

# HR-XML Consortium

## 3.2.1 Screening Specifications

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## Table of Contents

Screening Specification Overview .....	4
Modifications .....	5
Actors .....	5
Key Concepts .....	7
Supported Processes .....	7
Implementation Considerations .....	9
Screening Order Patterns .....	9
Order and Fulfillment Patterns .....	10
Screening Catalog .....	11
Overview .....	11
Trigger / Precondition .....	11
Screening Order .....	12
Overview .....	12
Trigger / Precondition .....	12
Supported Processes .....	13
Collection of Candidate Details .....	13
Scenario Sequence .....	13
Screening Report .....	15
Overview .....	15
Trigger / Precondition .....	15
Supported Processes .....	16
Report Review Scenario .....	16
ScreeningPackageOrder .....	17
Overview .....	17
Implementation Considerations .....	17
Screening Package Report .....	18
Overview .....	18
Implementation Considerations .....	18
Appendix A: Examples .....	19
Screening Catalog .....	19

Get/Show Catalog - Jurisdiction .....	19
Invalid Get/Show Catalog Order .....	19
Successful Sync Catalog Report .....	19
Invalid Get/Show Catalog Report.....	19
Additional Examples.....	19
Screening Order .....	20
ScreeningReport.....	20
Screening Package .....	20
Appendix B: Noun Layouts.....	21
Screening Catalog Order .....	21
Screening Catalog Report.....	22
Screening Order .....	23
Screening Report.....	24
Screening Package Order .....	25
Screening Package Report .....	26
Credit Result.....	27
Appendix C: Business Object Document Diagrams.....	28
ScreeningCatalog .....	28
Screening Order and Report .....	29
Screening Package .....	30

## Screening Specification Overview

Over 70% of companies in the United States utilize background screening as part of their hiring / vetting process for their applicants. In addition some companies performed rescreening of their employees on a period basis. The HR-XML Consortium's Screening Catalog, Order and Report specifications relate to data communications between end user companies / applicant tracking systems and their Consumer Reporting Agency (CRA). Screening Vendor specifications relate to defining the data communications between CRA's and their Providers. Providers are companies or individual researchers that are responsible for providing search results to the CRA's.

This specification defines the transactions between the end user companies / applicant tracking systems and their CRA's. For details on transactions between the CRA and provider, refer to the Screening Vendor specification. For details on drug and alcohol testing transactions, refer to the Drug Test Specification.

A wide variety of screenings are supported, including searches of criminal records, education, employment, military service, professional licenses, professional sanctions, and credit.

Employment-related screenings or "background checks" are common within the United States. While they are less common elsewhere, their use is growing. Some employers routinely conduct screenings when applicants are first offered employment. Within certain industries or for certain types of positions, it also is common for employers to conduct periodic or random screenings of employees (for example, drug tests or periodic driving-record checks for employees who drive company vehicles).

The key Screening schemas are:

**ScreeningCatalogOrder.** Contains descriptive information about available screening services or to check current availability or pricing.

**ScreeningCatalogReport.** Contains a set of information describing a screening service provider's catalog. The catalog contains information about "packages," which consist of one or more individual screening services that are offered for sale as a unit. A catalog also may include detail about so-called "a la carte" screenings that can be ordered a part from a package. A catalog may represent services broadly offered for sale or may be catalogs specific to a particular customer or organizational unit.

**ScreeningOrder.** Contains a set of information necessary to submit or administer screening requests to employment-screening service providers. Examples of screenings are searches of criminal records, education, employment, military service, professional licenses, professional sanctions, and credit.

**ScreeningReport.** Contains a set of data fulfilling or relating to an employment screening order. This may be detailed, fielded information, a link to a location where results can be accessed securely, or embedded or attached documents.

**ScreeningPackageOrder.** This is a subset of the full ScreeningOrder. It is intended to support an "OrderByPackageID" scenario. As the name implies, the "order by package" pattern involves bundling all screening service options within predefined packages that are known to the customer and to the screening provider. This enables services to be ordered simply by referencing an associated "PackageID." When using this pattern, details about specific screening services do not have to be communicated within the order. This simplifies order creation significantly and provides the opportunity to use an interoperable subset of the full ScreeningOrder noun.

**ScreeningPackageReport.** Contains a set of data fulfilling or relating to an employment screening order. SimpleScreeningReport is a subset of the full ScreeningReport. It is intended to support a simple fulfillment scenario under which detailed, fielded results would not be returned, just summary information or an URL where the full report can be accessed.

**CreditResult.** Contains information returned from a search from one or more consumer reporting or "credit bureaus." May be information sourced from a single bureau or possibly a report of "merged" results from several bureaus.

## Modifications

The DrugTest schema was developed to handle transactions between the customer, collection agency, lab, and medical review officer. As part of that new specification, the Drug and Alcohol components for ScreeningOrder and ScreeningReport were modified.

**ScreeningOrder.** SearchDrug and SearchAlcohol components have been deprecated and replaced with the SearchDrugAlcohol component. Do not use any elements/attributes within the deprecated components.

**ScreeningReport.** AlcoholScreeningReport and DrugScreeningReport components have been deprecated and replaced with the DrugAlcoholReport component. Do not use any elements/attributes within the deprecated components.

## Actors

Note that actors may perform as a provider or requester depending on the transaction.

### Screening Service Providers:

- **Consumer Reporting Agency (CRA).** An entity that collects, maintains, and disseminates information from public record sources that bears on an individual's credit worthiness, character, general reputation, or personal characteristics that may be used for the purpose of eligibility for credit, insurance, employment purposes and other purposes. Consumer Reporting Agencies are subject to the FCRA (Fair Credit Reporting Act). Most providers are CRA's.
- **Screening Service Aggregator.** The aggregator's primary market niche tends to serve smaller market verticals that do not require the direct services of an ATS. In addition, the volumes of screening services that the end user requires are typically low. The aggregator can offer a web site that targets the vertical markets in addition to negotiating preferred pricing with the screening retailers and wholesalers due to the combined volume of services ordered for their

client base. In addition, the aggregator typically uses multiple retailers and wholesalers based on the cost and turn-around time that can be provided on each screening type.

- **Screening Retailer.** A provider of screening services to end-user customers such as employers. The retailer accepts the request, and depending on the requirements of that request, retrieves the information and reports on the information.
- **Screening Wholesaler.** Distributes goods to a retailer, other professional business users (could be an ATS) or other wholesalers without transforming the nature of the goods. The wholesaler for background check data may be one of the following: 1)The Data Source itself (e.g. an actual court, credit bureau or a data aggregator); 2)The one passing the information from the public record source to someone other than an end user customer (e.g. a court runner or an automated service retrieving the records).
- **Researcher Provider.** The Provider is a research company or individual researcher that performs criminal, civil or Federal searches based on a Screening Vendor order being placed by a CRA.

#### Screening Service Requesters:

- **Applicant Tracking System (ATS).** Systems that allow for the electronic handling of recruitment data. In regards to interactions with other roles during the screening process, the ATS acts as a requester to the Wholesaler, Retailer and Aggregator. Not typically part of the CRA since they only store the status of the screening order. These systems provide a mechanism for gathering candidate information and communication with the SSA/DHS. The ATS is responsible for storing candidate eligibility information to work within the United States.
- **Job Board.** Refers to a wide variety of web sites that offer job advertising for employers and job search services for job seekers. In regards to interactions with other roles during the screening process, the job board acts as a requester to the Wholesaler, Retailer and Aggregator. Not typically part of the CRA since they only store the status of the screening order.
- **Front End System (HCM, HRIS, HRMS, Staffing Front Office, etc.).** System used by an employer to electronically track an employee's personal data, employment data, payroll data and benefits information. In regards to interactions with other roles during the screening process, the ATS acts as a requester to the Wholesaler, Retailer and Aggregator. This data is accessed directly by the End User.
- **Screening End User.** The recruiter, hiring manager or HR personnel responsible for requesting background checks and verifying employment eligibility.
- **Consumer Reporting Agency (CRA).** An entity that collects, maintains, and disseminates information from public record sources that bears on an individual's credit worthiness, character, general reputation, or personal characteristics that may be used for the purpose of eligibility for credit, insurance, employment purposes and other purposes. Consumer Reporting Agencies are subject to the FCRA (Fair Credit Reporting Act). Most providers are CRA's.
- **Screening Retailer.** A provider of screening services to end-user customers such as employers. The retailer accepts the request, and depending on the requirements of that request, retrieves the information and reports on the information.
- **Screening Wholesaler.** Distributes goods to a retailer, other professional business users (could be an ATS) or other wholesalers without transforming the nature of the goods. The wholesaler for background check data may be one of the following: 1)The Data Source itself (e.g. an actual court, credit bureau or a data aggregator); 2)The one passing the information from the public record source to someone other than an end user customer (e.g. a court runner or an automated service retrieving the records).

## Key Concepts

Two key concepts for understanding HR-XML's screening specifications are "Screening Package" and "Screening."

### Screening Package

A "Screening Package" is a pre-defined set of services that are sold as a unit. Packages typically are agreed upon by the customer and screening provider in advance so that they can be referenced with a "PackageID" in an order.

### Screening

A "Screening" is a discrete type of service, such as a drug test, employment verification, motor vehicle records search, or criminal records search. Screenings are the discrete services that are bundled into packages or that in some cases may be ordered apart from packages.

## Supported Processes

The HR-XML Consortium's Screening specifications define a number of messages useful in the management of screening orders placed with background check and other screening service providers. A wide variety of screenings are supported, including, but not limited to, those listed below:

### Credit

The specification supports requests for credit checks and the return of credit scores and credit histories, such as those produced by credit bureaus (Experian, Equifax, and Trans Union, for example). The CreditResult schema is capable of capturing all the employment-related fields from the major credit bureaus report formats.

### Criminal Records

The specification is capable of transmitting information required for criminal records searches as well as results.

### Drug Testing

Data relating to drug-test screening requests and reports can be transmitted. A medical laboratory with an affiliation or trading-partner relationship with the screening service provider typically might conduct the drug tests.

### Education Verification

The specification can support requests to verify educational information claimed on a resume or application. The specification also supports the return of education search findings. The BackgroundCheck Requests and BackgroundReport schemas make use of the HR-XML Consortium's EducationHistory schema.

### Employment Verification



Information necessary to research or verify current and prior employment can be transmitted and results returned. The BackgroundCheck Requests and BackgroundReport schemas make use of the HR-XML Consortium's EmploymentHistory schema.

### **Military Service Verification**

Details on military service can be transmitted for verification and the search results returned. The BackgroundCheck Requests and BackgroundReport schemas make use of the HR-XML Consortium's MilitaryHistory schema.

### **Motor Vehicle Records**

The specification supports requests for motor vehicle record searches and the return of reports. Typically, motor vehicle records contain information such as driver's license status, suspensions and revocations of driving privileges, infractions and violations, and restrictions on licenses.

### **Professional/Administrative Sanctions**

Professional organizations (for example, bar associations for attorneys or medical boards for physicians) often set guidelines and codes of practice for their profession. Professional organizations may penalize or sanction professionals that violate guidelines and codes of practice. Government agencies also may impose sanctions on professionals that violate government contracting or program requirements. For example, in the United States, physicians and health care providers can face sanctions for abuses under the federal Medicare program. The BackgroundChecking specification provides a flexible mechanism for requesting professional and administrative sanction searches and the return of information regarding any sanctions.

### **Skills Assessment**

The specification is capable of transmitting information about skills or competencies claimed by a search subject. The specification also is capable of supporting the return of the assessment results. The specification does not address the process or means by which skills are verified or assessed. The specification merely provides a data format for assessment information to be transmitted.

### **Tax Payer ID Verification**

The specification supports taxpayer ID verification. Within the United States, employers often want to verify a new employee's social security number (SSN). SSN verification results can help ensure payroll tax processing is accurate, is useful in researching questions regarding an employee's eligibility to work. A so-called "SSN Trace" often amounts to a limited credit history screening that in addition to verifying the SSN also returns an individual's address history, which in turn can be used in a progressive fashion as the basis for other searches (for example, criminal record searches within the region in which the individual currently resides or once resided).

### **Professional License**

The specification supports professional license searches. Typically, clients would be interested in confirming the type, status, and duration of a license held by the search subject. Enumerations for a wide variety of license types are built-in to the schema. These built-in license types also can be extended with additional types that are applicable to a client's particular business or industry.

### **Reference Checks**



The specification allows the transmission of information necessary for a screening-service provider to conduct checks of a subject's professional or personal references. As with other types of screenings, the specification allows the referencing of questions sets agreed-to by the client and the screening-service provider. The service provider can use those questions sets to structure interviews with the individuals the subject has provided as references. The specification also supports the return of professional/personal reference check results.

### **Workers Compensation**

The specification supports the transmission of information necessary to research a subject's workers compensation claims history. The specification also supports the return of such claims history.

### **Customized Screening and Verification**

The specification can flexibly support customized screenings and verifications that a client and background checking service providers may agree upon.

## **Implementation Considerations**

### **Screening Order Patterns**

Several different implementation patterns have emerged in using HR-XML to manage orders for screening services. These are reviewed below.

#### **Order by Package Identifier**

The most common pattern for handling screening orders is for trading partners to structure orders on the basis of a "Package ID." Under this approach, collections of screening services are predefined within "packages" ordered by referencing an associated Package ID. No options are permitted beyond what is predefined within a package.

Structuring orders using pre-defined packages is the simplest implementation pattern. Implementers using this pattern exclusively will be able to use a simplified package that is interoperable with the full HR-XML screening specification, but is restricted to exclusively supporting the order-by-package implementation package.

#### **"A La Carte"**

Under the "a la carte" implementation pattern, the composition of services ordered is not pre-defined within a package, but rather is set at the time of the order. The customer specifies individual screenings within the order as well as any meta data necessary to execute specific screenings. For example, details such as the type criminal records search to conduct and the number of years the search should cover usually would be explicitly specified when using the "a la carte" pattern. In contrast, these details usually would be pre-defined under the order-by-package-identifier implementation pattern.

#### **"Order by Package, Plus"**

A third pattern might be termed "Order by Package, Plus". This pattern is combination of above two approaches. Orders are based on a PackageID, but also may include additional screenings on top of the standard package.

### **Relationship of Order to Report**

A single screening order typically encompasses multiple screenings (driver motor vehicle records, criminal records, employment verification, etc.). These might be encapsulated within a referenced "package" or might be separately specified under the "a la carte" style of order creation (see the section called "Screening Order Patterns") which might be separately fulfilled when complete. So for any ScreeningOrder, there may be multiple associated ScreeningReport messages.

This is not always the case. For instance, another pattern might be for the screening provider to hold and aggregate individual screening results until all were available and then submit a consolidated report to the customer.

### **Conditional Handling of Report Recipients**

The authorized recipient of a screening report can vary depending on result content. For example, reports indicating that screenings had been completed without the discovery of potentially disqualifying information would likely be integrated directly back into the ATS or recruiting system so that the recruiter or hiring manager could proceed to the next step in hiring or other workflow. Where potentially disqualifying information is discovered, the recruiter or hiring manager typically would not be granted direct access to such information, but might receive some sort of associated status (e.g., "report pending review," "in progress," or "on hold"). A designated HR representative, compliance manager, or risk manager typically would be alerted of the material needing review and usually would log directly into the screening service provider's system to evaluate the findings.

## Screening Catalog

### Overview

The ScreeningCatalogOrder noun allows the employer system to request information about available screening services. The ScreeningCatalogReport noun contains a set of information describing a service provider's background check and/or screening services. There a variety of use cases that might be served by the screening catalog schemas. There may be the need to simply retrieve and display descriptive information about available screening services or to check current availability or pricing. Retrieval of catalog information also could be a first step in the configuration of a recruiting system with the PackageIDs necessary to submit orders to the screening provider.

### Trigger / Precondition

As explained, an interaction might be triggered by something like a configuration requirement or it could be triggered by some specific risk management need or event:

- **Compliance Event.** A wide-range of activities could be triggered by a new compliance obligation under applicable law. This could be a new legal requirement or a newly covered circumstance or situation. Compliance could involve an affirmative obligation to do something (e.g., record-keeping) or to monitor or avoid prohibited activities.
- **Validation Rule Change.** The rules for validating the information contained in a screening request change periodically based on changes implemented by governmental agencies or updated legal requirements. The service provider will need to inform the service requesters of the change in validation rules. For example, a state may change the allowed format for a driver's license number which would change the rules for validating the driver's license when requesting a related screening in that state.
- **Available Screenings Update.** Service providers change the types of screenings that they provide to support new data sources, additional jurisdictions, and changing legal requirements. The service requesters need to stay synchronized with the service provider's available screening services.

## Screening Order

### Overview

The Screening Order noun enables the basic operations connected with the creation and maintenance of screening orders.

### Trigger / Precondition

Examples of events that could trigger the collaboration, include:

- **Candidate Qualification.** Broadly speaking, this refers to a stage within the employer's hiring process at which the candidate is considered to have met the basic job qualifications or otherwise still remains within a pool of candidates considered for a position after the elimination of unqualified candidates. The process and policy governing how candidates are qualified varies widely from employer-to-employer. The key aspect of "qualification" as an event, is that it is likely to trigger other hiring or evaluation processes, such as the scheduling of on-site or follow-up interviews and pre-employment assessments and screenings. Qualification often is not a single threshold, but a series of graduated thresholds, each of which might serve as an event trigger.
- **Conditional Employment Offer.** This is an offer of employment that is contingent upon the successful completion of a background check or screening or the candidate's delivery of some evidence or requisite related to qualifications or employability (e.g., the candidate's successful graduation or completion of a current course of study, obtainment of a license, etc.). Conditional employment offers need to be constructed with knowledge of applicable law and the particular hiring situation. However, broadly speaking, conditional offers can be: 1. contingent upon the individual passing a background check before they start work, 2. made without restrictions before the background check has cleared, or 3. made with restrictions before the background check has cleared (e.g., a truck driver may enter on duty, but not actually perform in the role of a vehicle driver until screenings are complete).
- **Hire.** A "hire event" coincides with the point in time at which a person who has been a candidate becomes associated with an employer as an employee. Sometimes systems are pre-provisioned with information about an individual after he or she has accepted the offer, but before the employee enters-on-duty.
- **Periodic or Random Screenings.** Certain compliance or risk management requirements may require categories of employees to undergo scheduled periodic screenings or random screenings (e.g., alcohol and drug use testing).
- **Employment Eligibility Verification.** The process to verify that an employee is eligible to work in the United States. This includes the completion and storing of the Form I-9.

## Supported Processes

### Collection of Candidate Details

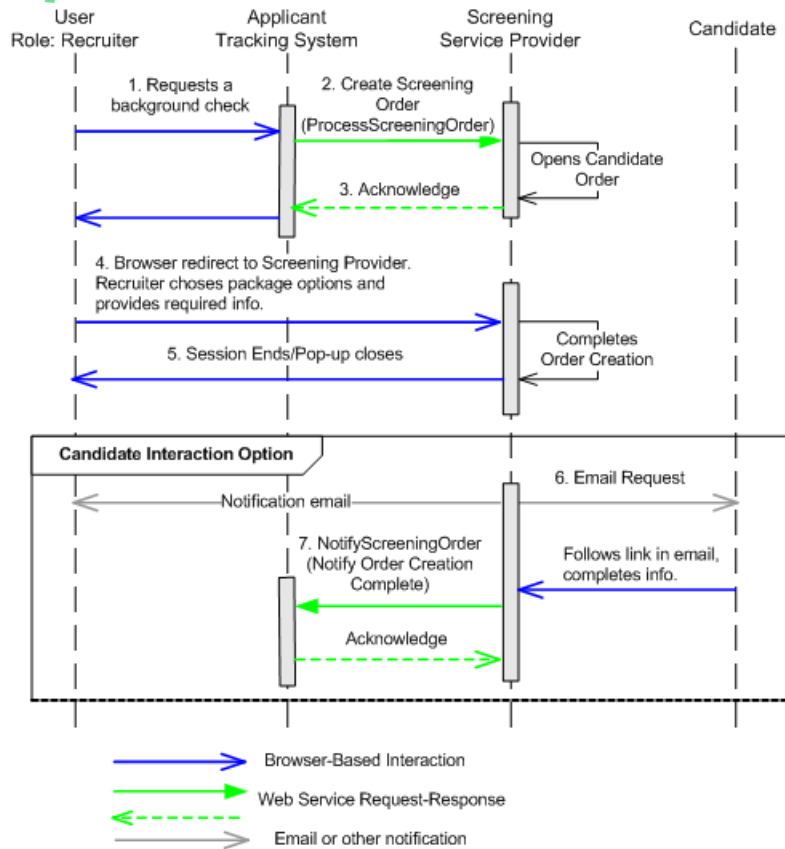
Often, the applicant tracking system does not gather and cannot store all the data needed to execute pre-employment screenings. If the applicant tracking system does not store all the required data, such data obviously cannot be provided to the screening service provider in the ProcessScreeningOrder message. Collecting the additional data required for screenings may require browser-initiated sessions with employer personnel and/or the applicant.

One reason certain data may not be collected within the applicant tracking system stems from potential legal liability. Employers and their applicant tracking system partners may not want to collect or store certain personal data to limit potential liability under equal employment opportunity and data protection laws. For example, birth dates and social security numbers are data required for many types of screenings. However, an employer may not want to store applicant birth dates as a measure to guard against claims of age discrimination. Likewise, an employer may not want responsibility for storing sensitive data such as social security numbers with respect to individuals who are not yet employees.

Another reason that recruiters sometimes interact directly with screening provider systems is to specify additional screening options. Screenings usually are ordered in pre-agreed upon “packages”. A package might include a standard set of baseline screenings (e.g., social security number trace, employment verification, criminal record search, etc.). Under some implementations, the recruiter may be allowed to choose screenings on top of the screenings in a pre-agreed upon package.

### Scenario Sequence

One of several possible ways for handling screening order-creation is explained and illustrated below. While the exact sequence of events and methodologies for handling screening order creation vary considerably, what order-creation scenarios have in common is the requirement for a single-sign-on of the recruiter or hiring manager within both the applicant tracking and screening-provider systems.



1. The recruiter identifies a candidate who meets basic qualifications for a position. The recruiter is both authorized and required to order background checks once candidates reach a specified point in the hiring workflow. The recruiter logs into the employer's hosted applicant tracking system and orders a background check for the candidate.
2. The applicant tracking system sends an HR-XML-conformant CreateScreeningOrder message to the Screening Service Provider. This message identifies the client, identifies the user, and includes some sort of authentication token. Basic information about the candidate sourced from the candidate's online-application and/or resume is transferred within the order.
3. The screening service provider returns an acknowledgement to the applicant tracking system.
4. Assuming the successful opening of an order, the acknowledgement triggers a pop-up window or a browser redirect to screening provider's system. The recruiter may enter data collected from interviews or phone calls with the candidate and selects any desired package options or variations.
5. The recruiter submits the information and the session with the screening service provider ends.
6. As an alternative to, or in addition to, collecting information from an interactive session with the recruiter, some screening server providers will send an email to the candidate with instructions for logging into the screening provider's application to provide consent for the screenings and any data not yet provided that is necessary for the requested screenings. (A possible variation is for the candidate, after establishing an account on the applicant tracking system's employment portal, to login to that portal for SSO access to the screening provider.)
7. After the candidate has provided necessary consent and information, a status message is sent back to the applicant tracking system so the recruiter can see within the applicant tracking system that the screening order creation process is complete.

## Overview

The Screening Report noun enables the communication of data fulfilling or relating to an employment screening order.

Customers of background checking services have varying requirements. Many customers want to know whether any adverse information was found, but might not want to have any other results returned to them or stored on their computer systems. Other customers may want the screening firm to return complete or partial results. The screening service provider and its customer usually agree in advance on the appropriate type and level of reporting detail. The following are common scenarios:

A customer might want to be notified only that a screening has been completed and alerted only if any adverse information is found or if information of a particular type or severity is discovered. No report details are returned to the customer's computer systems. The customer might receive merely an Internet address where he or she can securely login to review the adverse information that was discovered.

A customer might agree on criteria or a scoring system for the screening service to apply in evaluating candidates. In some cases, the customer might not receive any information other than the identification of the criteria or score resulting in the disqualification of an applicant. (Note that whether or not the full results are returned to the customer, having background check results available in a standard, discretely fielded format is valuable to the service provider in automating the scoring of results).

In some cases, customers may want partial information returned from a screening regardless of whether adverse results are found. For example, employers of licensed professionals may have legal or fiduciary responsibilities for tracking the status and expiration dates of licenses (as well as any sanctions or disciplinary actions by professional boards). A candidate's verified educational history also may be valuable for an employer to capture and retain because such information may be useful to search or refer to in matching employees to assignments.

The customer's industry or operational requirements may warrant the return of full screening results for evaluation by the customer.

## Trigger / Precondition

Examples of events that could trigger the collaboration, include:

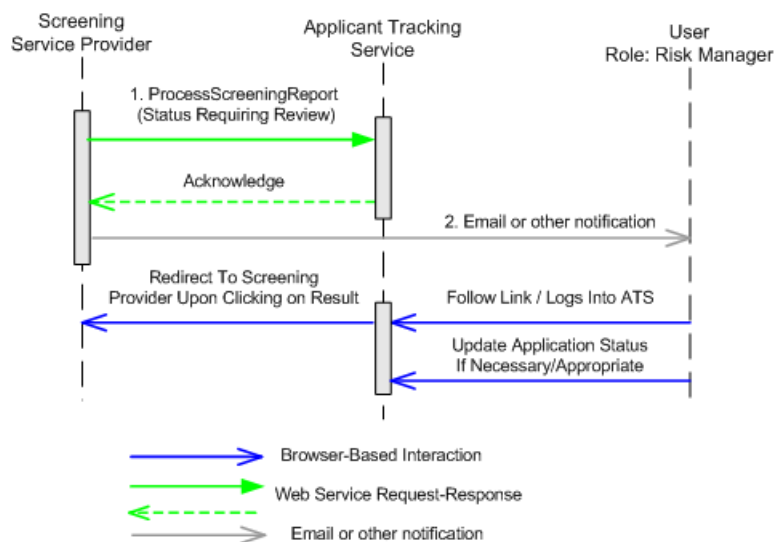
- **Screening Complete.** Screenings can be ordered within a "package" or individually (so-called "a la carte" screenings). Screenings within a package may be individually completed and reported or they can be aggregated and fulfilled as a package.
- **Screening Status Required.** The time required to fulfill some screenings is quite predictable while others may require days or weeks. Recruiters and HR professionals may need to query the status of screening reports in managing resource requirements and deadlines.

### Report Review Scenario

The following screening report review scenario is built upon the following two industry best practices:

When a screening result is ready for the client, a best practice is for the screening provider to send only a status for the result, not the result content. Both the employer and the applicant tracking system provider generally want to avoid having to store and secure sensitive private data relating to non-employees. Thus, the best practice is to keep the result information stored on the screening provider's system. The screening provider system is the exclusive system of record for result content. The screening provider assumes responsibility for maintenance and/or destruction of such data in compliance with applicable law.

A second best practice is separating responsibility for ordering screenings from the responsibility for reviewing result content. A typical approach is to authorize recruiters for a scope of work that includes the ordering and administration of screenings. Under this approach, a recruiter can see a status when screenings are complete, but not actual result content. Authority for reviewing result content (necessary when potentially disqualifying information is found) may be reserved for risk-management or compliance personnel.



1. The Screening Service Provider provides a status indicating that a requested screening is complete and that information was found that requires review.
2. The applicant tracking system (and/or screening service provider) is pre-provisioned with rules regarding which users receive which notifications. Applying these rules, an email or other notice is sent to the risk manager (and/or other persons) authorized to review result content.
3. The risk manager logs into the applicant tracking system and clicks on the link for the result requiring review. The risk manager is redirected to the screening service provider application where he or she reviews the screening result. The risk manager may coordinate with the screening service provider regarding legally mandated notice and appeal processes for the candidate. After reviewing the result, the risk manager might return to the applicant tracking system to update a candidate's status to reflect a decision regarding the screening result.



### Overview

As the name implies, the "order by package" pattern involves bundling all screening service options within predefined packages that are known to the customer and to the screening provider. This enables services to be ordered simply by referencing an associated "PackageID." When using this pattern, details about specific screening services do not have to be communicated within the order. This simplifies order creation significantly and provides the opportunity to use an interoperable subset of the full ScreeningOrder noun.

An order is created with a ProcessScreeningPackageOrder BOD, which is responded to with an AcknowledgeScreeningPackageOrder. A ConfirmBOD may be returned upon an error. These would be operations hosted by the screening service supplier and called by the customer or requesting system.

### Implementation Considerations

Under the order-by-package pattern the following constraints apply:

- A PackageID MUST be specified: /ScreeningOrder/ScreeningPackageOrder/PackageID
- An order conforming to this profile MUST NOT provide content at the level of /ScreeningOrder/ScreeningPackageOrder/Screenings.
- At least one PersonName must be supplied for a screening subject, including a GivenName, MiddleName, and FamilyName.
- An identifier for the screening subject MUST be provided: /ScreeningOrder/ScreeningPackageOrder/ScreeningSubjectDetails/ID. This typically would be the "Candidate ID" used by the requester system (an applicant tracking system, for example). The schemeID attribute would be used to identify the type of identifier.
- At least one ResidenceAddress MUST be supplied for a screening subject.
- At least one ContactMethod MUST be supplied for a screening subject. For example, email, telephone number, etc.  
/ScreeningOrder/ScreeningPackageOrder/ScreeningSubjectDetails/ContactMethod

Other minimal information necessary to execute a screening order typically include a PersonLegalID (a Social Security Number in the U.S. market), a birth date, and gender. These are not enforced in the profile since some customers may not wish to store such data and delegate the collection of the information to the screening service provider.

### Overview

The most common way for screening orders to be fulfilled is for screening suppliers to simply return summary status information and, as necessary, an URL where result details may be reviewed after authentication over a secure connection to the screening provider's system. There are a number of advantages to this approach. It avoids the unnecessary replication of personal data on the customer or requester system. It also greatly simplifies exchanges and provides the opportunity to use a relatively thin interoperable subset of the full ScreeningReport noun, which is the single largest within the HR-XML library.

There are two ways this package report can be accomplished. The screening customer (or "requester" such as an ATS) can poll and retrieve screening results. The alternative is for the screening service provider to push the result back when it is complete.

### Implementation Considerations

Under the order-by-package pattern the following constraints apply:

- A DocumentID MUST be specified: /ScreeningReport/DocumentIDGroup/DocumentID. Note that a DocumentID might follow some convention agreed to by screening service provider and requester. For example, a concatenation of a CandidateID and the date of the report.
- Providing details in the report at the level of /ScreeningReport/ScreeningPackageResult/ScreeningResult would be disallowed.
- An OrderID MUST be specified: /ScreeningReport/ScreeningPackageResult/OrderID. Note that this may conform with the DocumentID associated with the original order. This DocumentID might be specified by the requester in the order or returned in the AcknowledgeScreeningOrder message in response to receiving the order.
- The PackageID that was fulfilled MUST be specified: /ScreeningReport/ScreeningPackageResult/PackageID
- A ScreeningResultTypeCode MUST be included. Note that for a package report where a report location (e.g., an URL) is communicated, but no screening content is actually included, the value of "Summary Result" generally would be used. /ScreeningReport/ScreeningPackageResult/ScreeningResultTypeCode
- A ScreeningOrderStatusCode MUST be included (for example "Complete" or "Delayed") must be included /ScreeningReport/ScreeningPackageResult/ScreeningOrderStatusCode

Other information usually provided in a package report, would be a ScreeningResultCode (for example, "Record Found"); a Description (this would be narrative or explanation relating to the status or the result); and AccessPointDetails (provided if there are additional details to review by logging into the screening service provider's Web site).

## Appendix A: Examples

Examples for each of these components can be found in the Instances folder.

### Screening Catalog

#### Get/Show Catalog - Jurisdiction

The following is an example of a catalog order, requesting jurisdictional information. The xpath includes the screening type code to allow trading partners to quickly identify the type of catalog order.

*GetScreeningCatalogOrderJurisdictional-Example-1.xml*

*ShowScreeningCatalogReportJurisdictional-Example-1.xml*

#### Invalid Get/Show Catalog Order

*GetScreeningCatalogOrderJurisdictional-Example-2.xml*

*ConfirmBODScreeningCatalogOrderJurisdictional-Example-2.xml*

#### Successful Sync Catalog Report

*SyncScreeningCatalogReport-Example-1.xml*

*ConfirmBODScreeningCatalogReport-Example-1.xml*

#### Invalid Get/Show Catalog Report

*GetScreeningCatalogReportCustomer-Example-1.xml*

*ShowScreeningCatalogReportCustomer-Example-1.xml*

#### Additional Examples

These two examples provide an additional Get/Show set. The DocumentID is used as the primary identifier for each set rather than the BODID.

*GetScreeningCatalogOrderJurisdictional-Example-3.xml*

*ShowScreeningCatalogReportJurisdictional-Example-3.xml*

## Screening Order

The following is an example of a simple "a la carte-style" order. The order consists of individual screenings outside of a standard package, so PackageID is referenced.

NOTE: In the 3.X version of ScreeningOrder, each individual Screening allows the element "ScreeningSubjectID." This is intended to be used as a cross-reference when there are multiple sets of facts to apply to screenings. An example might be the need to run a screening on a primary name as well as an alias. The alias or second fact set would be supplied within its own ScreeningSubject component. The set of ScreeningSubject to apply within a given screening would be specified by using the ScreeningSubjectID to cross-reference the particular fact set (within ScreeningSubject) within each screening. Compared to the 2\_5 approach, this is a more normalized way of handling data that involves less duplication of data across an order where several aliases or other fact sets must be checked across multiple screenings. That said, the example below does not include any ScreeningSubjectID within the screenings because there is only a single ScreeningSubject instance. No cross reference is necessary because it is unambiguous as to the data to apply within each screening.

*ProcessScreeningOrder-a-la-carte-Example-1.xml*

*ProcessScreeningOrder-a-la-carte-Example-2.xml*

*AcknowledgeScreeningOrder-by-Package-Example-1.xml*

## ScreeningReport

*GetScreeningReport-PackageStatus-Example-1.xml*

*GetScreeningReport-ScreeningCost-Example-1.xml*

*ShowScreeningReport-ResultNotAvailable-Example-1.xml*

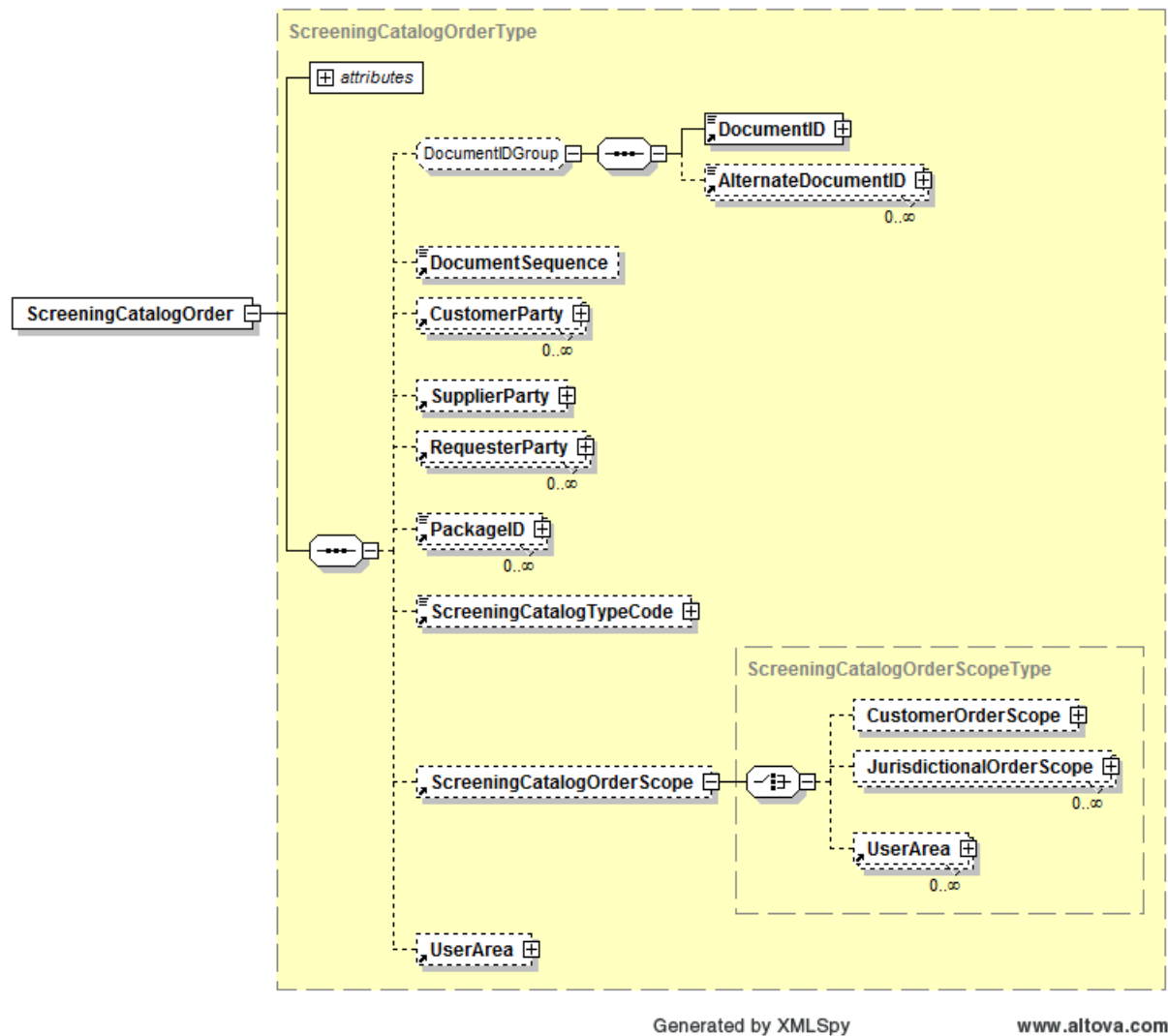
## Screening Package

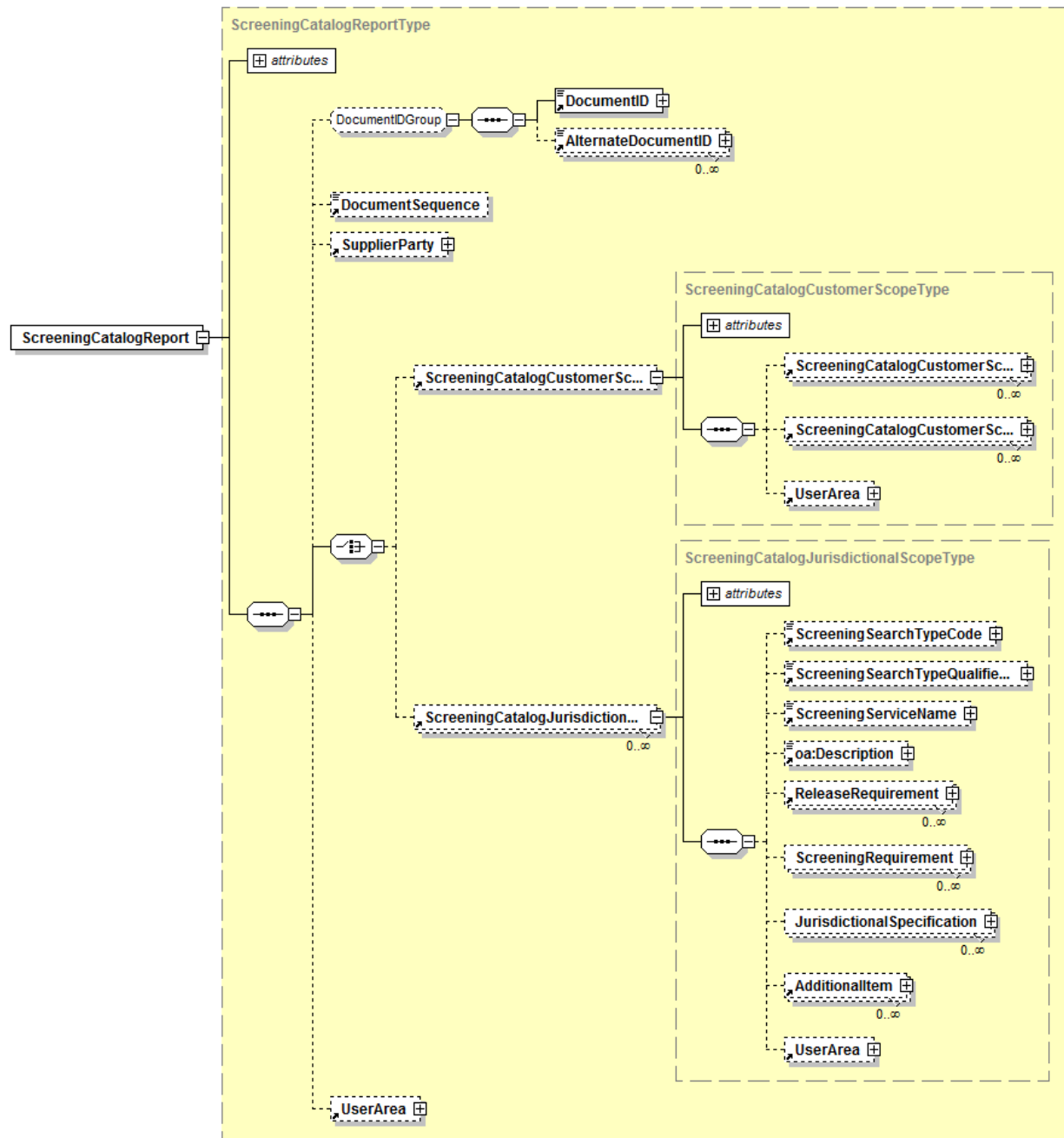
*ProcessScreeningPackageOrder-Example-1.xml*

*NotifyScreeningPackageReport-Example-1.xml*

## Appendix B: Noun Layouts

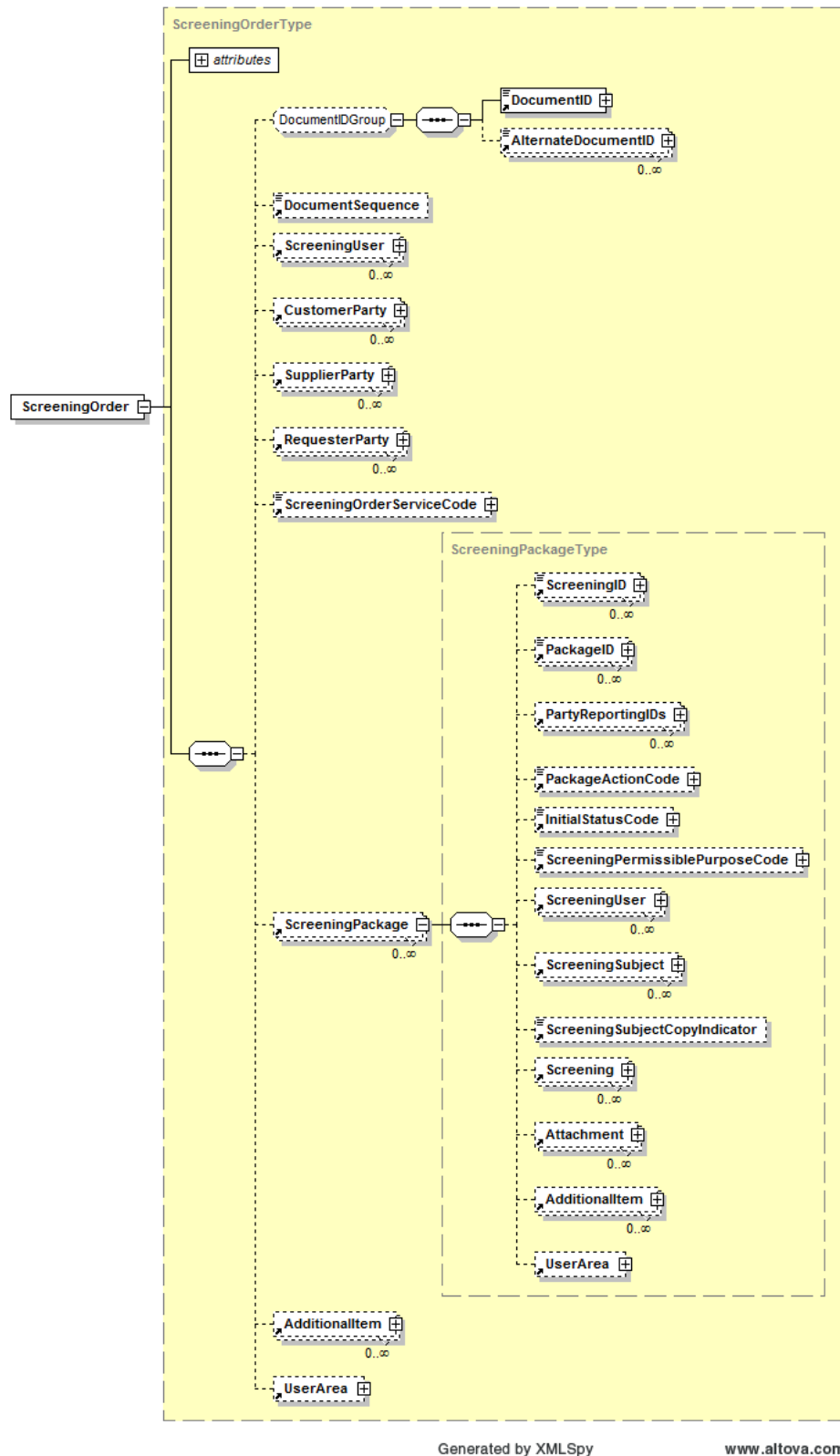
### Screening Catalog Order

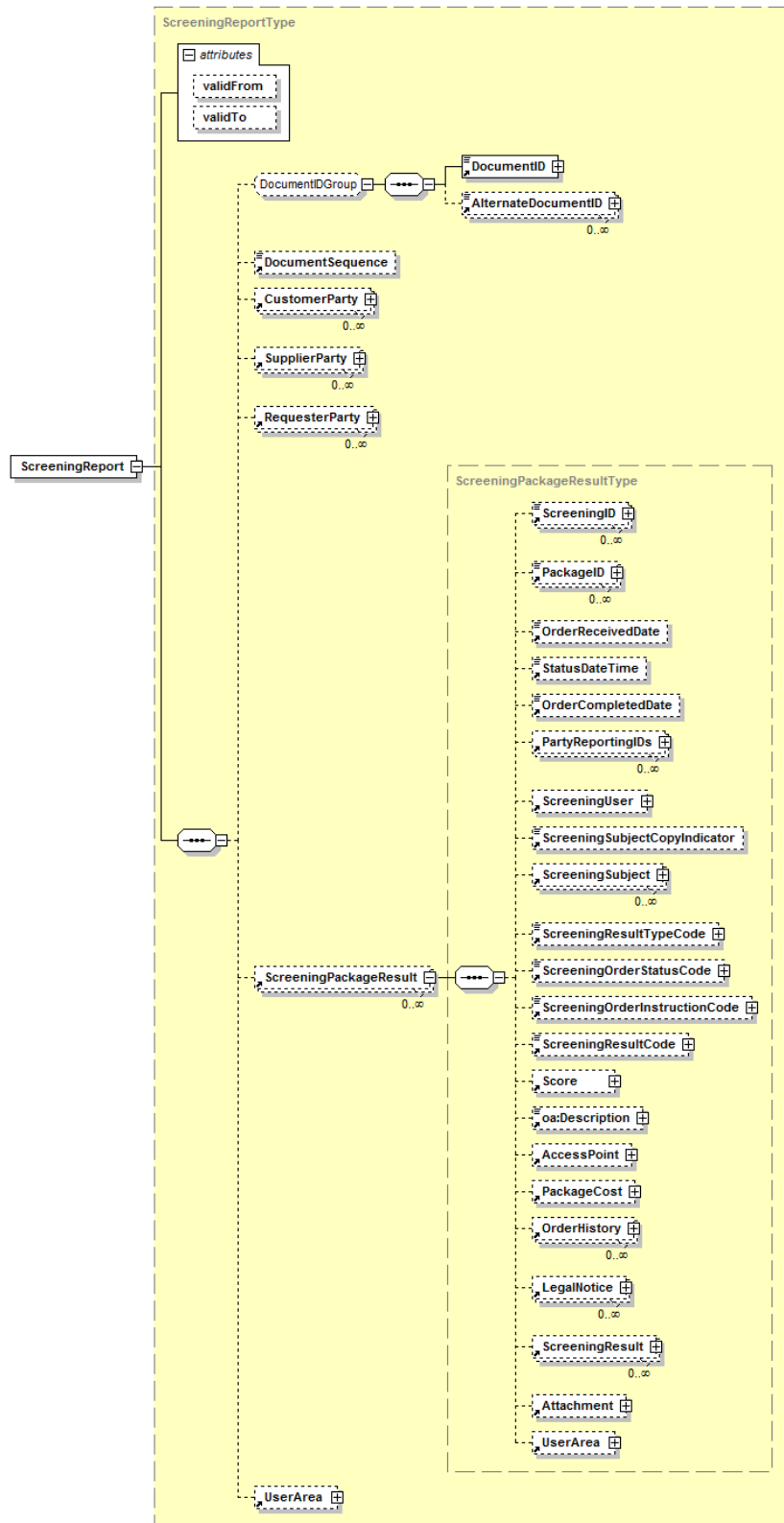




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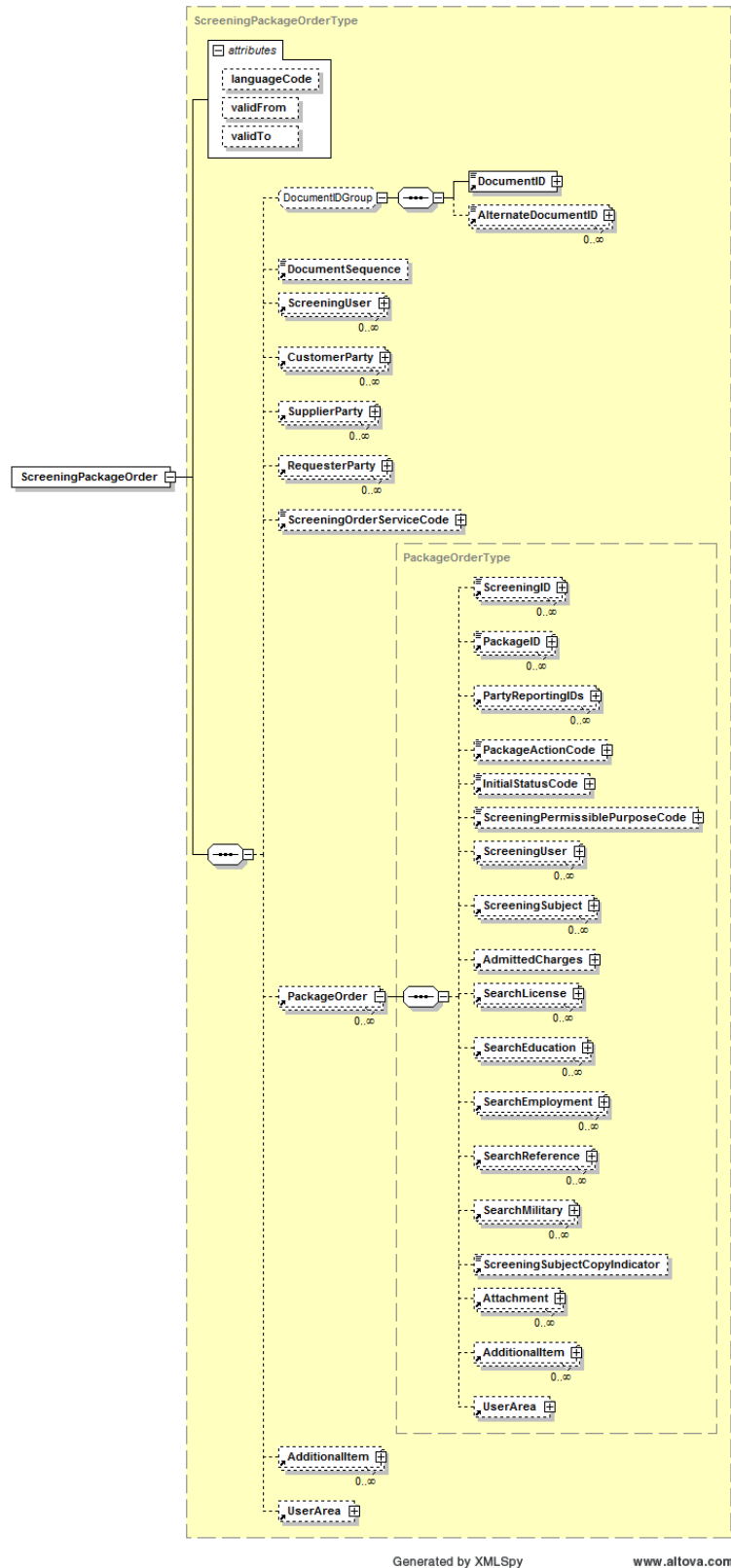


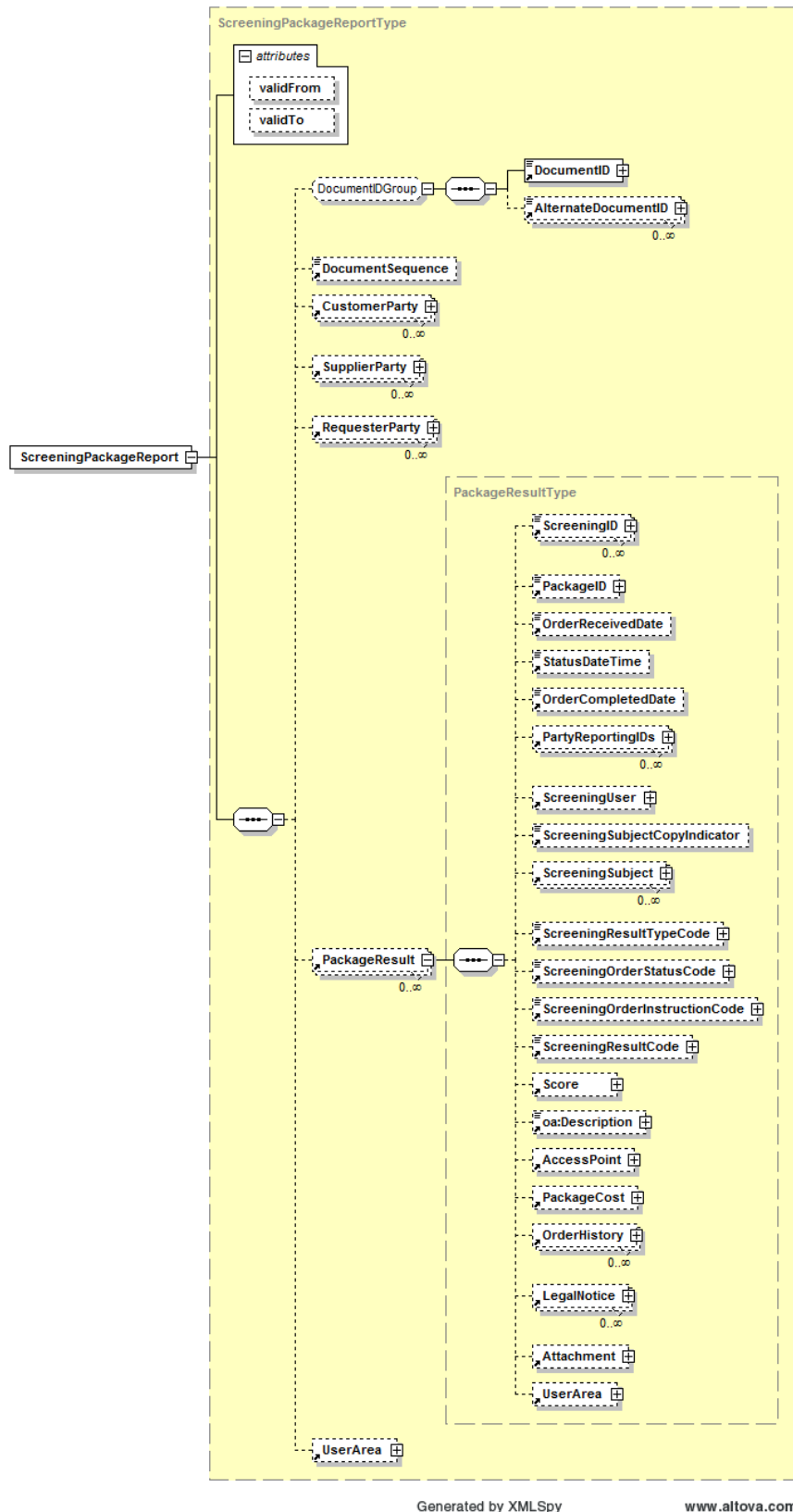


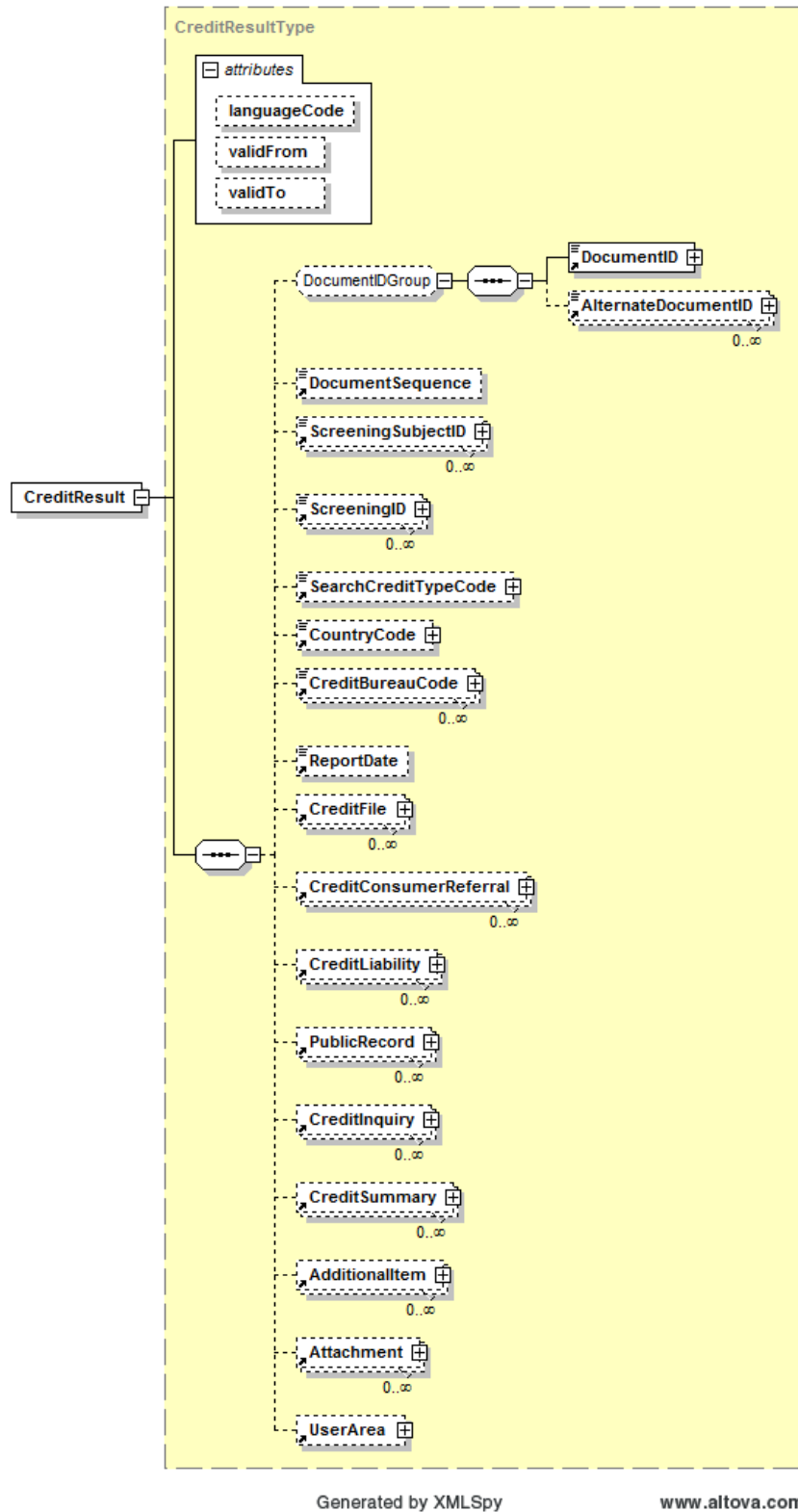
Generated by XMLSpy

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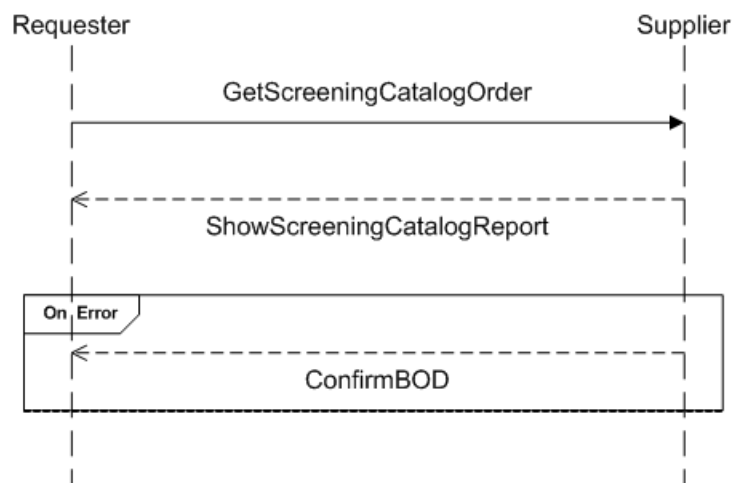


## Appendix C: Business Object Document Diagrams

### ScreeningCatalog

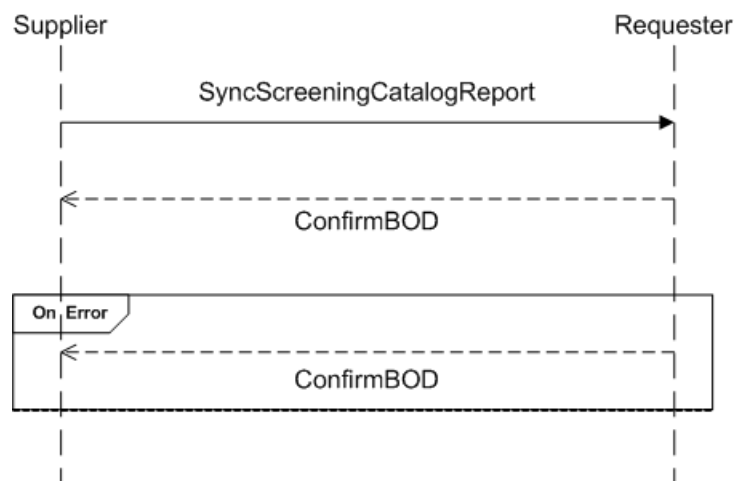
A service that a screening customer/requester would host to process screening catalog operations with screening suppliers.

#### ScreeningCatalog\_RequesterPackage



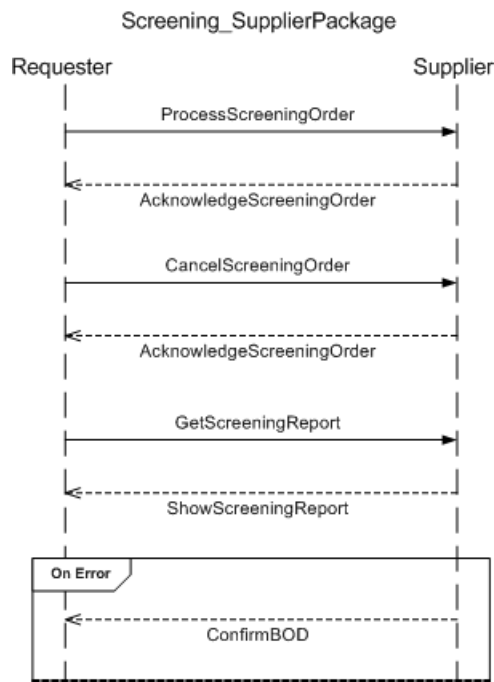
A service that a screening supplier would host to process screening catalog read operations from customers.

#### ScreeningCatalog\_SupplierPackage

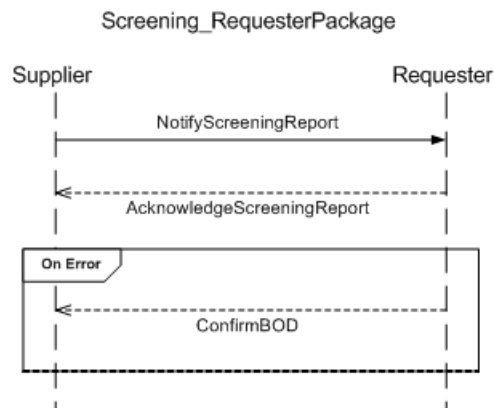


## Screening Order and Report

A service that a screening supplier would host to process and manage order requests and read operations from customers. Note that an incoming order often would be disaggregated upon receipt into component screenings (driver motor vehicle records, criminal records, employment verification, etc.), which might be separately fulfilled. So for any ScreeningOrder, there may be multiple associated ScreeningReport messages.



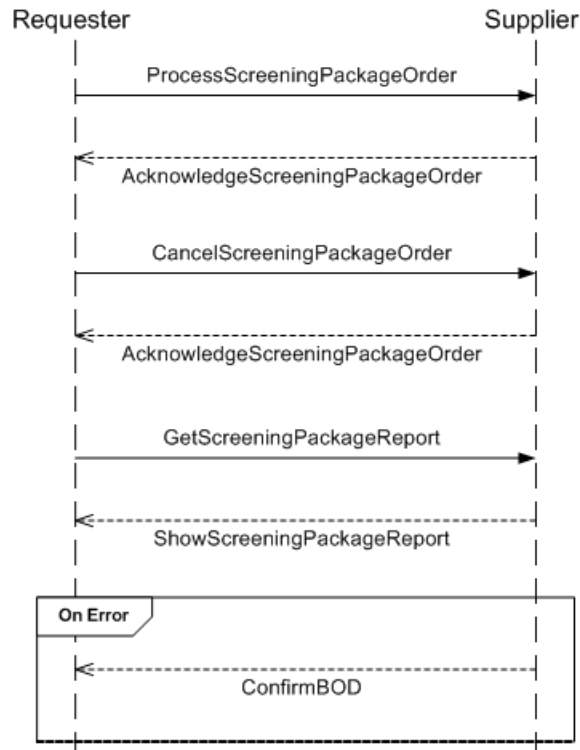
A service that a screening requester would host to handle "Notify" operations with a screening service provider. Note that a ScreeningOrder often would be disaggregated upon receipt into component screenings (driver motor vehicle records, criminal records, employment verification, etc.), which might be separately fulfilled when complete. So for any ScreeningOrder, there may be multiple associated ScreeningReport messages.



## Screening Package

This uses the ScreeningPackageOrder and ScreeningPackageReport nouns. A service that a screening supplier would host to process and manage order requests and read operations from customers. Note that an incoming order often would be disaggregated upon receipt into component screenings (driver motor vehicle records, criminal records, employment verification, etc.), which might be separately fulfilled. So for any ScreeningOrder, there may be multiple associated ScreeningReport messages.

### ScreeningPackage\_SupplierPackage



This uses the ScreeningPackageOrder and ScreeningPackageReport nouns. A service that a screening requester would host to handle "Notify" operations with a screening service provider. Note that a ScreeningOrder often would be disaggregated upon receipt into component screenings (driver motor vehicle records, criminal records, employment verification, etc.), which might be separately fulfilled when complete. So for any ScreeningOrder, there may be multiple associated ScreeningReport messages.

#### ScreeningPackage\_RequesterPackage

