

Office of Personnel Management

Policy

Policy Title: Criminal Background Check	Policy Number: 30.05
Citation: DFA—Office of Accounting Financial Management Guide	Forms: NONE

Purpose

The DFA – Office of Accounting’s Internal Audit Section provided state government with the directive to develop and implement an Anti-Fraud Policy and Code of Ethics for the following purposes:

1. Creating and maintaining a culture of honesty;
2. Evaluating the risk of fraud and implementing the processes, procedures and controls needed to mitigate those risks; and
3. Developing an appropriate oversight process.

Specific Provisions

The directive at that time and the current Financial Management Guide states the following elements of an anti-fraud program to create a culture of honesty and high ethics:

- Setting the tone at the top
- Creating a positive workplace environment
- Hiring and promoting appropriate employees
- Training
- Confirmation
- Discipline

With regard to criminal background checks, hiring and promoting appropriate employees is one of the key points in successfully preventing fraud. Therefore, effective policies must exist to minimize the chance of hiring or promoting individuals with low levels of honesty, especially for positions of trust. Proactive hiring and promotion procedures should include:

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- Conducting background investigations on individuals being considered for employment or for promotion to a position of trust.
- Thoroughly checking a candidate's education, employment history, and personal references.
- Periodic training of all employees about the entity's values and code of ethics.
- Incorporating into regular performance reviews an evaluation of how each individual has contributed to creating an appropriate workplace environment in line with the entity's values and code of ethics.

For further information regarding development, revision, and implementation of an overall Anti-Fraud Policy and Code of Ethics, and specifically a criminal background check policy, contact the Internal Audit Section of the Department of Finance and Administration's Office of Accounting.

Visit the following website:

<http://www.dfa.arkansas.gov/offices/accounting/internalaudit/Pages/ElementsofAnti-FraudProgram.aspx>

Revised January 31, 2013