

# STATE AUDITOR'S OFFICE PERFORMANCE AUDIT

## Enhancing Background Checks in Washington

May 7, 2013

Report No. 1009674



WASHINGTON  
**TROY KELLEY**  
STATE AUDITOR

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# Executive Summary

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## Why we did this audit

The State Auditor's Office recently reported that a sex offender worked as a high school janitor for nine years, undetected by school officials, partly due to gaps in Washington's background check monitoring of people who hold positions of trust. The audit raised questions about the effectiveness of current processes in identifying people who commit new crimes after passing a background check.

More than half of the states currently use automatic notification services to learn when someone subject to a background check commits a new offense. A 2008 federal pilot project identified this process, called a rap back service, as a best practice. A rap back service uses stored applicant fingerprint records to identify when an applicant is later fingerprinted as a result of an arrest or conviction. We wanted to determine whether a background check system that included a rap back service could better protect children and others from dangerous individuals and if there were barriers to using it in Washington.

## Audit question

The audit was designed to answer the following question:

**Can automatic notification of new criminal events, commonly referred to as a rap back service, enhance Washington's current background check process, and, if it can, what are potential barriers to its implementation?**

## Answer in brief

Washington's background check process is falling behind other states because it does not provide an automatic notification if a person commits a criminal offense after passing a background check.

To help determine if a rap back service would enhance Washington's background check process, we compared background check data with criminal history records of more than 800,000 applicants for positions of trust, such as foster parents, child care workers and nursing home aides, from 2005 through 2012. We found that, if hired, about 500 people would have triggered a rap back notification, resulting in an investigation of the new criminal information. On average, these individuals could have remained in their positions of trust for about 20 months before the next follow-up check alerted oversight entities to the potential problem. About half of these applicants were charged with disqualifying offenses such as drug crimes, assault, indecent exposure, child molestation, burglary and theft.

If a rap back service were in place, the state would have received automatic notifications of the new criminal charges and been able to investigate more promptly. However, while automatic notifications could enhance Washington's current background check process, the state faces barriers to implementing a rap back service and would need to change state law and invest money to improve information technology systems.

## Recommendations

To improve public safety and enhance current background check processes, we recommend the Legislature:

- **Revise state law to expressly allow the Washington State Patrol and Federal Bureau of Investigation to retain civil fingerprints.**
- **Authorize and appropriate funding for the Washington State Patrol to implement a state and federal rap back service as part of background check processes.**

If the Legislature authorizes civil fingerprint retention and participation in a state and federal rap back service, we recommend the Washington State Patrol:

- **Implement a state and federal rap back service as part of background check processes.**

## What's next?

Our performance audits of state programs and services are reviewed by the Joint Legislative Audit Review Committee (JLARC) and by other legislative committees whose members wish to consider findings and recommendations on specific topics.

Representatives of the State Auditor's Office will review this audit with JLARC's Initiative 900 Subcommittee in Olympia. The public will have the opportunity to comment at this hearing. Please check the JLARC website for the exact date, time and location ([www.leg.wa.gov/JLARC](http://www.leg.wa.gov/JLARC)). The State Auditor's Office conducts periodic follow-up evaluations to assess the status of recommendations and may conduct follow-up audits at its discretion.

# Introduction

## Audit question

Can automatic notification of new criminal events, commonly referred to as a rap back service, enhance Washington's current background check process, and, if it can, what are potential barriers to its implementation?

## Background

In Washington, people applying to work in positions of trust must undergo background checks to help ensure the public's safety. Last year, the Washington State Patrol provided more than 800,000 background checks to government agencies for criminal justice or applicant screening purposes. For example, background checks are required for teachers, foster parents, many licensed healthcare professionals and police officers.

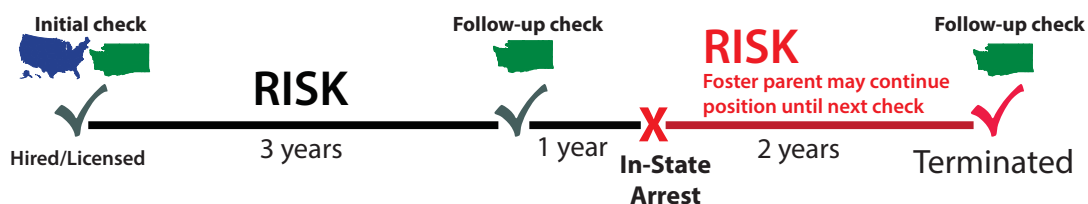
Once a background check is approved and a person is hired, Washington often requires periodic criminal history monitoring. However, as shown in **Exhibit 1** below, these "snapshots in time" may still allow inappropriate individuals to hold positions of trust, as crimes committed between follow-up checks may remain undisclosed until the next periodic check. The frequency of periodic criminal history checks depends on the purpose of the check and ranges from monthly to never. Also, many background checks only review new criminal activity within Washington and cannot detect new criminal activity occurring in other states.

### Exhibit 1

For many positions of trust, a state and/or federal background check occurs during the application process. Periodic follow-up checks are typically required, but often only at the state level.

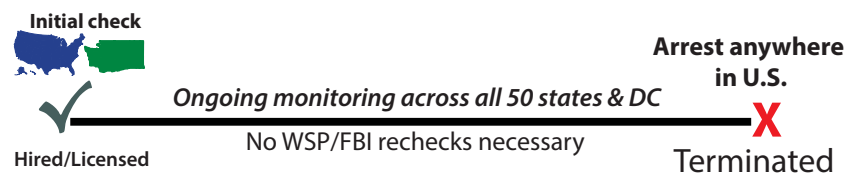
#### Current background check process - Provides periodic monitoring

*Example process: Foster parent license*



⚠️ *Out-of-state arrests are not identified by follow-up checks.*

#### Proposed process with a rap back service - Provides ongoing feedback



In Washington, the State Auditor's Office recently reported that a sex offender worked undetected as a high school janitor for nine years after passing an initial background check. The janitor was hired in 2000, arrested for a sex offense in 2001, convicted in 2002, and worked in the school district until our audit identified him in 2011. This oversight occurred because of several weaknesses in the periodic background monitoring process, including:

- The janitor did not report the arrest or conviction to the school district.
- Subsequent background monitoring failed to include all school employees and did not use complete state criminal conviction data.

### **A national best practice**

A 2008 Congressional report summarizing a three-year pilot program found states could improve client safety in long-term care settings by adopting improved background check technologies, including an automated criminal history notification service, also known as a rap back service. A rap back service uses stored fingerprint records to track new criminal information for people who are subject to background checks. As shown in **Exhibit 1** on the previous page, once an applicant undergoes a fingerprint check, a rap back service provides those with oversight an automated notification if that person is later fingerprinted as a result of an arrest or conviction, allowing prompt action to protect the public. While Washington does not yet use this best practice, it has employed other background check best practices, such as electronic fingerprinting, which dramatically reduces background check turnaround times.

# Audit Scope and Methodology

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**To learn more about potential benefits and barriers if Washington were to implement a rap back service, we did the following.**

First, to create an inventory of screenings requiring applicant fingerprints, we surveyed state agencies that ordered civil fingerprint background checks in FY 2012.

Second, to identify potential safety improvements resulting from a rap back service, we compared background check data provided by the Department of Social and Health Services (DSHS) with criminal history records for over 800,000 applicants applying to work in positions of trust from 2005 through 2012.

Finally, to identify actual and realized benefits, challenges, and lessons learned, we interviewed FBI staff, officials from selected states with current or planned rap back services, and potential government agency users of a Washington rap back service.

**Our goal was to identify gaps in the current statewide background check system, not to identify shortcomings in agency processes.**

To assess the reliability of DSHS background check data and Washington State Patrol criminal history data, we performed electronic testing for obvious errors in accuracy and completeness; reviewed related documentation, including previous audit reports; and worked closely with agency officials to identify and correct any data problems. We determined the data were sufficiently reliable for the purposes of our audit.

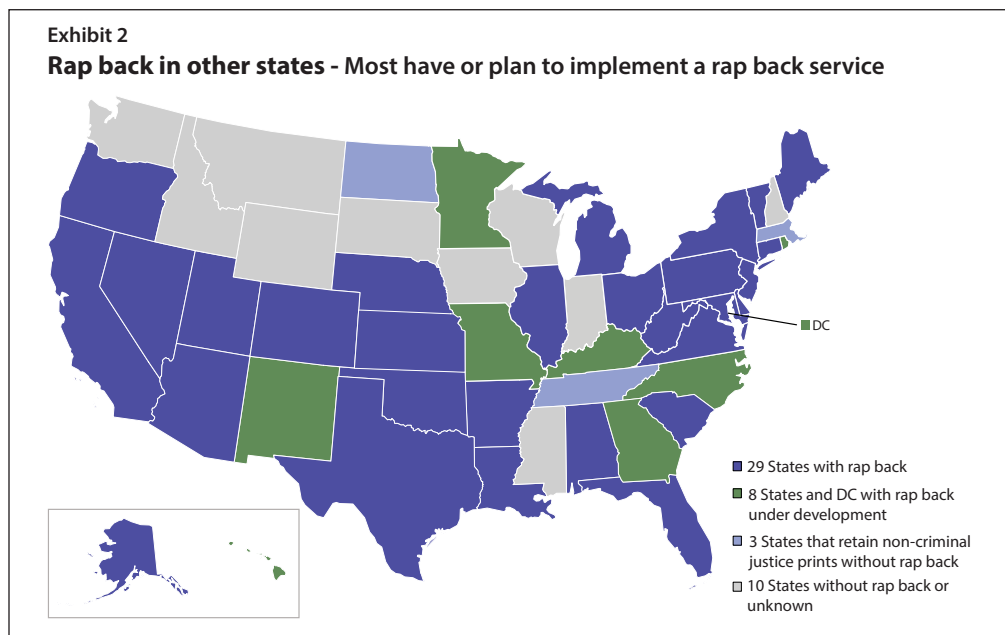
*Note: Due to data limitations, we could not determine whether individuals passing a background check were actually hired. Therefore, we assumed **anyone** not disqualified by a background check was hired.*

We conducted the audit under the authority of state law (RCW 43.09.470), approved as Initiative 900 by Washington voters in 2005, and in accordance with generally accepted government auditing standards, prescribed by the U.S. Government Accountability Office. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

## Washington is not keeping pace with background check improvements

Our analysis and interviews with officials from the FBI and other states show a rap back service can help replace repetitive follow-up background checks, identify additional offenses and out-of-state crimes that may now be missed, and reduce notification delays for new offenses.

As shown in **Exhibit 2**, Washington is one of only 10 states that neither operates a rap back service nor retains civil applicant fingerprints. Twenty-nine states operate a rap back service, and eight states and the District of Columbia are developing rap back services. In addition, three states without a rap back service already retain civil fingerprints, a requirement for implementing a well-designed rap back service.



### States with rap back services report benefits.

**Fast, accurate information.** Since rap back services provide continuous monitoring and automatic notifications about new arrests and convictions *when they occur*, employers and licensing organizations can make more timely decisions and no longer rely on people self-reporting new criminal information.

**Cost savings.** Some states reported their rap back services resulted in cost savings by eliminating repetitive fingerprinting and reducing related costs. The Michigan Department of Licensing and Regulatory Affairs reported saving about \$1.5 million annually. We found that Washington would not experience similar cost savings because most follow-up background checks in Washington do not use a fingerprint for identification.

**Criminal justice benefits.** The Florida Department of Law Enforcement reported its criminal justice rap back service is helpful for probation and pretrial release purposes because agencies know if a supervised individual reoffends. In addition, Florida law enforcement agencies receive notification when a supervised offender applies for a position where fingerprint retention is required. We also found that rap back services are used by other state law enforcement agencies for purposes such as investigating missing person reports and locating fugitives.

### Real-time notifications help ensure public safety

Texas sent over 36,000 notifications of new criminal activity in just six months.

Florida sent over 15,000 notifications of new criminal activity in less than one year.

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## A rap back service would improve public safety and enhance Washington's background check processes

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**Gaps in Washington's background check process may allow inappropriate individuals to work in positions of trust.** To help determine if a rap back service would enhance Washington's current background check process, we compared a selection of state applicants' background checks from 2005 to 2012 with their criminal history records. We then identified applicants, including foster parents, childcare workers and home care aides, who were arrested for or convicted of crimes after passing a background check. Finally, to determine how long vulnerable populations may have been put at risk, we calculated how much time remained until each applicant's next periodic background check, if any.

*Note: Due to data limitations, we could not determine whether individuals passing a background check were actually hired. Therefore, we assumed **anyone** not disqualified by a background check was hired.*

We found 507 applicants faced new charges after passing a background check. On average, the criminal arrest or conviction occurred about 20 months before the applicant faced another periodic check. If these applicants were hired, they could have worked in positions of trust for almost two years before a background check identified the new offense. About half of these applicants were charged with disqualifying offenses such as drug crimes, assault, indecent exposure, child molestation, burglary and theft.

DSHS is currently investigating these results, specifically 366 individuals without an updated background check since the new offense, to determine if they were actually hired, and if so, whether or not the offense disqualifies them from their position. If a rap back service had been in place, the state would have received real-time notifications of the new criminal charges and could have investigated more promptly.

**Participation in a state and federal rap back service would help ensure complete monitoring.** We found that while states have more complete in-state criminal history records than the FBI, a federal search monitors criminal events nationwide. Due to inconsistent state reporting requirements and fingerprint quality issues, some state criminal records are not included in the federal criminal history database, but the federal database includes federal and out-of-state crimes, which are missing from state databases. Therefore, implementing both a federal and state rap back service is necessary to receive rap back notifications on crimes committed nationwide. We estimate that since 2005, over 3,000 people with federal checks in our study had criminal events that **would not** be identified on an in-state only check, but would be reported through the federal rap back service, scheduled to start in 2014.

**Other states found a similar benefit to federal checks.** Six of seven states participating in a 2008 background check pilot project reported that, on average, 6.5 percent of individuals subject to federal, fingerprint checks were disqualified solely based on federal information. All seven states concluded that federal checks were vital to the overall background check process.

**Washington runs two types of civil background checks, depending on the position.**

**A fingerprint check usually includes an FBI search,** which requires applicant fingerprints. These checks also include an in-state database search based on applicant fingerprints. Government agencies need statutory authority to run an FBI fingerprint check, but not an in-state only fingerprint check.

**A name-based check only searches in-state information.** This type of check compares an applicant's personal information, like name and birthday, with state databases, and **does not** use a fingerprint for identification.

## Under current Washington law, many positions could not be monitored with a rap back service

**Rap back services use fingerprints to more accurately identify individuals and more offenses.** All states we interviewed said a rap back service should only operate with fingerprint-based background checks. Since multiple individuals can have the same name and date of birth, but no two individuals' fingerprints are alike, fingerprint-based checks return fewer, if any, false positives. They can also identify additional offenses because of the positive identification. As a result, the FBI will only process fingerprint-based background checks. Since 2008, we estimate that fingerprint checks identified in-state offenses on about 2.5% more people than name-based checks.

**Most applicants in our study only had name-based checks and could not be included in a rap back service.** Since these checks do not use a fingerprint for identification, Washington could not use a rap back service to monitor these people, numbering about 700,000 since 2005. Without a rap back service, state officials could remain unaware of new offenses until a subsequent background check. For instance, our analysis found 475 people with new criminal offenses after only receiving a name-based background check. These individuals would not have had their new offenses reported until a subsequent check, even if a rap back service had been in place.

**To maximize the benefits of a rap back service, state requirements would need to change.** Current state law only requires fingerprint checks for some positions of trust. In some cases, state law allows federal, fingerprint-based background checks, but agency rules or policies do not require them. Since rap back services use fingerprints for identification purposes, these positions cannot be monitored through a rap back service unless fingerprint-based background checks are required. As shown in **Exhibit 3**, Washington participation in a rap back service would be limited to roughly half of background checks conducted annually (see **Appendices B and C** for a listing of background check purposes and agencies ordering checks in fiscal year 2012).

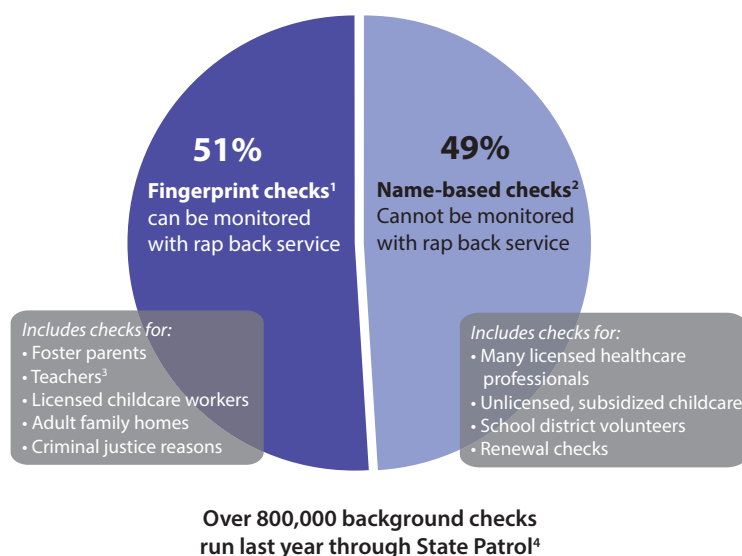
The Washington Legislature previously recognized the benefits of federal, fingerprint-based checks over name-based checks. In 1992, while authorizing federal background checks for school employees, it found that, "...results from State Patrol record checks are more complete when fingerprints of individuals are provided, and that information from the Federal Bureau of Investigation also is necessary to obtain information on out-of-state criminal records."

### Teachers confessed to crimes after Texas required fingerprint-based checks

When Texas first required teachers to submit fingerprint-based background checks, about 300 teachers admitted to having committed a criminal offense in the past. As a result, some teachers were terminated.

**Exhibit 3**

**A rap back service could only include half of Washington background checks unless state requirements change**



**Notes:**

<sup>1</sup>For a list of fingerprint check purposes, see Appendix C.

<sup>2</sup>We did not identify all name-based checks.

<sup>3</sup>Currently, state law prohibits retention of school district employee fingerprints.

<sup>4</sup>For the total number of checks ordered by government entities in FY12, see Appendix B.

## Barriers exist to implementing a rap back service in Washington

The ability to retain civil applicant fingerprints is key to implementing a rap back service, but state law does not specifically address whether the State Patrol can retain civil fingerprints. State law also expressly forbids keeping school employee fingerprints. The FBI is requiring statutory authority for civil fingerprint retention for participation in the federal rap back service and other states have chosen to pass specific legislation for their in-state rap back services.

**State statutes do not allow federal, fingerprint-based background checks for all applicants**, but a well-designed rap back service requires fingerprint-based background checks to help ensure positive identification. Although fingerprint checks would raise the initial cost of background checks, it would also eliminate the need for follow-up state and federal checks, including the related costs, and allow for monitoring at the federal level, which currently does not occur. Name-based background checks cost between \$1 and \$17 each, while fingerprint checks cost up to \$42.50 each.

**Washington criminal history systems would need upgrades for a rap back service to work.** Such upgrades should include implementing a management system to track enrollment of individuals in the rap back service to ensure only appropriate individuals are monitored and only appropriate entities receive notifications. The State Patrol has estimated startup costs at about \$300,000, with annual operating and maintenance costs of about \$350,000.

Other background check requestors may also need to upgrade information systems. DSHS is planning to develop a web-based criminal history system with rap back capabilities. As the project is in early stages of development, agency officials have not yet determined the cost of system replacement, or how much of this would be needed for rap back processes. Other state agencies may also need to upgrade information systems to support a rap back service, but were not included in our audit scope.

**Washington could minimize budget impacts by following other states' examples.** States we interviewed paid for rap back services with little or no general fund money, instead using special revenue funds and federal grants.

Under the Patient Protection and Affordable Care Act, the federal government awarded more than \$46 million in grant funds to 20 states and the District of Columbia as part of the National Background Check Program, which includes requirements to develop a rap back service. Hawaii, which recently passed rap back legislation, plans to partially pay for a new rap back service with these grant funds. This grant is currently in its 9<sup>th</sup> solicitation with an application deadline of May 31, 2013.

Florida and Michigan both used background check revenue funds to pay for rap back improvements. In Washington, revenue related to fingerprint-based background checks is deposited in the Fingerprint Identification Account, which is dedicated to funding expenditures related to background check processes.

### Washington should consider potential privacy concerns when implementing a rap back service

While our audit did not specifically identify whether individuals in Washington would have privacy concerns related to a rap back service, we did determine the following:

**Advocacy groups in other states have opposed rap back services**, citing concerns about applicant privacy. The FBI, in recognition of these challenges, has emphasized strategies to protect applicant privacy as it develops the national rap back service. These include pre-notification of enrollment and regular audits.

**Other states successfully mitigated privacy concerns.** Officials in Michigan reported stakeholder outreach helped mitigate privacy concerns. Also, rap back services generally include controls that protect civil applicant information from unauthorized access.

**Washington stakeholders may not have privacy concerns.** Michigan, Texas and Florida faced minimal opposition based on privacy issues, because stakeholders generally supported the public safety benefits of a rap back service.

# Recommendations

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Washington's background check process is falling behind other states because it does not provide an automatic notification if a person commits a criminal offense after passing a background check. We found that current background check processes in Washington potentially allow those in positions of trust to continue working with vulnerable populations after a new criminal offense.

To improve public safety and enhance current background check processes, we recommend the Legislature:

- **Revise state law to expressly allow the Washington State Patrol and Federal Bureau of Investigation to retain civil fingerprints.**
- **Authorize and appropriate funding for the Washington State Patrol to implement a state and federal rap back service as part of background check processes.**

If the Legislature authorizes civil fingerprint retention and participation in a state and federal rap back service, we recommend the Washington State Patrol:

- **Implement a state and federal rap back service as part of background check processes.**

# Agency Responses



STATE OF WASHINGTON  
OFFICE OF FINANCIAL MANAGEMENT

*Insurance Building, PO Box 43113 • Olympia, Washington 98504-3113 • (360) 902-0555*

April 25, 2013

The Honorable Troy Kelley  
Washington State Auditor  
P.O. Box 40021  
Olympia, WA 98504-0021

Dear Auditor Kelley:

Thank you for the opportunity to respond to the State Auditor's Office performance audit report on Enhancing Background Checks in Washington. The Office of Financial Management worked with the Washington State Patrol and Department of Social and Health Services to provide this consolidated response.

Washington state agencies use background checks to assist with screening applicants applying for many positions requiring a level of public trust. State laws dictate which positions require background checks and how often checks should be performed. Statute also specifies whether background checks are run against Washington state criminal history data using the applicant's name and date of birth, or if the checks require a more accurate fingerprint check against state and federal criminal history systems. Background checks primarily include applicants for positions working with children and vulnerable adults. A secondary group includes applicants for a wide range of licensing and employment positions.

A "rap back" service has the potential to improve public safety and enhance Washington's background check process. Rap back services essentially retain and monitor fingerprints, and are able to provide real-time notifications of new criminal activity – both state and federal – to employers subscribed to the service. While the performance audit revealed start-up costs of \$300,000 and \$350,000 for annual maintenance, more information is needed about the potential costs to applicants and/or state agencies before the Washington State Patrol can begin offering a rap back service. State laws also would need to be changed to allow fingerprint checks to be stored and used in a rap back service.

We appreciate your collaborative efforts with the Washington State Patrol and Department of Social and Health Services during this audit and would like to thank the members of the audit team for their work.

Sincerely,

A handwritten signature in black ink, appearing to read "David Schumacher", written over a horizontal line.

David Schumacher  
Director

Enclosure



cc: John Batiste, Chief, Washington State Patrol  
Kevin Quigley, Secretary, Department of Social and Health Services  
Mary Alice Heuschel, Chief of Staff, Office of the Governor  
Ted Sturdevant, Executive Director, Legislative Affairs and Policy Office, Office of the Governor  
Wendy Korthuis-Smith, Acting Director, Accountability and Performance, Office of the Governor  
Tammy Firkins, Performance Audit Liaison, Accountability and Performance, Office of the Governor  
Dr. Donald Sorenson, Commander, Risk Management Division, Washington State Patrol  
Jim Anderson, Administrator, Criminal Records Division, Washington State Patrol  
Alan Siegel, External Audit Compliance Manager, Department of Social and Health Services

# Appendix A: Initiative 900

Initiative 900, approved by Washington voters in 2005 and enacted into state law in 2006, authorized the State Auditor's Office to conduct independent, comprehensive performance audits of state and local governments.

Specifically, the law directs the Auditor's Office to "review and analyze the economy, efficiency, and effectiveness of the policies, management, fiscal affairs, and operations of state and local governments, agencies, programs, and accounts." Performance audits are to be conducted according to U.S. General Accountability Office government auditing standards.

In addition, the law identifies nine elements that are to be considered within the scope of each performance audit. The State Auditor's Office evaluates the relevance of all nine elements to each audit. The table below indicates which elements are addressed in the audit. Specific issues are discussed in the Results and Recommendations section of this report.

I-900 Element	Addressed in the audit
1. Identification of cost savings	<b>No.</b> The audit did not quantify cost savings, but noted that other states reported reducing costs by using a rap back service.
2. Identification of services that can be reduced or eliminated	<b>Yes.</b> The audit determined that if a state and federal rap back service was implemented, renewal background checks would no longer be needed for the positions and licenses using the service. Other regular monitoring would still need to occur.
3. Identification of programs or services that can be transferred to the private sector	<b>No.</b> The audit reviewed whether a new federal and/or state process would help enhance a current process.
4. Analysis of gaps or overlaps in programs or services and recommendations to correct gaps or overlaps	<b>Yes.</b> The audit identified gaps in Washington's background check process.
5. Feasibility of pooling information technology systems within the department	<b>No.</b> The audit reviewed whether a rap back service would help enhance our current system, but not replace it.
6. Analysis of the roles and functions of the department, and recommendations to change or eliminate departmental roles or functions	<b>No.</b> The audit recommended that the current background process incorporate a rap back service, but not that current roles or functions change.
7. Recommendations for statutory or regulatory changes that may be necessary for the department to properly carry out its functions	<b>Yes.</b> The audit recommended the Legislature change state law to allow Washington to use a rap back service and to provide authority for the Washington State Patrol and FBI to retain civil fingerprints for the service.
8. Analysis of departmental performance, data performance measures, and self-assessment systems	<b>No.</b> As Washington does not currently have a rap back service, the audit did not review existing performance measures.
9. Identification of best practices	<b>Yes.</b> The audit identified using a rap back service as a best practice related to the background check process.

## Appendix B: Fiscal Year 2012 Background Check Requests

The following table lists background check requests made by government entities during fiscal year 2012.

State agencies	Name-based checks	Fingerprint checks	Total number of checks
<b>Health and Human Services</b>			
Social and Health Services/Early Learning	265,378	32,576	297,954
Health	64,306	10,009	74,315
Veterans Affairs	492		492
Health Care Authority	197		197
Services for the Blind		74	74
<b>Education</b>			
Superintendent of Public Instruction		30,966	30,966
University of Washington	8,856		8,856
Community Colleges	8,697		8,697
Western Washington University	1,148	31	1,179
Washington State University	1,000	4	1,004
Central Washington University	721		721
Eastern Washington University	474		474
Evergreen State College	174		174
Washington State School for the Deaf	64		64
Washington State School for the Blind	63		63
<b>General Government</b>			
Licensing	1,841	11,798	13,639
Corrections		8,643	8,643
Insurance Commissioner	83	5,944	6,027
Financial Institutions	3,034	471	3,505
Gambling Commission		3,439	3,439
Washington State Patrol		693	693
Parks and Recreation		668	668
Natural Resources	375	3	378
Ecology	293		293
Enterprise Services	171		171
Attorney General	167		167
Administrative Office of the Courts	61	90	151
Revenue	136		136
Military Department	128		128
State Lottery		100	100
Horse Racing Commission	62		62
Secretary of State	56		56
Parks and Recreation Commission		42	42
Labor and Industries		41	41
Fish and Wildlife		28	28
Liquor Control Board		27	27
Senate	22		22
State Auditor	21		21
State Investment Board		16	16
Board of Accountancy	12		12
Commerce	8		8
Utilities and Transportation Commission	8		8
<b>Transportation</b>			
Transportation	67		67

Other public agencies	Name-based checks	Fingerprint checks	Total number of checks
Police/Sheriffs/Emergency Services	1,064	227,244	228,308
Jails/Courts/Prosecutors	854	67,060	67,914
Cities/Towns	15,778	12,578	28,356
Housing Authorities	2,676	5,677	8,353
Counties	6,723	228	6,951
Tribal Governments	6,115	43	6,158
Libraries	3,568		3,568
Federal Government	2,540	567	3,107
Hospital Districts	2,460		2,460
K-12 Schools	2,186	3	2,189
Requests from other states	231		231
<b>Total checks</b>	<b>402,310</b>	<b>419,063</b>	<b>821,373</b>
<b>Percentage of total checks</b>	<b>49%</b>	<b>51%</b>	<b>100%</b>

# Appendix C: Civil Fingerprint Background Checks in Washington State

Based on a survey of state agencies, we determined that state and federal law allows, but may not require, state agencies to screen applicants for certain positions of trust, listed in the table below, using federal, fingerprint-based background checks.

<b>Superintendent of Public Instruction</b> School employees and contractors	<b>Insurance Commissioner</b> Insurance salespeople
<b>Social and Health Services: Aging and Disability Services Administration</b> Adult family homes - licensing and employment Assisted living facilities - licensing and employment Home care referral registry Long-term care workers Managed care workers Roads to Community Living - employees	<b>Gambling Commission</b> Gambling licenses
<b>Social and Health Services: Children's Administration</b> Adoptive parents Certain employees Foster parents Service providers with unsupervised access to children Unlicensed caregivers	<b>Early Learning</b> Childcare workers
<b>Social and Health Services: Developmental Disabilities</b> Individual providers Supported living workers Employment and day program workers Alternative living workers Companion home workers	<b>Washington State Patrol</b> Emergency vehicle permits
<b>Licensing</b> Agency employees who process enhanced driver's licenses Security guards Appraisal management companies Bail bond agents Driver training instructors Fuel suppliers, distributors and exporters Private investigators Real estate brokers	<b>Parks and Recreation</b> Certain employees and volunteers
<b>Health</b> Healthcare providers	<b>Financial Institutions</b> Consumer loan license Escrow agent license Escrow officer license Mortgage broker license
	<b>Administrative Office of the Courts</b> Court interpreter Professional guardian
	<b>Services for the Blind</b> Certain employees and contractors Clients enrolled in the residential training program
	<b>Labor and Industries</b> Explosives licensing
	<b>Liquor Control Board</b> Liquor licenses
	<b>Investment Board</b> Certain staff positions
	<b>Enterprise Services</b> Governor-appointed officials
	<b>Governor's Office</b> Governor-appointed officials
	<b>Horse Racing Commission</b> Horse racing licenses

## Notes:

- Local government entities also obtain fingerprint-based background checks for screening purposes, but we did not identify these during the audit.
- Fingerprint-based background checks are also used for criminal justice purposes, such as law enforcement employment, but these are not included in the above table.
- While we attempted to identify all civil, fingerprint-based checks issued by state agencies in Washington, this list may not be complete.
- We did not independently verify information provided by state agencies in the survey.

# State Auditor's Office Contacts

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## State Auditor Troy Kelley

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## General information

### Headquarters

(360) 902-0370

### Website

[www.sao.wa.gov](http://www.sao.wa.gov)

### To find your legislator

<http://apps.leg.wa.gov/districtfinder>

## Americans with Disabilities

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## The State Auditor's Office Mission

The State Auditor's Office independently serves the citizens of Washington by promoting accountability, fiscal integrity and openness in state and local government. Working with these governments and with citizens, we strive to ensure the efficient and effective use of public resources.