UNIVERSITY OF MAINE SYSTEM
Board of Trustees Meeting

at the University of Maine at Augusta
March 18, 2013

Human Resources and Labor Relations Committee


Committee Members Absent: Michelle Hood and James Erwin.

Trustee Medd, Chair, called the meeting to order and welcomed everyone.

Board Policy on Background Screening. Ms. Tracy Bigney, Chief Human Resources and Organization Development Officer, explained that background screening policies, practices, and effectiveness vary widely across the University of Maine System. UMS human resource leaders have identified these variations as posing a significant risk for UMS and as inconsistent with best practices. A committee of campus and System Office human resources and risk management staff researched best practices and developed a draft policy and procedures.

The proposed Board policy was presented as an information item at the January meeting and is on the agenda at the this meeting for action. In addition to the policy the committee developed a detailed procedure specifying the kinds of background checks that will be required for categories of positions. For many positions the requirements will be verification of credentials (education, employment and licenses), reference checks and a criminal background check. For positions with special responsibilities in the following categories additional checks, including a credit check or sex offender check, will be required:

i. Positions of Chief Financial Officer and their direct reports who hold financial positions
ii. Positions with authority to commit financial resources of $25,000 or more as provided in the campus Signature Authority matrix and/or MaineStreet Marketplace.
iii. Positions with responsibility to regularly handle cash or cash equivalents of more than a de minimis amount.
iv. Direct access to or control over University or personal goods or property.
v. Broad access, including but not limited to master key or swipe card access, to University facilities, residences, or apartments.
vi. Direct access to or responsibility for controlled or hazardous substances.
vii. Direct responsibility for safety and security of employees, students, minors, and/or visitors or property.
viii. Direct responsibility for repair of University property.
ix. Direct responsibility for care, safety, and security of minors (under 18), incapacitated persons, or persons with developmental disabilities who participate in University-sponsored programs.

Following Board approval of the policy, a small committee will be convened, including at least one Chief Financial Officer, to write the Request for Proposal (RFP) seeking vendors for the policy implementation. This RFP will serve to more fully estimate the volume of background checks that
would be required and the bids from vendors will accurately identify the costs. In addition to selecting a vendor, the committee will recommend how to implement the policy with a method for tracking the volume, experience and costs of background checks, including a way to track the costs in the General Ledger.

If vendor proposals come in at more than the estimated cost per year (about $60,000 System-wide) the Chief Financial Officers will be consulted again before a proposal is accepted and the policy proceeds. If the costs exceed $60,000 consideration will be given to phasing in the policy or changing the definition of positions covered and types of background checks required.

If the policy is implemented it will be via a sole contract covering the System. The target implementation date is July 1, 2013.

On a motion by Trustee Fournier, which was seconded by Trustee Collins, the Human Resources and Labor Relations Committee agreed to forward to the Consent Agenda for action the Board Policy on Background Screenings.

Adjournment.

Ellen Doughty for
J. Kelley Wiltbank, Clerk