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Best Practices for Employment Screening

I. Utilizing Best Practices

Today’s workplace is becoming increasingly competitive due to a variety of factors such as globalization and the pending retirement of the baby boom generation, which is expected to substantially decrease the pool of qualified workers.

Regardless of size or industry, organizations can be directly affected by employee drug use, crime, theft, fraud and violence. Therefore, knowing exactly who you’re employing is important. Organizations must find the most qualified and talented people to help them address growing challenges that are unique to their industry, and utilizing an effective background screening program is an essential step in that process.

Crime
- Retail crimes involving highly organized groups, gangs or individuals cost retailers a staggering $34.3 billion in 2008.¹
- 85% of retailers admitted to being victimized by organized retail crimes in the last 12 months.²
- Approximately 44.5% of retail losses are attributed to store associates.³

Fraud
- Retailers lose $10.8 billion annually from return fraud alone.⁴
- $2.8 billion in e-commerce revenues were lost to fraud in 2005.⁵
- According to the National Health Care Anti-Fraud Association (NHCAA), healthcare fraud collectively costs Americans between $60 billion and $100 billion a year.⁶
- The NHCAA estimates conservatively that 3% of all health care spending—or $68 billion—is lost to health care fraud.⁷

Drug Abuse⁸
- There were 13.1 million illicit drug users in the workforce in 2007.
- 8.4% of full time employees used illicit drugs in 2007.
- 10.1% of part time employees used illicit drugs in 2007.
- In 2007, there were 9.9 million persons reported as having driven under the influence.

Popular Drugs in 2007 among Illicit Drug Users⁸
1) Marijuana
2) Prescription Drugs
3) Cocaine
4) Hallucinogens
5) Inhalants
6) Heroin

Due to the amount of drug use and theft that is occurring every day, it is critical to conduct background screening and drug testing before hiring and during the employment cycle in order to mitigate liability.

Sources:
5  National White Collar Crime Center’s 2005 National Public Survey on White Collar Crime
It is more important than ever that employers find the most qualified, credible and talented people to help avoid workplace theft, fraud or violence.

It's equally important for employers to conduct background screening on their contingent workforce, which includes cleaning crews, facilities maintenance workers, auditors, inventory stockers and other contractors who have access to their property or represent the brand to perform work in homes or in the field. Often, it's a contractor's employees—the individuals they hire to service a company's customers—who end up being the face of that organization. Knowing the background of these people can protect the integrity of the brand and the business, as well as the safety of their customers. Therefore, this workforce needs to be screened with the same due diligence as any other employee.

To help attract, hire, land and retain the best employees and contingent workforce, a greater number of companies are adjusting their employment screening processes to: 1) create a “World Class Candidate Experience” that benefits potential employees; and 2) boost efficiencies and reduce overall risk by utilizing a fast, scalable and compliant background screening solution.

World Class Candidate Experience

You create a World Class Candidate Experience when you make it easier and more appealing for job candidates to interact with your organization. One way many companies are creating this experience is by using innovative technologies to automate the outdated and time-consuming processes of manually completing applications and related paperwork. Now, through sophisticated technologies such as applicant tracking systems and online applications, candidates can quickly and easily search for and find career opportunities via the Internet and submit job applications and resumes online from the convenience of their homes.

What does this mean for you? Apart from making your organization an attractive option for job candidates, improving the candidate experience through automation helps you expedite your hiring cycle, allowing you to quickly hire the most qualified talent before they accept an offer from another firm.

Automation can reduce your paperwork-related hassles and expenses, allowing you to further differentiate your firm in the marketplace by utilizing a paperless hiring process.

Pre-Screening Potential Candidates

It is important to pre-screen candidates by stating clearly to potential applicants what items and prerequisites will be needed to properly qualify the employment application. This will streamline your application process by having applicants review the information and then determine whether or not they meet the qualifications. This is part of the proactive pre-screening process that ensures applicants who submit their information will pre-qualify based on the specific information needed later in the process.
Below are examples of information that might be needed in the application process for a cashier in a retail environment or a bank customer service representative/teller:

**Example 1:**

**Position:** Cashier  
**Qualifier:** Applicant must have a valid driver’s license.  
Applicant must have a Social Security card.  
Applicant must be at least 18 years old.  
Applicant must be able to work weekends.

**Example 2:**

**Position:** Bank Customer Service Representative/Teller  
**Qualifiers:** Applicant must have a valid driver’s license.  
Applicant must have a Social Security card.  
Applicant must have a high school degree.  
Applicant must have at least two professional or personal references.  
Applicant must not have a criminal record conviction that violates section 19 of the Federal Deposit Insurance Act.  
Applicant must be available to take a drug test.

**Quick Turnaround**

Automation allows access to fast background screening results. These timely results are critical in helping organizations efficiently move through the hiring process. Where it previously took days to obtain the results of a county-level criminal background check, one can now receive quick results from a nationwide search. In short, databases and file transfer technologies have forever changed the landscape of employment screening.

As a result, a greater number of organizations are integrating instant and automated employment screening products into their hiring process to help them gain a competitive edge when it comes to quickly hiring the best candidates.

- Instant searches can help you efficiently move forward in the hiring process by quickly confirming or validating basic information such as a Social Security number or name and address history.
- Automated searches quickly move the screening process along by providing electronic delivery of process updates and results, eliminating time delays often associated with manual follow-up on important screening components such as employment or education verifications.

**Scalability**

Due to many trends impacting large organizations in the broader marketplace such as global expansion and corporate mergers, it is crucial to build scalability into their employment screening process.
First, a scalable screening solution can help ensure your process has the bandwidth to handle sudden spikes in search volume. Such spikes can occur during holiday periods, where there is an increased demand for staffing, or after an acquisition, where employees must be re-screened by the parent firm.

Second, as more firms expand abroad and tap into the global workforce, a truly scalable process can accommodate international employment screening and maximize your efficiencies. By consolidating your domestic and international screening with one provider rather than managing multiple providers, you will likely increase your buying power and minimize accounting hassles.

Scalability also applies to other solutions. A scalable screening process can seamlessly evolve with your business by easily incorporating additional products such as drug testing, without complicating your program by introducing new vendors and processes.

**Compliance**

It is important to understand the impact that local, state and federal laws have on your hiring and employment screening processes. The most prominent legislation that employers across all U.S.-based industries must abide by is the Fair Credit Reporting Act (FCRA). Making sure that your employment screening provider offers an FCRA-governed solution can help you easily meet this federal requirement. However, even though your employment screening provider may offer a compliant solution or propose to work with you to build one, you should always consult your legal counsel regarding local state and federal laws, and related employment law matters.

**Global Services**

Choose a service provider who will act as your partner, enabling you to uncover answers in a timely and reliable fashion. A host of trusted sources should be tapped within the countries you specify to deliver pertinent information, customized for your organization or industry. Whether you need to screen applicants from India or China, you need to find a service provider who will help you mitigate risk, perform due diligence and comply with in-country business requirements.

**Reduce Your Overall Risk**

An efficient, thorough employment screening process that includes leading-edge technology can, above all else, help reduce your overall workplace risk.

Identifying risk early, prior to hiring an employee, protects your broader organization from risk related to:

- Physical Safety
- Financial Security
- Organizational Image or Reputation
- Legal Compliance
II. Implementing a Recommended Employment Screening Package

The following four-step process provides a high-level overview of general areas that should be addressed in your employment screening process.

**Step 1. Determine initial candidate communication** – When your candidates submit their applications, resumes or other required pre-employment forms via the Web, it is important to determine the most efficient method of communicating with these people. This is your first chance to make an impression as a potential employer. This eases the burden on your Human Resources staff because they only work within one system.

- If you currently use a Human Resource Information System (HRIS) or Applicant Tracking System (ATS), it is recommended that you work with an employment screening provider that can integrate background screening products into your application. This eases the burden on your Human Resources staff because they only work within one system.
- If you’re not currently using an HRIS or ATS, contact your current or prospective employment screening provider to inquire if such a solution is available. Otherwise, be sure you are working with a provider who can provide electronic, Web-based services.

**Step 2. Choose your screening components** – A comprehensive screening process will include several components, each of which is discussed below.
Description of the products:

Criminal History

Screening candidates for criminal records can help you promote a safe, secure workplace by reducing employment-related risk linked to a criminal history. In order to have the most comprehensive criminal search, the following services are recommended dependant upon the type of position the candidate is seeking. It may be hard to believe given today’s prevalent and ever-expanding technology, but many public records are still only on paper and have yet to be converted to instant digital access. When comparing sources for your information, be sure to include all possible avenues. A search that checks Web-based files and may also include sending a trained investigator to check records at the appropriate court jurisdiction is recommended. The goal is to leave no stone unturned in order to protect your company, your reputation and your most valuable asset, your employees.

**NOTE: It is recommended that all criminal background checks return seven years of information regarding an applicant’s past; however, results will be dependent on the laws and guidelines that govern the state in which the search is being performed.**

- **Member-Contributory Theft Information Database** – Look to join a membership-based program where companies share employee theft and shoplifting information to identify applicants with a history of internal theft. The database should be built from member contributions and be available exclusively to member organizations. Member contributions are typically proprietary records and not found through traditional public record sources.

- **National Criminal File Search** – Most background screening providers offer access to a national criminal records database. Although the scope of coverage will vary depending on the provider, some vendors can offer access to a nationwide database of criminal records gathered from across all 50 states. A variety of sources are utilized including Sex Offender Registries, state and county criminal courts and state-level departments of corrections. This search can provide instant results depending on the provider.

- **Felony and Misdemeanor Search** – This county courthouse search includes a search of all felonies and misdemeanors on all indexes available at the main county seat court location. There are different product options available depending on how in-depth a search you wish to perform.

- **Motor Vehicle Report** – A Motor Vehicle Report (MVR) reveals the status of an applicant’s driver’s license and any violation history. This search should be conducted on all candidates who will have driving responsibility for a company, including those who will not only drive a company vehicle but will also drive a personal vehicle on company time or for company purposes.

Verification and Qualification Solutions

These products and services help you quickly and efficiently validate crucial information provided by your potential employees so that you can move forward in the hiring process and make informed hiring decisions.
- **Social Security Number Verification (SSNV)** – This search matches the input information against millions of consumer header credit files contained in the databases of nationwide credit reporting agencies. The SSNV returns other names and addresses associated with the identifying information used to request the report.

- **Credit Check** – This search matches the candidate’s information to information held by the Credit Bureaus, and returns the candidate’s credit report.

- **Employment Verification and/or Education Verification** – These two products are used to verify the information provided by your candidate.

- **Employment Eligibility** – Due to changing immigration laws, the federal and state governments are placing a higher burden on employers to prove that their workforce is eligible to legally work in the United States. An employment eligibility verification service can assist you in streamlining your Form I-9 process so you can proactively stay ahead of the curve. Several states have already passed laws requiring certain businesses to participate in the federal government’s E-Verify program. The E-Verify program mandates that employers confirm every new hire’s employment eligibility by sending the information used to complete the I-9 through the Social Security Administration (SSA) and Department of Homeland Security (DHS) databases. In the future more states may add this law for hiring practices.

- **States that require E-Verify participation** – Arizona, Colorado, Georgia, North Carolina, Oklahoma, Tennessee. More states may be added as state laws change.

- **Web-based Employment Eligibility Verification (EEV) Services** – These systems efficiently and effectively automate the return of employee eligibility results via the Internet and can be used to electronically manage your I-9 forms across your organization. A Web-based I-9 system allows a company to manage an electronic copy of the I-9 form to ensure company compliance. The system can also transmit employee data through the E-Verify Program, which verifies a new hire’s date of birth, Social Security number and name with the SSA and DHS databases. In addition, an authorization status of the applicant’s eligibility for hire is addressed. Using an EEV Services system with access to the E-Verify program can assist you in proactively increasing your compliance related to the new SSA No Match program mandates. These systems also allow you to manage the process electronically by uploading documents, reducing the burden of filing millions of supporting documents away for the legal amount of time required. Through these systems employers can be notified when certain documents, such as work visas, are set to expire so that you can ensure your workplace stays legally eligible for employment.

**Average Time Expectation:**

- Although many background screening providers offer instant results, some results may be delayed due to their manual processes. This can be the case for education verification and manual background checks at courts due to holidays or their internal processes.
Occupational and Biometric Services

These services provide applicant substance abuse information and are critical to ensuring a safe workplace. Look for a service provider who will track your results, provide reports and ensure you stay in compliance with the law. Your service provider should:

- Assist you in developing or updating your drug testing policy
- Provide drug testing services for clients who need Department of Transportation (DOT) compliance
- Provide a random drug test program for DOT and Non-DOT clients
- Coordinate and store your Driver Qualification Verification files
- Meet your immunization and medical exam requirements including receiving the exam results

A basic DOT Five Panel Drug Test (urine conventional) should be consistent for more positions. The following drugs would be tested from the applicant’s urine sample:

- Amphetamines (Amphetamine, and Methamphetamine)
- Benzoylecgonine (Cocaine Metabolite)
- Cannabinoids (Marijuana Metabolite, and THC-COOH)
- Opiates (Codeine, and Morphine)
- Phencyclidine (PCP)

Some service providers may also offer a seven and nine panel drug test; check with your service provider to see if those options are offered, or if a customized panel can be created.

<table>
<thead>
<tr>
<th>Drug Test</th>
<th>Pros</th>
<th>Cons</th>
<th>Best For:</th>
</tr>
</thead>
</table>
| Urine (conventional)     | • Labs are standard  
                         • Good turnaround time  
                         • Gold Standard  
                         • Customer service and tracking done by service provider | • Not immediate  
                         • Collection site management is offsite | • Pre-Employment  
                         • Promotion  
                         • Random  
                         • Post Accident  
                         • Reasonable Suspicion |
| Breath Alcohol Test - BAT (conventional) | • Instant results  
                         • Defensible in court  
                         • Non-invasive  
                         • Governed by the ADA - helps with compliance | • Limited availability  
                         • Results are returned directly to customer due to federal regulations  
                         • Customer self administration and tracking, or if service provider is tracking info, then customer or clinic must send it to provider  
                         • Price | • Post Accident  
                         • Reasonable Suspicion |

Adjudication and Alerts

Based on your hiring requirements, these services can help you identify and address various levels of acceptable risk in a consistent, standardized manner.
It is recommended that companies incorporate a criminal records adjudication policy (based on customer criteria), as an integral part of their screening process. Also, you and your provider should agree on who will manage all FCRA-mandated Adverse Action letters for candidates that fail to meet specific screening criteria set forth by your organization.

- Although service levels vary, many service providers administer an Adverse Action service in which the provider sends the FCRA-mandated letters that the customer has provided.
- Choose a service provider that maintains a toll-free consumer dispute hotline that provides your candidates with the appropriate channel to dispute the finding in a timely manner.

Step 3. Streamline your process – To promote increased process transparency, a Monthly Compliance Exception Report should also be included in your employment screening process.

This report will provide visibility into your hiring process by informing you which candidates have completed various parts of the screening process and which have not. The report also updates you as to which components are missing from a candidate’s employment screening process.

Step 4. Conduct Quarterly Business Review Meetings – Your service provider should meet with you once a quarter to present data analysis and a recap of your background and drug testing program. A service provider can also alert you to trends in screening and updated services now available to your industry.

III. A Sample Implementation Plan

An implementation plan should describe the main areas of consideration in developing and deploying a comprehensive employment screening program. The plan should identify the key representatives and subject matter experts from all necessary departments, including human resources, operations, loss prevention, recruiting personnel and technology.

The following brief descriptions provide a quick reference for each implementation area you should consider; while the following describes a standard implementation, your actual process may need to be customized depending on the needs of your group. However, this is a good overview of the implementation process.

1. Administration

The employment screening provider should assign a dedicated resource from a client solutions/engineering team to manage all aspects of the implementation process. That dedicated resource should then work with the appropriate legal, technology and training teams and subject matter experts to offer advice and best practices that help establish a quality program. Once established, this implementation team should conduct weekly meetings to define and resolve all components of the proposed employment screening program.
2. Legal

Important service level agreements (SLAs), statements of work (SOWs), out of the ordinary processes, scope of work, pricing and compliance issues are negotiated throughout the service agreement signing period. In addition, state-specific Department of Motor Vehicle (DMV) forms are signed and submitted to state DMVs to receive proper authorization for accessing Motor Vehicle Reports (MVR). The employment screening provider and the prospective client should mutually agree upon and sign off on the Adverse Action process before the actual account setup begins.

3. Account Setup

Your company’s existing internal corporate organization will help determine how your field, regional and global locations will be setup. A list of the organization’s physical locations that includes its approved users (and their different levels of access rights) is a key item of information necessary to complete the account setup process. Sometimes accounts are setup in phases to accommodate large territories. For example, a Phase I setup may serve only a pilot/regional group of users, while a Phase II will provide for other field locations with geographical differences.

4. Technology

Technology is a critical component to the entire implementation project timeline. For example, your target completion dates may be impacted when your screening system interface deviates from a standard process to a complex or customized process. During the discovery phase, all required data elements for ordering and returning results should be identified and properly documented to ensure the front-end input information is propagated to back-end systems. In addition, the system interface with an HRIS and/or an ATS should be clearly defined so that all of the applications integrate into a cohesive screening program.

After the discovery phase and business requirements are documented then a Statement of Work (SOW) is prepared for legal to approve.

5. Communications

A vital component of a successful implementation is communicating helpful information and a timeline to the user community about the roll-out. This allows all users at various locations to set expectations and prepare for new system training. User names and passwords are distributed after training is complete.

6. Training

Supporting materials such as training documentation and user guides should be developed and distributed by the employment screening provider to ensure users understand the system and the new process changes when onboarding new employees.

Summary Implementation Plan

A summary implementation plan provides a sample snap-shot timeline for a 60-day time period, from contract signatures to a production ready, go-live date. The 45 total duration days represent the number of business days that will elapse during a 60-day implementation time period. When
expanding the program scope, the duration days may increase depending on how complex the plan may become.

The following chart of summary tasks provides the estimated number of duration days that will elapse to complete that part of the project (standard 45 days). For example, the “Training” 18-day duration period includes the development of training documentation and the actual training schedule. The “Legal Approvals” duration period may take only five days of review but could include approving all other process documents within a 10-day period.

<table>
<thead>
<tr>
<th>Task</th>
<th>Duration</th>
<th>Month 1</th>
<th>Month 2</th>
<th>Month 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Implementation</td>
<td>45 days</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Administrative Work</td>
<td>5 days</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Legal Approvals</td>
<td>10 days</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Future Process Flow</td>
<td>5 days</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Customize Program</td>
<td>10 days</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Account Setup</td>
<td>5 days</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Technology Integration Plan</td>
<td>30 days</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Communications</td>
<td>19 days</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Training</td>
<td>18 days</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

IV. Product and Service Definitions

Recommended Services

**Adjudication** – This process involves applying your hiring criteria against the results of the candidate’s background search and drug screen, and scoring the candidate as eligible, decisional or ineligible for hire. This analysis is based upon a scoring matrix that you provide based on your hiring policies.

**Web-based Employment Eligibility Verification (EEV) Services** – These systems efficiently and effectively automate the return of employee eligibility results via the Internet and can be used to electronically manage your I-9 forms across your organization. A web-based I-9 system allows a company to manage an electronic copy of the I-9 form to ensure company compliance. The system can also transmit employee data through the E-Verify Program, which verifies a new hire’s date of birth, social security number and name with the Social Security Administration (SSA) and Department of Homeland Security (DHS) databases. In addition, an authorization status of the applicant’s eligibility for hire is addressed.
V. APPENDIX A

LexisNexis recommended screening solutions:

<table>
<thead>
<tr>
<th>Background Component</th>
<th>Pros</th>
<th>Cons</th>
<th>Best For:</th>
</tr>
</thead>
</table>
| LexisNexis® Work Place Theft & Fraud Exchange (Esteem) | • Contributory theft database  
• Updated frequently  
• Electronic search of four databases  
• Checks against the master death index file of deceased individuals  
• The most thorough in-depth retail-specific database for retail theft | • Should be used as a supplement to a county search | • Pre-Employment  
• Current Employee Prescreening |
| LexisNexis® National Criminal File (NCRF) | • FCRA-governed  
• Hits require additional research at no additional cost  
• Approximately 6,000 new electronic records added daily  
• A comprehensive database of criminal convictions and includes sex offender registries (48 states plus Washington, D.C.)  
• Product is available on CPScreen, ESP, New XML and Applicant Entry  
• Checks name given only | | • Pre-Employment  
• Current Employee Prescreening  
• Promotion |
| LexisNexis® National Criminal File PLUS (NCRF PLUS) | • FCRA-governed  
• Hits require additional research at no additional cost  
• Approximately 6,000 new electronic records added daily  
• A comprehensive database of criminal records and includes sex offender registries (48 states plus Washington, D.C.)  
• Product is available on CPScreen, ESP, New XML and Applicant Entry  
• Checks name and all pseudonyms/nicknames | • Should be used as a supplement to a county search | • Pre-Employment  
• Current Employee Prescreening  
• Promotion |
| Felony & Misdemeanor (F&M) | • Best coverage for misdemeanors – searches multiple courts.  
• Search of up to two court locations, no matter how distant it is from the primary court location, in order to obtain a complete felony and separately-held misdemeanor search  
• This in conjunction with NCRF Plus is the most thorough search available today | • Court turnaround time and access fees vary by jurisdiction | • Pre-Employment  
• Promotion |

Best Practices for Employment Screening
V. APPENDIX A

LexisNexis recommended screening solutions:

<table>
<thead>
<tr>
<th>Background Component</th>
<th>Pros</th>
<th>Cons</th>
<th>Best For:</th>
</tr>
</thead>
</table>
| County Seat Felony and Misdemeanor (FAM)  | • Less expensive than F&M search  
• Good turnaround time  
• Good misdemeanor coverage  
• Search of the county seat locations  
• Felony and misdemeanors will be searched as long as the misdemeanor court is at the same physical court location.  
(Ex. Felonies–Room 101, Misdemeanors–Room 202)  
• Over 80% of the time this is the only search required to locate all misdemeanors. | • More costly than FIM and may impact turnaround time.  
• Not as complete as F&M  
• Delays can be expected at lower court locations where direct public access is not allowed, requiring court clerks to conduct the searches | • Pre-Employment  
• Promotion                                                                 |
| Felony Including Misdemeanor (FIM)        | • Less expensive than FAM  
• Better turnaround time than FAM  
• Search of the primary court index (Superior, Circuit, etc)  
• All felonies will be reported as well as misdemeanors that do not require additional court searches for complete information.  
(Misdemeanors held within same database system as felonies)  
• Over 60% of the time this is the only search required in order to locate all Misdemeanors.  
• The FIM Search is the most efficient, cost-effective search due to the single primary index search. | • May not capture all misdemeanors in certain courts | • Pre-Employment  
• Promotion                                                                 |
| Felony Record Search (FRI)                | • Less costly than FIM  
• Search of the primary court index (Superior, Circuit, etc) for minimum of past 7 years  
• Only felony hits will be searched and reported | • No misdemeanor information reported | • Pre-Employment  
• Promotion                                                                 |
| Statewide Searches (CR)                   | • Search of either the State Centralized State Police Repository or State Administrative Office of the Court and will research and report all Felony & Misdemeanors found. | • Possible hits that often require additional search(es) | • Pre-Employment  
• Promotion                                                                 |
| Federal Felony and Misdemeanor (FFM)      | • Search of the appropriate federal jurisdictional court based on residential address and includes both federal felony and misdemeanors found. | • Low criminal hit (record) percentages found in the federal courts  
• Possible hits often require additional search(es) in order to obtain pertinent case data, particularly ID information | • Pre-Employment  
• Promotion                                                                 |
<table>
<thead>
<tr>
<th>Background Component</th>
<th>Pros</th>
<th>Cons</th>
<th>Best For:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Misdemeanor Only</td>
<td>• A search of either the primary or secondary court location to obtain misdemeanor record information.</td>
<td>• Municipal courts have restricted access rules</td>
<td>• Pre-Employment</td>
</tr>
</tbody>
</table>
| Social Security Number Verification (SSN) | • Verifies 2 out of 3 for DOB, SSN, and Name.  
• Returns all names associated with the above. | • Based on credit header info, not a name match from Social Security Administration | • Pre-Employment               |
| Sex Offender Search                  | • Helps to protect employees and customers against violent sexual offenders in the workplace  
• Protects children and at-risk individuals  
• Gives property owners/Realtors a sense of security when renting property  
• Demonstrates good due diligence  
• Sex Offender Registries (48 states plus Washington, D.C.)  
• For some states the sex offender's photo is also available | • Not all states are covered  
• Not all states allow all levels of sex offender information to be shared (Ex: level 1 offenders aren’t shared for some states)  
• Information shared with the public may differ state by state  
• Not all sex offender information can be used in making a hiring decision (depends on the state) | • Pre-Employment  
• Promotion |
| Motor Vehicle Registration (MVR)      | • Uncover new driving offenses that might put you at risk  
• Batch processing capability allows easy uploading of lists of names to be searched  
• Typical results: DL number, class and status, name, DOB, physical description, conviction dates, violations, accidents, docket numbers, court locations and accident report numbers.  
• User-friendly  
• Quick results, from instant to within 24 hours | • Results vary state by state | • Pre-Employment  
• Yearly for drivers (DOT) |
| Employment Verifications             | • Helps verify the employers for which the candidate worked  
• The number of employers verified is dependent on the customer's needs  
• Items that can be verified: employer name, employer address, dates employed, position, full or part time, temp or permanent, voluntary or involuntary termination, eligibility for rehire | • Employer may not cooperate  
• Applicant release may be needed  
• May be difficult to contact if employer no longer in business | • Pre-Employment |

**V. APPENDIX A**

**LexisNexis recommended screening solutions:**
### V. APPENDIX B

Other Drug Testing Alternatives:

<table>
<thead>
<tr>
<th>Background Component</th>
<th>Pros</th>
<th>Cons</th>
<th>Best For:</th>
</tr>
</thead>
</table>
| Urine (conventional)  | • Labs are standard  
|                       | • Good turnaround time  
|                       | • Gold Standard  
|                       | • Customer service and tracking done by LexisNexis | • Not immediate  
|                       | | • Collection site management is offsite | • Pre-Employment  
|                       | | | • Promotion  
|                       | | | • Random  
|                       | | | • Post Accident  
|                       | | | • Reasonable Suspicion |
| Urine (instant) - Self Collect | • Instant Results  
|                       | • Cheaper then conventional | • Not legal in all states  
|                       | | • Tampering can occur  
|                       | | • Customer self administration and tracking, or if service provider is tracking info, then customer must send it to provider  
|                       | | • Test results are subject to interpretation (no quality control)  
|                       | | • For non-negative results, must follow up with a Urine (conventional) test | • Pre-Employment  
|                       | | | • Promotion  
|                       | | | • Random  
|                       | | | • Post Accident  
|                       | | | • Reasonable Suspicion |
| Urine (instant) - Clinic | • Instant results | • Not legal in all states  
|                       | | • Tampering can occur  
|                       | | • Customer self administration and tracking, or if service provider is tracking info, then customer or clinic must send it to provider  
|                       | | • Test results are subject to interpretation (no quality control)  
|                       | | • More expensive than urine conventional | • Pre-Employment  
|                       | | | • Promotion  
|                       | | | • Random  
|                       | | | • Post Accident  
|                       | | | • Reasonable Suspicion |
| Oral Fluids (instant) - Self Collect | • Instant results  
|                       | • Can not adulterate the specimen  
|                       | • Cheaper than urine conventional | • Not legal in all states  
|                       | | • Marijuana retention time is short  
|                       | | • Customer self administration and tracking, or if service provider is tracking info, then customer or clinic must send it to provider  
|                       | | • Test results are subject to interpretation (no quality control)  
|                       | | • For non-negative results, must follow up with a Urine (conventional) test | • Pre-Employment  
|                       | | | • Promotion  
|                       | | | • Post Accident  
|                       | | | • Reasonable Suspicion |
| Oral Fluids (instant) - Clinic | • Instant results | • Not legal in all states  
|                       | • Can not adulterate the specimen | • Marijuana retention time is short  
|                       | | • Customer self administration and tracking, or if service provider is tracking info, then customer or clinic must send it to provider  
|                       | | • Test results are subject to interpretation (no quality control)  
|                       | | • More expensive than urine conventional  
|                       | | • For non-negative/positive results, must follow up with a Urine (conventional) test | • Pre-Employment  
|                       | | | • Promotion  
|                       | | | • Post Accident  
|                       | | | • Reasonable Suspicion |
V. APPENDIX B

Other Drug Testing Alternatives:

<table>
<thead>
<tr>
<th>Background Component</th>
<th>Pros</th>
<th>Cons</th>
<th>Best For:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Breath Alcohol Test - BAT (conventional)</td>
<td>• Instant results</td>
<td>• Limited availability</td>
<td>• Post Accident</td>
</tr>
<tr>
<td></td>
<td>• Defensible in court</td>
<td>• Results are returned directly to customer due to federal regulations</td>
<td>• Reasonable Suspicion</td>
</tr>
<tr>
<td></td>
<td>• Non-invasive</td>
<td>• Customer self administration and tracking, or if service provider is</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Governed by the ADA - helps with compliance</td>
<td>tracking info, then customer or clinic must send it to provider</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Price</td>
<td></td>
</tr>
<tr>
<td>Breath Alcohol Test - BAT (instant)</td>
<td>• Instant results</td>
<td>• Not legal in all states</td>
<td>• Post Accident</td>
</tr>
<tr>
<td></td>
<td>• Non-invasive</td>
<td>• Results are returned directly to customer due to federal regulations</td>
<td>• Reasonable Suspicion</td>
</tr>
<tr>
<td></td>
<td>• Cheaper than breath alcohol conventional</td>
<td>• Customer self administration and tracking, or if service provider is</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Governed by the ADA - helps with compliance</td>
<td>tracking info, then customer or clinic must send it to provider</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Price</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>• For non-negative results, must follow up with a Breath Alcohol Test</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>(conventional)</td>
<td></td>
</tr>
<tr>
<td>Driver Qualification File (DQF)</td>
<td>• Electronic file and monitoring service</td>
<td>• Pre-Screening:</td>
<td>• Pre-Employment for regulated industries</td>
</tr>
<tr>
<td></td>
<td>• Helps with compliance</td>
<td>• Annual screening:</td>
<td>including: Banking, Finance, TSA and FINRA</td>
</tr>
<tr>
<td></td>
<td>• User-friendly reporting</td>
<td>• Drivers/DOT</td>
<td></td>
</tr>
<tr>
<td>Finger Printing</td>
<td>• Saves money; no investment in expensive equipment for use in one</td>
<td>• There will always be a percentage of individuals who cannot be</td>
<td>• Pre-Employment for regulated industries</td>
</tr>
<tr>
<td></td>
<td>location</td>
<td>printed; five percent or less. After two to three rejections, a name</td>
<td>including: Banking, Finance, TSA and FINRA</td>
</tr>
<tr>
<td></td>
<td></td>
<td>check can be ordered, which takes several months</td>
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<tr>
<td></td>
<td></td>
<td>• Cost-effective “pay as you go” volume-based pricing</td>
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<tr>
<td></td>
<td></td>
<td>• Flexible easy scheduling with National Scheduling Center and</td>
<td></td>
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<td></td>
<td></td>
<td>scalable solutions to fit your hiring process</td>
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<td></td>
<td></td>
<td>• Easily defended in court</td>
<td></td>
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<td></td>
<td></td>
<td>• Results usually delivered in three to five hours</td>
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<td></td>
<td></td>
<td>• Print-based as opposed to demographic-based</td>
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<tr>
<td></td>
<td></td>
<td>• Receive results with electronic print submission capability</td>
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<td></td>
<td></td>
<td>• Third-party collection network: LabCorp and Medtox (one stop shop</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>for drug testing and finger printing)</td>
<td></td>
</tr>
</tbody>
</table>

Best Practices for Employment Screening
V. APPENDIX B

Other Drug Testing Alternatives:

<table>
<thead>
<tr>
<th>Background Component</th>
<th>Pros</th>
<th>Cons</th>
<th>Best For:</th>
</tr>
</thead>
</table>
| Physical Exams        | • A Medical Review Officer can review the exam  
 • Provides clients with a comprehensive review of their wellness programs  
 • Helps with compliance | • Critical to have all details clearly documented  
 • Must have applicant consent in some states, if medical exam is not a job requirement  
 • Service provider may not be able to order the exam, due to not being licensed in every state  
 • Incompetent performance of the DOT examination can result in liability  
 • Applicant must consent that service provider can call the physician for any further review of questionable results | • Pre-Screening: Drivers/DOT  
 • Annual screening: Drivers/DOT |
| Immunization          | • A Medical Review Officer can review the exam | • Critical to have all details clearly documented  
 • Must have applicant consent in some states, if medical exam is not a job requirement  
 • Service provider may not be able to order the exam, due to not being licensed in every state  
 • Applicant must consent that service provider can call the physician for any further review of questionable results | • Pre-Screening: Drivers/DOT  
 • Annual screening: Drivers/DOT |

Special note regarding drug testing (for companies with employee drivers):

**Drug Testing turnaround time (For non-instant testing)**

<table>
<thead>
<tr>
<th>Type</th>
<th>Result</th>
<th>Clock begins once provider receives info from Lab</th>
<th>Hours to get results</th>
</tr>
</thead>
<tbody>
<tr>
<td>Drug Testing (Non-DOT)</td>
<td>Negative</td>
<td>Lab results</td>
<td>24</td>
</tr>
<tr>
<td>Drug Testing (Non-DOT)</td>
<td>Non-Negative</td>
<td>Lab results</td>
<td>72</td>
</tr>
<tr>
<td>Drug Testing (DOT)</td>
<td>Negative</td>
<td>Chain of Custody &amp; Lab results</td>
<td>24</td>
</tr>
<tr>
<td>Drug Testing (DOT)</td>
<td>Non-Negative</td>
<td>Chain of Custody &amp; Lab results</td>
<td>72</td>
</tr>
</tbody>
</table>
For help determining the right screening criteria and automated tools, contact LexisNexis® Screening Solutions at 800.590.8535 or risk.lexisnexis.com/screening

For more information contact: LexisNexis® Screening Solutions
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