

SRL OPUS – BACKGROUND CHECK POLICY

1. OBJECTIVE

Company: _____ is committed to providing a safe and secure working environment for all employees and to protecting the confidentiality, privacy and sensitive information of our clients and customers. As part of our efforts to achieve these goals, Company: _____ has established the following Policy regarding background checks.

2. PURPOSE

Company: _____ believes that hiring qualified individuals to fill positions contributes to the overall strategic success of the company. Background checks serve as an important part of the selection process at Company: _____. This type of information is collected as a means of promoting a safe work environment for current and future Company: _____ employees. Background checks also help us obtain additional applicant related information that helps determine the applicant's overall employability, ensuring the protection of the current people, property, and information of the organization.

3. SCOPE

This Policy applies to all employees, contractors, and volunteers who work for or on behalf of Company: _____, regardless of their role or location.

4. CONDITIONS FOR CONDUCTING BACKGROUND CHECK

Background checks will only be conducted for lawful purposes and in accordance with applicable laws and regulations. All background checks must be conducted in accordance with the applicable state and federal laws of State/Province: _____

5. POLICY ELEMENTS. Identity Verification: Validating the person's name, date of birth, addresses, citizenship, etc.

Criminal History: Review of criminal probation and convictions. The following factors can be considered:

- Nature of crime and how it impacts the position
- Number of criminal convictions
- Date and year of conviction
- Does the candidate pose a serious risk to our business, employees, vendors, and customers?

Prior Employment Verification: To authenticate the candidate's employment with listed companies, including the dates, positions held, performance rating, reasons for leaving, and eligibility for rehire. This will be run for the past two employers.

Educational Verification: The Background Check Policy will include confirming the candidate's educational qualifications, including the years attending the claimed institution(s), and the degrees/diplomas received.

Driving Records: Candidate's history of driving, car ownership in a particular state.

Drug Testing: Testing for substance abuse, and any other habits that can interfere with a candidate's job-performing capabilities.

Credit History: For candidates who will be responsible for managing company funds or credit cards.

Personal and Professional References: Reaching out to individuals listed by the candidate to validate the references. Individuals might be ex-colleagues, superiors, neighbors, landlords, or lawyers, but not family members.

All candidates aren't required to pass every type of background check we offer before our company hires them. Each position has its own requirements. For example, driving records may be relevant to field reliable salespeople and taxi drivers, but not to hire office managers. The basic background screening includes verification reports and reference checks.

Local laws may prohibit or restrict certain types of background checks. We will comply with legal guidelines at all times.

Criminal record checks are essential if candidates are interviewing for positions where they will:

- Represent our company and deal with our clients or stakeholders.
- Have access to sensitive and confidential information.
- Handle money and finances.
- Have any contact with children or the elderly.

6. OUR RESPONSIBILITIES. Our Human Resources Department shall:

- Inform candidates in the position's job advertisement that a background check is required.
- Number of criminal convictions
- Ask candidates to provide written permission before conducting a background check and let them know how long the process will take.
- Hire a reputable and reliable background check provider. Criteria to consider when choosing a provider are: cost, legality, commitment to confidentiality and turnaround time. If our current provider does not meet our requirements for these criteria, HR should search for a new provider.
- Inform candidates of the results of their background checks and what we plan to do (reject or move candidates to the next hiring phase). Background check providers should give candidates copies of their results.

- Conduct a background check on all candidates who pass through the interview phase for a specific position without discriminating against certain individuals.
- Give candidates information they need to dispute a report or address any issues a background check reveals.

Hiring managers/HR must tell candidates a clean background check doesn't guarantee employment, unless they've already received a verbal job offer.

7. NEGATIVE FINDINGS. Criminal records do not automatically disqualify candidates from employment unless they are convicted of serious criminal acts. We will judge the substance of criminal record reports and make an informed decision after discussion with the individual, and dependent on the suitability of the role the individual has been offered.

8. BACKGROUND CHECKING PROCEDURE. Once a candidate has been selected and made an offer of employment, HR performs the following procedure:

- Candidates are asked to give approval for:
 - a. Collection of two references from previous employers (referees).
 - b. Identity, financial and criminal background checks to take place.
- Candidates supply the requested information for background checks to take place and give approval for the processing of their personal data, and also supply the names of two previous employers and their contact details.
- HR uses the information to access the background checking service and inputs the information supplied. HR also makes payment to the background checking company.
- HR contacts the referees supplied by the candidate and asks for employment verification (role, dates, confirmation of employment) and any other data supplied by the referee.
- Background checks are carried out by the background checking company, and, upon completion:
 - a. Candidates are sent the results of the checks and any documentation.
 - b. The company is notified the checks are completed and sent a report to be securely viewed.
- If the checks are positive, the company continues with the recruitment process and induction.
- If the checks are negative, the company holds discussions with the individual to discuss the findings, considers the role and the suitability of the candidate for the role with the pertinent background check information, and decides to continue with the offer or withdraw it.
- If referee checks come back positive, the company continues with the recruitment process and induction.
- If the referee checks come back negative, the company holds discussions with the individual to discuss the references and considers the role and the suitability of the candidate for the role. A decision to continue with the offer or withdraw it will then be made.

9. TRAINING

Company: _____ will provide training to all employees involved in the background check process to ensure that they are aware of their responsibilities under this Policy and applicable laws and regulations.

10. ACCURACY OF INFORMATION

Company: _____ will make reasonable efforts to ensure that the information obtained through background checks is accurate and up to date. Candidates will be given the opportunity to review and dispute any information that is inaccurate or incomplete.

11. RECORDKEEPING AND CONFIDENTIALITY

Company: _____ guarantees that all information attained from the reference and background check process will only be used as part of the employment process and kept strictly confidential. Human Resources will maintain a log that will include the position you are applying for, your name, and the date of the background check. Be aware, only appropriate Human Resource personnel at

Company: _____ will have access to this information.

All information obtained through background checks will be kept confidential and will only be used for the purpose for which it was obtained. Information obtained through background checks will not be used for any discriminatory purposes and will not be disclosed to unauthorized individuals.

12. RIGHT TO TERMINATE AND AMEND THE POLICY. The Company reserves the right to modify, suspend, change, or terminate this Policy at any time, in accordance with local law. This Policy does not create any contractual rights or obligations, whether expressed or implied. Subject to local law, the English-language version will prevail.

12. CONTACT. Any questions about this Policy should be referred to: **David Jervis:** david.jervis@srlglobal.com who is in charge of administering, enforcing and updating this Policy.

Company

Authorized Signature

Print Name and Title

Date: | ____ / ____ / ____