



Regional Greenhouse Gas Initiative, Inc.
90 Church Street, 4th Floor
New York, NY 10007
www.rggi.org

ADOPTED

Policy on Pre-Employment Criminal and Financial Background Checks

Hiring of RGGI, Inc. staff shall be within the primary discretion of the Executive Director consistent with the policies adopted by the RGGI, Inc. Board of Directors and guidelines set forth by the Executive Committee. The Executive Director may verify employment and educational references for employee-candidates, and may also obtain criminal record and financial background information for finalist candidates for employment with RGGI, Inc.

In the performance of criminal record and financial background checks, the Executive Director may enroll with a certified provider of background information services and shall request such information from candidates for employment, including date of birth and social security number, as the provider may require. The Executive Director may also obtain a completed Pre-Employment Disclosure Form from candidates in which candidates disclose any and all legal proceedings (criminal, civil, or administrative) in which they have been named as a party.

In finalizing hiring decisions, the Executive Director shall report to the Executive Committee or designated subcommittee thereof any information obtained from a candidate's criminal background check which indicates:

- 1) a felony conviction or plea of "no contest" at any point in time;
- 2) a misdemeanor conviction within the last ten (10) years;
- 3) any current or outstanding criminal indictments or proceedings.

In finalizing hiring decisions, the Executive Director shall report to the Executive Committee or designated subcommittee thereof any information obtained from a candidate's financial background check which indicates:

- 1) any outstanding liens imposed by a federal, state or local government agency;
- 2) any civil actions for fraud, breach of fiduciary duty, or other financial impropriety;
- 3) any bankruptcies or collection actions by creditors within the last seven (7) years.

The Executive Committee or designated subcommittee thereof shall evaluate any information reported to it in a matter consistent with applicable federal, state, and local employment laws identified by RGGI, Inc.'s legal counsel and communicate its evaluation and comments to the Executive Director.

The Executive Director shall maintain the records of all criminal and financial background checks and disclosure forms as confidential documents.



Regional Greenhouse Gas Initiative, Inc.
90 Church Street, 4th Floor
New York, NY 10007
www.rggi.org

APPENDIX

Pre Employment Disclosure Form

Please disclose here any and all legal proceedings (criminal, civil, or administrative) in which you have been named as a party. Please provide the nature of the proceeding, the specific charges (if any), the jurisdiction, the disposition, and the date of disposition.