

HR-XML Consortium

3.2.1 Screening Vendor Specifications

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Table of Contents

Screening Vendor Specification Overview	3
Actors	3
Triggers / Preconditions	5
Key Concepts	5
Screening Vendor with Website	7
Business Processes	7
Screening Vendor without Website	13
Business Processes	13
Appendix A: Examples	19
Screening Vendor with Website	19
Screening Vendor without Website	20
ConfirmBOD Error	20
Appendix B: Noun Layouts	21
Screening Vendor Order	21
Screening Vendor Report	22
Appendix C: Business Document Object (BOD) Diagrams	23

Screening Vendor 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 CRA and provider. For details on transactions between the end user companies / applicant tracking systems and their CRA's, refer to the Screening 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).

This specification has been designed to support Providers/Researchers that have a website as well as small Providers/Researchers that do not have a website.

The Screening Vendor schemas in the HR-XML release are:

ScreeningVendorOrder. Provides the data elements required by the Provider to run the appropriate criminal, civil or federal searches requested by the CRA.

ScreeningVendorReport. The response by the Provider to the Screening Vendor Order request. This includes all the required data elements to fulfill the search request.

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).

Triggers / Preconditions

CRA to Provider Request: CRA requests background screening from provider. There are a variety of reasons for the request, including but not limited to:

- End user, customer request
- Rescreening
- Internal requirement
- Revalidation of records from other locations/sources
- Status requests (ETA or pending)
- Messages
- Response to Request Information

Provider to CRA Request: Provider requests information from CRA. There are a variety of reasons for the request, including but not limited to:

- Completed a search
- Request for more information
- Updated fee information on a particular request
- Messages
- Case copies

Key Concepts

A CRA can specify where a search should be conducted in two basic ways. One is by listing the actual court name with its address. The other way is by giving a precise jurisdiction. When a court is specified, the onus is on the CRA to know exactly which courts to search. When a jurisdiction is specified, both the CRA and Provider share the responsibility. The CRA needs to give a precise enough jurisdiction that will

yield a small set of courts to be searched. The Provider is the expert in that area of the country and will pick the best courts to search based on local knowledge.

In the case of using jurisdictions:

The CRA gives enough detail that is relevant to the search. For instance for a county level search, the Country, State and County are necessary. For a City level search, the Country, State, County, City and Street address are necessary. It is possible to specify multiple Street addresses in the schema. This gives the Provider more information that may be relevant in pinpointing which court to search. Some CRAs and/or Providers may not support multiple Street addresses yet, so this needs to be considered.

The schema has an element called "CourtLevel". It specifies the type of court to search and the general jurisdictional scope that the court covers (e.g. a court covers county, and another one may cover only the City). "CountyCity" would typically be used for a FelonyMisdemeanor in an area where the Felony is stored at the County level and the Misdemeanor is at the City level.

In the case of specifying a court:

The CRA provides the name of the court, the court's address, floor number, room number, etc. In other words, provide enough information to pinpoint exactly where to search.

Screening Vendor with Website

For Providers/Researchers that have a website, this specification is designed to support real-time transactions between the CRA and Provider/Researcher.

The Screening Vendor With Website Business Rules (.xls) outline which elements/attributes are required or the best practice for a Screening Vendor transaction with a website.

Business Processes

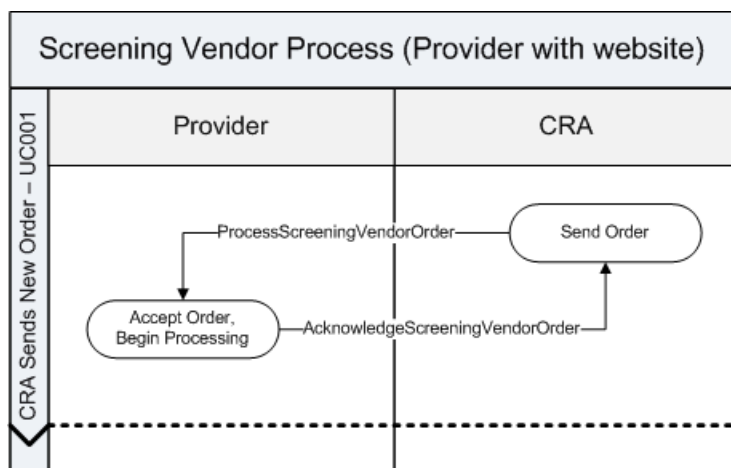
This section provides information useful for communication between the CRA and Provider with a website.

Review the Screening Vendor With Website Business Rules (.xls) to determine which elements/attributes are required or the best practice for Screening Vendor transaction with a website.

In the examples in this specification, the verbose approach was used to help the developer understand what may be included in a transaction. Some Providers or CRAs may choose the lean approach, where only what is needed for the transaction is included. For instance, the ScreeningVendorReport schema supports the full VendorSubject. Since this subject was supplied in the Order, it doesn't need to be supplied in the Report.

CRA Sends a New Order - UC001

Summary. This use case describes the request for a new order when the Provider has a website.



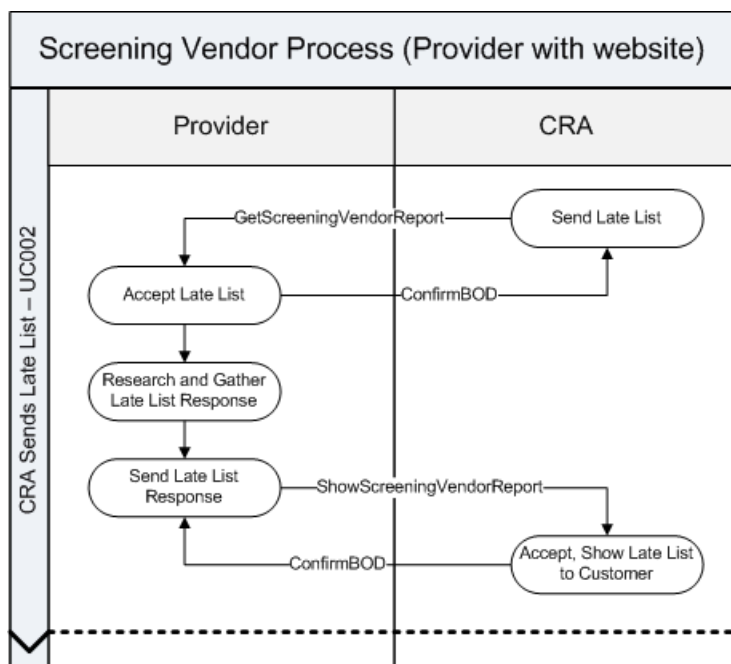
Business Narrative. A Background Screening Company (CRA) receives a background screening report request from a customer such as a major Fortune 500 account. A key component of the report is providing county criminal research for every place the applicant has lived going back seven years. To process the county criminal searches, the CRA looks up in its Provider database which researcher to use. This initiates the new order to the Provider.

Technical Narrative.

1. The CRA has a new order for the Provider.
2. The CRA sends a ProcessScreeningVendorOrder with the Order details.
3. The Provider acknowledges receipt of the order through an AcknowledgeScreeningVendorOrder transaction.
4. The Provider begins processing the Order.

CRA Sends Late List - UC002

Summary. This use case describes the workflow for late lists. In this scenario, the Provider has a website and the CRA is the system of record. The Get and Show requests may be performed several days apart, so the Order ID is used to identify that the two requests are associated.



Business Narrative. The Background Screening Company (CRA) wants to know the status of orders that it has sent to the Provider and has not yet received a response back. The CRA internally creates a "Late List" based on the estimated time of arrival (ETA) on the day the order is due. The Providers reviews the "Late List" and provides feedback back to the CRA about the status of each order. In addition to responding to current items on the "Late List" the Provider can also provide feedback on items that were on previous late lists.

A list could include 50 items or more. However, the recommendation is to send a maximum of 10 orders at one time.

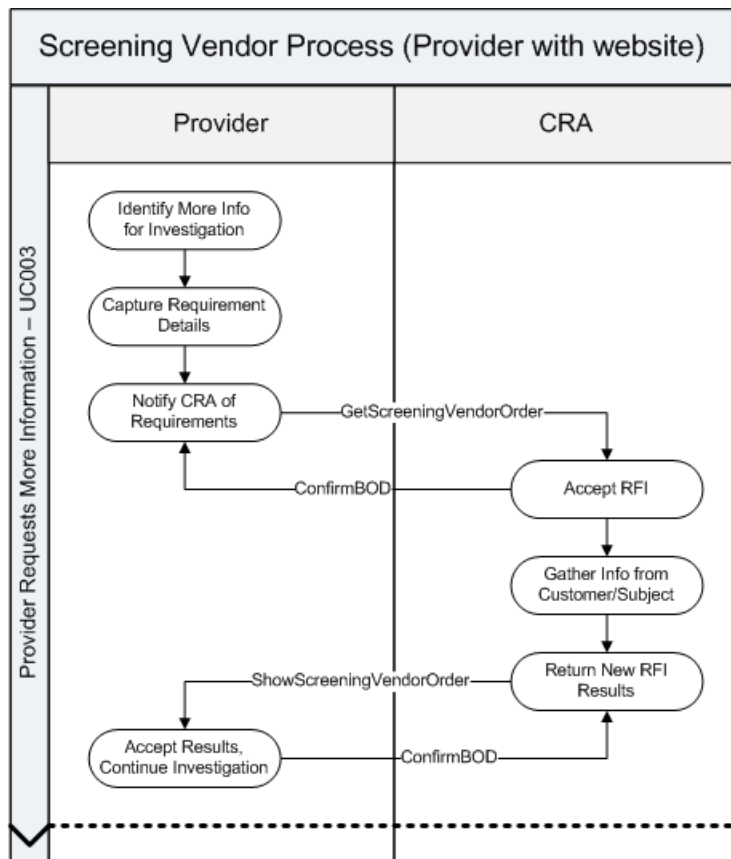
Technical Narrative.

1. The CRA needs an ETA (Estimated Time of Arrival) or updated status on a particular Order.
2. The CRA sends a GetScreeningVendorReport to the Provider.

3. The Provider acknowledges receipt of the request with a ConfirmBOD transaction.
4. The Provider researches and gathers ETA and updates on status for each order in the Late List.
5. The Provider sends a ShowScreeningVendorReport of the data it collected. The data collected (i.e. ETAs and updates on status) may be on orders from previous Late Lists, not just from the one that was requested.
6. The CRA acknowledges receipt of the list with a ConfirmBOD transaction.
7. The CRA updates their clients with ETA and status.

Provider Requests More Information - UC003

Summary. This use case is applied when requesting additional information to complete the order. Since the CRA is the system of record, the additional information would be 'synchronized' to the Provider's system. The Order ID is used to identify that the Sync request is related to the same order as the Get request.



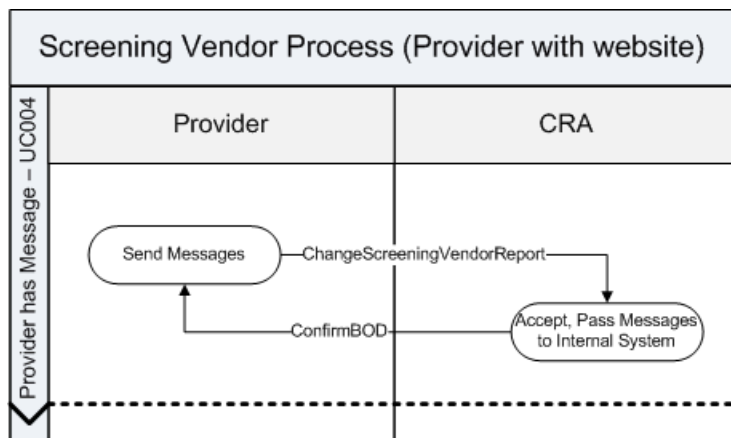
Business Narrative. The Provider has received an order from the CRA. The order is missing a key identifier ie. full Date of Birth (DOB) required to successfully complete the search. The Provider identifies this issue and passes a message (RFI) to the CRA requesting the missing information (ie. full DOB) is provided. The CRA accepts this RFI and if necessary calls its customer to get the information required. The required information is then sent over to the Provider.

Technical Narrative.

1. The Provider needs more information about the subject to continue the investigation.
2. The Provider captures what is needed (e.g. mother's maiden name, driver's license number, Date of Birth).
3. The Provider sends a GetScreeningVendorOrder to the CRA, asking for more information.
4. The CRA acknowledges receipt of the order through a ConfirmBOD transaction.
5. The CRA contacts their customer and/or the subject to gather what the Provider requested.
6. When the CRA is ready to send the Information, they issue a ShowScreeningVendorOrder transaction.
7. The Provider accepts it by replying with a ConfirmBOD.
8. The Provider continues with their investigation.

Provider has Message - UC004

Summary. This use case is applied when the Provider needs to send a message to the CRA. In this scenario, the Provider has a website and the CRA is the system of record.



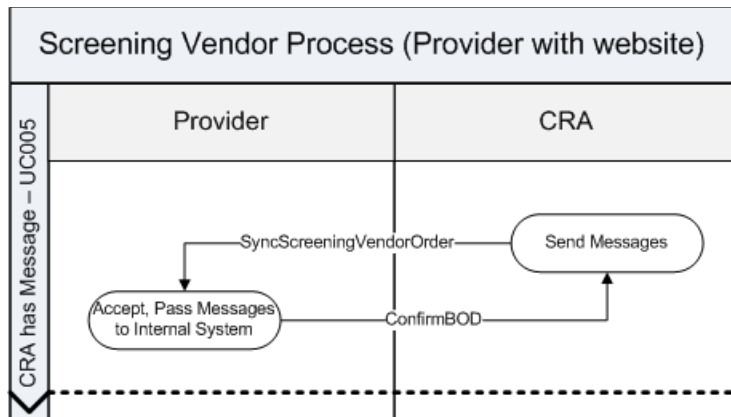
Business Narrative. The Provider needs to communicate a message to the CRA such as a search or searches in certain jurisdiction is/are going to be late due to a courthouse being closed. The Provider notifies the CRA that these orders will be late due to the courthouse closure.

Technical Narrative.

1. The Provider needs to send a message about a particular Order.
2. Instead of using e-mail, they use this interface by issuing a ChangeScreeningVendorReport.
3. The CRA accepts the message by responding with a ConfirmBOD.

CRA has Message - UC005

Summary. This use case is applied when the CRA needs to send a message to the Provider. Since the CRA is the system of record, the additional information would be 'synchronized' to the Provider's system.



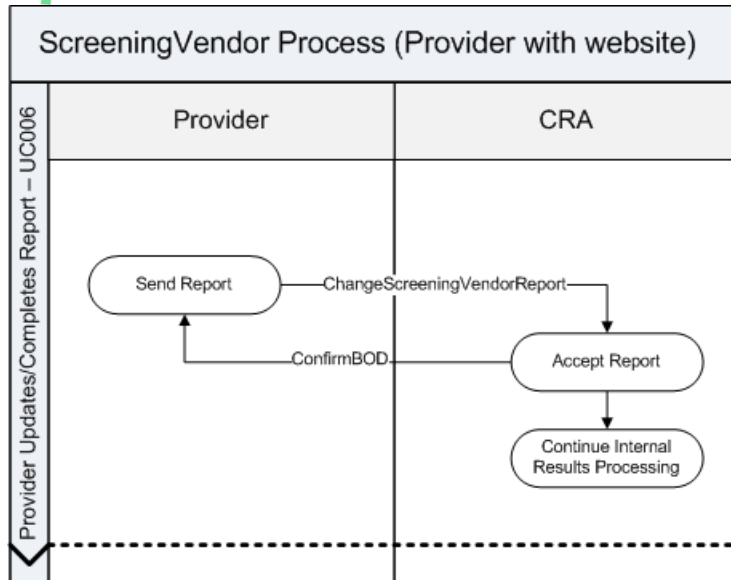
Business Narrative. The CRA needs to send a message to the Provider regarding an existing order/request, such as the wrong SSN was passed to the Provider. The CRA sends a message to the Provider correcting the wrong SSN.

Technical Narrative.

1. The CRA needs to send a message about a particular Order.
2. Instead of using e-mail, they use this interface by issuing a SyncScreeningVendorOrder.
3. The Provider acknowledges receipt of the message through a ConfirmBOD transaction.

Provider Updates/Completes Report - UC006

Summary. This use case applies when the Provider completes or updates the report. In this scenario, the Provider has a website and the CRA is the system of record.



Business Narrative. The Provider has completed a county criminal search and sends the results back to the CRA. This transaction type can also be used send updates on a search that has previously been completed ie. additional information about a case has been found that can assist in making sure that this information is reported on the correct person.

Technical Narrative.

1. The Provider completed the report and needs to submit it to the CRA.
2. The Provider sends a ChangeScreeningVendorReport which includes the finished report details.
3. The CRA acknowledges receipt of the report through a ConfirmBOD transaction.
4. The CRA continues its internal processing of the finished Report.

Screening Vendor without Website

For Providers/Researchers that do not have a website, this specification is designed to support batch transactions where the Provider/Researcher always initiates the communications with the CRA. To support this type of communications, the CRA's will queue all messages in their server. Request time intervals are based upon provider workflow.

The ScreeningVendor Without Website Business Rules (.xls) outline which elements/attributes are required or the best practice for each Screening Vendor transaction without a website.

Business Processes

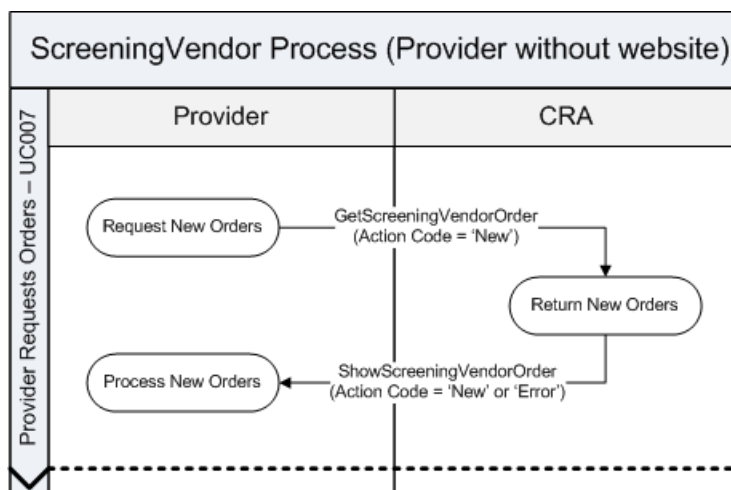
This section provides information useful for communication between the CRA and Provider without a website.

Review the Screening Vendor Without Website Business Rules (.xls) to determine which elements/attributes are required or best practice for each Screening Vendor transactions without a website.

In the examples in this specification, the verbose approach was used to help the developer understand what may be included in a transaction. Some Providers or CRAs may choose the lean approach, where only what is needed for the transaction is included. For instance, the ScreeningVendorReport schema supports the full VendorSubject. Since this subject was supplied in the Order, it doesn't need to be supplied in the Report.

Provider Requests Order - UC007

Summary. This use case is applied when the Provider is requesting orders from the CRA. In this scenario, the Provider does not have a website and the CRA is the system of record.



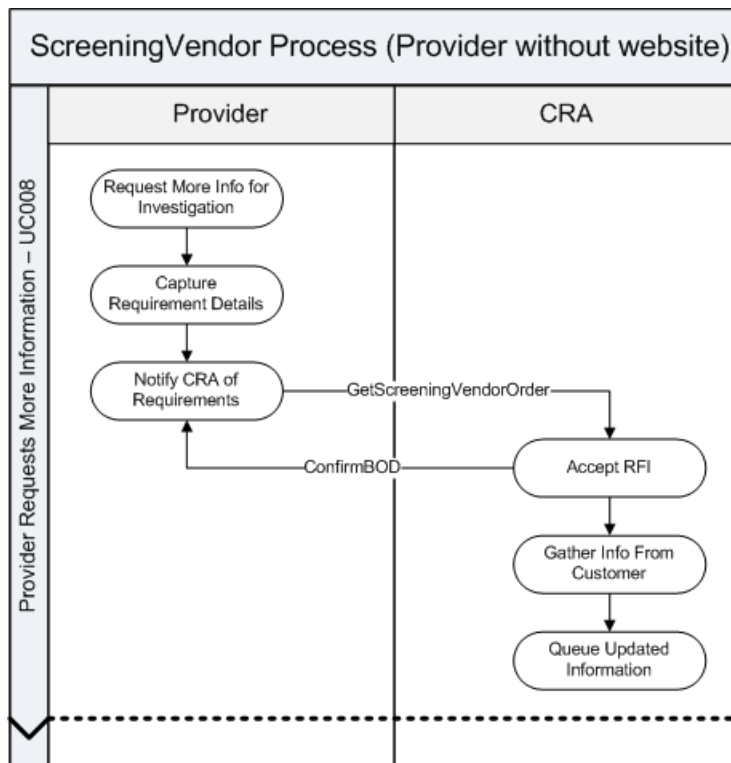
Business Narrative. This is the case where a Provider does not currently have a website. In this case, the Provider will request orders from the CRA on an as needed basis, typically several times a day. Upon sending this request, the CRA sends new orders to the Provider.

Technical Narrative.

1. The Provider decides that it's time to retrieve new orders from the CRA's system. This may be a recurring scheduled event or a random event.
2. The Provider sends a GetScreeningVendorOrder to the CRA.
3. The CRA queries its system for the Provider's "New" orders.
4. The CRA issues a ShowScreeningVendorOrder of all the Provider's "New" orders.
5. The Provider now begins the investigation on these orders.

Provider Requests More Information - UC008

Summary. This use case is applied when the Provider requests additional information to complete the order. In this scenario, the Provider does not have a website and the CRA is the system of record. The information would be queued in this step and reviewed in UC009.



Business Narrative. The Provider needs additional information to complete an order that has been requested by the CRA. The Provider sends a "Request for More Information" to the CRA.

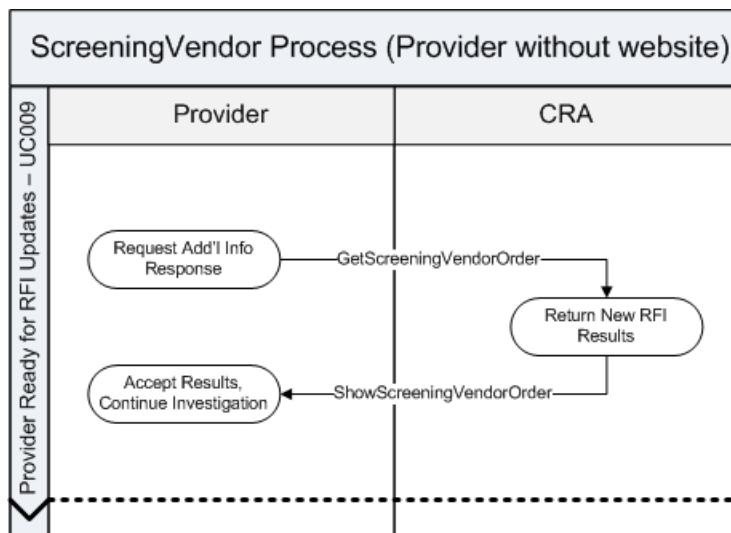
Technical Narrative.

1. The Provider needs more information about the subject to continue the investigation.
2. The Provider captures what is needed (e.g. mother's maiden name, driver's license number).
3. The Provider sends a GetScreeningVendorOrder to the CRA, asking for this information.

4. The CRA acknowledges receipt of the order through a ConfirmBOD transaction.
5. The CRA contacts their customer and/or the subject to gather what the Provider requested.
6. The CRA holds onto the information and waits for the Provider to ask for this information.

Provider Ready for RFI Updates - UC009

Summary. This use case is applied when the Provider is ready to retrieve the queued information from the CRA. In this scenario, the Provider does not have a website and the CRA is the system of record. The information would be queued in UC008 and reviewed in this step.



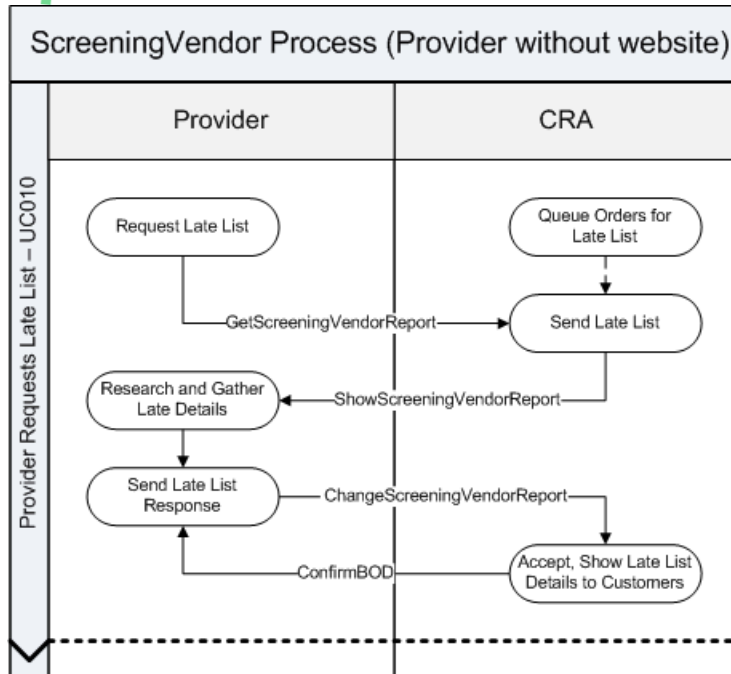
Business Narrative. The Provider queries the CRA's website to get the additional information based on the earlier RFI request.

Technical Narrative.

1. The Provider decides to retrieve from the CRA's system the responses to its "Requests For Information". This may be a recurring scheduled event or a random event.
2. The Provider sends a GetScreeningVendorOrder to the CRA.
3. The CRA responds with a ShowScreeningVendorOrder which returns all completed "Request For Information" responses.

Provider Requests Late List - UC010

Summary. This use case is applied when the Provider requests late lists. In this scenario, the Provider does not have a website and the CRA is the system of record. The information would be queued and reviewed in this step.



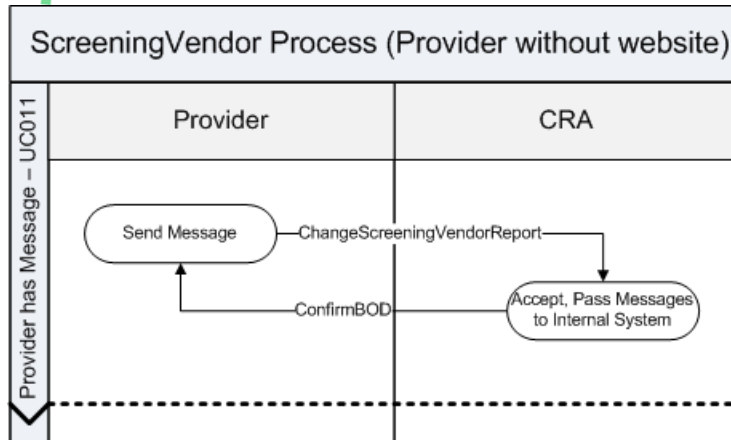
Business Narrative. This is the case where the Provider has a requirement to see what orders are on the late list. The Provider sends a request to the CRA for the late list. The CRA sends the late list to the Provider. The Provider upon receipt then researches the status of each order on the late list and then sends response to CRA denoting what the status or ETA for each order.

Technical Narrative.

1. The CRA keeps a list of all orders they would like an ETA (Estimated Time of Arrival) or updated status on.
2. The Provider decides that it's time to get the list of orders that the CRA would like an update on (i.e. Late List). This may be a recurring scheduled event or a random event.
3. The Provider sends a GetScreeningVendorReport to the CRA.
4. The CRA responds with a ShowScreeningVendorReport which returns the Late List.
5. The Provider researches and gathers ETA and updates on status for each order in the Late List.
6. The Provider sends a ChangeScreeningVendorReport of the data it collected. The data it collected (i.e. ETAs and updates on status) may be on orders from previous Late Lists, not just from the one that was requested.
7. The CRA acknowledges receipt of the list through a ConfirmBOD transaction.
8. The CRA updates their clients with ETA and status.

Provider has Message - UC011

Summary. This use case is applied when the Provider requests messages from the CRA. In this scenario, the Provider does not have a website and the CRA is the system of record.



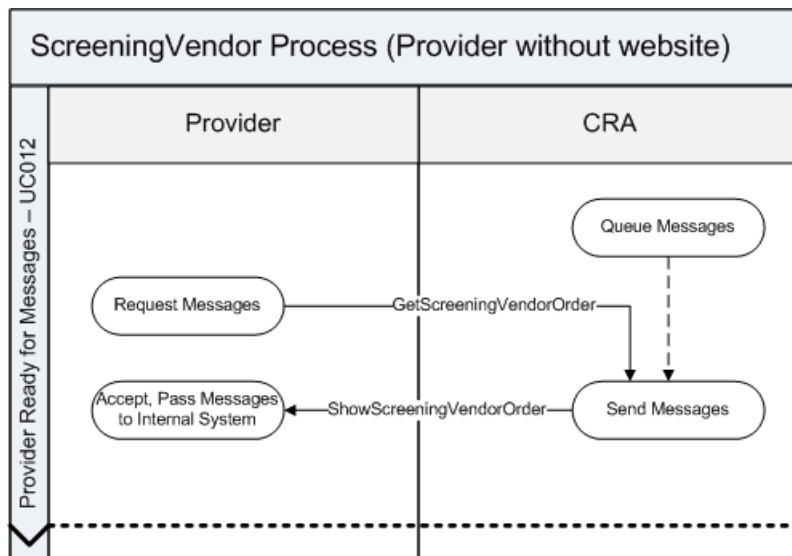
Business Narrative. The Provider has a message for the CRA pertaining to a certain order.

Technical Narrative.

1. The Provider needs to send a message about a particular Order.
2. Instead of using e-mail, they use this interface by issuing a ChangeScreeningVendorReport.
3. The CRA accepts the message by responding with a ConfirmBOD.

Provider is Ready for Messages - UC012

Summary. This use case is applied when the Provider is ready for the queued messages from the CRA. In this scenario, the Provider does not have a website and the CRA is the system of record.



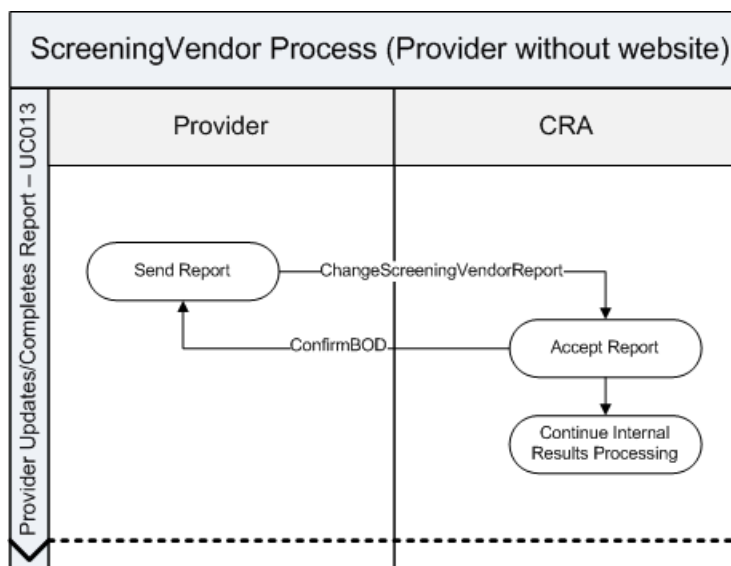
Business Narrative. The CRA has a message for the Provider. In this case where the Provider does not have a website, the Provider is required to query the CRA's website to receive this message.

Technical Narrative.

1. The CRA keeps a list of messages it would like to communicate to the Provider.
2. The Provider decides that it's time to get the list of Messages that the CRA has. This may be a recurring scheduled event or a random event.
3. The Provider sends a GetScreeningVendorOrder to the CRA.
4. The CRA responds with a ShowScreeningVendorOrder which includes all message details.
5. The Provider routes the messages in their system.

Provider Updates/Completes Report- UC013

Summary. This use case applies when the Provider submits a completed or updated report. In this scenario, the Provider does not have a website and the CRA is the system of record.



Business Narrative. The Provider has a finished or updated report to send to a CRA. The Provider sends this information to the CRA.

Technical Narrative.

1. The Provider would like to return a finished Report.
2. The Provider sends a ChangeScreeningVendorReport which includes the finished report details.
3. The CRA accepts the report by responding with a ConfirmBOD.
4. The CRA continues its internal processing of the finished Report.

Appendix A: Examples

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

Screening Vendor with Website

UC001_ProcessScreeningVendorOrder Court Example (.xml)

UC001_AcknowledgeScreeningVendorOrder Court Example (.xml)

UC001_ProcessScreeningVendorOrder Jurisdiction Example (.xml)

UC001_AcknowledgeScreeningVendorOrder Jurisdiction Example (.xml)

UC002a_GetScreeningVendorReport Example (.xml)

UC002a_ConfirmBODGetScreeningVendorReport Example (.xml)

UC002b_ShowScreeningVendorReport Example (.xml)

UC002b_ConfirmBODShowScreeningVendorReport Example (.xml)

UC003a_GetScreeningVendorOrder Example (.xml)

UC003a_ConfirmBODGetScreeningVendorOrder Example (.xml)

UC003b_ShowScreeningVendorOrder Example (.xml)

UC003b_ConfirmBODShowScreeningVendorOrder Example (.xml)

UC004_ChangeScreeningVendorReport Example (.xml)

UC004_ConfirmBODChangeScreeningVendorReport Example (.xml)

UC005_SyncScreeningVendorOrder Example (.xml)

UC005_ConfirmBODSyncScreeningVendorOrder Example (.xml)

UC006_ChangeScreeningVendorReport Example (.xml)

UC006_ConfirmBODChangeScreeningVendorReport Example (.xml)

Screening Vendor without Website

UC007_GetScreeningVendorOrder Example (.xml)

UC007_ShowScreeningVendorOrder Example (.xml)

UC008_GetScreeningVendorOrder Example (.xml)

UC008_ConfirmBODGetScreeningVendorOrder Example (.xml)

UC009_GetScreeningVendorOrder Example (.xml)

UC009_ShowScreeningVendorOrder Example (.xml)

UC010a_GetScreeningVendorReport Example (.xml)

UC010a_ShowScreeningVendorReport Example (.xml)

UC010b_ChangeScreeningVendorReport Example (.xml)

UC010b_ConfirmBODChangeScreeningVendorReport Example (.xml)

UC011_ChangeScreeningVendorReport Example (.xml)

UC011_ConfirmBODChangeScreeningVendorReport Example (.xml)

UC012_GetScreeningVendorOrder Example (.xml)

UC012_ShowScreeningVendorOrder Example (.xml)

UC013_ChangeScreeningVendorReport Example (.xml)

UC013_ConfirmBODChangeScreeningVendorReport Example (.xml)

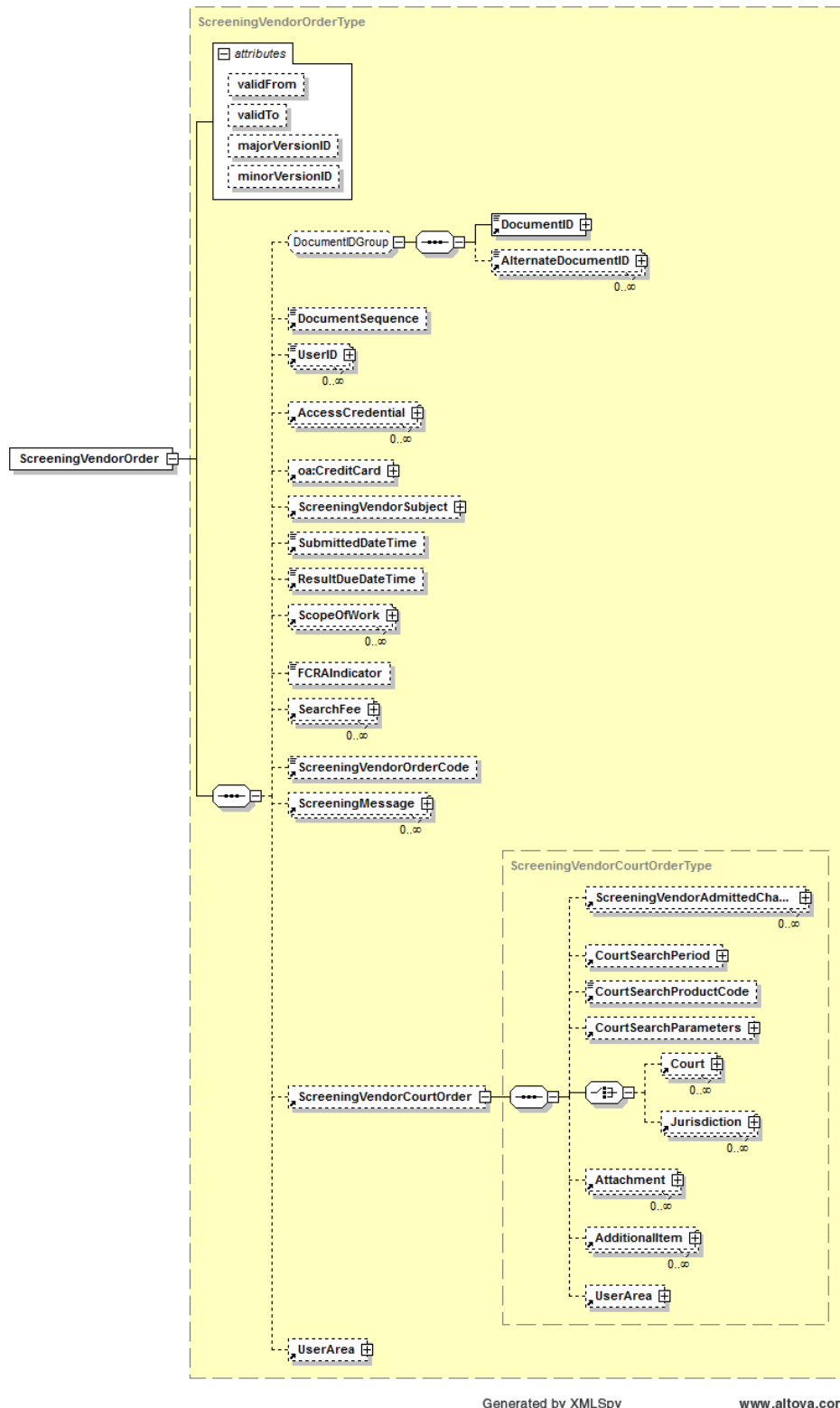
ConfirmBOD Error

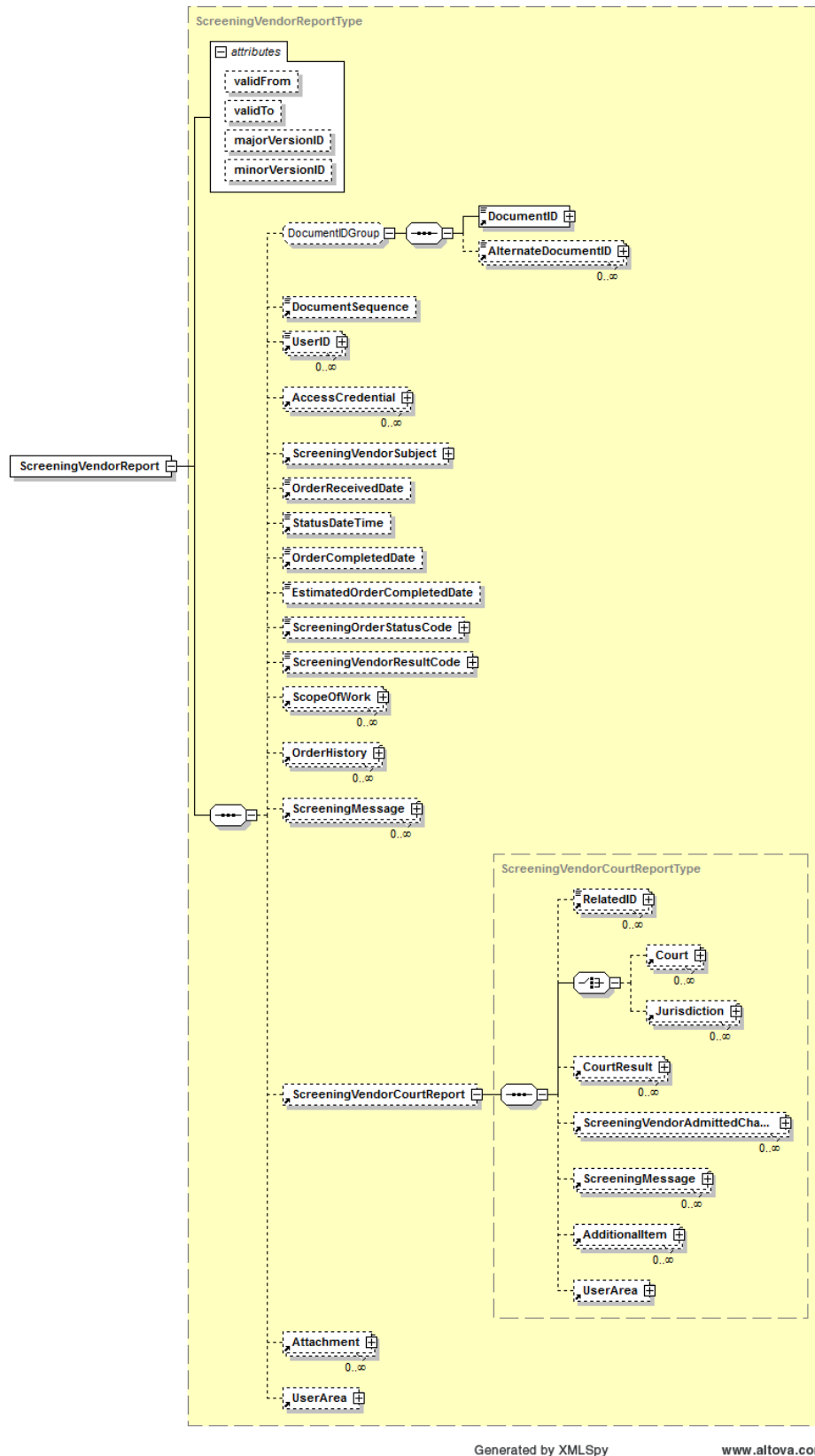
The use cases below may contain a ConfirmBOD example for successful transactions. In the case where a transaction is not successful, an exception would be returned. The following example provides an exception for the processes below.

UCALL_ConfirmBODScreeningVendorFailureAll Example (.xml)

Appendix B: Noun Layouts

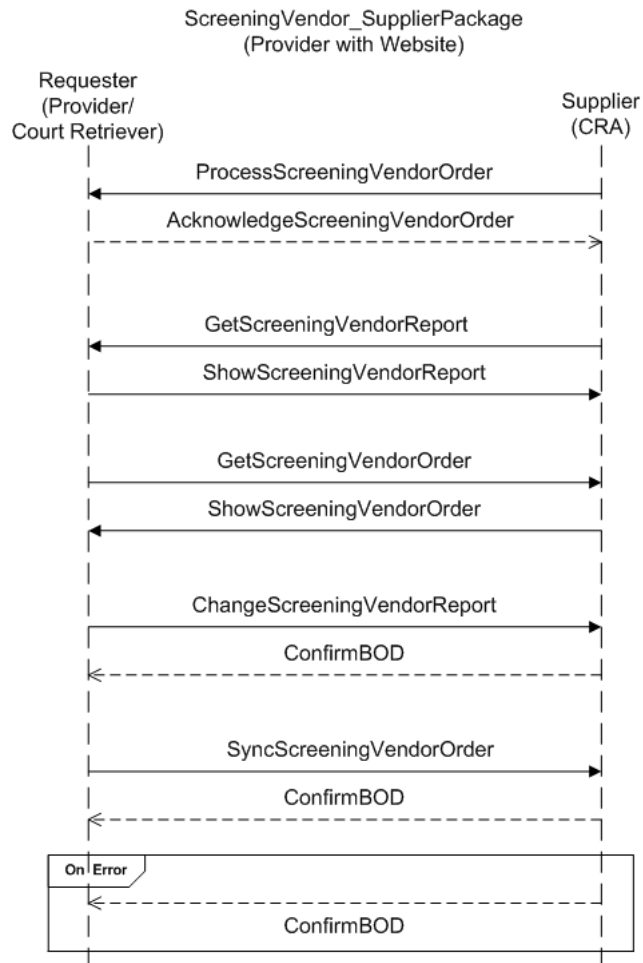
Screening Vendor Order





Appendix C: Business Document Object (BOD) Diagrams

The following diagram portrays a service that a screening provider/researcher would host to process screening vendor operations with suppliers, when the provider has its own website. This package includes a collection of BODs in a single, flattened schema with an accompanying WSDL. It is intended as a pre-packaged resource to support common integration scenarios.



The following diagram portrays a service that a screening provider would host to process screening vendor operations with screening providers that don't have a website. This package includes a collection of BODs in a single, flattened schema with an accompanying WSDL. It is intended as a pre-packaged resource to support common integration scenarios.

