Background Checks for Resident and Fellow Positions
IUSM-GME-PO-0004

Scope
This policy applies to all Graduate Medical Education (GME) Residents in ACGME-accredited, Indiana University School of Medicine (IUSM) sponsored training programs.

Reason for Policy
The purpose of this policy is to address the steps required to solicit and acquire background information on resident and fellow appointees entering a graduate medical education program in IUSM.

Policy Statement
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 and fellow
appointees at IUSM. In addition to the background checks, each faculty member, resident and fellow, medical student and all members of the IUSM community, must agree to and sign the IUSM Honor Code form. In addition to the background checks explained above, this is a condition of employment at IUSM.

Faculty, staff, students, volunteers and other personnel who work with children must have undergone criminal background checks and sex offender registry checks within the past three years. The checks must be repeated at least once every five years.

**Procedures**

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 IU which will include criminal history, sex and violent offender registries. Programs are directed to follow the instructions provided in the Procedure for Background Checks.

It must be clearly understood that no new resident or 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 or 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.

**Definitions**

*ACGME* is the Accreditation Council for Graduate Medical Education.

A *resident* is an IUSM resident or fellow, or a non-IUSM resident or fellow electively rotating through IUSM who provides clinical care as part of a GME program.

**Implementation**

The Designated Institutional Official (DIO) for GME is responsible for implementation of this policy.

**Oversight**

Policy authority for this document resides with the Graduate Medical Education Committee. The DIO and the Graduate Medical Education Committee are responsible for oversight. This policy will be reviewed every three years or more often if deemed necessary.

**Forms**
Attachment 1: Procedure for Background Checks

Related Information

Policy for programs that involve children – Public Safety Institutional Assurance
The complete policy is available online at:

Acknowledgement of Conditions

Sample appointment letter:

History

1. Policy IUSM-GME-PO-0004 approved by GMEC on 14 November 2012.
2. Policy reviewed, updated, and approved by GMEC, and published on 07 September 2016.
Attachment 1

GME Procedure for Background Checks

1. At the time of the interview, the resident or fellow applicant should be given the following documents (ACGME requirements):
   - Policy for Programs that Involve Children (Reference 1)
   - Acknowledgement of Conditions (Reference 2)
   - Copy of Appointment Letter (Reference 3)

2. Once programs have matched with their new residents, they can be entered in MedHub. New residents will be provided with Initial Action forms in MedHub, including:
   - Self-Disclosure Questionnaire
   - IU Consumer Disclosure form
   - Authorization form
   - Demographics form
   - Honor Code
   - If applicable-ECFMG certificate

3. The Office of Graduate Medical Education will initiate the background check process with the appropriate outside firm that has been retained by IU.

4. If the background check request is returned with no adverse findings, a contract will be processed by the GME Office.

5. If the background check request is returned with any adverse findings, the GME Office will inform the candidate of the specific information. Additionally, any information self-disclosed by a resident will be provided to the Senior Associate Dean for review.
   - If acknowledged convictions are confirmed, the resident or fellow may be informed and given the opportunity to discuss the results of the criminal history check. The Senior Associate Dean for Graduate Medical Education will evaluate any conviction, including any additional information solicited from the candidate, before the position is confirmed. The program director and University Counsel will be involved if necessary. The existence of a conviction will not necessarily disqualify a resident or fellow from employment. Any decision to accept or reject a resident or 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 Senior Associate 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.

6. If Indiana University has performed a criminal history check on a resident or 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 or fellow positions. **This applies to individuals who match to an IUSM program through the Main Match or specialty matches one year in advance of the start of their training.**

7. Background checks will be completed every five years of continuous employment. The GME Office will send program coordinators notification of the new background checks, and require that each resident complete a new IU Consumer Disclosure form.

8. Residents or 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.

An international medical graduate who has been offered a residency or fellowship position will be subject to the following provisions:

1. A background check covering time in the United States if the period of time that the individual has been physically present in the United States exceeds one year.

2. A background 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.

References

1. **POLICY FOR PROGRAMS THAT INVOLVE CHILDREN-PUBLIC SAFETY INSTITUTIONAL ASSURANCE**
   The complete policy is available online at:

2. **Acknowledgement of Conditions**

3. **Sample appointment letter:**