

## Character, Competence, and Suitability Assessment

1. ASSESSMENT DATE		
2. EMPLOYEE / APPLICANT'S NAME		
3. BCCU INQUIRY ID		
4. A. POSITION		
4. B. POSITION NUMBER		
5. OFFICE	6. LOCATION	
7. DUTIES		
8. A (SELECT ONE)	8. B (SELECT ONE)	8. C (SELECT APPROPRIATE BOXES)
<input type="checkbox"/> Applicant <input type="checkbox"/> Current state employee <input type="checkbox"/> Volunteer <input type="checkbox"/> Other:	<input type="checkbox"/> Original / new background check <input type="checkbox"/> Renewal background check <input type="checkbox"/> Self-disclosure	<input type="checkbox"/> State Patrol check <input type="checkbox"/> Awaiting fingerprint check results <input type="checkbox"/> Completed fingerprint check results
<b>9. Reason for background check (select all that apply)</b>		
<input type="checkbox"/> Access to Health Plan Finder** <input type="checkbox"/> Access to criminal justice information <input type="checkbox"/> Access to Federal Tax Information (RCW 41.04.821)** <input type="checkbox"/> Access to other sensitive or confidential information <input type="checkbox"/> Unsupervised access to vulnerable persons (RCW 43.43.837) <input type="checkbox"/> Access to Social Security Administration Systems (40 USC 11331)**		
<input type="checkbox"/> 10. If the negative action(s) <b>or crimes: 1)</b> are not on the <b>relevant</b> list of disqualifying crimes for the program; <b>2) do not appear on the relevant disqualifying list as crimes or negative actions requiring a Character, Competence, and Suitability review;</b> and <b>3)</b> are at the level of gross misdemeanor or below, further completion of this CC&S form and interviewing the candidate is not required. The Appointing Authority must still sign this CC&S form.		
<b>Please note: This section is for ESA only and only available if "Reason for background check" identified above is marked with two (2) asterisks (**).</b>		

**11. Factors to consider when making a determination include, but are not limited to, the following:**

- The nature and seriousness of the crime or negative action as reported by Background Check Central Unit (BCCU).
- The nature and seriousness of any other behavior or offenses.
- Changed circumstances such as behavior: since conviction, rehabilitation efforts, the length and consistency of employment, changed life circumstances, performance of similar work post-conviction with no known incidents of criminal conduct, completion of court-ordered programs and parole.
- Nature of the applicant duties, powers, and location of work.
- Vulnerability of those under the individual's care, the sensitivity of the accessible information, or potential severity of other harm.
- Pattern or number of crimes, negative actions, other offenses, or behavior that may suggest a heightened risk.
- Circumstances surrounding the crime, negative action, behavior or other offenses.
- Whether the applicant has been reviewed under Background Assessment Review Team (BART) in 2002 (if DSHS determined the employee could remain in a covered position, the applicant or employee will not be disqualified based upon criminal history).

APPLICANT'S NAME
ASSESSMENT DATE

**12. Convictions, pending charges, negative actions, or other issues**

SELF-DISCLOSURE		DESCRIPTION	DATE OF ISSUE(S)	SENTENCING OR INCARCERATION INFORMATION	NUMBER OF YEARS SINCE ISSUE(S)	COMMENTS OR OTHER FACTORS
YES	NO					
<input type="checkbox"/>	<input type="checkbox"/>					
<input type="checkbox"/>	<input type="checkbox"/>					
<input type="checkbox"/>	<input type="checkbox"/>					
<input type="checkbox"/>	<input type="checkbox"/>					

**13. Applicant agrees with results of background check.**

Confirmed     
  Disputed     
  Confirmed **after** working with BCCU on accuracy of check

14. Employee / Applicant's explanation or documentation (optional):

15. Reviewer's recommendation and rationale for applicant's approval or non-approval:

16. SIGNATURE OF REVIEWER DOING ASSESSMENT	DATE
--	------

17. PRINTED NAME OF REVIEWER DOING ASSESSMENT	TITLE
---	-------

18. For current employees, Appointing Authority completes consultation with Human Resources:  Completed

19. Appointing Authority approval to work in position:  Yes  No

20. SIGNATURE OF APPOINTING AUTHORITY	DATE
---------------------------------------	------

21. PRINTED NAME OF APPOINTING AUTHORITY	TITLE
--	-------

**Instructions for completing the Character, Competence, and Suitability Assessment form**  
**Please refer to the Guidelines for Conducting Employee Background Checks**

A Character, Competence, and Suitability (CC&S) review is required when an employee, volunteer or intern has non-disqualifying: conviction(s), pending charge(s), and/or negative actions(s) that appear on a background check result. The purpose of the CC&S assessment is to determine if there are concerns or risks related to an individual's criminal history or negative actions and the job for which they are applying.

1. **Assessment Date:** Date assessment completed
2. **Employee / Applicant's Name:** Name as listed on Background Central Check Unit (BCCU) Notification of Background Check Result
3. **BCCU Inquiry ID:** Each background check has a unique identifier, this number is located on each check
4. **A and B: Position / Position Number:** As listed on job recruitment or employee's current position title or number
5. **Office:** Name of office (administration/office location), i.e. AL TSA - Moses Lake HCS, DDA- Fircrest School, ESA - Kelso CSO
6. **Location:** City where office resides
7. **Duties:** High-level statement about nature of work that is related to the need for a background check.
8. **A.** Select one of the four options
  - 1) Applicant - new hire to State service
  - 2) Current state employee - current state employee in a new position or a current employee receiving a renewal check
  - 3) Volunteer
  - 4) Other - use if the first three options are not relevant**B.** Select one of the three options
  - 1) Original / new background check: This is the first background check being done on an employee or this is a background check for a current state employee going into a new position.
  - 2) Renewal background check: This background check is a renewal for an employee in the same position (for example: a two-year recheck).
    - Note: If nothing has changed on the renewal check and the decision is to keep the employee, perform the following:
      - Complete sections 1-8, 13, and 16-20
      - Skip sections 9-12 and 14-15
      - Attach a copy of the previous CC&S form
  - 3) Self-disclosure: This background check is for a current employee who self-discloses a conviction, pending charge, negative action, or other event after they have been hired.**C.** Select one of the following three options:
  - 1) State Patrol check: Select this option when an employee **only** needs a Name and Date of Birth (NDOB) check. **(NOTE: DO NOT use this option if a fingerprint check is required).**
  - 2) Awaiting fingerprint check results: Select this option when a WA State NDOB check has been completed and you are provisionally hiring an applicant while waiting for fingerprint results.
  - 3) Completed fingerprint check results: Select this option when you have a completed fingerprint result.

**PLEASE NOTE:**

- If you are completing a fingerprint check (which also includes a NDOB check), you may use **ONE** CC&S form to complete the CC&S review.
- Document the applicable criminal history / negative action information from both RAP sheets on one CC&S form. This means you may start the assessment with information from the NDOB (interim results) to make an interim decision, and you may not complete the process until after you have added information from the fingerprint check (results).
- However, you **must** make a determination after each background check type that contains criminal history information but you may change your interim decision to a final decision when you receive the results to take into account any additional information received from the fingerprint check.

**For example:**

Completing a fingerprint check-

- Interim results come back with criminal history that is not disqualifying. Complete CC&S and decide to approve. Results come back with criminal history that is not disqualifying. Add to current CC&S and decide to approve.
  - Interim results come back with criminal history that is not disqualifying. Complete CC&S and decide to approve. Results come back with criminal history that is disqualifying. Add to current CC&S and decide NOT to approve. Change decision on CC&S and stop employee from working (if provisionally hired).
9. **Reason for background check:** Select the option(s) that most closely relates to the employee's position.
    - Access to Health Plan Finder\*\*
    - Access to Federal Tax Information (RCW 41.04.821)\*\*

- Unsupervised access to vulnerable persons (RCW 43.43.837)
- Access to Social Security Administration Systems (40 USC 11331)\*\*
- Access to criminal justice information
- Access to other sensitive or confidential information

For example: Case Manager for ALTSA - The unsupervised access to vulnerable persons would be the option that most closely relates to case management duties.

**10. Does not require a CC&S: For Economic Services Administration only**

If the negative action(s) are not on the list of disqualifying crimes and are at a level of gross misdemeanor or below, further completion of this CC&S form and interviewing the candidate is not required. The Appointing Authority must still sign this CC&S form.

- Skip sections 11-17
- Complete sections 18-20

**11. Factors:** These are suggestions to consider when making a determination

Examples:

- An employee who did not disclose a recent, serious pattern of offenses that relate to the type of work the employee would be doing may not be approved for the position for which they are applying as the behavior may suggest a heightened risk.
- An employee who did not disclose a driving without a license conviction from 20 years ago and has no other convictions on their record may be approved for the position for which they are applying, as the behavior may not suggest a heightened risk.

**12. Convictions, pending charges, negative actions or other issues:**

- Self-Disclosure: Indicates if the employee self-disclosed convictions, pending charges, or negative actions
- Convictions, pending charges, negative actions, or other issues: Write in the criminal history information from the record of arrests and prosecutions (RAP) sheet(s) and negative action information from the Source Section of the Notification of Background Check from BCCU
- Date of issue(s): Use the date of the conviction, pending charge, or negative action found on the RAP sheet
- Sentencing or incarceration information: This information is usually found on the RAP sheet
- Number of years since issue(s): Current year minus year of conviction
- Comments or other factors: Add other relevant information related to the issue  
For example: "Applicant did not self-disclose the driving without a license conviction from 20 years ago but may not have thought this conviction would apply to this situation. This is not a big concern."

**13. Applicant agrees with results of background check:** After discussing the criminal history with the employee, as needed, document if the employee agrees that the conviction(s), pending charge(s), negative action(s) is/are accurate.

- Confirmed: Employee agrees that reported criminal history is accurate
- Disputed: Please refer to the Guidelines for Conducting Employee Background Checks. If needed, direct employee to information on background check to correct results.
- Confirmed after working with BCCU: Employee worked with BCCU to ensure all information was accurate

**14. Employee / Applicant's explanation or documentation (optional):**

- If needed, or wanted, allow the applicant to provide an explanation of the criminal history or negative action. The reviewer would enter or write the explanation provided by the employee / applicant.
- There are instances when no explanation is needed. For example, a conviction for a driving without a license from 20 years ago and no other driving issues reported on record. You may also attach additional documentation from the applicant and indicate that you have done so here.

**15. Reviewer's recommendation and rationale for applicant's approval or non-approval:** Explain the reason for the recommendation of the employee to be approved or denied to work in position.

**16. Signature of reviewer doing assessment and date:** Signature of reviewer and date of review. If the reviewer is delegated the authority to complete this review they must pass the review and recommendation to the Appointing Authority. The form must be approved/denied and signed by the Appointing Authority (Sections 18 – 20).

**17. Printed name of reviewer doing assessment:** Print name and title of the reviewer.

**18. Human Resources Division Consultation.** Appointing authority must consult with Human Resources Division for current employees and mark action complete.

**19. Approval to work for position:** The Appointing Authority selects "Yes" or "No."

**20. Signature of Appointing Authority and date:** Signature of appointing authority and date.

**21. Printed name of Appointing Authority and Title:** Print name and title of appointing authority

**22.** The completed form will be retained by the Appointing Authority and will follow the State Government General Records Retention Schedule.