when appropriate, or any other inquiry deemed necessary or requested.

Partial Background Investigation - A report, as determined by the appointing authority in consultation

with the Background Investigations Unit, in which the scope of the investigation is tailored to satisfy specific informational needs or requirements

Promotional/Transfer Background Investigation - An investigation of DOC employees who are promoted or transfer to another DOC position or DOC agency; this level of investigation will include at a minimum, criminal record checks, DMV checks, local agency record checks, and visitation history checks.

Contract Employee - An individual working under an agreement enforceable by law, between the DOC and one or more competent parties, including all subcontractors, requiring as a condition of employment

- Access to DOC owned or controlled facilities;
- Work, wherever located, that involves the design, operation, repair or maintenance of information systems or access to sensitive information; or
- An entity under contract to provide goods or services to the DOC.

Derogatory Information - Information that could justify unfavorable suitability or prompt an additional investigation or clarification

Intern - An individual who is undergoing supervised practical training and is serving an internship to advance their area of study without compensation from the DOC. Interns receiving compensation from the DOC are considered employees and shall be managed in accordance with their employment status.

Local Agency Check (LAC) - An inquiry conducted with the local police, courts, military, or other law enforcement agencies in the jurisdiction where an applicant has resided for the longest period of time during the last five years, or since their 18th birthday

Non-Sensitive Position - A sensitivity designation of a position that has low potential for damage to agency security; a non-sensitive position is one where the individual does not have supervision and control authority over offenders, client population, or access to restricted information. This may also be any other position so designated by the DOC Director.

Preliminary Report - A criminal history or records search (VCIN/NCIC and DMV) pending completion of a background investigation, designed to provide initial screening for an immediate hiring decision in critical positions.

Request for a Background Investigation - A form initiated by the appointing authority directing and providing authority for the Background Investigations Unit to perform a background investigation or inquiry.

Scope - The time period covered and the sources of information contacted during the prescribed course of a background investigation.

Sensitive Position - A sensitivity designation of a position that has elevated potential for damage to agency security or could have a materially adverse effect on the DOC; a sensitive position is one where the individual has supervision and control authority over offenders, client population, or access to restricted information (including access to VACORIS).

Sensitive Specialist Position - A Gang Specialist, Investigator, or Intelligence Officer position within the Department of Corrections

Supplemental Background Investigation - An investigation of limited scope conducted to update, or assure completeness of a prior investigation, or to prove or disprove allegations concerning an individual upon whom a background investigation had previously been conducted.

Volunteer - An individual who provides services to the Department without any financial gain under the supervision of a correctional employee or another volunteer designated to supervise volunteers to include unpaid interns. This individual volunteers more than once per quarter to work with offenders in a group setting or individually as approved by the DOC. Services provided can include but are not limited to conducting research with prior approval of Human Subject Research Review Committee, participating in events related to Re-entry such as job assistance, Co-facilitating groups, participating in bible study, and performing clerical tasks.

IV. PROCEDURE

A. Background Investigation Program

1. In accordance with COV §19.2-389, a criminal record check is conducted on all new or prospective employees, contract personnel, interns, and volunteers prior to assuming their duties to identify whether there are criminal convictions that would affect job performance or delivery of services. This record will include comprehensive identifier information to be collected and run against law enforcement indices. If suspect information on matters with potential terrorism connections is returned on a desirable applicant, it is forwarded to the local Joint Terrorism Task Force (JTTF) or another similar body. (4-4061; 4-ACRS-7B-05; 4-APPFS-3A-02; 2-CO-1C-18; 1-CTA-1C-06)
2. To ensure uniform implementation of the Background Investigation Program throughout the Department of Corrections, program responsibility shall be centralized. The Human Resources Director shall have primary responsibility for administering the Background Investigation Program throughout the DOC.
3. In order to ensure that the Department of Corrections hires individuals who are qualified and suitable for employment, applicants recommended for hire (finalists) must undergo a background investigation as a condition of employment. This investigation process ensures the accuracy of information contained on applications and that the applicants are suitable for employment involving public safety and public trust responsibilities.
4. This operating procedure applies to all salaried employees, hourly wage employees, contract personnel, consultants, volunteers, interns, and any other person providing services to DOC offenders and operating units of the DOC.
5. Investigation Requirements
 - a. A background investigation shall be required before an applicant is allowed to commence employment, except when authorized to hire based on completion of a favorable preliminary report.
 - b. The background investigation should normally be completed within fourteen business days of the Background Investigation Unit receipt of the [Request for Background Investigation](#) 102_F6 submitted by the appointing authority
 - c. All interviews shall be conducted on an individual and confidential basis
6. Background investigations for Probation and Parole staff, volunteers, contractors, and interns may be performed by the hiring P&P District with copies of resulting reports forwarded to the Background Investigations Unit Supervisor for recording and retention.
 - a. See *Background Investigations for Probation and Parole Staff* section of this operating procedure.
 - b. If desired, the hiring P&P District may request the Background Investigation Unit to conduct background investigations in accordance with this operating procedure.
7. Limited background investigations for non-sensitive volunteers in a facility may be performed by facility staff with a copy of the completed [Application for Volunteer Services](#) 027_F2 forwarded to the Background Investigations Unit Supervisor for recording and retention.
 - a. The following documents should be attached:
 - i. [Authority for Release of Information - Limited Background Investigation](#) 102_F24
 - ii. Copy Driver's License or other government issued picture Identification
 - iii. Fingerprint Cards (if applicable) or provide Livescan TCN number
 - b. Full background investigations for volunteers in sensitive positions must be performed by the Background Investigation Unit by submission of the following documents. (Based on a limited background investigation, the Unit Head may grant preliminary approval for volunteers to serve in sensitive positions pending completion of the full background investigation).
 - i. [Application for Volunteer Services](#) 027_F2

- ii. [Request for Background Investigation](#) 102_F6
 - iii. [Authority for Release of Information](#) 102_F7
 - iv. [Background Investigation Questionnaire](#) 102_F2
 - v. Copy Driver's License or other government issued picture Identification
 - vi. Copy of License or Certification (if applicable)
 - vii. Fingerprint Cards (if applicable) or provide Livescan TCN number
8. Limited background investigations for non-sensitive temporary position contractors in a facility may be performed by facility staff with appropriate sections of the [Confidential Summary Background Investigation Report](#) 102_F10 completed and forwarded to the Background Investigations Unit Supervisor for recording and retention.
 9. The selection process remains the responsibility of the appointing authority. Nothing in this operating procedure shall be construed as denying the appointing authority the right and responsibility to make appropriate inquiries into the employment history of an applicant to ensure that the applicant has the background necessary for the specific job tasks.
 10. The DOC shall not hire or promote anyone who may have contact with offenders, and shall not enlist the services of any contractor who may have contact with offenders, who: (§115.17[a], §115.217[a])
 - a. Has engaged in sexual abuse in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution (as defined in 42 U.S.C. 1997)
 - b. Has been civilly or administratively adjudicated to have engaged or has been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse
 - c. Material omissions regarding misconduct, or the provision of materially false information, shall be grounds for termination. (§115.17[g], §115.217[g])
 11. The DOC shall consider any incidents of sexual harassment in determining whether to hire or promote anyone, or to enlist the services of any contractor, who may have contact with offenders. (§115.17[b], §115.217[b])
 12. Before hiring new employees who may have contact with offenders, the DOC shall: (§115.17[c], §115.217[c])
 - a. Perform a criminal background records check (VCIN)
 - b. Consistent with Federal, State, and local law, make its best efforts to contact all prior institutional employers for information on substantiated allegations of sexual abuse or any resignation during a pending investigation of an allegation of sexual abuse.
 13. All DOC facilities shall perform a criminal background records check (VCIN) before enlisting the services of any contractor who may have contact with offenders. (§115.17[d], §115.217[d]) All DOC community based administrative offices should perform a criminal background records check (VCIN) before enlisting the services of any contractor who will have unescorted contact with offenders.
 14. The DOC shall conduct criminal background records checks (VCIN) at least every five years of current employees and contractors. A criminal background records check (VCIN) will be conducted annually for sensitive specialist assignments.
 - a. The Human Resources Officer for each organizational unit shall ensure criminal background records checks (VCIN) are conducted and documented as required. (§115.17[e], §115.217[e])
 - b. The Human Resource Officer shall document in the *Access Employee Database* that the criminal records check (VCIN) was conducted.
 15. If information is received and verified that an employee falsified their application or provided erroneous information during the background interview process, the individual may be terminated from employment.

16. Background investigations will not be performed on persons under 18 years of age. A memo waiving the background investigation requirement due to age will be prepared for recording purposes by the Background Investigations Unit Supervisor.
17. For any employee whose background investigation was waived due to age, an *Authority for Release of Information* and fingerprints should be obtained when they reach age 18 and a limited background investigation completed.

B. Focus of Background Investigations

1. The background investigation shall be focused on the job requirements and the applicant's ability to perform assigned duties. Additionally, the investigation, if necessary, will include inquiries relative to the applicant's suitability for a position within the correctional system requiring contact with the offender or client population.
2. When an applicant is an ex-offender, a review shall be conducted of offender records.
3. Background investigations will not include an evaluation of professional or technical proficiency; this evaluation shall remain the responsibility of the appointing authority.
4. During the course of background investigations, attempts shall be made to obtain information relative to the following:
 - a. Ability to maintain composure and judgment while under stress and any propensity for violence or abuse
 - b. Honesty
 - c. Trustworthiness
 - d. Reliability
 - e. Ability to get along with other people
 - f. Attitude towards receiving instructions and supervision
 - g. Validity of application data
5. Expanded Investigation
 - a. When adverse or questionable information relevant to a security or employment determination is developed during an investigation, regardless of type, the investigation shall be expanded, to the extent necessary to substantiate, disprove or satisfy the inquiry of the adverse or questionable information.
 - b. In background investigations involving an applicant for a sensitive specialist position, when adverse or questionable information arises during the course of the investigation, a polygraph examination may be administered.

C. Limited Background Investigation

1. Requests for background investigations shall be initiated and approved by the Unit Head.
2. For a limited background investigation to be performed by the Background Investigation Unit, the [*Request for Background Investigation*](#) 102_F6 shall include the following attachments:
 - a. [*Authority for Release of Information - Limited Background Investigation*](#) 102_F24
 - b. Copy Driver's License or other government issued picture Identification
 - c. Fingerprint Cards (if applicable) or provide Livescan TCN number
3. Where allowed in this operating procedure, limited background investigations may be performed by facility or P&P Office staff with appropriate sections of the [*Confidential Summary Background Investigation Report*](#) 102_F10 completed and forwarded to the Background Investigations Unit Supervisor for recording and retention with the following attachments:
 - a. [*Authority for Release of Information - Limited Background Investigation*](#) 102_F24
 - b. Copy Driver's License or other government issued picture identification

- c. Fingerprint Cards (if applicable) or provide Livescan TCN number

D. Elements of a Full Background Investigation

1. The Background Investigation Unit (BIU) provides a single, centrally directed background investigative service to conduct pre-employment investigations on DOC personnel.
 - a. No other agency or organization will conduct background investigations unless specifically authorized by the Human Resources Director
 - b. Probation and Parole Districts are currently authorized by the Human Resources Director to conduct pre-employment investigations for probation and parole staff, contractors, volunteers, interns in accordance with this operating procedure.
 - c. In certain instances, the Human Resources Director may solicit assistance or refer an investigation to other investigative agencies or appointed personnel, i.e. Virginia State Police investigations for sensitive specialist positions.
2. The following elements may apply to a specific background investigation:
 - a. Fingerprint checks (State Police, FBI)
 - b. Local law enforcement checks (LAC-Local Agency Check)
 - c. Employment Verification
 - d. Employment interview (with supervisor)
 - e. Verification of education (as indicated by applicant)
 - f. Criminal history checks with *Virginia Criminal Information Network (VCIN)*, *National Criminal Information Center (NCIC)*, to include *NLETS* (National Law Enforcement Telecommunications System), when scope reflects residences or employment in other States or Canada.
 - g. *Virginia Division of Motor Vehicles (DMV)* on all applicants by license number, name and social security numbers to determine whether the applicant has a current driver's license and a record of traffic violations. This includes inquiries to other states when the applicant holds an out of state license, or has had an out of state license within the scope of the investigation.
 - h. An interview with selected references
 - i. The development and interview of two additional references
 - j. Review of Special Investigations Unit files for current or former DOC employees
 - k. Review of personnel records for active notices for current DOC employees and applicants with prior DOC or state service
 - l. Review offender visitation history for all investigations
 - m. Perform checks with *INTERPOL* on applications with a history of international travel
 - n. *Law Enforcement Support Center (LESC)* for immigration status and identity information (US Immigration & Customs Enforcement)
 - o. Review any additional checks or verification requested by the appointing authority or as required due to the specific position assignment.
 - p. BIU and anyone conducting reference checks must attempt to obtain answers from any prior institutional employers (prisons, community corrections, jails, juvenile facilities, community residential treatment, etc.) for the following questions:
 - i. Were there any substantiated allegations of sexual abuse or sexual harassment during their time of employment?
 - ii. Did this person resign or were they allowed to resign during a pending investigation of an allegation of sexual abuse or harassment?

E. Background Investigation Requirements

1. A full background investigation shall be conducted prior to any initial employment within the Department of Corrections, including paid interns and volunteers (including unpaid interns) working

in sensitive positions including access to DOC Information Technology resources and VACORIS.

- a. When it is imperative that the appointing authority make an immediate hiring decision regarding a candidate for a highly professional or technical position before completion of the background investigation, the appropriate Chief of Corrections Operations / Deputy Director, Regional Operations Chief, Regional Administrator, or Central Office Administrator may approve for the applicant to be hired based upon the completion of a favorable preliminary report (VCIN/NCIC and DMV check).
- b. An appropriate background investigation will be requested and a report provided in accordance with this operating procedure.
2. A full background investigation shall be conducted when an individual from outside the Department of Corrections, but employed by the state, is transferred or employed in a DOC position.
3. A promotional/transfer background investigation shall be conducted for all promotions and competitive voluntary transfers to or within pay band four or higher. The Unit Head may conduct criminal history checks for promotions and/or transfers below pay band four at their discretion.
4. It is the responsibility of the receiving Unit Head or designee to request and verify the promotional/transfer background investigation and have the information documented in the Access Employee Database.
5. Contractor employees
 - a. A partial background investigation shall be conducted for contractor employees working in a sensitive position.
 - b. A limited background investigation shall be conducted for contractor employees working in a non-sensitive position.
6. VDOT foremen require limited background investigations
7. A background investigation shall be conducted for VITA technicians and contractor employees/technicians supporting information technology and the Corrections Technology Security Unit
8. Volunteers (see Operating Procedure 027.1, *Volunteer Program*)
 - a. Volunteers, including unpaid interns working in non-sensitive positions only need limited background investigations.
 - b. Volunteers, including unpaid interns working in sensitive positions including access to DOC IT resources and VACORIS must have full background investigations.
9. Attorneys representing offenders requiring facility access to represent their clients are not normally investigated once they provide proper credentials. Facilities may run VCIN records checks and visitation history on legal assistants or paralegal personnel if desired.
10. Special or limited background inquiries will be conducted for weapons/firearms permits, and re-certifications, transfers to security positions, VCIN operators, sensitive specialist positions, and other special or sensitive assignments when deemed appropriate by the Organizational Unit Head when in the interest of public safety.
11. Upon presentation of valid identification, official visitors should be allowed to access DOC facilities without a VCIN or other criminal records check.

F. Requesting Full Background Investigations

1. Requests for background investigations shall be initiated and approved by the appointing authority or authorized designee, and forwarded to the Background Investigations Unit.
2. The [Request for Background Investigation](#) 102_F6 shall include the following information:
 - a. A copy of the applicant's employment application form
 - b. Two completed Department fingerprint cards that will be provided by the Background Investigations Unit. If *Livescan* is used, one card with *Livescan* results should be forwarded with

the request.

- c. Form DD 214, Member 4 (*Certificate of Release or Discharge from Military Service*). If the DD-214 is unavailable, the applicant shall provide a copy of the *Discharge Certificate*, and complete an SF-180 (*Request for Military Service Record*). This information shall be forwarded with the [Request for Background Investigation](#) 102_F6.
- d. [Authority for Release of Information](#) 102_F7
- e. Verification of education (e.g. diploma, transcripts, etc.)
 - i. Efforts by the requester to secure this information should expedite the completion of the background investigation.
 - ii. If unable to provide the educational information, as much information as possible shall be secured, such as: name of last school attended, complete location of school, dates of attendance, under what name attended etc. If this information is not on the application, it shall be conspicuously noted on the *Request for Background Investigation*.
- f. Copies of Birth Certificate, Social Security Card, and Driver's License - If a birth certificate is not available, a copy of a US Passport will suffice.
- g. Other documents - If available, a copy or extract information from the Certificate of US Citizenship, Certificate of Naturalization, Permanent Resident Card, or Alien Registration Receipt Card with Photograph.

G. Human Resource Officer Responsibilities

1. Securing the appropriate forms from all applicants or employees and ensuring that all information is complete and accurate. If practical, incomplete forms shall be brought to the attention of the requester by the Background Investigations Unit Supervisor
2. Advising the applicants that they are subject to a background investigation and employment is conditional based on a satisfactory background investigation assessment
3. Making the necessary arrangements for fingerprinting (results shall be sent to the Background Investigations Unit Supervisor)
4. Verifying the applicant's significant periods of unemployment, which are not otherwise accounted for, within the five-year scope of the background investigation
 - a. Instructing all applicants recommended for hire (finalists) and contract employees for sensitive positions to complete an [Authority for Release of Information](#) 102_F7 and [Background Investigation Questionnaire](#) 102_F2, advising them of the prerequisite and urgency to complete the *Questionnaire* and return it within 2 business days as part of the hiring process.
 - b. The applicant will be provided a self-addressed envelope for mailing or directed to complete the form online and return it to the unit's HRO or designated hiring official at the unit where they applied.
 - c. Timely completion of this *Questionnaire* is expected to aid in the turnaround of the final report and produce a more complete background investigation report for a more timely hiring decision.
5. Notifying the Background Investigations Unit Supervisor immediately if an applicant is no longer being considered, declines an offer, or resigns prior to completion of the background investigation
6. Notifying the Background Investigations Unit Supervisor immediately if an employee, volunteer, contract employee, or intern resigns in lieu of termination or is terminated under the Standards of Conduct or is separated for reasons that may warrant termination under the Standards of Conduct.

H. Termination of Background Investigations

1. The requesting official shall be notified immediately if any information is developed that merits grounds for termination of the background investigation.
2. The following situations are grounds for termination of a background investigation:
 - a. Notification by the requesting official that an applicant is no longer being considered for a

position

- b. Background investigations on Corrections Officer applicants who are ineligible to carry a firearm due to the conviction of domestic assault or felony are ineligible for employment with the DOC
- c. In accordance with Operating Procedure 135.4, *Alcohol and Other Drug Testing*, “Any applicant who tests positive for illegal drug use or who does not report for a scheduled drug test is ineligible for employment with the Department of Corrections for a period of two years from the date of the test.”
- d. Applicants who are subject to an “Order of Protection” are ineligible for employment with the DOC in positions that require the use of a firearm until the order of protection has been lifted or expired
- e. All other situations as determined by the Background Investigations Unit Supervisor

I. Report of Investigation

1. Administrative details concerning reports of investigation consist of the following captions:
 - a. SUBJECT - Name of Applicant
 - b. POSITION - Job Title
 - c. CASE NUMBER
 - d. WRITER - Name of person writing the report
 - e. LOCATION - i.e., Correctional Institution
 - f. DATE OF BIRTH
 - g. REVIEWED BY - Supervisor's Initials
2. Background investigation reports are sensitive and valuable to the Department and shall be secured in locked file cabinets or secure electronic files.
3. The Background Investigation Unit retains applicant investigation reports on file for five years.
 - a. Copies of these reports are available for review by the appointing authority only.
 - b. After the retention period, reports should be destroyed by shredding of paper files or deletion of electronic files.
4. An applicant may obtain their investigation report by contacting the Background Investigation Unit through a written request. The applicant can challenge the accuracy and completeness of any such report with official documentation.

J. Levels of Review

1. Every level of review should ensure that the applicant provided all required information. Resumes or addenda will not substitute for a complete application.
2. After the background investigation has been completed, reports will be forwarded to the Appointing Authority for review.
3. Reviewer should consider suitability issues including, but not limited to, falsification issues, contact with law enforcement, job discharges, negative employment history, offender visits/correspondence, gang affiliation, and military service performance or conduct issues.
4. After the background investigation has been completed for a sensitive specialist position, reports will be made available to the Coordinator of the Gang and Security Threat Group Unit (Coordinator) for review and recommendation.
 - a. If the Coordinator’s findings are unfavorable, the report will be forwarded to the candidate’s Unit Head for review. If the Unit Head and the Coordinator fail to agree on the employee’s suitability, the unit’s Regional Administrator will have the authority to make the final decision.
 - b. The BIU will maintain a copy of the expanded background report and related documentation; all other copies will be destroyed.

- c. Newly hired DOC employees may not be placed into a sensitive specialist position until the full background investigation is completed, reviewed, and the person is determined as suitable for the position. Active DOC employees may be tentatively placed in a sensitive specialist position pending the completion of the report by the Virginia State Police and a favorable decision.
5. All reports regarding applicant investigations will remain on file for five years at the Central Office Background Investigation files. Copies of background investigations will be disseminated to authorized personnel only.

K. Background Investigations for Probation and Parole Staff

1. The hiring P&P District may perform Background Investigations for Probation and Parole staff, including P&P Officers, Assistant P&P Officers (Surveillance Officers), clerical staff, contractors, volunteers, and interns.
 - a. Before beginning a background investigation, the hiring P&P District should contact the Background Investigation Unit to determine if they have information on file relative to the subject of the investigation.
 - b. Copies of resulting reports shall be forwarded to the Background Investigations Unit Supervisor for recording and retention.
 - c. Guidance and documents cited below will assist P&P Districts to perform Background Investigations in accordance with this operating procedure.
2. Background Investigations will be conducted on finalist(s) only. The finalist must sign an [Authority for Release of Information](#) 102_F7 and submit a [Background Investigation Questionnaire](#) 102_F2 within 2 business days to the hiring P&P District.
3. Limited background investigations for non-sensitive volunteers may be performed by P&P staff with a copy of the completed [Application for Volunteer Services](#) 027_F2 forwarded to the Background Investigations Unit Supervisor for recording and retention. The following documents should be attached:
 - a. [Authority for Release of Information - Limited Background Investigation](#) 102_F24
 - b. Copy Driver's License or other government issued picture Identification
 - c. Fingerprint Cards (if applicable) or provide Livescan TCN number
4. The standard [Background Investigation Questionnaire](#) 102_F2 must be used in all cases for full background investigations.
 - a. The *Questionnaire* may be e-mailed and the applicant asked to bring it to the P&P Office or return via e-mail.
 - b. If the information is being e-mailed, instruct the applicant to provide only the last 4 digits of the SSN.
 - c. The appointing authority or designee should contact the applicant to ask follow-up questions as necessary (such as the current relationship with a family member who is incarcerated, gang friends, tattoos, etc.). Note applicant's response to the questions posed. Information regarding gang affiliation will need to be shared with Regional Operations Chief for guidance/consultation.
 - i. Follow-up questions may be needed to clarify information; however, do not insert questions that are not related to the questions on the standard questionnaire.
 - ii. Information regarding financial matters, family heritage, religious affiliations, juvenile offenses, marital status, relationships, and personal data regarding spouse, children, etc. **shall not** be obtained.
5. The appointing authority or designee should:
 - a. Make necessary contacts to verify information provided in the questionnaire and to obtain information from references.
 - b. Use the [P&P Employment Reference Check](#) 102_F9 to verify previous employment.

- c. Contact employee to obtain fingerprints via LiveScan and give drug test on the same day (do not give advance notice of this requirement).
- d. Complete the [Confidential Summary Background Investigation Report](#) 102_F10.
- e. Submit a copy of the *Confidential Summary Background Investigation Report* and *Authority for Release of Information* to the Background Investigations Unit for post review and retention.

V. REFERENCES

[Virginia Criminal Information Network \(VCIN\)](#)

[National Criminal Information Center \(NCIC\)](#)

[National Law Enforcement Telecommunications Services \(NLETS\)](#)

Operating Procedure 027.1, *Volunteer Program*

Operating Procedure 135.4, *Alcohol and Other Drug Testing*

[Form DD 214, Member 4](#) (*Certificate of Release or Discharge from Military Service*)

[SF-180](#) (*Request for Military Service Record*)

VI. FORM CITATIONS

[Application for Volunteer Services](#) 027_F2

[Background Investigation Questionnaire](#) 102_F2

[Request for Background Investigation](#) 102_F6

[Authority for Release of Information](#) 102_F7

[P&P Employment Reference Check](#) 102_F9

[Confidential Summary Background Investigation Report](#) 102_F10

[Authority for Release of Information - Limited Background Investigation](#) 102_F24

VII. REVIEW DATE

The office of primary responsibility shall review this operating procedure annually and re-write it no later than three years after the effective date.

Signature Copy on File

9/14/17

N. H. Scott, Deputy Director of Administration

Date