

**POLICY AND PROCEDURES**  
**FOR REQUESTING BACKGROUND CHECKS**  
**FOR RESIDENT/FELLOW POSITIONS**

This policy applies to all resident/fellow appointees entering a graduate medical education program in IU School of Medicine.

**Purpose:** IUSM is committed to selecting and hiring the most capable house staff in order to pursue its strategic goals of excellence in teaching, learning, research, scholarship, creative activity and service to the community. Further, a law of the State of Indiana requires that a background check of all new employees regarding criminal activity as well as sex and violent offender convictions be conducted. This procedure details the steps that will be pursued to solicit and acquire background information on resident/fellow appointees at IUSM.

As part of its mission and value statements, IU School of Medicine promises to create a professional environment that fosters excellence, abhors intolerance, and values each individual's unique contribution to our learning community. To that end, each faculty member, resident/fellow, medical student and all members of the IUSM community, must agree to and sign the IU School of Medicine Honor Code form. In addition to the background checks explained above, this is a condition of employment at IUSM.

**Procedure:** As a condition of employment, IU has established a background check process that consists of two parts: the appointee will be required to complete a self-disclosure questionnaire and a consent form prior to the beginning of training. A formal background check will be conducted by a firm under contract with the IUPUI campus, which will include criminal history, sex and violent offender registries.

1. At the time of the interview, the resident/fellow applicant should be given the following documents:
  - Memorandum: Information on IUSM Contract and Benefits (Signature Form)
  - Indiana University School of Medicine Honor Code Form
2. When the Match results are announced (Main or Subspecialty Matches) or if an individual is chosen outside the Match process, the documents listed below should be sent to the resident/fellow for completion as soon as possible:
  - Self-Disclosure Questionnaire
  - Consent to Background Check
  - Indiana University School of Medicine Honor Code Form
3. The resident/fellow should return the completed forms to the Residency/Fellowship Coordinator within two weeks from the date of receipt. The completed and signed documents should then be sent to the Office of Graduate Medical Education as soon as possible along with the Background Check Request Cover Sheet.\* If an individual

declines to complete and sign the self-disclosure form, consent form, or the honor code form, the offer of a position will be withdrawn.

- \* Each program/department must complete the Background Check Request Cover Sheet and provide an account number to which background checks will be charged. The Cover Sheet must accompany the signed forms.
- 4. The Office of Graduate Medical Education will initiate the background check process with the appropriate outside firm.
- 5. If the background check request is returned with no negative information, the GME Office will inform the program director by e-mail. This information should be forwarded to the individual along with a confirmation of the resident/fellow position. At this time a contract will be processed by the GME Office.
- 6. If the background check request is returned with any negative information, the GME Office will inform both the program director and the candidate of the specific information.
  - If acknowledged convictions are confirmed, the resident/fellow may be informed and given the opportunity to discuss the results of the criminal history check. The program director, the Assistant Dean for Graduate Medical Education, and University Counsel will jointly evaluate any conviction, including any additional information solicited from the candidate, before the position is confirmed. The existence of a conviction will not necessarily disqualify a resident/fellow from employment. Any decision to accept or reject a resident/fellow with a conviction is solely at the discretion of the School and Indiana University.
  - If the candidate did not self-disclose the information found during the background check, he or she will be given an opportunity to respond to the report through the program director, the Assistant Dean for Graduate Medical Education, and University Counsel. The School reserves the rights to withdraw or to rescind any offer of a position based on failure to fully and truthfully disclose information or, if in the judgment of the School, information developed in the course of the background check so warrants. A criminal conviction will not necessarily disqualify the individual from consideration. However, if an individual fails to fully and truthfully disclose information, then the School will have the right to immediately deny or terminate employment.
  - If Indiana University has performed a criminal history check on a resident/fellow within the past year, a new check will not be required. The results of the previously performed criminal history check will be considered for any pending decision on resident/fellow positions.
  - Residents/fellows who have been terminated or who have had an offer of a position withdrawn under the provisions of this procedure are not eligible for a future position with IU School of Medicine.

A foreign national who has been offered a residency/fellowship position will be subject to the following provisions:

1. A criminal history check covering time in the United States if the period of time that the individual has worked in the United States exceeds one year.
2. A criminal history check in the individual's prior countries of residence only if the individual's visa and/or authorization to work in the United States was issued before implementation of the Patriot Act on October 24, 2001. The School of Medicine will not require that a criminal history check be conducted in the individual's prior countries of residence if the visa or authorization to work was issued or renewed under the provisions of the Patriot Act.

It must be clearly understood that no new resident/fellow will be approved until a background check has been completed and the results of the check have been considered at the program and school levels. Thus, no resident/fellow can begin training until this process has been completed.

Checks on the education, employment, previous training and licensure of an applicant will continue to be the responsibility of the training program.

Approved by the GMEC  
September 21, 2004

Revised 11/10/2004