

## Public Records Request #6037

The following materials have been gathered in response to public records request #6037. These materials include:

- RFP #269-2015-078 – Background Investigation Services – Castle Branch Inc.
- RFP #269-2015-078 – Background Investigation Services – US ISS Agency, LLC

This information was provided as a response to a public records request on 9/22/21 and is current to that date. There is a possibility of more current information and/or documents related to the stated subject matter.

### Further Information

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For further information about this request or the Citywide Records Program, please contact:

Cheyenne Flotree  
Citywide Records Program Manager  
City of Charlotte/City Clerk's Office  
600 East 4<sup>th</sup> Street, 7<sup>th</sup> Floor  
Charlotte, NC 28202  
Cheyenne.Flotree@charlottenc.gov

Amelia Knight  
Public Records Specialist  
City of Charlotte/City Clerk's Office  
600 East 4<sup>th</sup> Street, 7<sup>th</sup> Floor  
Charlotte, NC 28202  
Amelia.Knight@charlottenc.gov

# BACKGROUND INVESTIGATION SERVICES

CITY OF CHARLOTTE,  
NORTH CAROLINA

JULY 13, 2015

**Prepared By:**  
Rob Thompson  
Senior Sales Consultant  
888.723.4263 ext. 7141  
Fax: 910.772.1528  
RobT@castlebranch.com



# CastleBranch



1844 Sir Tyler Drive  
Wilmington, NC 28405

Sarah Poulton  
City of Charlotte  
Procurement Management Division  
600 East 4<sup>th</sup> Street, CMGC 9<sup>th</sup> Floor  
Charlotte, NC 28202

July 8, 2015

Dear Ms. Sarah Poulton:

Castle Branch Inc. is pleased to respond to your recent request for proposal #269-2015-078. We would like to offer the City of Charlotte our considerable expertise in the field of background investigation services, ensuring the City is equipped to make safe, reliable and well-informed employment decisions. We appreciate the opportunity to conduct business with you and look forward to establishing a rewarding partnership.

Founded in 1997, Castle Branch Inc. is ranked among the top 10 employment screening companies in the country and is partnered with over 27,000 clients nationwide. In 2014, our organization processed nearly 3 million background check records and maintained a 99.8 percent accuracy rate. Castle Branch Inc. can comfortably accommodate your request for 800 background investigations or more per year. We deliver completed background screening reports, on average, between 2.25-2.72 days. With fast turnaround times and accurate results, the City will have the most reliable data available to make hiring decisions in a timely manner.

Castle Branch Inc. understands the project requested by the City and can commit to providing the requested services; a summary of the approach to be undertaken to preform the Services is as follows:

- As an accredited member of the National Association of Professional Background Screeners (NAPBS), Castle Branch's overall approach includes a commitment to the industry's highest professional standards. Castle Branch Inc. abides by the guidelines and regulations set forth by the FCRA and NAPBS. Castle Branch Inc. maintains full compliance with all local, state and federal laws concerning the background screening industry.
- Authorized City users will utilize Castle Branch Inc.'s proprietary Administrator Portal (AP), a secure, online system through which background investigation orders are placed, monitored and reviewed. Accessible 24 hours a day, seven days a week, AP is highly flexible and will be tailored to meet the unique needs of the City. AP is capable of creating custom reports, modifying search qualifiers and providing multiple accounts for tracking and invoicing purposes.
- The City will benefit from a wealth of databases and sources acquired by Castle Branch Inc. over our 18-year history to provide clients with fast, accurate and cost-effective results.
- Dedicated account management and client experience teams will ensure a smooth on-boarding process and provide continued post-implementation training, assistance and support to City users. These representatives can be contacted directly to resolves issues, problems or concerns Monday through Friday from 8 a.m. - 8 p.m. EST.

For a summary of the costs to provide the requested services, please see our pricing as provided on required Form 4: Pricing Worksheet.

Provided below is the contact information and signature of Lauren Henderson, Castle Branch Inc.'s Chief Financial Officer, who is authorized to execute legally binding documents.

Castle Branch Inc. is committed to bringing the City of Charlotte the facts, to exceeding your expectations and to providing long-term solutions for your background investigation needs.

Thank you for your consideration. Please do not hesitate to contact me for further clarification or information.

Sincerely,



Lauren Henderson  
Chief Financial Officer  
P: 888.723.4263 ext. 7139  
F: 910.772.1528  
Lareyno@castlebranch.com



Rob Thompson  
Senior Sales Consultant  
P: 888.723.4263 ext. 7141  
F: 910.772.1528  
RobT@ castlebranch.com

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## Scope of Background Investigation Services

### 3.1. General Scope.

The City requires background investigations and comprehensive Reports on all final job candidates pursuing City employment, as well employees seeking transfer or promotion. All City Departments may utilize the Services.

While the City is flexible with respect to certain elements of its proposed relationship with the Background Investigation Services Provider, the City has certain preferences for that relationship and has developed the following proposed model for that relationship.

Castle Branch Inc.'s proposed solution complies with the general scope.

### 3.2. Service Provider Responsibilities.

The Service Provider shall provide background investigation Reports as well as other additional Search types as outlined below. All requests from the City for any Report shall be provided within forty-eight (48) business hours from submission of the request. If the Service Provider is not able to comply with the forty-eight (48) hour turnaround requirement for reasons out of their control, they must notify the City immediately and provide an estimated delivery time. The Service Provider shall establish policies and procedures for handling and processing the City requests, while submitting management reports and providing training on procedures. The Service Provider shall provide quarterly utilization reports to the City Project Manager to reflect a breakdown of utilization and cost by Department.

Castle Branch Inc. complies with the service provider responsibilities and will provide background investigation reports as well as other additional search types, management reports, a system for processing requests, training and more as requested by the City.

#### Handling and Processing Requests

Castle Branch Inc.'s Administrator Portal (AP) is our secure, online system through which the City's requests will be handled and processed. Accessible 24 hours a day, seven days a week, AP is highly flexible and will be tailored to meet the unique needs of the City. AP is capable of creating custom reports, modifying search qualifiers and providing multiple accounts for tracking and invoicing purposes. Our user-friendly applications utilize state-of-the-art technology to ensure the City benefits from fast and accurate background investigation results.

The City can submit orders using one of two online options:

#### eVite

An eVite is an emailed invitation that instructs applicants how to place their own background screening orders. The eVite directs the applicant to [www.CastleBranch.com](http://www.CastleBranch.com), where he or she will log into our order system. The applicant is prompted to provide all relevant personal information to complete the order.

#### Client Input

Authorized users at the City can request services by visiting [www.CastleBranch.com](http://www.CastleBranch.com), where they can place an order on the applicant's behalf. Users will choose from a customized list of options or select from an array of à la carte searches.

The background investigation will begin once an order is placed. AP allows authorized users within the City to view and monitor any orders placed for background investigations, providing data as it's received in real time on completed results as well as partial results.

### Turn-around Time

We deliver completed background screening reports, on average, between 2.25-2.72 days, or 24 business hours. However, due to reporting laws or other local limitations, some county, state or federal courts in the United States may be unable to comply with this time frame. In these cases, it is possible for searches to extend beyond five business days. Castle Branch Inc. will follow up with each reporting agency that misses due dates to ensure turnaround times are as expedient as the law allows. Delayed results will be communicated to the City within AP. Authorized City users will be able to view and monitor the status of all background checks, including delayed reports, through their AP accounts.

### Reporting

AP can be tailored to meet the reporting needs of the City; for system and management reports, administrators may choose to rely on stock reports built into the robust system or to use the export feature to create and manipulate data for specialized reports. All data elements captured within AP can be exported to a .CSV file for advanced sorting, graphing or table creation for user-defined reports. Report examples include, but are not limited to:

- Average days for order completion
- Percentage of criminal records found
- Total cost per location

Authorized users can be set up to receive customized reports created by our team on a daily, monthly, quarterly or on an as-needed basis.

Castle Branch Inc. can also provide performance metrics on an on-demand basis. Information contained within performance metric reports include, but are not limited to:

- Order/return date
- Accuracy
- Turnaround time

Additional reports can be generated and provided to the City upon request.

### Training

Castle Branch Inc.'s client core team and a client experience specialist will schedule and conduct staff training. This service is free of charge, and our team will conduct as many training sessions as needed to ensure your staff fully understands how to navigate and use our system.

The client experience team also offers multiple training resources to new clients during and following the implementation period. Webinars are available for clients to see the applicant- and client-based websites in use. Demo accounts are also available as new client users are added, allowing users a hands-on experience with the Castle Branch Inc. systems.

Client experience specialists will offer one of two training options: Train the Trainer or Train the User. A standard training session is one-to-two hours. During training, client experience specialists will:

- Provide online demonstrations on how to process an order, view returns and create management reports
- Explain the purpose of My Library and how to access important documents, including FCRA and state regulations housed there
- Provide all written user documentation
- Demonstrate how to create standard and ad hoc reports
- Define data elements necessary for custom reports
- Review FCRA regulations related to the consumer reporting industry

As your agency hires additional staff, Castle Branch Inc. will conduct new hire or refresher training as part of your inclusive, price-guaranteed agreement. A useful tool in this instance is recorded training sessions. Furthermore, authorized users will always be kept apprised of any product changes or updates to laws regulating the background screening industry via AP and through email, if requested. If necessary, sales and client solutions team members are also available for in-person meetings.

Additionally, Castle Branch Inc. will provide the City with useful articles, documents, forms and instructions located in the AP client library. These documents are available online 24 hours a day, seven days a week and contain information pertaining to state and FCRA regulations, the definitions of commonly used abbreviations and more.

Our client experience specialists are available to assist the City Monday through Friday from 8 a.m. - 8 p.m. EST. Client experience specialists can be reached at our toll-free number by calling 888-723-4263.

### **3.2.1. Basic Background Investigation Reports.**

**Background investigation Reports shall include, but may not be limited to, the following:**

Castle Branch Inc. complies and has provided a description of our provided services and methods below:

- **Social security verification;**

Castle Branch Inc.'s Social Security number alert reveals if a Social Security number is valid and uniquely associated with an applicant. The trace will also report if multiple names are associated with a particular Social Security number. This search is conducted by analyzing a database that compiles information from various sources such as voting records, mailing lists, credit history, address information, magazine subscriptions and property records.

Done in conjunction with a Social Security number alert, a residential history search compiles information from various sources to arrive at a list of names and addresses associated with a specific Social Security number. These current and previous addresses establish a basis for an applicant's criminal history search.

- **National federal criminal record search;**

Our federal criminal history check reveals federal crimes not found in a state criminal history check or a county criminal history check. These records are obtained by searching federal district courthouses. Results include federal conviction and pending case information, nationally or by state.

- **National multi-state criminal record search;**



To fulfill the national multi-state criminal record search, Castle Branch Inc. is offering our National Record Indicator (NRI) product, which searches a proprietary database containing over 200 million records from multiple jurisdictions. Sources include state court repositories, departments of correction, county courts and other state level agencies, as well as sex and violent offender records from all 50 states. If there are any hits found in the NRI, individual counties are searched to confirm records and ensure compliance with Section 613 of the FCRA. By confirming hits against original county courthouse records, Castle Branch Inc. is able to provide the most accurate and up-to-date information available.

- **North Carolina criminal record search; and**

Castle Branch Inc.'s North Carolina state criminal history check reveals felonies and misdemeanors for a seven-year period from all counties within North Carolina that submit data. Criminal records from outside the county of residence may go undetected unless a statewide criminal history check is conducted.

- **Search of the criminal records of any known state of residence to include those states reflected by the social security verification and on the application. Any driving offenses that qualify as criminal charges must also be included in this type of Report.**

Castle Branch Inc. will conduct statewide criminal record searches for the states of residence as reflected by the social security verification. This search reveals felonies and misdemeanors for a seven-year period from all counties within a particular state that submit data. Some states will show various driving offenses; we recommend conducting an MVR search to provide a thorough driving record history.

### **3.2.2. Motor Vehicle Report (MVR).**

**The Service Provider shall provide Motor Vehicle Reports (MVR) which shall be for a minimum of seven (7) years of driving history. MVRs shall include all states the candidate has lived in for the past seven (7) years. Any driving offenses that are criminal must be reported in the MVR as well as the Basic Report.**

A motor vehicle record check is obtained by searching state-maintained databases and can reveal patterns of irresponsible and reckless behavior. The typical scope for motor vehicle records is three years; some states offer a seven-year scope. These records are important for employees who drive during business hours and essential for employees who drive company vehicles or rent vehicles in the company's name. We provide all results as legally permitted by local, state and national laws.

### **3.2.3. Additional Searches.**

**Additional Searches as requested by the Departments may include:**

- **Sex offender registry search;**

A nationwide sexual offender search reveals if an individual has been convicted of a sexual offense anywhere within the United States. This search is also included in the National Record Indicator search. The search utilizes the Dru Sjodin National Sex Offender Public Registry (coordinated by the U.S. Department of Justice).

- **Credit history;**

A credit report summarizes the financial obligations of an applicant. Castle Branch Inc. retrieves credit reports electronically from TransUnion. These searches provide a detailed credit history, including accounts, payment history, liabilities and public record information (e.g., bankruptcy, judgments, liens and collections). They also provide current and previous addresses, employers

and alias names as reported by financial institutions to the credit bureau. Credit checks are vital when hiring any individuals who will or may have access to funds or sensitive financial information. Because previous employer information is included in this search, you may discover pieces of an applicant's employment history were intentionally omitted.

- **Employment verification;**

Verifications specialists contact the employers an applicant has listed on his or her application. Typically, the information provided by employers includes dates of employment, job title, salary, rehire eligibility and, where legally permissible, reason for termination. In some cases, employers rely on third-party vendors to confirm employment. Up to 10 attempts are made to verify a candidate's employment information. If no response is received, the item is closed and marked "unable to verify." However, most employment information is verified within one-to-five days.

- **Education verification;**

- o **Note: CATS requires high school or equivalent verification.**

Verifications specialists call the schools listed by an applicant and confirm the accuracy of an applicant's reported education and credentials, including schools attended, dates of attendance, department of study, degree status and diplomas. If the school does not use a third-party vendor, a signed release will be faxed directly to the school. If a third-party vendor is used, the applicant's information can be validated via a database search. For GED verifications, information is validated through the Department of Education for the specific state. Up to 10 attempts are made to verify a candidate's education information. If no response is received, the item is closed and marked "unable to verify." However, most academic information is verified within one-to-five days.

- **Professional license verification;**

Verification specialists search state-maintained databases or contact the appropriate entities directly to determine if an individual's professional license or certificate is legitimate and current.

- **Civil Court search;**

A civil search isolates applicants with a history of suing or being sued by their employers, a commonplace and costly occurrence in many industries. As part of the employment screening process, a civil record search reduces an employer's risk of costly lawsuits. In addition, civil records uncover liens and cases involving violations of trade secrets and non-compete agreements. Civil records are available on the federal level or on the state level by county.

- **Personal references verification**

Verification specialists contact the listed references, asking a series of stock or client-defined questions. Responses become part of the applicant's completed background screening report. Up to 10 attempts are made to reach the reference. If no contact is made, the record is marked "unable to verify." However, the typical turnaround for this verification is less than five business days.

- **Internet social media search.**

Castle Branch Inc. offers social media searches through SMIAware. Targeted searches pull relevant information from a variety of social media websites and other online sources in as little as 24 hours. SMIAware only searches publicly-available information, does not attempt to gather

private information on an individual and follows all FCRA regulations. Social media search results are delivered like more traditional search results and require human analyses wherein employment decisions are concerned.

#### **3.2.4. Additional and Unforeseen Reports.**

**The City reserves the right to request additional services not detailed in the statement of work. The City agrees to compensate the Company at an agreed upon fee for any additional services requested by the City.**

Castle Branch Inc. can comply and provide additional services requested by the City that are not detailed in the statement of work. Castle Branch Inc. complies with the City's plan to compensate at an agreed upon fee for any additional services requested by the City. Castle Branch Inc. offers hundreds of additional searches and your dedicated sales consultant, Rob Thompson, can provide assistance in choosing appropriate and complimentary services for the City.

### **3.3. Special Report Packages.**

**The City has certain routine and commonly used sets of Reports, known as Special Packages.**

**Below are Special Packages that are required by various Departments:**

#### **3.3.1. Charlotte Water Special Package.**

**Charlotte Water requires a Special Package that shall include:**

- **Social security verification**
- **National federal criminal record search;**
- **National multi-state criminal record search;**
- **North Carolina criminal record search;**
- **South Carolina criminal record search;**
- **Search of the criminal records of any known state of residence to include those states reflected by the social security verification and on the application. Any driving offenses that qualify as criminal charges must also be included in this type of Report;**
- **Education verification;**
- **MVR; and**
- **Sex offender registry search.**

#### **3.3.2. Management & Financial Services Special Package.**

**The Management & Financial Services Department requires a Special Package that shall include:**

- **Social security verification;**
- **Sex offender registry search;**
- **National federal criminal record search;**
- **National multi-state criminal record search;**
- **North Carolina criminal record search; and**
- **Search of the criminal records of any known state of residence to include those states reflected by the social security verification and on the application. Any driving offenses that qualify as criminal charges must also be included in this type of Report.**

#### **3.3.3. Engineering and Property Management Special Package:**

**The Engineering and Property Management Department requires a Special Package that shall include:**

- **National federal criminal record search;**
- **National multi-state criminal record search;**

- North Carolina criminal record search;
- MVR;
- Sex offender registry search; and
- Search of the criminal records of any known state of residence to include those states reflected by the social security verification and on the application. Any driving offenses that qualify as criminal charges must also be included in this type of Report.

#### **3.3.4. Solid Waste Services Special Package:**

The Solid Waste Services Department requires a Special Package that shall include:

- Education verification;
- Sex offender registry search;
- National federal criminal record search;
- MVR;
- North Carolina criminal record search; and
- Employment verification.

Castle Branch Inc. complies with Section 3.3, “Special Report Packages,” and can provide any combination of searches in a package for specific departments. Your dedicated sales consultant, Rob Thompson, can provide assistance and advice in choosing appropriate and complimentary searches for specific departments. For a full description of the databases and methods we employ to complete the requested searches, please see our answer in Section 3.2.1, 3.2.2 and 3.2.3.

#### **3.4. Reporting and Invoicing.**

**The Service Provider shall establish policies and procedures for handling and processing the Services for multiple Departments while submitting management reports, and providing training on procedures. Management reports shall include a quarterly breakdown of utilization and cost by Department.**

**The Service Provider shall establish account(s) per each Department’s billing requirements. Said accounting procedures shall be consistent with the accounting practices used by the City.**

Castle Branch Inc.'s proposed solution complies and has established policies and procedures for handling and processing the Services for multiple Departments while submitting management reports, and providing training on procedures. Management reports shall include a quarterly breakdown of utilization and cost by Department. For a full description of our reporting capabilities and available training, please see our response to Section 3.2.

Each month, our accounting department will generate a detailed invoice containing information such as:

- A cover sheet with a summary detailing account information, due dates and totals.
- A list of every applicant, the items ordered for each applicant and the price of each item.

Castle Branch Inc. can create a master account with an unlimited number of sub accounts representing different schools, programs, departments, client districts, etc. Each sub account is assigned a unique Client Accounting Code (CAC), allowing clients to easily identify the origin of each order.

#### **3.5. Pricing.**

**The City expects to establish a long-term relationship with its Background Investigation Services Service Provider in order to permit costs and fees to be distributed properly over a sufficient**

time period. For purposes of this RFP and the Service Provider's Proposal, assume an initial term of three (3) years, with the City having an option to renew for two (2) additional consecutive one- (1) year terms thereafter.

Regardless of exceptions taken, Service Providers shall provide pricing based on the requirements and terms set forth in this RFP. Pricing must be all-inclusive and cover every aspect of the Project. Cost must be in United States dollars rounded to the nearest quarter of a dollar. A pricing worksheet is provided in Section 6, Form 4 to assist you.

Castle Branch Inc.'s proposed solution complies with the City's pricing expectations and provided pricing based on the requirements and terms set forth in this RFP on the provided pricing worksheet, Section 6, Form 4.

### **3.6. Security Requirements.**

The Service Provider must define and demonstrate security procedures that are in place. The City requires that security measures be taken – both physical security and network security, in that the City's information and other documents and data are made available only to the Service Provider and parties that the City approves. Describe your security procedures to include physical plant, electronic data, hard copy information, and employee security. Explain your point of accountability for all components of the security process. Describe the results of any third party security audits in the last five (5) years.

Castle branch Inc.'s proposed solution complies with the City's security requirements. Please see our Security Policy, provided below:

#### **System Security**

Castle Branch Inc.'s fully web-based systems are protected by cutting edge security software. As a member of AmbironTrustWave's TrustKeeper Remote Compliance Program, Castle Branch's systems are scanned monthly for any security vulnerabilities. Any reported security issues are immediately remedied by IT department staff and all systems are re-scanned. Castle Branch Inc. also has firewall protected web servers on a perimeter network (DMZ). All information coming into, sent out of or stored on Castle Branch Inc. systems is encrypted using TLS (Transportation Layer Security), a secure form of http communication. Castle Branch Inc. uses Thawte SSL Certificates that offer industry-leading 128-bit encryption for supported browsers. Industry standard firewalls are in place to further ensure unauthorized users cannot access protected information.

To prevent unauthorized use, unique usernames and alphanumeric passwords are required to access all internal and client-facing systems. A security symbol (a padlock or key) displays in the browser window indicating the information is secure. Additionally, AP automatically signs out a user after one hour of inactivity to ensure only authorized users are accessing the system. AP users are assigned varying permission levels of access to protect confidential information.

Personal credit data is not stored on our web server.

#### **Physical Site Security**

Exterior doors at Castle Branch Inc. are equipped with card-scanning, numerical and keyed locks, barring access to the building by anyone without proper authorization. An alarm system provides an additional layer of security. Only select members of upper management possess the alarm system's deactivation code. Access to Castle Branch Inc. work areas within the building are restricted by doors equipped with locks requiring either multi-digit numerical codes or electronically-scanned security cards. Numerical codes are changed at least monthly and as needed.

Furthermore, security cameras linked to a CCTV system are positioned at all exterior entrances and in sensitive internal areas (e.g., the network server rooms).

### Personnel Security

All Castle Branch Inc. employees undergo extensive background checks at the time of hire, receive training in Fair Credit Reporting Act (FCRA), federal and state regulations and sign a legally binding agreement stating they will use research tools only in compliance with all applicable laws. To further ensure security, only those individuals whose job duties require access to personally identifiable information (PII) can view this data. Access to networks containing PII is username/password protected, and all employee network activities are monitored and logged.

### Applicant Information Security

Castle Branch Inc. only collects applicant information necessary to provide requested services. Personal information, including personally identifiable information (PII), is processed only with the applicant's knowledge and authorization. This information is protected from unauthorized or accidental disclosure and is seen only by those persons designated to perform the search as authorized by the applicant. In an effort to help minimize risk, personally identifiable information is removed from reports whenever possible. Castle Branch Inc. does not use any applicant information to compile mailing lists for sales or other purposes, nor is any applicant or client information made available to any outside parties without written consent.

Castle Branch Inc. takes the protection of data collected during the background screening process extremely seriously and takes every effort to protect the data. Castle Branch Inc. abides by the rules and regulations set forth by the FCRA and NAPBS. Specifically, we take the following steps to ensure the confidentiality of PII:

- All of our employees complete in-depth training programs on federal guidelines regarding PII and how to handle PII while completing their work functions.
- Access to areas of our systems containing PII is granted on an as-needed basis only and is monitored for compliance.
- Employees are prohibited from discussing, sharing, and disseminating any PII outside performance of normal business functions.
- Upon termination of employment, login credentials are immediately revoked, preventing unauthorized, external access.
- PII is only saved on encrypted, safe locations on an internal server.
- Hard copy paperwork containing PII must be contained in locked storage boxes within our secure headquarters or placed in one of several locked "Shred-it" boxes.
- PII is removed from reports whenever possible.

Castle Branch Inc. is dedicated to protecting consumers' PII and has never had a breach in our company's history.

### 3.7. City Contract Requirements.

**The City will enter into a Contract written by the City with the successful Service Provider that contains the terms and conditions set forth in Exhibit A. Each Service Provider must state specifically in its Proposal any exceptions to the terms and conditions included in Exhibit A, and any proposed additional terms or conditions deemed important by the Service Provider. The City will take any such exceptions and proposed additions into account during the evaluation process. Any terms and conditions that the Service Provider does not specifically object to will be**

**incorporated into the resultant Contract. Notwithstanding the foregoing, the City reserves the right to change the proposed contractual terms and conditions prior to or during contract negotiations if it is in the City's best interest to do so.**

**The terms and conditions set forth in Exhibit A are not all inclusive. The City will propose additional terms and conditions based on the responses to this RFP and the City's analysis of the successful Service Provider's Proposal.**

Castle Branch Inc. will gladly discuss the terms and conditions of a contract written by the City if we are selected as the chosen vendor. We do not currently have any explicit exceptions to the terms and conditions included in Exhibit A. However, we do ask that the City review our standard documents, including our client acknowledgments form, which requires clients to read and acknowledge receipt of FTC-mandated and FCRA documents. A sample of this document has been included in the "Supplemental Information" portion of our response.

# Supplemental Information

Standard Documents.....12



## Standard Documents

Castle Branch is required by the Fair Credit Reporting Act, per the Federal Trade Commission, to provide specific information to clients and to collect acknowledgement from clients that they have received and read such information. We have attached our 'Acknowledgement Document' for your review.

Although we do not foresee a conflict with your contracting requirements stated in this RFP, we provide the following options in lieu of signing our full Acknowledgment Document:

1. Signature may not be required if contract is deemed to contain the appropriate billing terms and FCRA regulations.
2. Signature may only be required on page one if your contract contains all appropriate billing terms.
3. Terms on page two may be negotiated.

If verifications are requested, a signed verifications addendum may be required. If you choose not to sign the addendum, written documentation of your verification specifications is required. An excerpt from the document has been attached for your review. If you would like a full copy of this document we would be happy to provide one.

If credit checks are requested, a signed credit document will be required by the credit agency in order to process these checks. An excerpt from the document has been attached for your review. If you would like a full copy of this document we would be happy to provide one.

## Client Acknowledgements

Each link below contains important information that is required by the Fair Credit Reporting Act (FCRA). Please review the information provided within each link prior to signing below.

[Notice to Users of Consumer Reports: Obligations of Users under the FCRA](http://www.castlebranch.com/pdf/information_center/NoticeToUsersOfConsumerReports.pdf)

[http://www.castlebranch.com/pdf/information\\_center/NoticeToUsersOfConsumerReports.pdf](http://www.castlebranch.com/pdf/information_center/NoticeToUsersOfConsumerReports.pdf)

[Summary of Your Rights Under the FCRA](https://www.castlebranch.com/pdf/A_Summary_of_Your_Rights_Under_the_FCRA.pdf)

[https://www.castlebranch.com/pdf/A\\_Summary\\_of\\_Your\\_Rights\\_Under\\_the\\_FCRA.pdf](https://www.castlebranch.com/pdf/A_Summary_of_Your_Rights_Under_the_FCRA.pdf)

[Remedying the Effects of Identity Theft](http://www.castlebranch.com/pdf/information_center/RemedyingTheEffectsofIdentityTheft.pdf)

[http://www.castlebranch.com/pdf/information\\_center/RemedyingTheEffectsofIdentityTheft.pdf](http://www.castlebranch.com/pdf/information_center/RemedyingTheEffectsofIdentityTheft.pdf)

[Disposal of Consumer Report Information and Records](http://www.castlebranch.com/pdf/information_center/16_CFR_Part_682_disposal.pdf)

[http://www.castlebranch.com/pdf/information\\_center/16\\_CFR\\_Part\\_682\\_disposal.pdf](http://www.castlebranch.com/pdf/information_center/16_CFR_Part_682_disposal.pdf)

By signing below, I acknowledge that I have been provided with the following FCRA required FTC prescribed documents:

- 1) Notice to Users of Consumer Reports: Obligations of Users under the FCRA
- 2) A Summary of Your Rights Under the Fair Credit Reporting Act
- 3) Remedying the Effects of Identity Theft
- 4) Disposal of Consumer Report Information and Records.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

# CASTLE BRANCH, INC.

# SERVICE AGREEMENT

The undersigned agrees that all reports submitted and received will be subject to the following conditions. All reports will be kept strictly confidential, no information from reports will be revealed to any other person, except a person whose duty requires him to pass on the transaction in relation to which the report was ordered. No information will be requested for the use of any person reported on, or his representative, will be referred to Castle Branch, Inc. for disclosure as provided under the Fair Credit Reporting Act, the American with Disabilities Act or other applicable laws. The Undersigned will not use consumer information in violation of any state or federal law including, but not limited to Equal Employment Opportunity Law. The Undersigned acknowledges their responsibilities regarding the protection of consumer data. Per the Fair Credit Reporting Act (FCRA), these responsibilities include: 1) limiting dissemination of consumer information to only those with legitimate need, permissible purpose, and authorization from consumer; 2) obtaining, retaining, using and destroying consumer data in a confidential manner; and 3) destroying data in a secure manner. The undersigned understands that Castle Branch, Inc. requires and will electronically obtain, in specific circumstances, additional signed disclosure agreements from applicants. In addition to disclosures, the undersigned agrees to obtain consent from all applicants by way of disclosure and release for unless otherwise obtained by Castle Branch, Inc. The undersigned agrees to follow Fair Credit Reporting Act (FCRA) "Adverse Action" process when applicable including; (1) providing preliminary adverse action notice to applicant, along with a copy of their consumer report and a summary of rights per Fair Credit Reporting Act (FCRA), (2) allow applicants a designated period of time to dispute information provided in report, (3) provide applicant with Castle Branch, Inc. contact information, (4) provide final adverse action notice to consumer if a final adverse employment decision is made. The undersigned certifies that these reports will be ordered only when intended to be used for employment purposes, or in connection with a legitimate business or association's need in connection with transactions involving the consumer or public. The undersigned certifies that all Consumer Report Information requested by, delivered to, and used pursuant to this Agreement shall meet one of the specified Permissible Purposes listed in section § 604 Permissible purposes of consumer reports of the Fair Credit Reporting Act (FCRA). The undersigned acknowledges that Castle Branch, Inc. is not legal counsel and does not provide legal advice. Castle Branch, Inc. strongly encourages the undersigned to work with their legal counsel to ensure overall screening program compliance. The undersigned agrees to comply with any all applicable state and federal law concerning access to or use of motor vehicle records, credit reports, drug testing, criminal records or any other related reports governed by the individual states or by the Federal Government of the United States. In this regard, the undersigned will cooperate with Castle Branch, Inc. in monitoring the use of such reports. The undersigned agrees to hold Castle Branch, Inc., its officers, employees and any company Castle Branch, Inc. uses to obtain reports, harmless from and against any expense or damages resulting from the publishing of report information contrary to these conditions. The undersigned understands that all information provided by Castle Branch, Inc. is only current as of the date provided and is made available on an "as is" basis. The undersigned understands that Castle Branch, Inc. cannot be responsible for the record keeping practices of third parties such as, but not limited to; the department of motor vehicles, county, state and federal courts, state repositories, state and regional prisons, local police stations, federal bankruptcy courts, federal civil courts, state medical boards, drug testing facilities and other professional licensing organizations, and other local, state and federal organizations. The undersigned recognizes that information is secured by and through fallible human sources. The undersigned agrees to release Castle Branch, Inc., its officers and employees from liability for any errors and or omissions contained in reports prepared by third parties and from any loss or expense suffered by the undersigned directly or indirectly from Castle Branch, Inc. reports. The undersigned agrees that this letter constitutes all conditions of service and of reporting, present and future applies to all reports made by Castle Branch, Inc. and is binding in all 50 states. The undersigned agrees to pay all bills for services according to the rate schedule in effect at the time such services are rendered, within fifteen days from the date of invoice and a one and one half percent (1 1/2%) per month late charge for payments made past that date. In the event of non-payment after 90 days, the undersigned agrees to pay the balance of all bills immediately. Furthermore, the undersigned agrees to pay all attorneys' fees, litigation costs, court costs and/or collection fees associated with the collection of delinquent accounts. No changes in these conditions may be made except by consent in writing of an officer of Castle Branch, Inc.

### PLEASE PRINT: PRIMARY CONTACT INFORMATION (Primary Contact will be responsible for day-to-day communications.)

Company Name: \_\_\_\_\_ Address: \_\_\_\_\_  
Primary Contact: \_\_\_\_\_ City, State, Zip: \_\_\_\_\_  
Title: \_\_\_\_\_ Signature: \_\_\_\_\_  
Phone: \_\_\_\_\_ Date: \_\_\_\_\_  
Fax: \_\_\_\_\_ Email: \_\_\_\_\_

### PLEASE PRINT: BILLING INFORMATION

Billing Contact: \_\_\_\_\_ Phone: \_\_\_\_\_  
Title: \_\_\_\_\_ Fax: \_\_\_\_\_  
Billing Address: \_\_\_\_\_ Email: \_\_\_\_\_  
City, State, Zip: \_\_\_\_\_



## Verification Addendum

Organization Name: \_\_\_\_\_ CAC (office use only): \_\_\_\_\_

Authorized User Name: \_\_\_\_\_ Title \_\_\_\_\_

Have you previously or are you currently using a third party provider for verifications?  Yes  No



**Outsourcing Expenses**

Outsourcing employment information and applicant enrollment information has become commonplace among larger organizations and universities. To access pertinent information, these outsourcing companies charge a fee for their services which range from \$3 to \$15, depending upon the outsourcing company. These charges are in addition to the Castle Branch verification charge and will be itemized in your monthly invoices.

**Employment Outsourcing**

- Yes, Castle Branch has my permission to verify employment when an additional charge is required by an outsourcing agency.
- No, I do not authorize additional charges required by the outsourcing agency. Never verify employment when an additional charge is involved.

**Education Outsourcing**

- Yes, Castle Branch has my permission to verify employment when an additional charge is required by an outsourcing agency.
- No, I do not authorize additional charges required by the outsourcing agency. Never verify employment when an additional charge is involved.

**Contacting the Applicant**

Sometimes when we are trying to complete a verification, the information that has been supplied to us is incomplete, illegible, incorrect, or outdated.

- Yes, Castle Branch may contact the applicant directly for additional information.
- No, I do not give my permission for Castle Branch to contact the applicant directly. Please contact my organization to obtain additional information.

By signing below, I acknowledge that I have read, understand and agree to all of Castle Branch Inc. Verification policies and requirements and authorize verifications to be performed based upon my selections indicated above. I understand that at any point during the verifications process I can log on to [www.castlebranch.com](http://www.castlebranch.com), enter my user name and password, and view the current status of my order(s). All attempts to complete a verification will be summarized in the note section of the results page.

\_\_\_\_\_  
 Authorized User Signature

\_\_\_\_\_  
 Date

## Employment Credit Report Agreement

1. End User is a(n) \_\_\_\_\_ (type of business) and has a need for consumer credit information in connection with the evaluation of individuals for employment, promotion, reassignment or retention as an employee ("Consumer Report for Employment Purposes").
2. End User shall request Consumer Report for Employment Purposes pursuant to procedures prescribed by Reseller from time to time only when it is considering the individual inquired upon for employment, promotion, reassignment or retention as an employee, and for no other purpose.
3. End User certifies that it will not request a Consumer Report for Employment Purposes unless:
  - a. A clear and conspicuous disclosure is first made in writing to the consumer by End User before the report is obtained, in a document that consists solely of the disclosure that a consumer report may be obtained for employment purposes;
  - b. The consumer has authorized in writing the procurement of the report; and
  - c. Information from the Consumer Report for Employment Purposes will not be used in violation of any applicable federal or state equal employment opportunity law or regulation.
4. End User further certifies that before taking adverse action in whole or in part based on the Consumer Report for Employment Purposes, it will provide the consumer with:
  - a. A copy of the Consumer Report for Employment Purposes; and
  - b. A copy of the consumer's rights, in the format approved by the Federal Trade Commission.
5. End User shall use the Consumer Report for Employment Purposes only for a one-time use, and shall hold the report in strict confidence, and not disclose it to any third parties that are not involved in the employment decision.
6. End User will maintain copies of all written authorizations for a minimum of five (5) years from the date of inquiry.
7. With just cause, such as violation of the terms of End User's contract or a legal requirement, or a material change in existing legal requirements that adversely affects End User's Agreement, Reseller may, upon its election, discontinue serving the End User and cancel the agreement immediately.
8. The FCRA provides that any person who knowingly and willfully obtains information on a consumer from a consumer reporting agency under false pretenses shall be fined under title 18 of the United States code or imprisoned not more than two years, or both.

Employment Credit Report Agreement

9. Subscriber shall pay a fee for each inquiry for any of Credit Report, according to the then current published fee schedule

10. Reseller shall use good faith in attempting to obtain information from sources deemed reliable, but does not guarantee the accuracy of the information reported. In no event shall Reseller be held liable in any manner whatsoever for any loss or injury to Subscriber resulting from the obtaining or furnishing of such information. Furthermore, the Subscriber agrees to hold Reseller harmless and indemnify it from any and all claims, losses, and damages arising out of alleged liability or failure of the Subscriber to keep and perform any of it's obligations described herein.

11. This Agreement shall remain in force and effect for one year from date hereof, and thereafter, from year to year on the same basis as set forth herein. Either party may cancel this Agreement at any time upon ten (10) days prior to the end of the current monthly payment period.

12. It is further agreed that with just cause, such as delinquency or violation of the terms of the contract or a legal requirement, Reseller may, upon its election, discontinue serving the Subscriber and cancel this Agreement immediately.

13. The parties hereto agree that this instrument is the full and complete Agreement between them regarding the furnishing of Credit Reports, and is not to be altered, varied, or enlarged upon by any verbal promises, statements, or representations not expressed herein. This Agreement shall not be binding on either party until accepted by Reseller.

The person signing below has direct knowledge of all facts certified in this agreement.

Company Name:	
Physical Address:	
Print Name:	
Authorized Signature:	
Date:	

## Employment (PEER) Credit Application

Business Information - Primary Location		
Company Name (list all DBA's):		
Contact Name:		
Email Address:		
Website Address:		
Office Work Days: <input type="checkbox"/> M <input type="checkbox"/> T <input type="checkbox"/> W <input type="checkbox"/> Th <input type="checkbox"/> F <input type="checkbox"/> Sa <input type="checkbox"/> Su		
Office Hours:		Years in Business:
EIN/SSN (Tax ID #):		Business License Number:
Duns and Bradstreet Number (D&B):		
Type of Industry (nature of business):		
Specific purpose for which credit report will be used:		
Access Intent: <input type="checkbox"/> Local <input type="checkbox"/> Regional <input type="checkbox"/> National		
Select business type: <input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> LLC <input type="checkbox"/> Individual/Sole Proprietor <input type="checkbox"/> Tax Exempt		
If listed on Stock Exchange, provide ticker symbol:		
Number of Employees:		Corporate:                      Division:
Number of Anticipated Hires Per Month:		
If Partnership, provide name and addresses of all partners:		
Name:	Address:	SSN#:
Name:	Address:	SSN#:
Name:	Address:	SSN#:
Physical Address		
Address:		
City:	State:	Zip Code:
Primary Phone Number (must be listed with directory assistance):		
Fax Number:		
Mailing Address (if different from physical)		
Address:		
City:	State:	Zip Code:
Billing Address (if different from mailing)		
Address:		
City:	State:	Zip Code:

Employment (PEER) Credit Application

Banking Information		
Name of Bank:	Branch:	
Address:		
Contact Name:		
City:	State:	Zip Code:
Contact Phone Number:	Contact Fax Number:	
Contact Email Address:		
Checking Account Number:		
Savings/MM Number:		
Trade References (Vendors or companies that have extended you credit)		
Trade Reference One of Three - Name of Business:		
Contact Name:		
Contact Fax Number:		
Contact Email Address:		
Address:		
City:	State:	Zip Code:
Trade Reference Two of Three - Name of Business:		
Contact Name:		
Contact Fax Number:		
Contact Email Address:		
Address:		
City:	State:	Zip Code:
Trade Reference Three of Three - Name of Business:		
Contact Name:		
Contact Fax Number:		
Contact Email Address:		
Address:		
City:	State:	Zip Code:

The undersigned authorizes and instructs any person, consumer reporting agency or bank institution to provide Castle Branch Inc., with any information it may have in response to any inquiry from Castle Branch Inc. The undersigned further states that all of the statements made above are true and complete and have been made available to Castle Branch Inc., to obtain commercial credit for employment screening services only.

Authorized Signature:

Title:	Date:
--------	-------



**Section 6**  
**Required Forms**

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**REQUIRED FORM 2 - ADDENDA RECEIPT CONFIRMATION**

**RFP # 269-2015-078**

**Background Investigation Services**

Please acknowledge receipt of all addenda by including this form with your Proposal. All addenda will be posted to [www.ips.state.nc.us](http://www.ips.state.nc.us).

**ADDENDUM #:**

1  
\_\_\_\_\_  
2  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**DATE ADDENDUM  
DOWNLOADED FROM NC IPS:**

06/30/15  
\_\_\_\_\_  
07/09/15  
\_\_\_\_\_  
\_\_\_\_\_

I certify that this proposal complies with the General and Specific Specifications and conditions issued by the City except as clearly marked in the attached copy.

Lauren Henderson  
\_\_\_\_\_  
(Please Print Name)

07/06/15  
\_\_\_\_\_  
Date

  
\_\_\_\_\_  
Authorized Signature  
Chief Financial Officer  
\_\_\_\_\_  
Title

Castle Branch Inc.  
\_\_\_\_\_  
Company Name

**Section 6**  
**Required Forms**

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**REQUIRED FORM 3 - PROPOSAL SUBMISSION FORM**

**RFP # 269-2015-078**

**Background Investigation Services**

This Proposal is submitted by:

Service Provider Name: Castle Branch Inc.

Representative (printed): Robert Thompson

Representative (*signed*): 

Address: 1844 Sir Tyler Drive

City/State/Zip: Wilmington, NC 28405

Email address: RobT@castlebranch.com


Telephone: (888) 723-4263 ext. 7141

(Area Code) Telephone Number

Facsimile: (910) 772-1528

(Area Code) Fax Number

**The information contained in this Proposal or any part thereof, including its Exhibits, Schedules, and other documents and instruments delivered or to be delivered to the City, is true, accurate, and complete. This Proposal includes all information necessary to ensure that the statements therein do not in whole or in part mislead the City as to any material facts. It is understood by the Service Provider that the City reserves the right to reject any and all Proposals, to make awards on all items or on any items according to the best interest of the City, to waive formalities, technicalities, to recover and re-bid this RFP. Proposal is valid for one hundred and eighty (180) calendar days from the Proposal due date.**

Castle Branch Inc.  
\_\_\_\_\_  
**Service Provider**  
  
\_\_\_\_\_  
**Authorized Signature**

07/06/15  
\_\_\_\_\_  
**Date**  
Lauren Henderson  
\_\_\_\_\_  
**Please type or print name**

**ATTACHMENT 1**  
**REQUIRED FORM 4 - PRICING WORKSHEET**  
**RFP # 269-2015-078**

**Background Investigation Services**

Regardless of exceptions taken, Service Providers shall provide pricing based on the requirements and terms set forth in this RFP. Pricing must be all-inclusive and cover every aspect of the Project. Cost must be in United States dollars rounded to the nearest quarter of a dollar.\* **If there are additional costs associated with the Services, please add to this chart. Your Price Proposal must reflect all costs that the City will be responsible for.**

The Service Provider shall indicate their pricing for each of the below Reports and Searches as described in Section 3. Pricing shall be on a per-unit basis.

<b>Report or Search Type</b>	<b>Unit Cost</b>
Social Security Verification	\$ 0.60
National Federal Criminal Record Search	\$ 2.80
Multi-State Criminal Record Search	\$ 6.40
North Carolina Criminal Record Search	\$ 3.90
State Sex Offender Registry	\$ 3.00
Multi-State Sex Offender Registry	\$ 3.00
Credit History Search	\$ 4.00 <sup>1</sup>
NC Motor Vehicle Report	\$ 9.70
Motor Vehicle Record for all other states	\$ 1.70+fees <sup>2</sup>
Employment Verification	\$ 4.80 per <sup>3</sup>
Education Verification	\$ 4.80 per <sup>3</sup>
Professional License Verification	\$ 4.80 per <sup>3</sup>
Civil Court Search	\$ 8.00
Personal References Verification	\$ 4.80 per <sup>3</sup>
Internet Social Network Search	\$ 27.50
Charlotte Water Special Package per Section 3.3.1	\$49.70+fees <sup>4</sup>
Management & Financial Services Special Package per Section 3.3.2	\$14.30+fees <sup>5</sup>
Engineering and Property Management Special Package per Section 3.3.3	\$16.00+fees <sup>6</sup>
Solid Waste Services Special Package per Section 3.3.4	\$21.00+fees <sup>7</sup>

\*Castle Branch Inc. takes exception to the rule regarding rounded to the nearest quarter of a dollar. For a full explanation to the benefits of this exception, please see the "Exceptions" Section on page 62 of our response.

<sup>1</sup>**Credit reports:** There is a one-time account setup fee of \$75.00 for credit reports. The Fair Credit Reporting Act mandates a physical inspection of the property in order to verify a legitimate business establishment. Total account setup time averages 1-2 weeks.

<sup>2</sup>**Plus motor vehicle state fees:** See "State Fees – Motor Vehicle Reports" chart on page 25

<sup>3</sup>**Verification outsourcing fees:** Outsourcing employment and education information has become commonplace among larger organizations and universities. Some entities utilize third parties to house verification information, and pass-through fees, ranging between \$3.00 and \$15.00, may apply.

<sup>4</sup>**Plus motor vehicle state fees & plus verification outsourcing fees & plus fees for additional states:** Per package requirement #3.3.1, "Search of criminal records of any known state of residence," if any additional state searches are required, then please add \$3.90 plus state fee per state to the package cost. Please see state fee chart on 26.

<sup>5</sup>**Plus fees for additional states**

<sup>6</sup>**Plus motor vehicle state fees & plus fees for additional states**

<sup>7</sup>**Plus verification outsourcing fees & plus motor vehicle state fees**

<b>Provided To:</b>	Sarah Poulton
<b>Attention:</b>	City of Charlotte/Procurement Management
<b>Provided By:</b>	Rob Thompson
<b>Date:</b>	July 9, 2015

3.3.1 Charlotte Water Special Package	YOUR PRICE
Social Security Alert & Residential History	<b>\$49.70 + fees</b>
Nationwide Federal Criminal	
Nationwide Sex-Offender Registry	
National Record Indicator (includes county confirmation at no additional charge)	
One Education Verification <sup>1</sup>	
Motor Vehicle Record <sup>2</sup>	
North Carolina Statewide Search	
South Carolina Statewide Search	
Additional State Criminal Records (per state) <sup>3</sup>	<b>\$3.90 + state fee</b>

3.3.2 Management & Financial Services Special Package	YOUR PRICE
Social Security Alert & Residential History	<b>\$14.30</b>
Nationwide Federal Criminal	
Nationwide Sex-Offender Registry	
National Record Indicator (includes county confirmation at no additional charge)	
North Carolina Statewide Search	
Additional State Criminal Records (per state) <sup>3</sup>	<b>\$3.90 + state fee</b>

3.3.3 Engineering and Property Management Special Package	YOUR PRICE
Social Security Alert & Residential History	<b>\$16.00 + fees</b>
Nationwide Federal Criminal	
Nationwide Sex-Offender Registry	
National Record Indicator (includes county confirmation at no additional charge)	
Motor Vehicle Record Search <sup>2</sup>	
North Carolina Statewide Search	
Additional State Criminal Records (per state) <sup>3</sup>	<b>\$3.90 + state fee</b>

3.3.4 Solid Waste Services Special Package	YOUR PRICE
One Education Verification <sup>1</sup>	<b>\$21.00</b>
Nationwide Federal Criminal	
Nationwide Sex-Offender Registry	
Motor Vehicle Record <sup>2</sup>	
North Carolina Statewide Search	
One Employment Verification <sup>1</sup>	

**ADDITIONAL PACKAGE OPTIONS**

3.2.1 Basic Background Package	YOUR PRICE
Social Security Alert & Residential History	<b>\$14.30</b>
Nationwide Federal Criminal	
National Record Indicator Plus Sex-Offender Registry (includes county confirmation at no additional charge)	
North Carolina Statewide Search	
Additional State Criminal Records (per state) <sup>3</sup>	<b>\$3.90 + state fee</b>

Optional Flat Rate Package	YOUR PRICE
Social Security Alert & Residential History	<b>\$19.90</b> <b>*No Added Fees</b>
Nationwide Federal Criminal	
Nationwide Sex-Offender Registry	
National Record Indicator (Includes County Confirmation at no additional charge)	
Flat Rate Counties Outside of North Carolina* (Includes all counties of residence outside NC with no added fees based on 7 years of residency history)	
North Carolina Statewide Search	

*\*Please note that the above package reflects a “all counties of residence” criminal search option in lieu of the requested “all states of residence” criminal search. This option is provided at a fixed cost for unlimited counties with no additional fees.*

**Additional Fees:**

<sup>1</sup>**Verification outsourcing fees:** Outsourcing employment and education information has become commonplace among larger organizations and universities. Some entities utilize third parties to house verification information, and pass-through fees, ranging between \$3.00 and \$15.00, may apply.

<sup>2</sup>**Motor vehicle state fees:** See “State Fees – Motor Vehicle Reports” chart on the following page.

<sup>3</sup>**State fees:** See “State Fees – Statewide Criminal Search” chart on page 26.

## State Fees – Motor Vehicle Reports

STATE	STATE FEE	STATE	STATE FEE
Alabama	\$7.75	Alaska	\$5.00
Arizona	\$8.00	Arkansas	\$8.50
California	\$2.00	Colorado	\$2.00
Connecticut	\$15.00	Delaware	\$15.00
Florida	\$10.02	Georgia	\$8.00
Hawaii	\$22.64	Idaho	\$9.00
Illinois	\$12.00	Indiana	\$7.50
Iowa	\$8.50	Kansas	\$6.60
Kentucky	\$5.00	Louisiana	\$6.00
Maine	\$12.00	Maryland	\$9.00
Massachusetts	\$8.00	Michigan	\$7.00
Minnesota	\$5.00	Mississippi	\$14.00
Missouri	\$2.50	Montana	\$7.25
Nebraska	\$3.00	Nevada	\$8.00
New Hampshire	\$12.00	New Jersey	\$12.00
New Mexico	\$6.50	New York	\$7.00
North Carolina	\$8.00	North Dakota	\$3.00
Ohio	\$5.00	Oklahoma	\$13.25
Oregon	\$2.00	Pennsylvania	\$13.00
Rhode Island	\$20.00	South Carolina	\$7.25
South Dakota	\$5.00	Tennessee	\$7.00
Texas	\$6.50	Vermont	\$15.00
Utah	\$9.00	Washington	\$10.00
Virginia	\$7.00	Wisconsin	\$5.00
West Virginia	\$9.00	Washington DC	\$13.00
Wyoming	\$5.00	Puerto Rico	\$10.00

## State Fees – Statewide Criminal Search

STATE	STATE FEE	STATE	STATE FEE
Alabama	\$1.25	Alaska	\$17.00
Arizona	\$13.00	Arkansas	\$5.00
California	N/A	Colorado	\$5.30
Connecticut	\$5.00	Delaware	\$9.00
Florida	\$24.00	Georgia	\$5.00
Hawaii	\$13.00	Idaho	\$10.00
Illinois	\$10.00	Indiana	\$15.00
Iowa	\$15.00	Kansas	\$17.50
Kentucky	\$15.00	Louisiana	\$5.50
Maine	\$31.00	Maryland	\$0.00
Massachusetts	\$15.00	Michigan	\$10.00
Minnesota	\$0.00	Mississippi	N/A
Missouri	\$13.50	Montana	\$15.00
Nebraska	\$0.00	Nevada	\$5.50
New Hampshire	\$25.00	New Jersey	\$9.00
New Mexico	\$0.00	New York	\$65.00
North Carolina	\$0.00	North Dakota	\$25.00
Ohio	\$12.50	Oklahoma	\$15.00
Oregon	\$2.25	Pennsylvania	\$10.00
Rhode Island	\$0.00	South Carolina	\$25.00
South Dakota	\$15.00	Tennessee	\$12.00
Texas	\$3.15	Utah	\$0.00
Vermont	\$30.00	Virginia	\$6.00
Washington	\$10.00	West Virginia	N/A
Wisconsin	\$0.00	Wyoming	N/A
Washington DC	N/A		

**Section 6**  
**Required Forms**

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**REQUIRED FORM 5 - PROPOSAL CERTIFICATION**

**RFP # 269-2015-078**

**Background Investigation Services**


SERVICE PROVIDER: Castle Branch Inc.

The undersigned Service Provider hereby certifies and agrees that the following information is correct:

1. In preparing its proposal, the Service Provider has considered all proposals submitted from qualified, potential subcontractors and suppliers; and has not engaged in or condoned prohibited discrimination.
2. For purposes of this section, *prohibited discrimination* means discrimination against any person, business or other entity in contracting or purchasing practices on the basis of race, color, sex, or national origin. Without limiting the foregoing, *prohibited discrimination* also includes retaliating against any person, business or other entity for reporting any incident of prohibited discrimination.
3. Without limiting any other provision of the solicitation for proposals on this project, it is understood and agreed that, if this certification is false, such false certification will constitute grounds for the City to reject the bid submitted by the Bidder on this Project and to terminate any contract awarded based on such bid.
4. As a condition of contracting with the City, the Service Provider agrees to maintain documentation sufficient to demonstrate that it has not discriminated in its solicitation or selection of subcontractors. The Service Provider further agrees to promptly provide to the City all information and documentation that may be requested by the City from time to time regarding the solicitation and selection of subcontractors. Failure to maintain or failure to provide such information constitutes grounds for the City to reject the bid submitted by the Service Provider or terminate any contract awarded on such bid.

Castle Branch Inc.

\_\_\_\_\_  
NAME OF FIRM

BY:  \_\_\_\_\_  
SIGNATURE OF AUTHORIZED OFFICIAL

\_\_\_\_\_  
Chief Financial Officer  
TITLE



**Section 6**  
**Required Forms**

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**REQUIRED FORM 6 – MWSBE SUBCONTRACTOR UTILIZATION**

**RFP # 269-2015-078**

**Background Investigation Services**

The City maintains a strong commitment to the inclusion of MWSBEs in the City’s contracting and procurement process when there are viable subcontracting opportunities.

Service Providers must submit this form with their proposal outlining any supplies and/or services to be provided by each City certified Small Business Enterprise (SBE), and/or City registered Minority Business Enterprise (MBE) and Woman Business Enterprise (WBE) for the Contract. If the Service Provider is a City-registered MWSBE, note that on this form.

The City recommends you exhaust all efforts when identifying potential MWSBEs to participate on this RFP.

<b>Company Name:</b>	Castle Branch Inc.
----------------------	--------------------

Please indicate if your company is any of the following:

MBE     WBE     SBE     None of the above

If your company has been certified with any of the agencies affiliated with the designations above, indicate which agency, the effective and expiration date of that certification below:

Agency Certifying:       N/A       Effective Date:       N/A       Expiration Date:       N/A      

Identify outreach efforts that *were employed* by the firm to maximize inclusion of MWSBEs to be submitted with the firm’s proposal (attach additional sheets if needed):

N/A  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Identify outreach efforts that *will be employed* by the firm to maximize inclusion during the contract period of the Project (attach additional sheets if needed):

N/A  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

*[Form continues on next page]*

## Section 6 Required Forms

List below all **MWSBEs** that you intend to use on this Contract.

Subcontractor Name	Description of work or materials	Indicate either "M", "S", and/or "W"	City Vendor #
N/A	N/A	N/A	N/A
N/A	N/A	N/A	N/A
N/A	N/A	N/A	N/A
N/A	N/A	N/A	N/A

<b>Total MBE Utilization</b>	N/A %
<b>Total WBE Utilization</b>	N/A %
<b>Total SBE Utilization</b>	N/A %
<b>Aggregate MWSBE Utilization</b>	N/A %

07/06/15

Date

  
 Lauren Henderson, Chief Financial Officer  
 Name, Title and Signature

**REQUIRED FORM 7 – SERVICE PROVIDER’S BACKGROUND RESPONSE**

**RFP # 269-2015-078**

**Background Investigation Services**

Service Providers should complete and submit the form below as part of their response to this RFP.

<b>Question</b>	<b>Response</b>
<b>Service Provider Identification</b>	
Service Provider Name (Official Name)	Castle Branch Inc.
Service Provider Location (corporate headquarters)	1844 Sir Tyler Drive, Wilmington, NC 28405
<b>Service Provider Experience</b>	
# of years in business:	18 years
# of public sector clients using the services being proposed.	Please see the attached pages for a thorough response to this question, as allowed in Addendum 1, Item #23.
Identify by name some of the clients similar to City (e.g., similar in size, complexity, location, type of organization)	Please see the attached pages for a thorough response to this question, as allowed in Addendum 1, Item #23.
Identify national and regional user groups	Please see attached pages
List any terminated projects. Please disclose the company or jurisdiction and explain the reason for the termination.	Please see the attached pages for a thorough response to this question, as allowed in Addendum 1, Item #23.
List any litigation that you have been involved with during the past two (2) years on Background Investigation Services implementations.	Please see the attached pages for a thorough response to this question, as allowed in Addendum 1, Item #23.
Provide an overview and history of your company.	Please see the attached pages for a thorough response to this question, as allowed in Addendum 1, Item #23.
Describe your total organization, including any parent companies, subsidiaries, affiliates and other related entities.	Please see the attached pages for a thorough response to this question, as allowed in Addendum 1, Item #23.
Provide a management organization chart of your overall organization, showing director and officer positions and names and the reporting structure.	Please see the attached pages for a thorough response to this question, as allowed in Addendum 1, Item #23.
Detail how long the company has been providing Background Investigation Services to local governments and include information regarding experience with similar Background Investigation Services projects.	Please see the attached pages for a thorough response to this question, as allowed in Addendum 1, Item #23.
Describe the key individuals, along with their qualifications, professional certifications and experience that would comprise your organization’s team for providing Services to the City.	Please see the attached pages for a thorough response to this question, as allowed in Addendum 1, Item #23.

Explain how your organization ensures that personnel performing technical support services are qualified and proficient.	Please see the attached pages for a thorough response to this question, as allowed in Addendum 1, Item #23.
Please provide information regarding the level of staffing at your organization's facilities, as well as the level of staffing at subcontractors' facilities, if known.	Please see the attached pages for a thorough response to this question, as allowed in Addendum 1, Item #23.
Describe the risks associated with this Contract. What contingencies have been built in to mitigate those risks?	Please see the attached pages for a thorough response to this question, as allowed in Addendum 1, Item #23.
How does your company handle when mistakes are made regarding an individual's background checks (ie a Report made on the incorrect individual)? Describe your due diligence process for ensuring the correct person is investigated.	Please see the attached pages for a thorough response to this question, as allowed in Addendum 1, Item #23.
What information does your company need in order to conduct an internet social media search?	Please see the attached pages for a thorough response to this question, as allowed in Addendum 1, Item #23.
How do you handle states that require release forms to obtain Reports?	Please see the attached pages for a thorough response to this question, as allowed in Addendum 1, Item #23.
<b>Online Portal</b>	
Does your company have an online Report tracking system where City users can monitor the status of each Report requested?	Please see the attached pages for a thorough response to this question, as allowed in Addendum 1, Item #23.
If so, describe your process of adding, removing or adjusting City users' accounts for your online system. Can the City have multiple levels of users (i.e. division-specific and department-wide)?	Please see the attached pages for a thorough response to this question, as allowed in Addendum 1, Item #23.
Describe the security in place to ensure that submitted requests are kept confidential.	Please see the attached pages for a thorough response to this question, as allowed in Addendum 1, Item #23.
Describe your retention schedule for Report provided to the City. Do you retain previously conducted Reports in case the City requires them at a later date?	Please see the attached pages for a thorough response to this question, as allowed in Addendum 1, Item #23.

Castle Branch Inc. does not have any contracts that were terminated prior to completion.

**List any litigation that you have been involved with during the past two (2) years on Background Investigation Services implementations.**

Castle Branch Inc. is the defendant in a civil suit pending in the United States District Court for the Eastern District of North Carolina. The Civil Action No. is 7:14-CV-235-D. This lawsuit will have no impact on Castle Branch Inc.'s response to the RFP or ability to perform the requested services.

In 2013, Castle Branch Inc. was the defendant in a civil suit in the United States District Court for the Eastern District of Pennsylvania. The Civil Action No. is 13-6315, and it was dismissed. In 2014, Castle Branch Inc. was also the defendant in a civil suit in the New Hanover County Superior Court of North Carolina (14-CVS-003624), which has been dismissed.

**Provide an overview and history of your company.**

Founded in 1997, Castle Branch Inc. is ranked among the top 10 employment screening companies in the United States. Our company, which began operations in Chapel Hill, North Carolina in 1997, moved to Wilmington, North Carolina in 2002 with 32 employees. We moved to our current Wilmington location in 2009 and completed renovation of our expanded headquarters in May of 2014; Currently, we have 360 employees. A West Coast sales office was added in Petaluma, California in 2012.

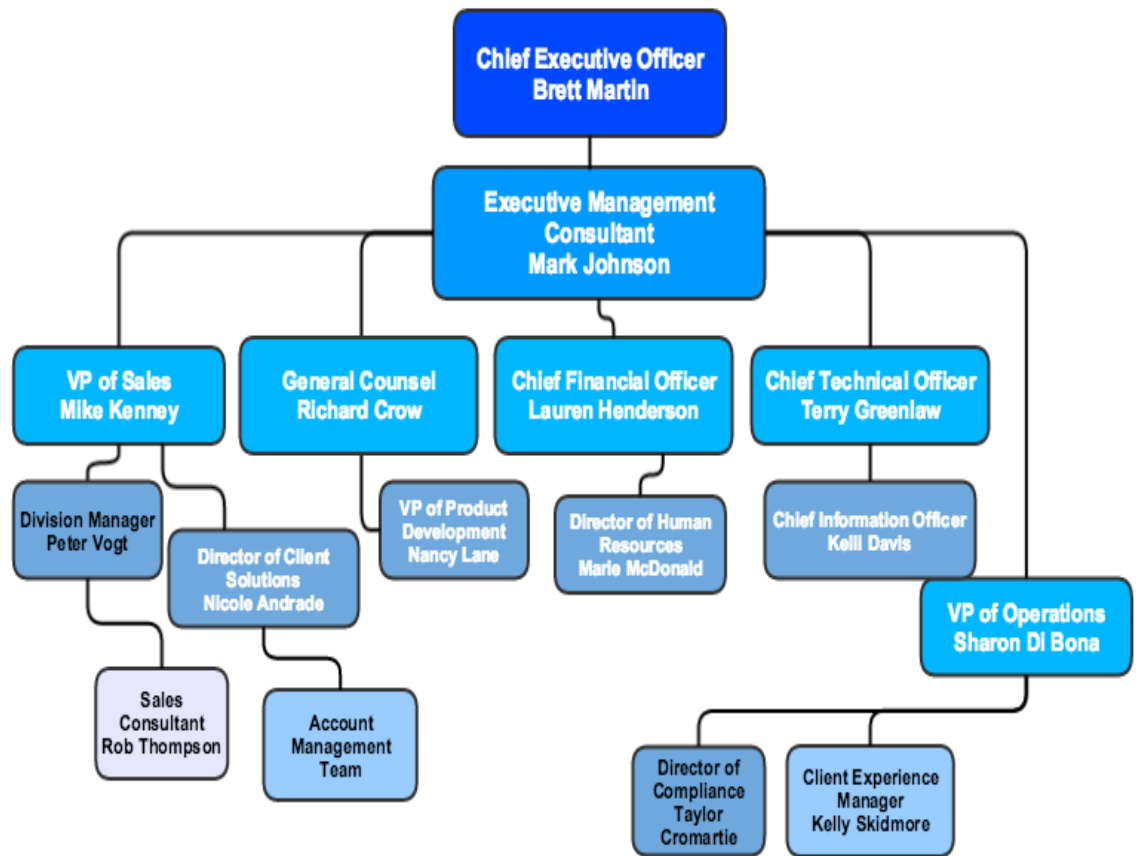
We serve over 27,000 clients, including more than 60 percent of all colleges and universities nationwide. In 2014, Castle Branch Inc. processed nearly 3 million criminal record searches and maintained a 99.8 percent accuracy rate. We understand that time is of the essence when it comes to making smart hiring decisions, which is why Castle Branch Inc.'s turnaround time averages only 2.25 to 2.72 days for completed results.

We deliver flexible, easy-to-use and affordable products, services and solutions to clients while upholding the standards and requirements defined by the Fair Credit Reporting Act (FCRA), the National Association of Professional Background Screeners (NAPBS) and the Payment Card Industry Data Security Standards (PCIDSS).

**Describe your total organization, including any parent companies, subsidiaries, affiliates and other related entities.**

Castle Branch Inc. is a privately-owned S Corporation with four primary shareholders. We do not have any parent companies, subsidiaries, affiliates or other related entities.

Provide a management organization chart of your overall organization, showing director and officer positions and names and the reporting structure.



**Detail how long the company has been providing Background Investigation Services to local governments and include information regarding experience with similar Background Investigation Services projects.**

Castle Branch Inc. has been providing Background Investigation services to our clients for 18 years. These clients include city and county governments, Departments of Transportation, water authorities, fire departments and other municipal organizations. As stated above, Castle Branch Inc. has approximately 508 public sector accounts using our services, 201 of which are located in North Carolina. For information regarding our experience with similar background investigation services, please see our provided references on Form 8.

**Describe the key individuals, along with their qualifications, professional certifications and experience that would comprise your organization’s team for providing Services to the City.**

Our associates possess extensive experience in implementing our systems and providing high-quality customer service. Our commitment to providing clients with industry-leading services and solutions has resulted in a 98.5 percent client retention rate.

Dedicated customer support will be provided to the City by Sales Consultant Rob Thompson, Client Experience Manager Kelly Skidmore, our Account Management team and Director of Compliance Taylor Cromartie.

Sales Consultant Rob Thompson will assist the City during the RFP and implementation processes. Mr. Thompson is the team lead and will be your point of contact for any questions or concerns. A resume detailing qualifications, professional certifications and experience is provided below:

<b>ROB THOMPSON SENIOR SALES CONSULTANT</b>
RobT@CastleBranch.com
888.723.4263 ext. 7141
<b>EXPERIENCE &amp; QUALIFICATIONS</b>
<ul style="list-style-type: none"> <li>✓ Has five years of experience with Castle Branch Inc.</li> <li>✓ Worked with over 1,000 corporate clients</li> <li>✓ Oversees the account setup of background screening processes for new clients and is the primary source of information for the core team during the contract initiation phase</li> <li>✓ Develops background screening, drug testing and document management solutions based on organization requirements</li> <li>✓ Consults with companies and organizations regarding background screening processes and pre-employment compliance</li> <li>✓ Listens to clients, understands their needs and proposes solutions within time and budget constraints</li> </ul>
<b>TRAINING, CERTIFICATIONS &amp; MEMBERSHIPS</b>
<ul style="list-style-type: none"> <li>✓ FCRA and EEOC training every six months</li> </ul>
<b>ACADEMIC CREDENTIALS</b>
<ul style="list-style-type: none"> <li>✓ Bachelor's Degree – Business Administration Marketing University of North Carolina in Wilmington</li> </ul>

Additional support will be provided by Kelly Skidmore, our client experience manager. Ms. Skidmore provides clients with timely solutions while managing a team of 14 specialists who initiate system setup and client training. A resume detailing qualifications, professional certifications and experience is provided below:

<b>KELLY SKIDMORE CLIENT EXPERIENCE MANAGER</b>
KwSkidm@CastleBranch.com
888.723.4263 ext. 7127
<b>EXPERIENCE &amp; QUALIFICATIONS</b>
<ul style="list-style-type: none"> <li>✓ Has three years of experience with Castle Branch Inc. working with clients and customers</li> <li>✓ Manages a team of 14 specialists who initiate system setup and client training and define client profiles and permission levels</li> <li>✓ Responds to client issues escalated from customer service</li> <li>✓ Creates and conducts diverse internal staff training on products and services</li> <li>✓ Updates and distributes staff and client training documentation</li> </ul>

✓ Works with clients to develop packages and services
<b>TRAINING, CERTIFICATIONS &amp; MEMBERSHIPS</b>
✓ FCRA, EEOC, HIPAA and OSHA training every six months
<b>ACADEMIC CREDENTIALS</b>
✓ Diploma in Travel and Hospitality King's College

Castle Branch Inc.'s account management team will provide the City with assistance, when necessary, including but not limited to product and service training, semi-annual analysis of the City's account setup and package inclusions, and recommendations based on national and state requirements.

Taylor Cromartie, Castle Branch Inc.'s director of compliance, will provide guidance and/or subject-matter expertise regarding issues of compliance as they relate to employment background screening services. Ms. Cromartie holds NAPBS FCRA advanced certification; she oversees 75 staff members responsible for background screening services and acts as the primary source of information regarding FCRA compliance and regulations. A resume detailing qualifications, professional certifications and experience is provided below:

<b>TAYLOR CROMARTIE DIRECTOR OF COMPLIANCE</b>
TaylorC@CastleBranch.com
888.723.4263 ext. 7259
<b>EXPERIENCE &amp; QUALIFICATIONS</b>
<ul style="list-style-type: none"> <li>✓ Background in criminal justice and has eight years of experience with Castle Branch Inc.</li> <li>✓ Oversees an expert team of research analysts responsible for processing orders and information dissemination for human resources accounts</li> <li>✓ Served in a leadership role in the acquisition of full NAPBS accreditation</li> <li>✓ Ensures accurate data is returned in a timely manner following FCRA guidelines</li> <li>✓ Creates and maintains staff training programs</li> <li>✓ Creates and enforces policies and procedures re: human resources accounts for client experience department</li> <li>✓ Oversees the distribution of updated industry material to staff and clients</li> <li>✓ Serves as primary source of information for sales, marketing and developers regarding potential new services</li> </ul>
<b>TRAINING, CERTIFICATIONS &amp; MEMBERSHIPS</b>
<ul style="list-style-type: none"> <li>✓ Advanced FCRA Certification National Association of Professional Background Screeners</li> <li>✓ Committee Member of the National Association of Professional Background Screeners</li> <li>✓ FCRA, EEOC, HIPAA and OSHA training every six months</li> </ul>
<b>ACADEMIC CREDENTIALS</b>



- ✓ Master of Public Administration  
University of North Carolina
- ✓ Bachelor of Arts – Criminal Justice  
University of North Carolina

Additionally, Castle Branch Inc.'s client experience specialists are available Monday through Friday from 8 a.m. - 8 p.m. EST and can be reached at our toll-free number by calling 888-723-4263.

**Explain how your organization ensures that personnel performing technical support services are qualified and proficient.**

Castle Branch Inc. has several measures in place to ensure that personnel performing technical support services are qualified and proficient. All staff undergo extensive training before they commence work on background checks. Training begins with a 30-day program which consists of classroom time and one-on-one sessions. Additional training that reflects an individual's specific role and department is also provided to ensure a high level of expertise and proficiency.

New employees who process background checks are subject to a 100 percent audit rate during their first 90 days of employment. Once completed, the audit percentage gradually decreases based on the complexity of an employee's research area and his or her individual performance. However, all employees must, at all times, maintain at least a 98 percent accuracy rate.

In accordance with company policy, any employee who fails to maintain a 98 percent accuracy rate within a set production period receives an informal action and counseling. If the employee's performance does not improve to meet the minimum requirements during the informal action period, counseling will be elevated to a formal action. Formal action subjects the employee to a full audit of his or her work and necessitates additional training. If the employee fails to meet his or her quality or production measurements for two consecutive weeks or within one month, the elevation will result in termination.

Castle Branch Inc. requires employees attend continual education programs to ensure high performance and competency. Employees are regularly trained in matters pertaining to the FCRA, EEOC, HIPAA and OSHA guidelines and regulations, as needed.

Prior to employment, all Castle Branch Inc. employees are required to sign a confidentiality agreement. Additionally, those employees who work directly with background screening research tools and results are required to sign an agreement stating they will follow all applicable local, state, federal, FCRA and NAPBS guidelines and regulations.

**Please provide information regarding the level of staffing at your organization's facilities, as well as the level of staffing at subcontractors' facilities, if known.**

Castle Branch Inc. currently has 360 employees throughout our various departments, as outlined in the provided organizational chart. As stated above, all of our employees undergo rigorous training and are trained on FCRA and legal compliance. We do not have any subcontractors, as Outsourcing is a practice Castle Branch Inc. avoids; the preference is to control all facets of the background screening process internally.

**Describe the risks associated with this Contract. What contingencies have been built in to mitigate those risks?**

Castle Branch Inc. maintains full responsibility for inaccuracies in data returns. At no point will the City be held accountable or required to rectify the information. We strictly adhere to all FCRA regulations in place to facilitate the dispute process in an effort to correct inaccurate or incomplete information.

**How does your company handle when mistakes are made regarding an individual's background checks (ie a Report made on the incorrect individual)? Describe your due diligence process for ensuring the correct person is investigated.**

Castle Branch Inc. takes several steps to ensure that the correct person is investigated, as criminal background searches are dependent upon the data entered by the client or applicant during the order process.

Castle Branch Inc. checks for at least 2 person identifiers, such as Social Security Number or date of birth for each records to ensure the correct person is investigated. Castle Branch Inc. will notify authorized users at the City when bad or missing information is detected prior to the completion of a background search. Emails will be sent to authorized users indicating when an order is missing information and when additional input is needed from the client and/or applicant. Email alerts will also be sent to authorized users to verify or correct bad information, such as if the provided information concerning an applicant's name, SSN or date of birth does not match information found in public records databases. After notification, our due diligence period for the correct information is either 3 or 10 days, depending on the information needed. If the information is corrected before the background search is completed, there will be no additional charges or fees for this service. However, if inaccurate information is supplied during the order process, either intentionally or unintentionally, and a background search is completed, it may be necessary to purchase an additional background check with updated information.

If incorrect information is processed, Castle Branch Inc. maintains full responsibility for inaccuracies in data returns. At no point will the City be held accountable or required to rectify the information. We strictly adhere to all FCRA regulations in place to facilitate the dispute process in an effort to correct inaccurate or incomplete information. The dispute process is described below:

- Applicant responds to pre-adverse letter (provided by Castle Branch Inc.) notifying Castle Branch Inc. that the applicant's consumer file contains inaccuracies
- A customer consultant notifies the client that an applicant has initiated a dispute based on the report provided
- A pre-adverse action form is provided by Castle Branch Inc. to the applicant
- Applicant has five days to complete and return form – during this time, a client cannot make a hiring decision as the investigation is in progress
- A research specialist will review the dispute form and the final report to determine if it is a legitimate dispute
- A research specialist will then take the following steps to resolve the complaint:
  - Contact the original researcher to verify the information provided in the order
  - Contact the court clerk to confirm case identifiers
  - Order case files and fingerprint cards when necessary
  - Confirm case files are up-to-date and that identification is confirmed based on date of birth, social security and residential history made available during the

order process

- Details of the dispute are captured in the internal customer relationship management (CRM) application
- Researchers will make a final decision on the validity of the dispute
- Results from the dispute are presented
  - If the dispute is valid based on inaccuracies from a vendor or courthouse, the records are updated; the client is notified that the dispute is resolved, and the applicant is cleared to be considered for the position
  - If the original report was correct, adverse action letters are provided to the client within AP. Clients complete and distribute to the applicant advising that, due to their policies, results from the background screening will prevent them from being further considered for the position.

**What information does your company need in order to conduct an internet social media search?**

The information needed to conduct an internet social media search depends on the type of search requested. If basic applicant information is submitted, such as name and country, a social media search with that identifying information will be returned. If more information is entered, such as address, email, keywords, date of birth or previous schools, more social media information that corresponds with the submitted information will be returned.

**How do you handle states that require release forms to obtain Reports?**

Castle Branch Inc. maintains full compliance with all local, state and federal laws concerning the background screening industry. If a state requires a release form to obtain reports, then we require that the applicant provide the requested information.

**Does your company have an online Report tracking system where City users can monitor the status of each Report requested?**

Yes, Castle Branch Inc.'s Administrator Portal (AP) is our secure, online system through which background investigation orders are placed, monitored and reviewed. Accessible 24 hours a day, seven days a week, AP is highly flexible and will be tailored to meet the unique needs of the City. AP is capable of creating custom reports, modifying search qualifiers and providing multiple accounts for tracking and invoicing purposes.



Once a background investigation is completed, our system allows applicants and clients to access an electronic PDF copy of the certified report. Applicants are provided instructions to access their electronic results via our secure system. Clients can view these reports through AP. Clients will receive email notifications as background screening reports are completed and available via AP or as partial results are returned, upon request.

Within AP, Castle Branch Inc. has created a useful selection of tools to further enhance the background screening process.

Additional reporting tools accessible through AP include:

**Record Scan**




This service saves administrators time and effort by providing an intuitive visual key indicating the report status. Castle Branch Inc. researchers scan all background investigation results and alert clients of their statuses using one of two easily-identifiable symbols:

	Order passes; no records found
	Records or errors found; further action or review is needed

Complete reports are available to view through AP.

**Extensive Review**

Castle Branch Inc. will review background screening results and identify if a report passes, requires further review or fails to meet a client's specified criteria. During system setup, clients can predefine rules related to certain felony and misdemeanor charges and convictions. If an applicant's record contains one of the predefined offenses, the applicant automatically fails and a red "X" displays as the status indicator. This feature, available for an additional charge, allows administrators to immediately dismiss failing applicants without having to spend additional resources to personally review the record.

	Order passes the client's specified criteria
	Records or errors found; client should review results
	Order fails the client's specified criteria

**If so, describe your process of adding, removing or adjusting City users' accounts for your online system. Can the City have multiple levels of users (i.e. division-specific and department-wide)?**

Each authorized user is given a unique username and password to access AP. The City will select which users will have global administrator status, which allows universal access to all orders placed for your organization. Global administrators will determine which additional employees have system access. Permission levels for additional employees can be set to ensure sensitive information is appropriately shared and restricted. AP allows for an unlimited number of users.

**Describe the security in place to ensure that submitted requests are kept confidential.**

For a full description of our security measures, including ensuring that submitted requests are kept confidential, please see our response to Section 3.6.

**Describe your retention schedule for Report provided to the City. Do you retain previously conducted Reports in case the City requires them at a later date?**

Castle Branch Inc. retains all order (Report) data indefinitely. Data is archived and backed up on servers stored within our secure network rooms that are under constant remote video surveillance. Historical data, from previously conducted reports, is available 24/7 to authorized users at the City and is searchable through AP. While older data can be archived per client request, administrators can still access the information through AP.

**Section 6**  
**Required Forms**

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**REQUIRED FORM 9 – CRIMINAL RECORD SEARCH DETAIL**

**RFP # 269-2015-078**

**Background Investigation Services**

Service Providers shall indicate below what detail their criminal record search will include.

<b>Item</b>	<b>Description</b>
Background Investigation	*

\*Castle Branch Inc. has accumulated numerous systems over our 18-year history that enable us to complete many searches in-house, saving our clients both time and money. Castle Branch Inc. is also networked with over 14,000 researchers who are independently contracted to retrieve county criminal records directly from courthouses. This allows us to provide the most accurate and up-to-date criminal records available. We have access to numerous databases, including (but not limited to) state repositories, federal district court repositories, sex offender registries, the Pacer Database, Department of Corrections, Office of Foreign Asset Control, Department of Justice systems and more to provide the City the most comprehensive reports in a timely manner.

Castle Branch Inc. has provided a description of the methods and databases that we employ to conduct the searches requested by the City in our response to Section 3.2.1, 3.2.2 and 3.2.3.

For a sample background report customized to the City's requirements, please see our response to Section 4.1.5, beginning on the following page.

## 4.1.5 SAMPLES

**Service Providers shall include in their Proposal one (1) of each of the following:**

- **A sample Report as described in 3.2.1 with no items of concern reported by the Service Provider;**
- **A sample Report as described in 3.2.1 with at least one (1) item of concern reported by the service provider**
- **A sample MVR as described in 3.2.2 with no items of concern reported by the Service Provider; and**
- **A sample MVR as described in 3.2.2 with at least one (1) item of concern reported by the Service Provider**

Castle Branch Inc. has provided the sample requested in section 4.1.5 on the following pages. Please note that our MVR search is often done in conjunction with a background check. To accurately portray our background check reports, we have kept the MVR search within the sample background check report. Sample Report #1 includes both the items in 3.2.1 and the MVR in 3.2.2 with no items of concern. Sample Report #2 includes the items in 3.2.1 and the MVR in 3.2.2 with at least one item of concern.

# SAMPLE REPORT #1



## RESULTS SUMMARY

CASTLEBRANCH

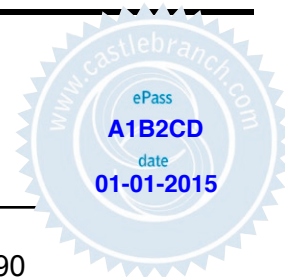
www.castlebranch.com  
PH: (910) 815-3880 FAX: (910) 815-3881

Company Name: BRENTFORD REALTY, INC

Order Date: 01/01/2015

Company ID: BG68

Order ID: 1234-5678-1234-5678



First Name: JANE

Middle Name: A

Last Name: DEMO

Date of Birth (DOB): 01-01-1990

Social Security Number (SSN): \*\*\*-\*\*-\*\*\*\*

### Social Security Alert

ssn	name	date of birth	status
***-**-1234	DEMO, JANE A	01-01-1990	COMPLETED

### Residency History

ssn	name	date of birth	status
***-**-1234	DEMO, JANE A	01-01-1990	COMPLETED

### Criminal Records

records found	name	location	status
NO	DEMO, JANE A	US - NC	COMPLETED
NO	JANE TEST	US - NC	COMPLETED

### Federal Criminal

records found	name	location	status
NO	DEMO, JANE A	US	COMPLETED

### NW Record Indicator with SOI

records found	name	status
NO	DEMO, JANE	COMPLETED

### Motor Vehicle

driving history	license number	state	status
MVR CLEAR	1234567890	NC	COMPLETED





# SOCIAL SECURITY ALERT RESULTS

CASTLEBRANCH

www.castlebranch.com  
PH: (910) 815-3880 FAX: (910) 815-3881

**Company:** BRENTFORD REALTY, INC

**Order ID:** 1234-5678-1234-5678

**Item Date:** 01/01/2015

**Name:** JANE A DEMO

**Date of Birth (DOB):** 01-01-1990

**Social Security Number (SSN):** \*\*\*-\*\*-1234

**Location:** US - NATIONWIDE

## Applicant Provided Information

### Social Security Alert

Based on a search of public and private databases, the following information is associated with the provided social security number:

<u>name information</u>	<u>date of birth information</u>
JANE A TEST	01-01-1990
JANE A DEMO	01-01-2015
JANE TEST	01-01-1990

The only way to verify a Social Security Number is through the Social Security Administration (SSA). The SSA does not allow third parties, including employment screening companies, to verify Social Security Numbers. Verification of a Social Security Number can be done only by employers and only after they have extended a job offer to an individual. To verify an employee's Social Security Number, call 1-800-772-6270. Please have the employee's name as it appears on the Social Security card, Date of Birth, Sex, and your company's Federal EIN number ready to expedite this process.

All searches have a minimum scope of 7 years unless otherwise noted. The proceeding records may belong to the individual in question. A series of identifiers, including all or some combination of the following, were used in reporting these records: name, date of birth, address, sex, race, and social security number. Criminal records generally do not include a social security number. As a result, Castle Branch makes no claim or guarantee that these records belong to the individual in question. It is possible that the proceeding records do not apply to the name submitted. Castle Branch urges all organizations to investigate any claims that these records are not those of the individual in question. For questions concerning these records please call (910) 815-3880.







# RESIDENCY HISTORY RESULTS

**CASTLEBRANCH**

www.castlebranch.com  
PH: (910) 815-3880 FAX: (910) 815-3881

**Company:** BRENTFORD REALTY, INC

**Order ID:** 1234-5678-1234-5678

**Item Date:** 01/01/2015

**Name:** JANE A DEMO

**Date of Birth (DOB):** 01-01-1990

**Social Security Number (SSN):** \*\*\*-\*\*-1234

**Location:** US - NATIONWIDE

## Applicant Provided Information

## Residency History

<u>name</u>	<u>address</u>	<u>dates</u>
JANE A TEST	**** MAIN RD,LIBERTY,NC 12345-1234	08/2005 TO PRESENT
JANE A DEMO	**** EXAMPLE RD,ASHEBORO,NC 12345-1234	05/31/2012 TO 01/01/2015
JANE TEST	**** EXAMPLE RD,ASHEBORO,NC 12345-1234	05/31/2012 TO 01/01/2015

\*It is possible for names, addresses, and/or dates to be reported that are not legitimately connected to the identifiers submitted in the search. Inaccurate information is typically caused by a data entry error in a credit data system in the past.

All searches have a minimum scope of 7 years unless otherwise noted. The proceeding records may belong to the individual in question. A series of identifiers, including all or some combination of the following, were used in reporting these records: name, date of birth, address, sex, race, and social security number. Criminal records generally do not include a social security number. As a result, Castle Branch makes no claim or guarantee that these records belong to the individual in question. It is possible that the proceeding records do not apply to the name submitted. Castle Branch urges all organizations to investigate any claims that these records are not those of the individual in question. For questions concerning these records please call (910) 815-3880.





# MOTOR VEHICLE RECORD RESULTS

**CASTLEBRANCH**

www.castlebranch.com  
PH: (910) 815-3880 FAX: (910) 815-3881

**Company:** BRENTFORD REALTY, INC

**Order ID:** 1234-5678-1234-5678

**Item Date:** 01/01/2015

**Name:** JANE A DEMO

**Date of Birth (DOB):** 01-01-1990

**Social Security Number (SSN):** \*\*\*-\*\*-1234

**Location:** US - NORTH CAROLINA

### License Information

<u>License Number</u>	<u>State</u>	<u>Status</u>	<u>Total Points</u>
1234567890	NC	ACTIVE	0
<u>Class</u>	<u>Issue Date</u>	<u>Expiration Date</u>	
C	01-01-11	01-01-15	

### Restrictions

### Endorsements

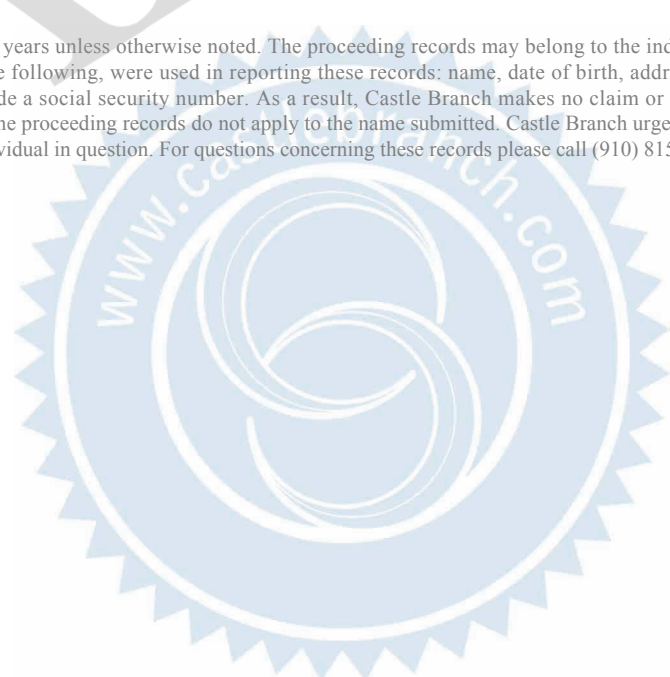
### Actions

<u>Date</u>	<u>Action End Date</u>	<u>Action</u>	<u>Description</u>	<u>Points</u>
-------------	------------------------	---------------	--------------------	---------------

### Notes

- PLEASE NOTE MIDDLE NAME ON FILE.

All searches have a minimum scope of 7 years unless otherwise noted. The proceeding records may belong to the individual in question. A series of identifiers, including all or some combination of the following, were used in reporting these records: name, date of birth, address, sex, race, and social security number. Criminal records generally do not include a social security number. As a result, Castle Branch makes no claim or guarantee that these records belong to the individual in question. It is possible that the proceeding records do not apply to the name submitted. Castle Branch urges all organizations to investigate any claims that these records are not those of the individual in question. For questions concerning these records please call (910) 815-3880.





JANE A DEMO

## Viewing a Background Check

Background check results from Castle Branch, Inc. are available online at [www.CastleBranch.com](http://www.CastleBranch.com). To view results for the applicant above, enter the ePass provided below in the "view background check" box on the website. Individual applicants may also review their results using this information.

Castle Branch background check results contain a seal of certification and a unique password (ePass). As requested, background check results may be faxed, emailed or printed. Reviewing a background check directly from the Castle Branch website provides a real-time look at results. This assures that the results are accurate and the applicant has not tampered with them.

ePass  
**A1B2CD**

date  
**01/01/2015**

Please contact us with any questions that you may have, or if your organization would like more information about our services.

*Para información en español, visite [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore) o escribe a la Consumer Financial Protection Bureau, 1700 G Street N.W., Washington, DC 20552.*

## **A Summary of Your Rights Under the Fair Credit Reporting Act**

The federal Fair Credit Reporting Act (FCRA) promotes the accuracy, fairness, and privacy of information in the files of consumer reporting agencies. There are many types of consumer reporting agencies, including credit bureaus and specialty agencies (such as agencies that sell information about check writing histories, medical records, and rental history records). Here is a summary of your major rights under the FCRA. **For more information, including information about additional rights, go to [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore) or write to: Consumer Financial Protection Bureau, 1700 G Street N.W., Washington, DC 20552.**

- **You must be told if information in your file has been used against you.** Anyone who uses a credit report or another type of consumer report to deny your application for credit, insurance, or employment – or to take another adverse action against you – must tell you, and must give you the name, address, and phone number of the agency that provided the information.
- **You have the right to know what is in your file.** You may request and obtain all the information about you in the files of a consumer reporting agency (your “file disclosure”). You will be required to provide proper identification, which may include your Social Security number. In many cases, the disclosure will be free. You are entitled to a free file disclosure if:
  - a person has taken adverse action against you because of information in your credit report;
  - you are the victim of identify theft and place a fraud alert in your file;
  - your file contains inaccurate information as a result of fraud;
  - you are on public assistance;
  - you are unemployed but expect to apply for employment within 60 days.

In addition, all consumers are entitled to one free disclosure every 12 months upon request from each nationwide credit bureau and from nationwide specialty consumer reporting agencies. See [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore) for additional information.

- **You have the right to ask for a credit score.** Credit scores are numerical summaries of your credit-worthiness based on information from credit bureaus. You may request a credit score from consumer reporting agencies that create scores or distribute scores used in residential real property loans, but you will have to pay for it. In some mortgage transactions, you will receive credit score information for free from the mortgage lender.
- **You have the right to dispute incomplete or inaccurate information.** If you identify information in your file that is incomplete or inaccurate, and report it to the consumer reporting agency, the agency must investigate unless your dispute is frivolous. See [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore) for an explanation of dispute procedures.
- **Consumer reporting agencies must correct or delete inaccurate, incomplete, or unverifiable information.** Inaccurate, incomplete or unverifiable information must be removed

or corrected, usually within 30 days. However, a consumer reporting agency may continue to report information it has verified as accurate.

- **Consumer reporting agencies may not report outdated negative information.** In most cases, a consumer reporting agency may not report negative information that is more than seven years old, or bankruptcies that are more than 10 years old.

- **Access to your file is limited.** A consumer reporting agency may provide information about you only to people with a valid need – usually to consider an application with a creditor, insurer, employer, landlord, or other business. The FCRA specifies those with a valid need for access.

- **You must give your consent for reports to be provided to employers.** A consumer reporting agency may not give out information about you to your employer, or a potential employer, without your written consent given to the employer. Written consent generally is not required in the trucking industry. For more information, go to [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore).

- **You may limit “prescreened” offers of credit and insurance you get based on information in your credit report.** Unsolicited “prescreened” offers for credit and insurance must include a toll-free phone number you can call if you choose to remove your name and address from the lists these offers are based on. You may opt-out with the nationwide credit bureaus at 1-888-567-8688.

- **You may seek damages from violators.** If a consumer reporting agency, or, in some cases, a user of consumer reports or a furnisher of information to a consumer reporting agency violates the FCRA, you may be able to sue in state or federal court.

- **Identity theft victims and active duty military personnel have additional rights.** For more information, visit [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore).

**States may enforce the FCRA, and many states have their own consumer reporting laws. In some cases, you may have more rights under state law. For more information, contact your state or local consumer protection agency or your state Attorney General. For information about your federal rights, contact:**

**TYPE OF BUSINESS:**

1.a. Banks, savings associations, and credit unions with total assets of over \$10 billion and their affiliates.

b. Such affiliates that are not banks, savings associations, or credit unions also should list, in addition to the CFPB:

2. To the extent not included in item 1 above:

a. National banks, federal savings associations, and federal branches and federal agencies of foreign banks

b. State member banks, branches and agencies of foreign banks (other than federal branches, federal agencies, and Insured State Branches of Foreign Banks), commercial lending companies owned or controlled by foreign banks, and organizations operating under section 25 or 25A of the Federal Reserve Act

c. Nonmember Insured Banks, Insured State Branches of Foreign Banks, and insured state savings associations

d. Federal Credit Unions

3. Air carriers

4. Creditors Subject to Surface Transportation Board

5. Creditors Subject to Packers and Stockyards Act, 1921

6. Small Business Investment Companies

7. Brokers and Dealers

8. Federal Land Banks, Federal Land Bank Associations, Federal Intermediate Credit Banks, and Production Credit Associations

9. Retailers, Finance Companies, and All Other Creditors Not Listed Above

**CONTACT:**

a. Consumer Financial Protection Bureau  
1700 G Street NW  
Washington, DC 20552

b. Federal Trade Commission: Consumer Response Center – FCRA  
Washington, DC 20580  
(877) 382-4357

a. Office of the Comptroller of the Currency  
Customer Assistance Group  
1301 McKinney Street, Suite 3450  
Houston, TX 77010-9050

b. Federal Reserve Consumer Help Center  
P.O. Box 1200  
Minneapolis, MN 55480

c. FDIC Consumer Response Center  
1100 Walnut Street, Box #11  
Kansas City, MO 64106

d. National Credit Union Administration  
Office of Consumer Protection (OCP)  
Division of Consumer Compliance and Outreach (DCCO)  
1775 Duke Street  
Alexandria, VA 22314

Asst. General Counsel for Aviation Enforcement & Proceedings  
Aviation Consumer Protection Division  
Department of Transportation  
1200 New Jersey Avenue, SE  
Washington, DC 20590

Office of Proceedings, Surface Transportation Board  
Department of Transportation  
395 E Street S.W.  
Washington, DC 20423

Nearest Packers and Stockyards Administration area supervisor

Associate Deputy Administrator for Capital Access  
United States Small Business Administration  
409 Third Street, SW, 8th Floor  
Washington, DC 20416

Securities and Exchange Commission  
100 F St NE  
Washington, DC 20549

Farm Credit Administration  
1501 Farm Credit Drive  
McLean, VA 22102-5090

FTC Regional Office for region in which the creditor operates or  
Federal Trade Commission: Consumer Response Center – FCRA  
Washington, DC 20580  
(877) 382-4357

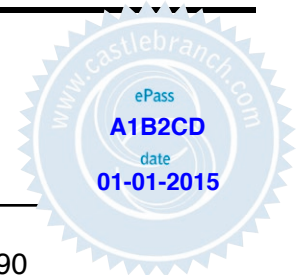


# SAMPLE REPORT #2

## RESULTS SUMMARY

CASTLEBRANCH

www.castlebranch.com  
PH: (910) 815-3880 FAX: (910) 815-3881



Company Name: BRENTFORD REALTY, INC

Order Date: 01/01/2015

Company ID: BG68

Order ID: 1234-5678-1234-5678

First Name: JANE  
Middle Name: A  
Last Name: DEMO

Date of Birth (DOB): 01-01-1990  
Social Security Number (SSN): \*\*\*-\*\*-\*\*\*\*

### Social Security Alert

ssn	name	date of birth	status
***-**-1234	DEMO, JANE A	01-01-1990	COMPLETED

### Residency History

ssn	name	date of birth	status
***-**-1234	DEMO, JANE A	01-01-1990	COMPLETED

### Criminal Records

records found	name	location	status
YES*	DEMO, JANE A	US - NC	COMPLETED
YES*	JANE TEST	US - NC	COMPLETED

### Federal Criminal

records found	name	location	status
NO	DEMO, JANE A	US	COMPLETED

### NW Record Indicator with SOI

records found	name	status
NO	DEMO, JANE	COMPLETED

### Motor Vehicle

driving history	license number	state	status
SEE DETAIL	1234567890	NC	COMPLETED
scope requested	7 YEARS - STANDARD		





# SOCIAL SECURITY ALERT RESULTS

CASTLEBRANCH

www.castlebranch.com  
PH: (910) 815-3880 FAX: (910) 815-3881

**Company:** BRENTFORD REALTY, INC

**Order ID:** 1234-5678-1234-5678

**Item Date:** 01/01/2015

**Name:** JANE A DEMO

**Date of Birth (DOB):** 01-01-1990

**Social Security Number (SSN):** \*\*\*-\*\*-1234

**Location:** US - NATIONWIDE

## Applicant Provided Information

### Social Security Alert

Based on a search of public and private databases, the following information is associated with the provided social security number:

<u>name information</u>	<u>date of birth information</u>
JANE A TEST	01-01-1990
JANE A DEMO	01-01-2015
JANE TEST	01-01-1990

The only way to verify a Social Security Number is through the Social Security Administration (SSA). The SSA does not allow third parties, including employment screening companies, to verify Social Security Numbers. Verification of a Social Security Number can be done only by employers and only after they have extended a job offer to an individual. To verify an employee's Social Security Number, call 1-800-772-6270. Please have the employee's name as it appears on the Social Security card, Date of Birth, Sex, and your company's Federal EIN number ready to expedite this process.

All searches have a minimum scope of 7 years unless otherwise noted. The proceeding records may belong to the individual in question. A series of identifiers, including all or some combination of the following, were used in reporting these records: name, date of birth, address, sex, race, and social security number. Criminal records generally do not include a social security number. As a result, Castle Branch makes no claim or guarantee that these records belong to the individual in question. It is possible that the proceeding records do not apply to the name submitted. Castle Branch urges all organizations to investigate any claims that these records are not those of the individual in question. For questions concerning these records please call (910) 815-3880.







# RESIDENCY HISTORY RESULTS

CASTLEBRANCH

www.castlebranch.com  
PH: (910) 815-3880 FAX: (910) 815-3881

**Company:** BRENTFORD REALTY, INC

**Order ID:** 1234-5678-1234-5678

**Item Date:** 01/01/2015

**Name:** JANE A DEMO

**Date of Birth (DOB):** 01-01-1990

**Social Security Number (SSN):** \*\*\*-\*\*-1234

**Location:** US - NATIONWIDE

## Applicant Provided Information

## Residency History

<u>name</u>	<u>address</u>	<u>dates</u>
JANE A TEST	**** MAIN RD,LIBERTY,NC 12345-1234	08/2005 TO PRESENT
JANE A DEMO	**** EXAMPLE RD,ASHEBORO,NC 12345-1234	05/31/2012 TO 01/01/2015
JANE TEST	**** EXAMPLE RD,ASHEBORO,NC 12345-1234	05/31/2012 TO 01/01/2015

\*It is possible for names, addresses, and/or dates to be reported that are not legitimately connected to the identifiers submitted in the search. Inaccurate information is typically caused by a data entry error in a credit data system in the past.

All searches have a minimum scope of 7 years unless otherwise noted. The proceeding records may belong to the individual in question. A series of identifiers, including all or some combination of the following, were used in reporting these records: name, date of birth, address, sex, race, and social security number. Criminal records generally do not include a social security number. As a result, Castle Branch makes no claim or guarantee that these records belong to the individual in question. It is possible that the proceeding records do not apply to the name submitted. Castle Branch urges all organizations to investigate any claims that these records are not those of the individual in question. For questions concerning these records please call (910) 815-3880.





Company: BRENTFORD REALTY, INC

Order ID: 1234-5678-1234-5678

Item Date: 01/01/2015

Name: JANE A DEMO  
Date of Birth (DOB): 01-01-1990  
Social Security Number (SSN): \*\*\*-\*\*-1234  
Location: US - NORTH CAROLINA  
Scope: 2008-2015

Record Match

CASE NUMBER AB12345678-00 IS A CONFIRMED MATCH.

Identifiers Section

Name on file: TEST, JANE  
DOB on file: 01-01-1990  
SSN on file: NONE REPORTED.  
Address on file: NONE REPORTED.  
City: RALEIGH  
State: NC  
Country: NONE REPORTED.  
Zip: 12345  
Address Verified By: NONE REPORTED.  
Drivers License Number: NONE REPORTED.

General Case Information

Reported out of: RALEIGH GENERAL DISTRICT COURT, NC  
Case Number: AB12345678-00  
Case Status: DISPOSED

Count/Charge Information

Count: 1  
Level of Charge: MISDEMEANOR  
Charge: OPEN CONTAINER OF ALCOHOL  
Plea: NONE REPORTED.  
Verdict: GUILTY  
Level of Conviction: MISDEMEANOR  
Convicted of: OPEN CONTAINER OF ALCOHOL  
Sentence: FINES, FEES  
Offense Date: 10/20/2014  
Trial Date: NONE REPORTED.  
Disposition Date: 10/27/2014

All searches have a minimum scope of 7 years unless otherwise noted. The proceeding records may belong to the individual in question. A series of identifiers, including all or some combination of the following, were used in reporting these records: name, date of birth, address, sex, race, and social security number. Criminal records generally do not include a social security number. As a result, Castle Branch makes no claim or guarantee that these records belong to the individual in question. It is possible that the proceeding records do not apply to the name submitted. Castle Branch urges all organizations to investigate any claims that these records are not those of the individual in question. For questions concerning these records please call (910) 815-3880.



Company: BRENTFORD REALTY, INC

Order ID: 1234-5678-1234-5678

Item Date: 01/01/2015

Name: JANE A DEMO

Date of Birth (DOB): 01-01-1990

Social Security Number (SSN): \*\*\*-\*\*-1234

Location: US - NORTH CAROLINA - NEW HANOVER COUNTY, NC

Scope: 2008-2015

Record Match

CASE NUMBER 14CR56745 IS A CONFIRMED MATCH.

Identifiers Section

Name on file:	JANE A DEMO
DOB on file:	01/01/1990
SSN on file:	***-**-1234
Address on file:	*** MAIN ROAD
City:	LIBERTY
State:	NC
Country:	USA
Zip:	12345
Address Verified By:	NONE REPORTED.
Drivers License Number:	NONE REPORTED.

General Case Information

Reported out of:	NEW HANOVER COUNTY COURT, NC
Case Number:	14CR56745
Case Status:	WARRANT RETURNED UNSERVED

Count/Charge Information

Count:	1
Level of Charge:	MISDEMEANOR SIMPLE WORTHLESS CHECK \$1500.00
Charge:	SIMPLE WORTHLESS CHECK \$1500.00
Plea:	NONE REPORTED.
Verdict:	NONE REPORTED.
Level of Conviction:	NONE REPORTED.
Convicted of:	NONE REPORTED.
Sentence:	NONE REPORTED.
Offense Date:	12-23-2013
Trial Date:	NONE REPORTED.
Disposition Date:	NONE REPORTED.

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# MOTOR VEHICLE RECORD RESULTS

**CASTLEBRANCH**

www.castlebranch.com  
PH: (910) 815-3880 FAX: (910) 815-3881

**Company:** BRENTFORD REALTY, INC

**Order ID:** 1234-5678-1234-5678

**Item Date:** 01/01/2015

**Name:** JANE A DEMO

**Date of Birth (DOB):** 01-01-1990

**Social Security Number (SSN):** \*\*\*-\*\*-1234

**Location:** US - NORTH CAROLINA

### License Information

<u>License Number</u>	<u>State</u>	<u>Status</u>	<u>Total Points</u>
1234567890	NC	ACTIVE	0
<u>Class</u>	<u>Issue Date</u>	<u>Expiration Date</u>	
C	01-01-11	01-01-15	

### Restrictions

### Endorsements

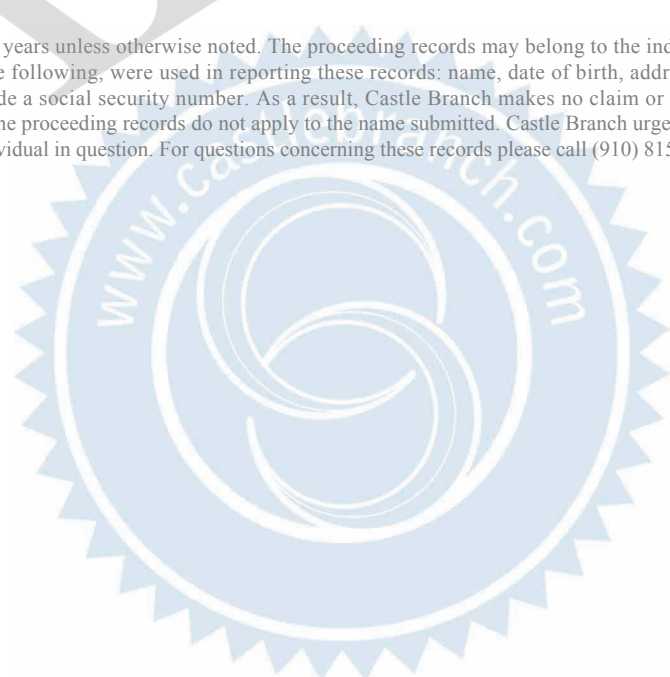
### Actions

<u>Date</u>	<u>Action End Date</u>	<u>Action</u>	<u>Description</u>	<u>Points</u>
01-01-15	01-01-15	REN ISS	CLS C EN:	0
01-01-14		ACDNT	RANDOLPH COUNTY, NC	0
01-01-13	01-01-13	ORG ISS	ID EN:	0

### Notes

- PLEASE NOTE MIDDLE NAME ON FILE.

All searches have a minimum scope of 7 years unless otherwise noted. The proceeding records may belong to the individual in question. A series of identifiers, including all or some combination of the following, were used in reporting these records: name, date of birth, address, sex, race, and social security number. Criminal records generally do not include a social security number. As a result, Castle Branch makes no claim or guarantee that these records belong to the individual in question. It is possible that the proceeding records do not apply to the name submitted. Castle Branch urges all organizations to investigate any claims that these records are not those of the individual in question. For questions concerning these records please call (910) 815-3880.





JANE A DEMO

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**CONTACT:**

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Washington, DC 20552

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Washington, DC 20580  
(877) 382-4357

a. Office of the Comptroller of the Currency  
Customer Assistance Group  
1301 McKinney Street, Suite 3450  
Houston, TX 77010-9050

b. Federal Reserve Consumer Help Center  
P.O. Box 1200  
Minneapolis, MN 55480

c. FDIC Consumer Response Center  
1100 Walnut Street, Box #11  
Kansas City, MO 64106

d. National Credit Union Administration  
Office of Consumer Protection (OCP)  
Division of Consumer Compliance and Outreach (DCCO)  
1775 Duke Street  
Alexandria, VA 22314

Asst. General Counsel for Aviation Enforcement & Proceedings  
Aviation Consumer Protection Division  
Department of Transportation  
1200 New Jersey Avenue, SE  
Washington, DC 20590

Office of Proceedings, Surface Transportation Board  
Department of Transportation  
395 E Street S.W.  
Washington, DC 20423

Nearest Packers and Stockyards Administration area supervisor

Associate Deputy Administrator for Capital Access  
United States Small Business Administration  
409 Third Street, SW, 8th Floor  
Washington, DC 20416

Securities and Exchange Commission  
100 F St NE  
Washington, DC 20549

Farm Credit Administration  
1501 Farm Credit Drive  
McLean, VA 22102-5090

FTC Regional Office for region in which the creditor operates or  
Federal Trade Commission: Consumer Response Center – FCRA  
Washington, DC 20580  
(877) 382-4357



## Exceptions to RFP

**Exceptions must be submitted in accordance with Section 1.6.13 of this RFP. If exceptions are not identified in your Proposal they may not be considered during Contract negotiation and could result in Proposal being rejected from further consideration. If legal counsel needs to review the Sample City Contract prior to signature, reviews must be completed before your Proposal is submitted.**

### **1.6.13. Exceptions to the RFP.**

**Other than exceptions that are stated in compliance with this Section, each Proposal shall be deemed to agree to comply with all terms, conditions, specifications, and requirements of this RFP including the Sample Contract language included as Section 7. An “exception” is defined as the Service Provider’s inability or unwillingness to meet a term, condition, specification, or requirement in the manner specified in the RFP including the Sample Contract language included as Section 7. All exceptions taken must be identified and explained in writing in your Proposal and must specifically reference the relevant section(s) of this RFP. If the Service Provider provides an alternate solution when taking an exception to a requirement, the benefits of this alternative solution and impact, if any, on any part of the remainder of the Service Provider’s solution, must be described in detail.**

Castle Branch Inc. would like to submit an exception in accordance with Section 1.6.13 of this RFP, quoted above. Our exception is with Required Form 4- Pricing Worksheet and the request that “Cost must be in United States dollars rounded to the nearest quarter of a dollar.”

Our pricing is provided herein in it's lowest possible form, and some of the cents do not come to an even quarter of a dollar. Instead of rounding up the search price to the nearest quarter, Castle Branch Inc. is taking exception as our alternate solution will be more financially beneficial to the City's monetary interests.

Additionally, while we do not currently have any explicit exceptions to the terms and conditions included in Exhibit A, we do ask that the City review our standard documents, including our client acknowledgments form, which requires clients to read and acknowledge receipt of FTC-mandated and FCRA documents. A sample of this document has been included in the “Supplemental Information” portion of our response.



*US ISS Agency, LLC*

*Proposal for Pre-Employment Background  
Investigation Services for the  
City of Charlotte*

*July 13, 2015*



July 13, 2015

Sarah J. Poulton  
Service and Technology Team Leader  
City of Charlotte  
Management & Financial Services  
Finance Office - Procurement Management  
600 East Fourth Street, CMGC - 9th Floor  
Charlotte, North Carolina 28202-2850

Ref: RFP# 269-2015-078  
Background Investigation Services

Dear Ms. Poulton:

ISS is grateful to have the opportunity to compete for the background investigation business for the City of Charlotte. We appreciate that this is an extremely competitive process that will likely hinge on several important criteria. Our company takes nothing for granted and we wish to be clear - we are totally committed to retaining our business with the City of Charlotte. I am pleased to offer the following proposal on behalf of our company in response to RFP #269-2015-078. The information contained in this proposal is true, accurate and complete, and it includes all information necessary to ensure that the statements therein do not in whole or in part mislead the City of Charlotte as to any material facts.

In competing for this important segment of business, we believe our professional qualifications together with our standard of performance in this area make us the best choice to continue providing these services. We base our proposed solution upon five pillars:

- Continue providing a reliable, trustworthy, and comprehensive criminal records check system
- Accurate, reliable and timely results
- Exceptional customer service
- Competitive pricing
- Value added consultative services

As detailed in our proposal, ISS will continue to provide full service background investigation and vetting services for the City of Charlotte from a basic criminal history to more complex due diligence investigations such as vetting an incoming key business executive. ISS has and always will remain a company that will tailor its services to the needs and requirements of our clients.

ISS can deliver the full range of database results from all those specified in the RFP to many not listed. We are prepared and able to tailor our services to the needs of the City. Our investigations cover misdemeanors, felonies, and crimes of similar gravity as well as sex offender information and social security verification. They also include credit histories, Department of Motor Vehicle checks, employment and education checks, civil court checks, personal references, and social media. All inquiries are based on the home residence(s) of the referenced applicant using industry longevity standards in compliance with the Federal Credit Reporting Act (FCRA). The bottom-line with ISS, we will tailor our services to the requirements of the City of Charlotte, the various departments, and will meet or exceed those expectations.

Our investigators all have extensive law enforcement experience, and our analysts have all trained under and are supervised by experienced former law enforcement executives. Our analysts receive extensive training on the Fair Credit Reporting Act (FCRA) and other applicable laws. We attest that our results are thorough, detailed, and comply with all laws.

We built our firm upon a reputation shaped from decades of government service where integrity, transparency, and doing the right thing were all stressed. In ten plus years, we have completed tens of thousands of background investigations from the simplest to the most complex. Our clients will confirm our commitment to accuracy, reliability, and timeliness. We have been a non-exclusive provider of background investigation services to the City of Charlotte for almost a decade, and we are not aware of one instance where anyone questioned the accuracy of our work. In the history of our firm, we have never had an insurance claim or lawsuit of any sort resulting from our background investigations.

At the core of our business is our commitment to exceptional customer service. We exemplify this best by the fact that we do not limit our client's access to us. We do not hide behind "normal" business hours or contracts that specify when we can be contacted with a question or concern. Quite the contrary, we encourage and appreciate our client's interaction with any of us at any time of the day or night. We freely provide our cell numbers, have a toll free number, and pay for an after-hours phone service where the City of Charlotte staff could speak first with a real human. In the history of our contract, City staff have engaged us several times afterhours, and we have always responded and delivered.

With regard to pricing, we understand in the background business, there are always firms offering cut-rate pricing, often with dated, incomplete, or inaccurate information. We have done our level best to provide the City with fair and stable pricing by watching our margins. To this point, when some of our suppliers added a "fuel surcharge" to their pricing a few years ago, we absorbed that cost rather than passing it on. Additionally, we have modified our pricing very little over the ten

years we have been in business. We think our steady pricing combined with intangibles like our experience and expertise provides incomparable value.

We treat each background as an investigation and not as a check. As such, there is probably no other firm in the state or region that has the depth and breadth of investigative expertise we have. In addition, we have considerable experience navigating the intricacies of the Fair Credit Reporting Act and the North Carolina Personnel Privacy Act. We have made hiring decisions, testified in court on personnel matters, contributed to and interpreted database results on a daily basis for decades and have collective investigative experience that totals a couple of centuries. In short, we understand how background investigations fit in the larger context of the hiring process. We offer this collective wisdom, experience, and expertise as part of our commitment to the City.

Finally, I would note that we understand and have substantial experience within local government, both as participants and managers, and later as suppliers of pre-employment screening and security-related services. At one time or another, we have ourselves confronted the same challenges that our government clients are facing today. Again, this depth of experience is something few of our competitors can match. We are proud of the fact that the City of Charlotte was our first official client nearly eleven years ago, and we will endeavor through this RFP to keep the City, hopefully, for another three plus years.

Sincerely,

Robert L. Schurmeier

Bob Schurmeier  
President - U.S. ISS Agency, LLC  
13801 Reese Boulevard West - Suite 180  
Huntersville, North Carolina 28078  
Office: Phone (704) 525-5221  
Cell Phone: (704) 621-1014  
Fax: (704) 248-5680  
Email: [rschurmeier@isecureus.com](mailto:rschurmeier@isecureus.com)

[www.isecureus.com](http://www.isecureus.com)



## PROPOSED SOLUTION

### 1. SCOPE OF BACKGROUND INVESTIGATION SERVICES.

#### 3.1 General Scope.

The City requires background investigations and comprehensive Reports on all final job candidates pursuing City employment, as well employees seeking transfer or promotion. All City Departments may utilize the Services.

While the City is flexible with respect to certain elements of its proposed relationship with the Background Investigation Services Provider, the City has certain preferences for that relationship and has developed the following proposed model for that relationship.

ISS provides full service background and vetting services for our clients from a basic criminal history to complex due diligence investigations such as vetting the cabinet for an incoming governor. ISS has and always will remain a company that will tailor its services to the needs and requirements of our clients.

ISS proposes to continue to provide the City of Charlotte reliable, trustworthy and comprehensive background investigations meeting or exceeding all requirements set forth in this RFP. If needed, we can include international background investigations. Our investigators all have extensive law enforcement experience, and our analysts have all trained under and are supervised by experienced former law enforcement executives. Our analysts receive extensive training on the Fair Credit Reporting Act (FCRA) and other applicable laws. We attest that our results comply with all laws.

ISS can deliver the full range of database results from all those specified in the RFP to many not listed. We are prepared and able to tailor our services to the needs of the City. Our checks cover misdemeanors, felonies, and crimes of similar gravity as well as sex offender information and social security verification. They also include credit histories, Department of Motor Vehicle checks, employment and education checks, civil court checks, personal references, and social media. All inquiries are based on the home residence(s) of the referenced applicant using industry longevity standards in compliance with the Federal Credit Reporting Act (FCRA). The bottom-line with ISS, we will tailor our services to the requirements of the City of Charlotte, the various departments, and will meet or exceed those expectations.

#### 3.2 Service Provider Responsibilities.

The Service Provider shall provide background investigation Reports as well as other additional search types as outlined below. All requests from the City for any Report shall be provided within forty-eight (48) business hours from submission of the request. If the Service Provider is not able to comply with the forty-eight (48) hour turnaround requirement for reasons out of their control, they must notify the City immediately and provide an estimated delivery time. The Service Provider shall establish policies and procedures for handling and processing the City requests, while submitting management reports and providing training on procedures. The Service Provider shall provide quarterly utilization reports to the City Project Manager to reflect a breakdown of utilization and cost by Department.

ISS is aware that in addition to providing one hundred percent accurate results time is of the essence. We have a tried and true process that enables us to meet or exceed the time requirements of this RFP. If, for some reason, the turnaround time extends beyond 48 hours, we follow the City's guidelines for processing and notifying the City of delayed results. ISS has longstanding policies and procedures that address the processing of City backgrounds. The senior analyst who would provide the backgrounds under this RFP is trained and already oriented to the City's practices and procedures for over 7 years ago. We will provide the desired quarterly management reports and any other such reports as the City may request or require.

### 3.2.1 Basic Background Investigation Reports.

Background investigation Reports shall include, but may not be limited to, the following:

- Social security verification;
- National federal criminal record search;
- National multi-state criminal record search;
- North Carolina criminal record search; and
- Search of the criminal records of any known state of residence to include those states reflected by the social security verification and on the application. Any driving offenses that qualify as criminal charges must also be included in this type of Report.

## **Descriptions of Services**

### **Social Security Verification**

Social security verification not only verifies that the number provided is a valid Social Security number, but also ensures that the number belongs to the applicant, reports the year issued, and in which state. This search also identifies previous names and/or aliases associated with the applicant as well as addresses linked with the number. Our analysts and investigators use this information to guide and strengthen other parts of the background investigation. This search typically takes one (1) business day.

### **National Federal Criminal Search**

With online access to the federal court system, we search for any criminal, civil, or bankruptcy filings involving the applicant. Federal criminal searches include felonies and misdemeanors involving federal law with a seven (7) year minimum or as reportable by law. The time required of this search is typically one (1) business day.

### **National Multi-State Criminal Record**

To satisfy and/or exceed the requirements of this search, ISS recommends the **National County by County Criminal Records Search**. This search is the most thorough national search available to the private sector. It searches all publicly available criminal records, not only those in all state databases, but also county records in locations where the applicant has lived within the past seven (7) years. In addition

to running the applicant's given name, we run aka's and "sounds-like" options. This search also identifies any addresses associated with the person and checks the county records in that location.

At least seven states do not have available state databases for criminal records. In these states, a county-by-county search is typically required to ensure that the needed records are not overlooked. In addition, this comprehensive search eliminates the need to conduct redundant individual state searches, as all states are included in this search. The results of these searches are FCRA compliant and automatically takes into consideration the fact that each state has its own reporting restrictions concerning criminal arrest and conviction data and records. In the states that require additional consent forms, those must be signed or notarized with original signatures, the National County by County Criminal Records Search is a viable alternative to state searches and these burdensome extra requirements. In addition, the National County-by-County Record Search is also an alternative when states have delayed turnaround times for delivering criminal history reports such as New York, Pennsylvania, and Nevada.

Criminal record searches will include all adult convictions and deferred adjudication cases regardless of when the conviction was reported. In addition, criminal record searches will include all historical activity regardless of the adjudication for the previous seven years. The Social Security Number (SSN) trace reviews the historical and logical connection between the applicant and the SSN based on history of use, including residency history to verify that the applicant did not omit any previous address(es) in the applicant supplied information. Driving charges considered criminal offenses are included in the criminal history report.

Note: ISS does not charge additional fees for background searches other than the fees set forth in this bid. However, additional charges might be incurred, if a search must be re-entered or if a data entry error is made like entering the wrong or misspelling a name. Additional charges might also apply if an "aka" is searched or maiden names.

### **North Carolina Criminal Record Search**

This is a search of the North Carolina Administrative Office of the Courts records including criminal offenses and traffic violations (note: traffic violations are not typically reported on national searches). We will report not only past offenses, but also pending actions, including traffic cases.

### **Search of the criminal records of any known state of residence to include those states reflected by the social security verification and on the application. Any driving offenses that qualify as criminal charges must also be included in this type of Report.**

By using the National Criminal County by County Record search, all states that make their statewide criminal repositories available would be queried and the results reported. This means that states where the person never lived in, but could have been arrested in are searched. In addition to statewide searches, every county the person lived in for the past seven years would be searched at the county level and the results reported, seven years or older, if records are available or as according to current law. The search includes a Social Security Number (SSN) trace that reviews the historical and logical connection between the applicant and the SSN based on history of use, including residency history to verify that the applicant did not omit any previous address(es) in his or her application. In addition to the state searches, the



National Criminal County by County searches each county in which the applicant has lived for the previous seven years or allowed by law identified in the SSN.

### 3.2.2 Motor Vehicle Report (MVR).

The Service Provider shall provide Motor Vehicle Reports (MVR), which shall be for a minimum of seven (7) years of driving history. MVRs shall include all states the candidate has lived in for the past seven (7) years. Any driving offenses that are criminal must be reported in the MVR as well as the Basic Report.

### **Motor Vehicle Report (MVR)**

The Department of Motor Vehicle Check searches and provides information for license status, traffic offenses, revocations, or suspensions of the applicant's driving privileges. The time required for search varies by state, but usually one (1) business day except for Alaska, which averages seven plus (7+) business days, Oregon five (5) business days, and Pennsylvania, which averages five (5) business days. These searches include any traffic offenses that classified as criminal charges and reported not only in the MVR report, but also in the criminal history check. The pricing varies by each state.

### 3..2.3 Additional Searches.

Additional Searches as requested by the Departments may include:

- Sex offender registry search;
- Credit history;
- Employment verification;
- Education verification;
- Note: CATS requires high school or equivalent verification.
- Professional license verification;
- Civil Court search;
- Personal references verification; and/or
- Internet social media search.

### **Multi-State Sex Offender Registry**

ISS analysts conduct a national search through the Department of Justice, which identifies any person who is a registered sex offender nationally. This search takes one (1) business day to complete.

### **State Sex Offender Registry**

Each state also maintains a state registry for sex offenders. Typically, ISS searches the national database eliminating the need to search each individual state. If the applicant has a common name, then our analysts search the states in which the applicant has lived based on the Social Security Trace, criminal background checks, or other information that we find listing a possible residence. This search takes one (1) business day to complete.

### **Credit History**

Our credit history presents the applicant's financial history and indebtedness in an easy to understand format. In compliance with the FCRA, these reports cover the past seven years of the applicant's credit history. The time required for this search is one (1) business day.

### **Employment Verification**

ISS contacts previous employers as determined by the client to verify employment, dates of employment, eligibility for rehire, salary, position, status, overall work reputation, and any basic information the employer will provide. We tailor this service to the client's requirements. We attempt to contact the employer directly, but many employers use "The Work Number," which requires paying a fee of \$27.95. ISS passes along this fee if it is applicable.

### **Education Verification**

ISS always prefers to contact the college or university directly to verify degrees, but the majority of institutions refer us to the National Clearinghouse. Where possible we will work directly with the college or university to verify a degree; otherwise, we will verify graduation through the National Clearinghouse. For high school verifications, we will work directly through the applicable school system. The time required for these searches is usually one (1) to three (3) business days depending on the response from the educational institution.

### **Professional License Verification**

ISS analysts will verify all certifications and licenses listed as held by an applicant. This information includes the licensee's current name and address, license type, license number, license status, and the license issue and expiration dates. This search takes two (2) business days.

### **Civil Court search**

ISS conducts a search of the North Carolina Administrative Office of the Courts (AOC) for past or pending civil actions at the county level based upon the counties that applicant has lived in within the past seven years. (Note: The Federal Court search includes any civil and bankruptcy filings as well as criminal history maintained by the federal courts and is a separate search). This search takes one (1) business day.

### **Personal references verification**

**Basic:** Our basic reference check involves contacting the reference to verify basic information about the applicant's background and character. We typically tailor this reference check to the client's needs. These contacts typically take two (2) plus days but depend entirely on the reference's willingness to talk or return a phone call in a timely manner.

### **Internet social media search**

ISS analysts search the more common social networking sites like Facebook, Twitter, and My Space, for inappropriate or unprofessional activities. We can tailor our searches to include any preferred or pertinent sites. ISS provides links to any sites determined to have questionable content and provide print screen images of the questionable postings.

### 3..2.3 Additional and Unforeseen Reports.

The City reserves the right to request additional services not detailed in the statement of work. The City agrees to compensate the Company at an agreed upon fee for any additional services requested by the City.

ISS is a customer service oriented company. We answer the phone outside business hours, on the weekends and holidays, and provide our cell phone numbers to our clients. We tailor our background services to suit the individual client's needs and will do so with the City as we have done in the past. We are prepared to handle any need or contingency related to background investigations. We can conduct background checks and investigations in over one hundred countries including criminal checks, driving checks, employment and reference verifications, credit histories, and other checks. We have a broad established network of current and former law enforcement officers and agents that we regularly call upon and will engage as needed for this RFP. .

### 3.3 Special Report Packages.

The City has certain routine and commonly used sets of Reports, known as Special Packages. Below are Special Packages that are required by various Departments:

#### 3.3.1 Charlotte Water Special Package.

Charlotte Water requires a Special Package that shall include:

- Social security verification
- National federal criminal record search;
- National multi-state criminal record search;
- North Carolina criminal record search;
- South Carolina criminal record search;
- Search of the criminal records of any known state of residence to include those states reflected by the social security verification and on the application. Any driving offenses that qualify as criminal charges must also be included in this type of Report;
- Education verification;
- MVR; and
- Sex offender registry search.

#### 3.3.2 Management & Financial Services Special Package.

The Management & Financial Services Department requires a Special Package that shall include:

- Social security verification;
- Sex offender registry search;
- National federal criminal record search;
- National multi-state criminal record search;

- North Carolina criminal record search; and
- Search of the criminal records of any known state of residence to include those states reflected by the social security verification and on the application. Any driving offenses that qualify as criminal charges must also be included in this type of Report.

### 3.3.3 Engineering and Property Management.

The Engineering and Property Management Department requires a Special Package that shall include:

- National federal criminal record search;
- National multi-state criminal record search;
- North Carolina criminal record search;
- MVR;
- Sex Offender Registry; and
- Search of the criminal records of any known state of residence to include including those states reflected by the social security verification and on the application. Any driving offense that qualify as criminal charges must also be included in this type report.

### 3.3.4 Solid Waste Services Special Package.

The Solid Waste Services Department requires a Special Package that shall include:

- Education verification;
- Sex Offender Registry Search;
- National Federal criminal record search;
- MVR;
- North Carolina criminal record search; and
- Employment verification.

Routinely, ISS works with its clients to tailor and package background and vetting services. Customer satisfaction is our goal. We can tailor services to meet the specific needs of the City of Charlotte and the different departments using our services. AppVerify, our own secure website, is a user friendly, point and click system that allows clients the ability to order and retrieve background-screening reports with “at a glance” status indicators based on standard or customized criteria for easy identification.

AppVerify offers the ability to share secure data with multiple locations within the City of Charlotte as determined by a user ID and password. AppVerify allows the City of Charlotte to register each department and the appropriate personnel within each department to request background checks. AppVerify offers the option to set a default search screen specific to the client’s needs for the background checks the client uses routinely. Each time the user activates the default screen, AppVerify automatically populates the

specific background checks according to the user’s preferences. Each Special Package user can set his or her default screen to appear each time accessed to list the background checks requested saving time and ensuring the same checks are conducted each time.

The screenshot shows the ISS web application interface. At the top left is the ISS logo. Below it, the text 'General Organization' is displayed. A navigation bar contains links for 'Home | About | Contact | My Account'. The main heading is 'Investigations - Set Background Investigation Defaults'. Below this heading, there is a dropdown menu for 'Organization' currently set to 'ISS Agency, LLC'. A sub-heading reads 'Set your organization background investigations request defaults.' Below this, a larger heading says 'Set your organizations default background investigations selections. This does not prevent you from custom mc of an individual request.' A list of checkboxes follows: North Carolina Criminal/Civil (unchecked), National Criminal (checked), Social Security Number Verification (checked), Federal Courts (checked), Credit Check (unchecked), Department of Motor Vehicles (checked), Sex Offender (checked), Wants and Warrants Check (unchecked), Social Networking Web Search (unchecked), Education Verification (unchecked), and Employment Verification (unchecked). At the bottom of the form are three buttons: 'Save', 'Reset', and 'Finished'. On the left side, there is a vertical navigation menu with categories: Executive (Applications List, Clients List, Users List, User Search, Create User, Maintenance, Promo Codes, Archive Management), Applications (Users w/Forms), Investigations (Investigation Types, Notification Emails, Investigations List, New Investigation), and Account Manager.

### 3.4 Reporting and Invoicing.

The Service Provider shall establish policies and procedures for handling and processing the Services for multiple Departments while submitting management reports, and providing training on procedures. Management reports shall include a quarterly breakdown of utilization and cost by Department.

The Service Provider shall establish account(s) per each Department’s billing requirements. Said accounting procedures shall be consistent with the accounting practices used by the City.

At the beginning of the contract, ISS staff will meet and confer with the key City of Charlotte staff to set or reaffirm work processes and procedures. We will review and clarify expectations, and discuss any concerns the City might have. ISS staff working on this project will be thoroughly trained on the requirements of the contract and expectations. As has been our practice, our staff will be available to discuss concerns as they arise during the term of this contract. As we are located only a few miles away, ISS will be available to meet with City staff face to face when requested.

ISS maintains a detailed record of every completed background investigation, documenting the date we received the request and the date completed. Using these records, we are able to ensure that our monthly

invoices accurately reflect the work completed. Each invoice will list the last name of each candidate vetted during that particular billing cycle. Care is taken to review monthly billing to ensure no overlap or double-billing takes place. Although we have long established billing processes with the City, we can and will update or modify them to come in to compliance with this RFP. We can adopt a billing and management reporting system similar to the City of El Paso where reports are individualized to each City department. We also train and orient our staff to follow the procedures established in this RFP.

### **3.5 Pricing.**

The City expects to establish a long-term relationship with its Background Investigation Services Service Provider in order to permit costs and fees to be distributed properly over a sufficient time period. For purposes of this RFP and the Service Provider's Proposal, assume an initial term of three (3) years, with the City having an option to renew for two (2) additional consecutive one- (1) year terms thereafter.

Regardless of exceptions taken, Service Providers shall provide pricing based on the requirements and terms set forth in this RFP. Pricing must be all-inclusive and cover every aspect of the Project. Cost must be in United States dollars rounded to the nearest quarter of a dollar. A pricing worksheet is provided in Section 6, Form 4 to assist you.

ISS is pleased to submit our bid for the RFP #269-2015-078 for services to provide background investigations for the City of Charlotte. With regard to costs, we believe our competitive advantage lies in our capacity to combine quality with efficiency, and in simply offering the best possible service at a reasonable price. Following this logic, we have set our prices at the most affordable level possible for each of the services specified in the RFP.

### **3.6 Security Requirements.**

The Service Provider must define and demonstrate security procedures that are in place. The City requires that security measures be taken – both physical security and network security, in that the City's information and other documents and data are made available only to the Service Provider and parties that the City approves. Describe your security procedures to include physical plant, electronic data, hard copy information, and employee security. Explain your point of accountability for all components of the security process. Describe the results of any third party security audits in the last five (5) years.

ISS has in place appropriate systems and procedures to ensure all information provided by the City of Charlotte as well as any other information from whatever source related to an applicant is secured properly. Company policies and procedures have long been in place that ensure the protection of sensitive information. All state, federal and local laws related to background investigations are complied with including the Federal Credit Reporting Act, the Privacy Act of 1974 as well as state statutes. We follow practices and procedures that meet or exceed Department of Homeland Security (DHS) security

requirements (DHS is a longstanding client of ours. In over ten years, there have been no documented breeches of our information either through physical or electronic means.

ISS uses the most current automated business equipment and procedures, including our own onsite secure server for receiving and responding to background investigation requests and similar work. Our systems use the most current technology to secure our firewalls from hackers. Additional features include anti-spam, anti-virus, antispyware, web filters, intrusion prevention and detection, and VPN. We monitor our system and update it regularly to keep abreast of the changing issues and trends, and to stay ahead of evolving threats to data security.

All requests and results received by ISS are stored onsite in secure locations, including a video monitored file storage room. All data is stored on our secure servers are backed up both onsite and at a secure location off site, thus eliminating the possibility of data loss. ISS uses a local company to provide IT support available 24/7–365 days a year to guarantee our systems are current and secure with no down time.

Our contractors conducting background investigation go through the same vetting process as our investigators and other employees, and only two primary engineers and the company owner, have access to the company network documentation. We also have a confidentiality agreement/employment agreement with each employee to safeguard our clients' information as well as our own. In addition, ISS meets or exceeds all relevant federal, state, and local laws governing the privacy and retention of confidential information. Our computerized systems are capable of transmitting confidential information in a safe and secure manner.

Our office is located in Huntersville, North Carolina. The building has card access outside normal business hours. Our office is locked 24/7 with only the full time employees having keys to access the office. Our office is video monitored and recorded for all activity inside the office including our secured file room. In addition, we negotiated a cleaning contract with our landlord that only permits cleaning during normal business hours when we are present.

ISS has several contracts including ones with the federal government that required periodic audits and reports. In addition, the North Carolina Private Protective Services Board governs private investigation agencies like ISS. ISS is subject to audits and/or inspections at any time. In the unlikely event that ISS is found to be responsible for errors or omissions, ISS agrees to indemnify, hold harmless, and defend the City of Charlotte against all claims of any kind arising out of its negligence in regards to the contract, and to provide evidence of insurance, naming as additional insured the City of Charlotte.

### **3.7 City Contract Requirements.**

The City will enter into a Contract written by the City with the successful Service Provider that contains the terms and conditions set forth in Exhibit A. Each Service Provider must state specifically in its Proposal any exceptions to the terms and conditions included in Exhibit A, and any proposed additional terms or conditions deemed important by the Service Provider. The City will take any such exceptions and proposed additions into account during the

evaluation process. Any terms and conditions that the Service Provider does not specifically object to will be incorporated into the resultant Contract. Notwithstanding the foregoing, the City reserves the right to change the proposed contractual terms and conditions prior to or during contract negotiations if it is in the City's best interest to do so.

ISS has reviewed the terms and conditions set forth in the example contract, Exhibit A. ISS fully accepts the terms and conditions of the RFP and the sample contract without any exceptions to any of the terms and conditions of the contract or RFP.

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## SUPPLEMENTAL INFORMATION

### **Additional Services ISS Provides**

ISS provides additional services covering any aspect of security and risk management. We also offer the following services.

**Media Search:** ISS conducts a preliminary search of print and electronic media archives for news articles, stories and editorials that feature the candidate. This provides a snapshot of how the individual is portrayed in the media and highlights any issues or controversies that might exist. **\$10.00**

**Military Service:** Analysts review the applicant's military service record and report the findings in a summary report. **\$15.00**

**County Tax Verification:** Analysts verify the status of applicable property tax payments to ensure that none is delinquent. **\$5.00**

**Wants and Warrants:** ISS analysts search national database records to determine if there are outstanding wants or warrants for the applicant in any jurisdiction in the U.S. **(\$6.00)**

**OFAC- Prohibited Parties/Terrorist Watch List:** Since the enactment of the federal Patriot Act, the United States Office of Foreign Assets Control has maintained a searchable database that includes an aggregation of terrorism and criminal related records from multiple national and international government sources. **(\$5.00)**

### **Employment and Character References Detailed**

Our detailed reference verifications rely on four unique elements:

- Interviews conducted by experienced law enforcement/military personnel
- In-depth question format and follow-up investigation
- Findings summarized in detailed, well-written reports
- Final process review by ISS



Former law enforcement personnel with years of investigative experience conduct our detailed reference verifications. Interviews begin with structured questions developed in conjunction with the client about the applicant's character, honesty, work ethic, strengths/weaknesses, etc. Depending on the interviewee's responses to these questions, our investigators may extend the interview to determine if there is anything of concern in the applicant's background.

Our investigators detail the findings from each interview in thorough, well-written reports that give our clients the utmost confidence in their final hiring decisions. In addition, we review our reporting process to ensure compliance with all applicable laws and regulations. **(\$100.00)**

COPY

REQUIRED FORM 2 - ADDENDA RECEIPT CONFIRMATION

RFP # 269-2015-078

Background Investigation Services

Please acknowledge receipt of all addenda by including this form with your Proposal. All addenda will be posted to [www.ips.state.nc.us](http://www.ips.state.nc.us).

ADDENDUM #:

DATE ADDENDUM  
DOWNLOADED FROM NC IPS:

#1 \_\_\_\_\_

July 1, 2015

#2 \_\_\_\_\_

July 9, 2015

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I certify that this proposal complies with the General and Specific Specifications and conditions issued by the City except as clearly marked in the attached copy.

Robert L. Schurmeier  
(Please Print Name)

July 13, 2015  
Date

Robert L. Schurmeier  
Authorized Signature

President & CEO  
Title

US ISS Agency, LLC.  
Company Name

**REQUIRED FORM 3 - PROPOSAL SUBMISSION FORM**

**RFP # 269-2015-078**

**Background Investigation Services**

This Proposal is submitted by:

Service Provider Name: US ISS Agency, LLC

Representative (printed): Robert L. Schurmeier

Representative (signed): Robert L. Schurmeier

Address: 13801 Reese Boulevard West Suite #180

City/State/Zip: Huntersville, North Carolina 28078

Email address: [rschurmeier@isecureus.com](mailto:rschurmeier@isecureus.com)

Telephone: Office: (704) 525-5221 Cell: (704) 621-7981  
(Area Code) Telephone Number

Facsimile: (704) 248-5680  
(Area Code) Fax Number

**The information contained in this Proposal or any part thereof, including its Exhibits, Schedules, and other documents and instruments delivered or to be delivered to the City, is true, accurate, and complete. This Proposal includes all information necessary to ensure that the statements therein do not in whole or in part mislead the City as to any material facts. It is understood by the Service Provider that the City reserves the right to reject any and all Proposals, to make awards on all items or on any items according to the best interest of the City, to waive formalities, technicalities, to recover and re-bid this RFP. Proposal is valid for one hundred and eighty (180) calendar days from the Proposal due date.**

US ISS Agency, LLC  
**Service Provider**

July 13, 2015  
**Date**

Robert L. Schurmeier  
**Authorized Signature**

Robert L. Schurmeier  
**Please type or print name**

**REQUIRED FORM 4 - PRICING WORKSHEET**

**RFP # 269-2015-078**

**BACKGROUND INVESTIGATION SERVICES**

Regardless of exceptions taken, Service Providers shall provide pricing based on the requirements and terms set forth in this RFP. Pricing must be all-inclusive and cover every aspect of the Project. Cost must be in United States dollars rounded to the nearest quarter of a dollar. If there are additional costs associated with the Services, please add to this chart. Your Price Proposal must reflect all costs that the City will be responsible for.

The Service Provider shall indicate their pricing for each of the below Reports and Searches as described in Section 3. Pricing.

Report or Search Type	Unit Cost
Social Security Verification	\$ <u>5.50</u>
National Federal Criminal Record Search	\$ <u>11.00</u>
Multi-State Criminal Record Search	\$ <u>39.00</u>
North Carolina Criminal Record Search	\$ <u>11.00</u>
State Sex Offender Registry	\$ <u>5.00</u>
Multi-State Sex Offender Registry	\$ <u>5.50</u>
Credit History Search	\$ <u>13.50</u>
NC Motor Vehicle Report	\$ <u>12.00</u>
Motor Vehicle Record for all other states	Varies by State
Employment Verification	\$ <u>16.50</u>
Education Verification	\$ <u>22.00</u>
Professional License Verification	\$ <u>16.50</u>
Civil Court Search	\$ <u>20.00</u>
Personal References Verification	\$ <u>16.50</u>
Internet Social Network Search	\$ <u>11.00</u>
Charlotte Water Special Package per Section 3.3.1	\$ <u>140.00</u>
Management & Financial Services Special Package per Section 3.3.2	\$ <u>71.00</u>
Engineering and Property Management Special Package per Section 3.3.3	\$ <u>77.50</u>
Solid Waste Services Special Package per Section 3.3.4	\$ <u>78.00</u>

ISS does not charge additional fees for background searches other the fees quoted in the bid. However, additional charges might occur if a search must be re-entered, if the client or applicant makes a data entry error such as entering the wrong name, spelling of name, or combination of names. Additional charges might apply if an “aka” is searched or maiden names searched. ISS does not charge for expedited requests.

Note:

- Some businesses or employers require verification for employment through the Work Number, which is an additional \$27.95 fee, added to the fee ISS charges for employment verification, if we are charged the fee.
- Included in the National Federal Criminal Search is civil actions and bankruptcy listings at no additional charge.
- The price for motor vehicle reports varies by state. For the prices quoted above, the MVR report is for North Carolina. See the attached pricing for each individual state.
- Criminal record checks at the state level vary in pricing from state to state. A pricing sheet is attached listing the fees for each state.

COPY

## **Special Package Pricing**

### **Engineering and Property Management Special Package:**

The Engineering and Property Management Department requires a Special Package that shall include:

- National federal criminal record search; \$11.00
- National multi-state criminal record search; \$38.00
- North Carolina criminal record search; \$11.00
- MVR; (North Carolina) \$12.00
- Sex offender registry search; and \$ 5.50
- Search of the criminal records of any known state of residence to include those states reflected by the social security verification and on the application. Any driving offenses that qualify as criminal charges must also be included in this type of Report (*included in the National Criminal County by County Record check*).

**Total: \$77.50**

### **Solid Waste Services Special Package:**

The Solid Waste Services Department requires a Special Package that shall include:

- Education verification; \$22.00
- Sex offender registry search; \$ 5.50
- National federal criminal record search; \$11.00
- MVR; (North Carolina) \$12.00
- North Carolina criminal record search; and \$11.00
- Employment verification \$16.50

**Total: \$78.00**

### **Charlotte Water Special Package.**

- Social security verification \$ 5.50
- National federal criminal record search; \$11.00
- National multi-state criminal record search; \$38.00
- North Carolina criminal record search; \$11.00
- South Carolina criminal record search; \$35.00
- Search of the criminal records of any known state of residence to include those states reflected by the social security verification and on the application. Any driving offenses that qualify as criminal charges must also be included in this type of Report (*included in the National Criminal County by County Record check*);
- Education verification; \$22.00
- MVR; and (North Carolina) \$12.00
- Sex offender registry search. \$ 5.50

**Total: \$140.00**

**Management & Financial Services Special Package.**

- Social security verification; \$ 5.50
- Sex offender registry search; \$ 5.50
- National federal criminal record search; \$11.00
- National multi-state criminal record search; \$38.00
- North Carolina criminal record search; and \$11.00
- Search of the criminal records of any known state of residence to include those states reflected by the social security verification and on the application. Any driving offenses that qualify, as criminal charges must also be included in this type of Report (*included in the National Criminal County by County Record check*).

**Total:** \$71.00

Note:

- Some businesses or employers require verification for employment through the Work Number, which is an additional \$27.95 fee, added to the fee ISS charges for employment verification, if we are charged the fee.
- Included in the National Federal Criminal Search is civil actions and bankruptcy listings at no additional charge.
- The price for motor vehicle reports varies by state. For the prices quoted above, the MVR report is for North Carolina. See the attached pricing for each individual state.
- Criminal record checks at the state level vary in pricing from state to state. A pricing sheet is attached listing the fees for each state.

**Motor Vehicle Report Pricing**  
**City of Charlotte**  
 July 13, 2015

Alabama	\$ 13.75	Missouri	\$ 9.00
Alaska	\$ 8.00	Montana	\$ 10.75
Arizona	\$ 9.00	Nebraska	\$ 5.50
Arkansas (Driver)	\$ 4.00	Nevada	\$ 11.50
Arkansas (Commercial)	\$ 18.00	New Hampshire	\$ 18.00
California	\$ 4.00	New Jersey	\$ 16.50
Colorado	\$ 4.50	New Mexico	\$ 9.00
Connecticut	\$ 24.00	New York	\$ 10.50
Delaware	\$ 20.50	North Carolina	\$ 12.00
District of Columbia	\$ 18.00	North Dakota	\$ 5.50
Florida	\$ 14.25	Ohio	\$ 8.00
Georgia	\$ 12.00	Oklahoma	\$ 36.00
Hawaii	\$ 30.50	Oregon	\$ 14.74
Idaho	\$ 13.00	Pennsylvania	\$ 16.50
Illinois	\$ 16.50	Rhode Island	\$ 26.50
Indiana	\$ 11.00	South Carolina	\$ 10.75
Iowa	\$ 12.25	South Dakota	\$ 8.00
Kansas	\$ 12.50	Tennessee	\$ 10.50
Kentucky	\$ 8.50	Texas	\$ 11.00
Louisiana	\$ 21.50	Utah	\$ 13.00
Maine	\$ 10.50	Vermont	\$ 23.00
Maryland	\$ 16.50	Virginia	\$ 10.50
Massachusetts	\$ 12.00	Washington	\$ 18.00
Michigan	\$ 12.00	West Virginia	\$ 13.00
Minnesota	\$ 8.00	Wisconsin	\$ 10.50
Mississippi	\$ 19.00	Wyoming	\$ 8.00



**State Criminal History Pricing Checks**  
**City of Charlotte**  
 July 13, 2015

<b>State</b>			
Alabama	\$ 19.25	Nebraska	\$ 25.75
Alaska	\$ 38.00	Nevada	\$ 32.00
Arizona	\$ 43.00	New Hampshire	\$ 32.00
Arkansas	\$ 40.50	New Jersey	\$ 48.00
California	N/A	New Mexico	\$ 22.00
Connecticut	\$ 75.75	New York	\$ 95.00
Colorado	\$ 21.75	North Dakota	\$ 75.75
Delaware	\$ 60.00	Ohio	\$ 40.75
Florida	\$ 43.25	Oklahoma	\$ 32.00
Georgia	\$ 19.50	Oregon	\$ 32.00
Hawaii	\$ 22.00	Pennsylvania	\$ 25.75
Idaho	\$ 25.75	Rhode Island	\$ 19.50
Illinois	\$ 25.75	South Carolina	\$ 35.00
Indiana	\$ 32.00	South Dakota	\$ 38.25
Iowa	\$ 32.00	Tennessee	\$ 49.50
Kansas	\$ 28.00	Texas	\$ 17.00
Kentucky	\$ 35.75	Utah	\$ 19.50
Louisiana	N/A	Vermont	N/A
Maine	\$ 44.50	Virginia	\$ 32.00
Maryland	\$ 19.50	Washington	\$ 25.75
Massachusetts	\$ 44.50	West Virginia	\$ 49.25
Michigan	\$ 25.75	Wisconsin	\$ 29.50
Minnesota	\$ 19.50	Wyoming	\$ 32.00
Mississippi	\$ 53.00	District of Columbia	N/A
Missouri	\$ 25.75		
Montana	\$ 27.50	N/A - Not Available	

**REQUIRED FORM 5 - PROPOSAL CERTIFICATION**

**RFP # 269-2015-078**

**Background Investigation Services**

SERVICE PROVIDER: US ISS Agency, LLC

The undersigned Service Provider hereby certifies and agrees that the following information is correct:

1. In preparing its proposal, the Service Provider has considered all proposals submitted from qualified, potential subcontractors and suppliers; and has not engaged in or condoned prohibited discrimination.
2. For purposes of this section, *prohibited discrimination* means discrimination against any person, business or other entity in contracting or purchasing practices on the basis of race, color, sex, or national origin. Without limiting the foregoing, *prohibited discrimination* also includes retaliating against any person, business or other entity for reporting any incident of prohibited discrimination.
3. Without limiting any other provision of the solicitation for proposals on this project, it is understood and agreed that, if this certification is false, such false certification will constitute grounds for the City to reject the bid submitted by the Bidder on this Project and to terminate any contract awarded based on such bid.
4. As a condition of contracting with the City, the Service Provider agrees to maintain documentation sufficient to demonstrate that it has not discriminated in its solicitation or selection of subcontractors. The Service Provider further agrees to promptly provide to the City all information and documentation that may be requested by the City from time to time regarding the solicitation and selection of subcontractors. Failure to maintain or failure to provide such information constitutes grounds for the City to reject the bid submitted by the Service Provider or terminate any contract awarded on such bid.

US ISS Agency, LLC

NAME OF FIRM

BY: Robert L. Schumieia  
SIGNATURE OF AUTHORIZED OFFICIAL

President & CEO

TITLE



**REQUIRED FORM 6 – MWSBE SUBCONTRACTOR UTILIZATION**

**RFP # 269-2015-078**

**Background Investigation Services**

The City maintains a strong commitment to the inclusion of MWSBEs in the City’s contracting and procurement process when there are viable subcontracting opportunities.

Service Providers must submit this form with their proposal outlining any supplies and/or services to be provided by each City certified Small Business Enterprise (SBE), and/or City registered Minority Business Enterprise (MBE) and Woman Business Enterprise (WBE) for the Contract. If the Service Provider is a City-registered MWSBE, note that on this form.

The City recommends you exhaust all efforts when identifying potential MWSBEs to participate on this RFP.

<b>Company Name:</b>	US ISS Agency, LLC
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Please indicate if your company is any of the following:

\_\_\_ MBE    \_\_\_ WBE    \_\_\_ SBE    \_\_\_ X None of the above

If your company has been certified with any of the agencies affiliated with the designations above, indicate which agency, the effective and expiration date of that certification below:

Agency Certifying: \_\_\_\_\_ Effective Date: \_\_\_\_\_ Expiration Date: \_\_\_\_\_

Identify outreach efforts that *were employed* by the firm to maximize inclusion of MWSBEs to be submitted with the firm’s proposal (attach additional sheets if needed):

None  
\_\_\_\_\_  
\_\_\_\_\_

Identify outreach efforts that *will be employed* by the firm to maximize inclusion during the contract period of the Project (attach additional sheets if needed):

None  
\_\_\_\_\_  
\_\_\_\_\_

*[Form continues on next page]*

List below all **MWSBEs** that you intend to use on this Contract.

Subcontractor Name	Description of work or materials	Indicate either "M", "S", and/or "W"	City Vendor #
None			

<b>Total MBE Utilization</b>	%
<b>Total WBE Utilization</b>	%
<b>Total SBE Utilization</b>	%
<b>Aggregate MWSBE Utilization</b>	0 %

July 13, 2015

Date

Robert L. Schummeia

Name, Title and Signature  
President & CEO

**REQUIRED FORM 7 – SERVICE PROVIDER BACKGROUND AND EXPERIENCE**

**RFP # 269-2015-078**

**BACKGROUND INVESTIGATION SERVICES**

Service Providers should complete and submit the form below as part of their response to this RFP.

<b>Question</b>	<b>Response</b>
<b>Service Provider Identification</b>	
Service Provider Name (Official Name)	US Investigative Security Services Agency, LLC (ISS)
Service Provider Location (corporate headquarters)	13801 Reese Boulevard West, Suite #180, Huntersville, North Carolina 28078
<b>Service Provider Experience</b>	
# of years in business:	10
# Of public sector clients using the services being proposed.	ISS has approximately 20 public sector clients using similar services
Identify by name some of the clients similar to City (e.g., similar in size, complexity, location, type of organization)	<ul style="list-style-type: none"> <li>• City of Charlotte (NC- Local Government)</li> <li>• City of El Paso (Texas – Local Government)</li> <li>• Columbia Police Department (SC – Local Government)</li> <li>• Mecklenburg County ABC (NC – Local Government)</li> <li>• Mecklenburg County Sheriff’s Office Department – (NC – Local Government)</li> <li>• Department of Homeland Security (Washington, DC – Federal Government)</li> </ul>
Identify national and regional user groups	GSA Schedule – Department of Homeland Security
List any terminated projects. Please disclose the company or jurisdiction and explain the reason for the termination.	None
List any litigation that you have been involved with during the past two (2) years on Background Investigation Services implementations.	None
Provide an overview and history of your company.	See Following Insert
Describe your total organization, including any parent companies, subsidiaries, affiliates and other related entities.	See Following Insert

Provide a management organization chart of your overall organization, showing director and officer positions and names and the reporting structure.	See Following Insert
Detail how long the company has been providing Background Investigation Services to local governments and include information regarding experience with similar Background Investigation Services projects.	See Following Insert
Describe the key individuals, along with their qualifications, professional certifications and experience that would comprise your organization's team for providing Services to the City.	See Following Insert
Explain how your organization ensures that personnel performing technical support services are qualified and proficient.	See Following Insert
Please provide information regarding the level of staffing at your organization's facilities, as well as the level of staffing at subcontractors' facilities, if known.	See Following Insert
Describe the risks associated with this Contract. What contingencies have been built in to mitigate those risks?	See Following Insert
How does your company handle when mistakes are made regarding an individual's background checks (i.e. a Report made on the incorrect individual)? Describe your due diligence process for ensuring the correct person is investigated.	See Following Insert
What information does your company need in order to conduct an internet social media search?	See Following Insert
How do you handle states that require release forms to obtain Reports?	
<b>Online Portal</b>	
Does your company have an online Report tracking system where City users can monitor the status of each Report requested?	See Following Insert

If so, describe your process of adding, removing or adjusting City users' accounts for your online system. Can the City have multiple levels of users (i.e. division-specific and department-wide)?	See Following Insert
Describe the security in place to ensure that submitted requests are kept confidential.	See Following Insert
Describe your retention schedule for Report provided to the City. Do you retain previously conducted Reports in case the City requires them at a later date?	Yes – See Following Insert

**Provide an overview and history of your company**

The official name of our company is *U.S. Investigative Security Services Agency, LLC*. We refer to ourselves as ISS. ISS is a private security and license private investigations firm located in Huntersville, North Carolina. The company was incorporated May 28, 2004 by Robert Schurmeier, a retired deputy chief of police from the Charlotte-Mecklenburg Police Department, Paul Lyon, a retired ATF agent, and Rob Sterling, a successful local business executive. We began as, and remain primarily an investigative services firm with the vast majority of our staff and contractors being former law enforcement personnel. Our first line of business is pre-employment background investigation services, and our first client (2004) was the City of Charlotte. From that base, we grew our lines of business to include licensed private investigative services in North and South Carolina, security consulting, biometric fingerprinting, risk and security assessments, and due diligence investigations.

We have provided pre-employment screening services, investigative and litigation support, biometric fingerprinting and consulting services for a number of City of Charlotte Departments, Mecklenburg County Departments the Charlotte-Mecklenburg Schools, and the City of El Paso. We presently are a non-exclusive provider of background investigations services for the City of Charlotte, and we hold contracts to perform in-depth due diligence investigations for the Mecklenburg County Sheriff's Office, and a number of private businesses and corporations. We provide due diligence and/or investigative support for a number of municipalities within North Carolina and are presently the principal provider of background investigative services for the City of El Paso, Texas.

In 2007, we qualified for the GSA Schedule 738X, which includes pre-employment screening and background investigative services for the federal government. In 2008, the Department of Homeland Security awarded ISS a national contract to conduct due diligence investigations including background data checks. To date, we have completed over several thousand such investigations.

Our business model calls for a core of full-time employees who coordinate and oversee the work of a larger pool of part-time personnel and contractors. The organization, accordingly, is based upon six full-time management and technical personnel who support and direct a larger pool of thirty plus 1099 contract personnel who provides investigative support, IT and programming support, computer forensics, bookkeeping services, legal services, accounting support, and professional editing services. This model gives us a small and nimble organization, it promotes efficiency, and it allows us to respond promptly as client needs and desires evolve. Our background investigative work is exclusively provided by full time or part time analysts who work from the home office only.

**Describe your total organization, including any parent companies, subsidiaries, affiliates and other related entities.**

ISS is a privately held Limited Liability Company. We are headed by a president who reports to the investors, and the operational lines of business all report to the Director of Operations.

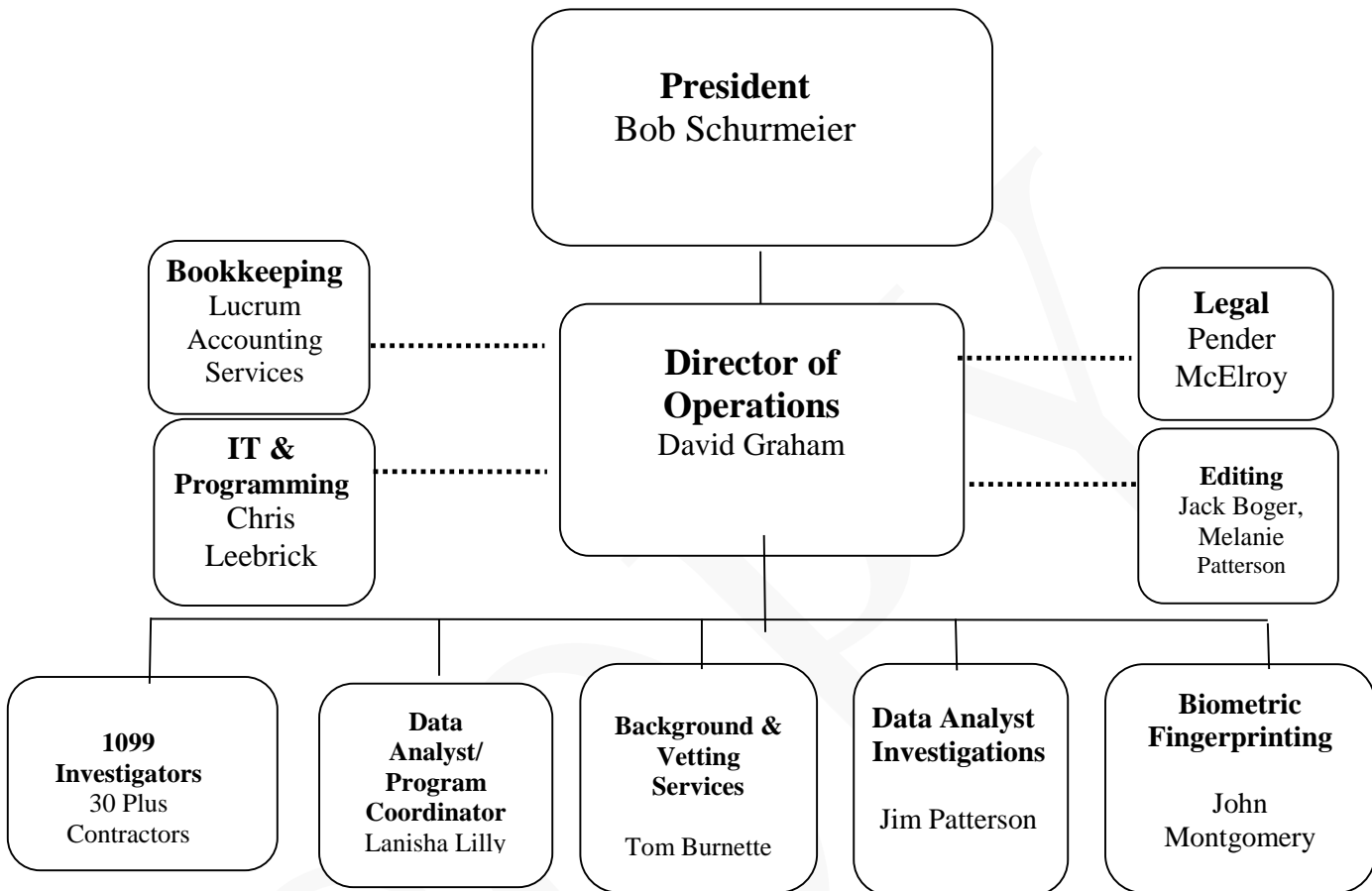
Rob Sterling and Bob Schurmeier are the majority owners and legal managers of the firm. The president has overall responsibility for strategic operations, some client relations, budgeting, and interfacing with investors, but he is also involved as needed in day-to-day operations. The Director of Operations is responsible for overseeing day-to-day operations, supervising staff, and managing client relations.

The background check services segment of our company is the responsibility of Senior Database Analyst Lanisha Lilly. Jim Patterson assists Ms. Lilly. Due diligence investigations are overseen and/or completed by Tom Burnette with support from vetted and approved contractors, including personnel responsible for editing and quality control. Biometric Fingerprinting is handled by John Montgomery. All employees working in support of our contracts report directly to David Graham, the Director of Operations. Bob Schurmeier, company president, provides support and assistance to the Director of Operations as needed.

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**Provide a management organization chart of your overall organization, showing director and officer positions and names and the reporting structure.**



**Detail how long the company has been providing Background Investigation Services to local governments and include information regarding experience with similar Background Investigation Services projects.**

ISS has provided background investigation services to municipal governments since 2004. We currently provide contractual services to the City of Charlotte, working directly with the various city departments and Human Resources for due diligence investigations for key hires. We have provided similar services for the City of El Paso since 2008 as well as other local jurisdictions.

We also provide services to the Mecklenburg County Sheriff’s Office using a more stringent background investigation process for both sworn and non-sworn personnel of that agency. This includes reference and employment history interviews, and completion of state-mandated forms. We have conducted numerous due diligence investigations at various levels of local government, including such key positions as city and town managers, police and fire chiefs, and human resources directors. These clients include a range

of governments from as large as the City of Charlotte, Mecklenburg County, Lenoir, Salisbury, Mint Hill, Lauderdale by the Sea and as small as Brevard, Farmville, and Plymouth, North Carolina. We also serve a variety of corporate and educational clients in a similar manner, providing pre-employment background investigations and due diligence investigations for senior management hiring. We tailor our procedures and the presentation of results to the specific needs and requirements of our clients.

**Describe the key individuals, along with their qualifications, professional certifications and experience that would comprise your organization's team for providing Services to the City.**

The key staff for this contract would include a blend of experienced former law enforcement executives and investigators, and skilled private sector professionals. All have performed this work for several years, and all have significant experience serving large local government and educational clients in fields directly related to this RFP. David Graham would lead this project and all staff would report to him.

- Lanisha Lilly: Pre-Employment Background Investigations. Ms. Lilly would continue serving as the key point of contact for City of Charlotte for pre-employment investigative services generally, and she would be responsible for conducting of the database investigations. She will set up and service online user accounts, coordinate assignment of investigative work, and compile the final reports. She will regularly seek feedback on our performance and look for ways to improve service delivery. Ms. Lilly holds a Master's Degree in the Administration of Justice from Phoenix University and a BA Degree in Political Science both from the University of North Carolina at Charlotte (UNCC). She has over eight years' experience as a senior data analyst with both ISS and a larger competitor, and she is well known by many of our clients. Ms. Lilly is also a licensed private investigator in the state of North Carolina.
- Jim Patterson: Pre-Employment Background Investigations  
Jim Patterson: Investigator. Mr. Patterson serves as a data analyst and investigator for ISS. Mr. Patterson has over 34 years of law enforcement experience on the local, state and federal level. He served over 22 years with the United States Probation Office for the Western District of North Carolina. During his career, Mr. Patterson served in several capacities including Deputy Chief for the Western District of North Carolina. He has been active in professional organizations including the Federal Probation & Pretrial Officers Association where he served on the national board for seven years. Mr. Patterson is a licensed private investigator in North Carolina and a graduate of East Tennessee State University with a Bachelor of Science degree in Criminal Justice.
- Tom Burnette: Background and Vetting Services. Mr. Burnette is a skilled specialist with more than 30 years of experience with the Charlotte-Mecklenburg Police Department, including burglary and property crimes investigation. For 15 of those years, Mr. Burnette had supervisory roles in a variety of areas and gained considerable experience handling sensitive and confidential information. Mr. Burnette has been with ISS since 2008. He oversees background and vetting services. He is a graduate of the University of North Carolina at Charlotte. Mr. Burnette also has his Advanced Law Enforcement Certificate from the North Carolina Justice Academy.
- David Graham: Project Manager. Mr. Graham serves as Director of Operations for ISS. His responsibilities include operational management and oversight of all lines of business for our firm. He

will provide oversight of all the work conducted under this contract, monitoring compliance with contractual obligations, and insuring the highest level of performance. In particular, he will work with Ms. Lilly to resolve promptly any concerns raised by the City of Charlotte and serve as our lead problem-solver. He will continue to monitor our performance throughout the life of the contract and would confer with key City of Charlotte personnel to solicit feedback on our performance. Mr. Graham has 30 years of experience with the Charlotte-Mecklenburg Police Department (CMPD). The majority of Mr. Graham's law enforcement career was in investigations where he advanced from the level of officer/detective to Deputy Police Chief of Investigations. Mr. Graham served for five years in the Office of Internal Affairs within the agency, dealing with administrative and internal investigations. He was ultimately promoted to Deputy Chief of Police, where he managed an investigations staff of nearly 250 personnel, and served briefly as interim chief of police. Mr. Graham is a licensed private investigator in North and South Carolina. He holds both a Bachelor of Science and Master of Science from the University of North Carolina at Charlotte.

- Jack Boger: Quality Assurance. For over six years, Mr. Boger has provided strategic consulting, quality assurance oversight, and editing services for ISS. Mr. Boger assists in customizing quality assurance systems and feedback loops for our contracts and clients. He would further assist in setting up management systems and editing protocols to ensure the quality and accuracy of work products remained consistently superior. Mr. Boger taught college level English at UNCC before changing careers and becoming a police officer at the Charlotte-Mecklenburg Police Department. He rose through the ranks to become Deputy Chief of Police and served for an extended period as interim police chief. He spent much of his career in the Administrative Division of CMPD.
- Bob Schurmeier: Customer Service and Program Support. Mr. Schurmeier is one of the co-founders of ISS. He will support Mr. Graham and the rest of the staff in continuing our relationship with the City of Charlotte. In this role, as well as his role as company President, he makes himself personally available to every client. He will take ownership and work to resolve any concerns that may arise, but will otherwise step aside where processes and procedures are working smoothly. He ensures that ISS exceeds the quality and performance specifications of the contract. Mr. Schurmeier spent 29 years with the Charlotte-Mecklenburg Police Department where he rose to Deputy Chief of Police and served for a period as interim police chief. He retired as the Deputy Chief of Police over the Investigative Division and is now a licensed private investigator in North and South Carolina.

**Explain how your organization ensures that personnel performing technical support services are qualified and proficient.**

Our background investigative personnel are highly experienced in background investigations as well as most other types of investigations. Because we typically recruit them from local, state, and federal law enforcement agencies, they understand and have been following best practices and procedures for years. In addition, ISS has developed training for all personnel conducting background investigations. This training familiarizes our employees with the full range of specific tasks, process, and procedures necessary to conduct efficient and effective background investigations that meet all federal, state, and local laws and requirements.

Through extensive law enforcement contacts, our company has built a substantial pool of trained and experience personnel who conduct or assist with background investigations. We recruit our employees from among retired law enforcement personnel who have decades of experience in managing both criminal and administrative investigations and in dealing with and protecting all type of sensitive and confidential information. Many of those who form our 1099 contract pool, obtained Secret and Top Secret security clearances through various law enforcement agencies during their careers, and they understand the importance of confidentiality. All our employees have a thorough understanding of the regulations and professional standards that support their work. Further, all our personnel have undergone a thorough screening process, have received the necessary level of training and orientation, and have signed confidential and non-disclosure agreements before beginning work with ISS. In particular, all of our employees have been indoctrinated in the privacy and confidentiality concerns including applicable law and administrative guidelines relevant to City of Charlotte's request for proposals and the contract example provided.

**Please provide information regarding the level of staffing at your organization's facilities, as well as the level of staffing at subcontractors' facilities, if known.**

Our business model calls for a core of full-time employees who coordinate the work of a larger pool of part-time personnel and contractors. The organization, accordingly, is based upon six full-time management and technical personnel who support and direct a larger pool of thirty plus part-time and 1099 contract personnel. These part-time and support personnel provide investigative support, IT and programming support, computer forensics, bookkeeping services, legal services, accounting support, and professional editing services. This model gives us a small and nimble organization, it promotes efficiency, and it allows us to respond promptly as client needs and desires change. By employing sufficient staff to handle both average and exceptional volumes, we make sure that no single employee is overloaded and that they all have the time and resources necessary to produce work that exceeds the clients' expectations and requirements. We can easily adapt to significant increases in background check requests at a moment's notice to meet required deadlines. All City of Charlotte backgrounds would be conducted and supervised in house at our home office.

**Describe the risks associated with this Contract. What contingencies have been built in to mitigate those risks?**

ISS already has in place the appropriate systems and procedures to ensure that all information provided by the City of Charlotte as well as any other information from whatever source related to an applicant is secured properly. Company policies and procedures already in place ensure the protection of sensitive information, and all such policies and procedures follow federal, state, and local laws relating background investigations. Our system of records on individuals allows us to meet the requirements set forth in the Federal Credit Report Act, the Privacy Act of 1974, and other applicable regulations.

ISS uses the most current automated business equipment and procedures, including our own onsite secure server for receiving and responding to background investigation request and similar work. Our systems use the most current technology to secure our firewalls from hackers. Additional features include anti-spam, anti-virus, antispyware, web filters, intrusion prevention and detection, and VPN. We monitor our system and update it regularly to keep abreast of the changing issues and trends, and to stay ahead of evolving threats to data security.

All requests and results received by ISS are stored in secure locations, including video monitored file storage rooms. All data is stored on our secure servers are backed up both onsite and at a secure location off site, thus eliminating the possibility of data loss. ISS uses a local company to provide IT support available 24/7 – 365 days a year to guarantee our systems are current and secure with no down time.

Our contractors conducting background investigation go through the same vetting process as our investigators and other employees, and only two primary engineers and the company owner, have access to the company network documentation. We also have a confidentiality agreement/employment agreement with each employee to safeguard our clients' information as well as our own. In addition, ISS meets or exceeds all relevant federal, state, and laws governing the privacy and retention of confidential information. Our computerized systems are capable of transmitting confidential information in a safe and secure manner. In addition, we negotiated a cleaning contract with our landlord that only permits cleaning during normal business hours when we are in the office.

**How does your company handle when mistakes are made regarding an individual's background checks (i.e. a Report made on the incorrect individual)? Describe your due diligence process for ensuring the correct person is investigated.**

Knowledge of investigative process and experience are critical to ensuring that investigations are complete and fair. As applicants' careers and reputations are at stake, mistakes can have significant consequences for the applicant and the agency. For this reason, ISS has employed analysts with proven experience and knowledge. The project manager has thirty years of experience, including internal personnel and administrative investigations with the largest municipal police agency in North Carolina. Our database analysts have extensive experience conducting searches and sifting through the results to determine what information is relevant. Each one has a keen eye for detail that reduces the opportunity for false positive search results or for missing important details that cause false negative results.

The knowledge and experience of ISS staff members enables us to discern what information is important and to separate it from what might be irrelevant or redundant, and to document properly our findings in a user-friendly format. This reduces risk for our clients and facilitates use of our reports. Our analysts write the reports clearly and concisely in everyday language without jargon. Because they are clear and understandable, the possibility for misinterpretation or misrepresentation is reduced.

The improper disclosure of confidential personal information, like that collected in background investigations, can be, at a minimum, a source of embarrassment, and in some cases, it becomes a source of civil liability. ISS, accordingly, has strict policies governing the management and use of such information. All employees must sign a non-disclosure agreement, and background investigations are conducted on each employee to insure his or her trustworthiness. Improper disclosure of information can lead to the termination of an ISS employee.

ISS certifies that we abide by all applicable state and federal laws and regulations, including, but not limited to the Fair Credit Reporting Act. Further, ISS works with our clients when an applicant challenge the accuracy of information we have collected and reported within the context of our contracts or statements of work. If internal procedures for this purpose do not already exist with our clients, ISS works

with the client to establish and implement a protocol in addressing any questions or issues from our background investigations.

Despite stringent compliance with the law and procedures, errors can occur in the investigative process. While rare, mistakes or omissions can result from such things as inaccurate information provided by the applicant, imprecise or erroneous records held by entities regarding the applicant, errors by ISS in compiling and reporting of findings. To address this possibility ISS always uses its best and utmost efforts to obtain correct, accurate, and complete background information for each applicant. In addition, in the unlikely event ISS is found to be responsible for substantive errors, ISS agrees to indemnify, hold harmless, and defend our clients against all claims of whatever kind arising out of its negligence in regards to the contract, and to provide evidence of insurance, naming as additional insured the client. ISS understands fully the strict requirements mandated by the Fair Credit Reporting Act (FCRA). All ISS background searches and services are compliant with the FCRA rules and regulations, and are current.

Should questions arise regarding a report provided by ISS, ISS conducts an investigation and the results reported to the client. If errors or omissions have occurred, ISS provides a corrected report to the client. Problem resolution is the responsibility of the project manager for ISS in consultation with the client. ISS agrees to cooperate and participate fully in any adverse action process.

In addition, ISS will provide prompt and effective customer service to the prospective employee to resolve issues or discrepancies and to answer questions. ISS provides this service at no additional cost to our clients and/or the applicant. ISS freely provides cell phone numbers to our clients, and we employ a 24/7 answering service and have a toll free number. We have a longstanding history and practice of being available and responsive to our clients 24/7.

**What information does your company need in order to conduct an internet social media search?**

To conduct social media searches, ISS needs the applicant's name, home city, and email address, if available. Our clients add additional information such as this in the miscellaneous field on our portal, AppVerify, when requesting social media checks or making special requests.

**How do you handle states that require release forms to obtain Reports?**

For those states that require specific release forms, we provide those to our clients as soon as we receive the background check request and release. By using the National Criminal County by County Criminal History check described in our proposal, our release that we provide clients or the release that the City of Charlotte has from the applicant meets the requirements set forth to obtain the criminal history. The National Criminal County by County checks eliminates any special release required by a specific state.

**Online Portal**

**Does your company have an online Report tracking system where City users can monitor the status of each Report requested?**

ISS has its own secure website, [www.AppVerify.com](http://www.AppVerify.com), a user friendly, point and click system that allows clients the ability to order and retrieve background-screening reports with "at a glance" status indicators based on standard or customized criteria for easy identification. AppVerify transfers background

information between clients and ISS. ISS makes this website available to its clients at no additional charge. AppVerify enables the client to log on to a secure account, request background investigations, and then securely download the completed investigative report in PDF format.

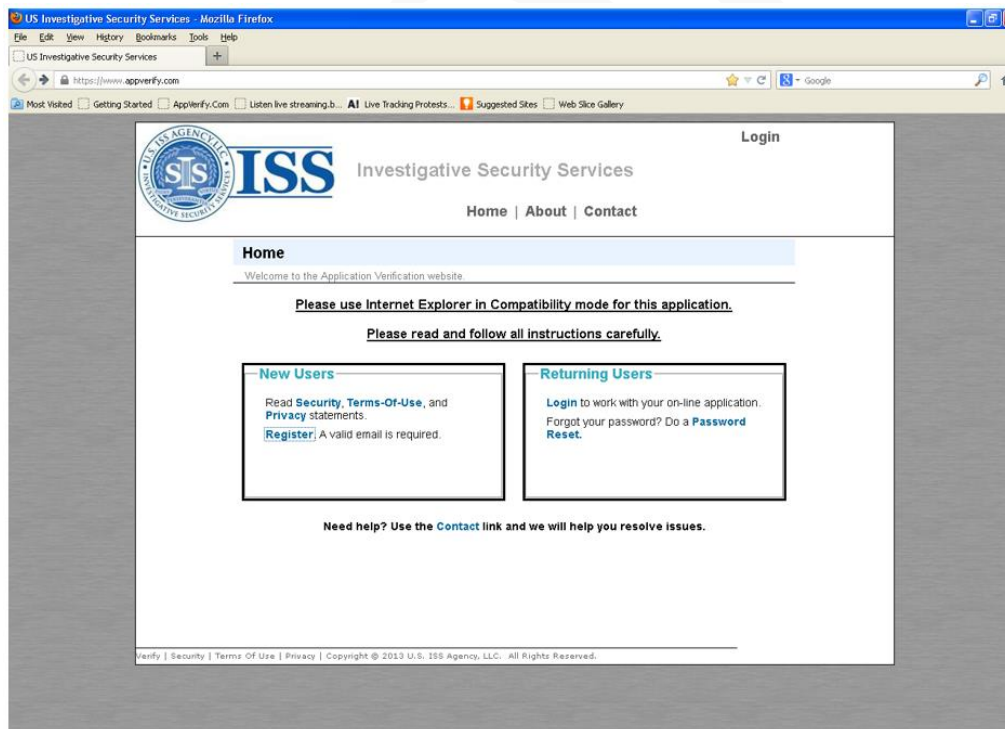
**If so, describe your process of adding, removing or adjusting City users' accounts for your online system. Can the City have multiple levels of users (i.e. division-specific and department-wide)?**

AppVerify offers the ability to share secure data with multiple locations as determined by a user ID and password. In this way, only those with access to the account can see and process the confidential and sensitive personnel information contained in the request and the final report. Completed investigations can be transmitted also by other means, depending on the needs and preferences of our clients.

AppVerify allows the City of Charlotte to register each department and the appropriate personnel to request background checks. In addition, AppVerify allows different departments to register its separate billing address. This system provides a billing process that will segregate billing for services by multiple departments and/or individual background records within a single agency.

To register a new user, simply contact our office by telephone or email, and provide the required information. Once ISS verifies the information, we create a new user account and activate it. ISS then provides instructions as to how to use AppVerify usually by telephone. We email a copy of our user's guide to the new user. AppVerify is user friendly and simple to use

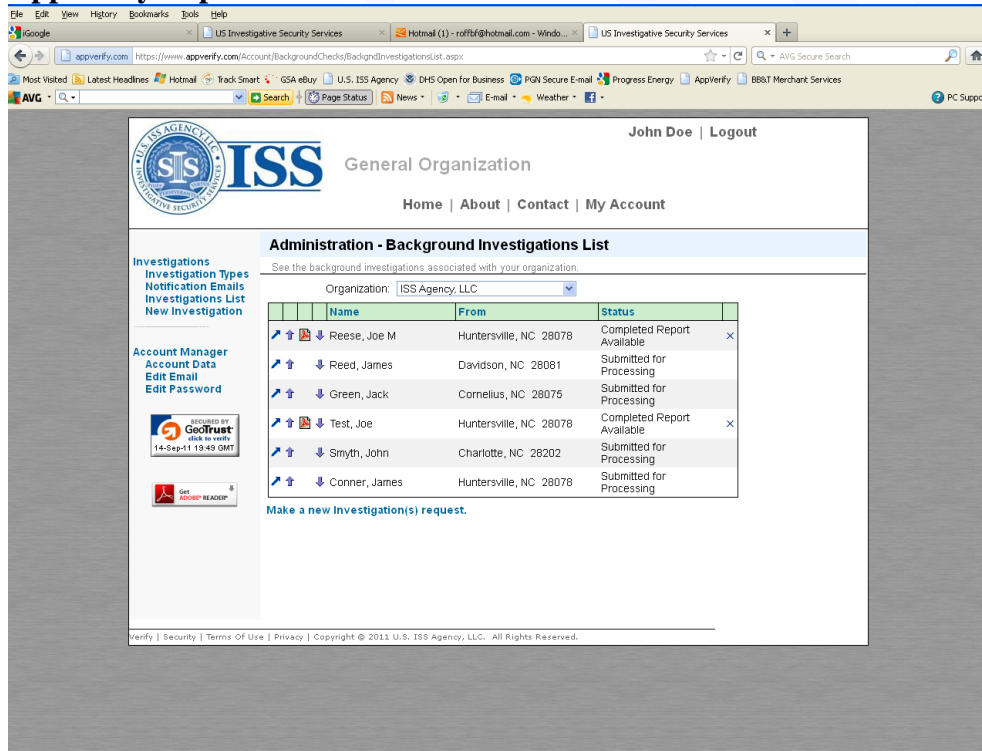
### AppVerify Login Screen



# AppVerify Background Request Screen



# AppVerify Reports Screen





**Describe the security in place to ensure that submitted requests are kept confidential.**

AppVerify is a secured web based application that is encrypted. ISS maintains confidentiality of all information pertaining to all background requests and searches. ISS will never sell or share any information gleaned from our clients with any person or entity other than as directed by the client, or in any way use the information in any way other than that requested by our clients.

All requests and results received by ISS are stored in secure locations, including video monitored file storage. All data stored on our secure servers are backed up both onsite and at a secure location off-site, thus all but eliminating the opportunity or possibility for data loss. ISS meets or exceeds all relevant federal and state laws governing the privacy and retention of confidential information.

**Describe your retention schedule for Report provided to the City. Do you retain previously conducted Reports in case the City requires them at a later date?**

ISS retains records for at least three years or longer if desired by the client. For security reasons, we leave the completed reports on AppVerify for two weeks before taking them down. After two weeks, the City can contact us for a copy of any past reports. We can forward these reports by whatever means the City would like including reloading them into AppVerify.

**REQUIRED FORM 8 – REFERENCES**

**RFP # 269-2015-078**

**Background Investigation Services**

Service Providers shall provide as many references below as possible for organizations or jurisdictions similar in size and scope to the City.

<b>Reference 1</b>	
Company Name	City of Charlotte
Contact Name	Stephanie Whitesides (Personnel Director - HR)
Phone Number	(704) 336-2032
<b>Reference 2</b>	
Company Name	Developmental Associates
Contact Name	Tom Moss
Phone Number	(919) 614-6043
<b>Reference 3</b>	
Company Name	Town of Mint Hill
Contact Name	Robin Edwards McCombs (HR Director)
Phone Number	(704) 545-9726
<b>Reference 4</b>	
Company Name	City of El Paso (Texas)
Contact Name	Nuria Valdez (Human Resources Manager)
Phone Number	(915) 212-1244
<b>Reference 5</b>	
Company Name	Mecklenburg County Sheriff's Office
Contact Name	Rachel Vanhoy (Business Manager)
Phone Number	(980) 314-5195

**REQUIRED FORM 9 – CRIMINAL RECORD SEARCH DETAIL**

**RFP # 269-2015-078**

**Background Investigation Services**

Service Providers shall indicate below what detail their criminal record search will include.

<b>Item</b>	<b>Description</b>
National County by County Criminal Records Search	<p>This search is the most thorough national search available to the private sector. It searches all publicly available criminal records, not only those in all state databases, but also county records in locations where the applicant has lived within the past seven (7) years. In addition to running the applicant’s given name, we run aka’s and “sounds-like” options. This search also identifies any addresses associated with the person and checks the county records in that location.</p> <p>At least seven states do not have state databases for criminal records. In these states, a county-by-county search is typically required to ensure that the needed records are not overlooked. In addition, this thorough search eliminates the need to conduct redundant individual state searches, as all states are included in this search. The result of the searches are FCRA compliant and takes into consideration the fact that each state has its own reporting restrictions concerning criminal arrest and conviction data and records. In those states that require additional consent forms that must be signed or notarized with original signatures, the National County by County Criminal Records Search is a viable alternative to state searches and these cumbersome extra requirements. In addition, the National County-by-County Record Search is also an alternative when states have delayed turnaround times for delivering criminal history reports such as New York, Pennsylvania, and Nevada.</p> <p>All criminal record searches will include convictions and deferred adjudication cases. In addition, all criminal record searches will include history for the previous seven years or older, if records are available or as according to current law. The searches include a Social Security Number (SSN) trace that reviews the historical and logical connection between the applicant and the SSN based on history of use, including residency history</p>

	to verify that the applicant did not omit any previous address(es) in the applicant supplied information. Driving charges considered criminal offenses are included in the criminal history report.
North Carolina Criminal Statewide	Analysts conduct a search of the North Carolina Administrative Office of the Courts records including criminal offenses and traffic violations (note: traffic violations are not typically reported on national searches). We will report not only past offenses, but also pending actions, including traffic cases.
South Carolina Criminal Records Search	Analysts conduct a search of the South Carolina Criminal Records maintained by the State Law Enforcement Division for criminal offenses.
Federal Court Records	A search of the federal court system identifies any criminal, civil, or bankruptcy filings involving the applicant.
Multi-State Sex Offender Registry	ISS analysts conduct a national search through the Department of Justice, which will identify any person who is a registered sex offender nationally.
State Sex Offender Registry	Each state also maintains a state registry for sex offenders. Typically, ISS searches the national base eliminating the need to search each individual state. If the applicant has a common name, then our analysts search the states in which the applicant has lived based on the Social Security Trace, criminal background checks, or other information that we find listing a possible residence. This search takes one (1) business day to complete.

## **Sample Background Reports**

- Service Providers shall include in their Proposal one (1) of each of the following:
- A sample Report with no items of concern reported by the Service Provider
- A sample Report with at least one (1) item of concern reported by the Service Provider
- A sample MVR with no items of concern reported by the Service Provider
- A sample MVR with at least one (1) item of concern reported by the Service Provider

**Sample Criminal Background Report with No Concerns**



**CONFIDENTIAL CRIMINAL BACKGROUND REPORT**

U.S. ISS Agency, LLC conducted the following criminal background investigation for **City of Charlotte**. This report summarizes the findings of that investigation. Please direct any questions or concerns to the investigator named below.

Investigation Summary for Sue Smith	
Date of Request: 06/23/2015 Date Report Completed: 06/25/2015 Data Analyst: Lanisha Lilly (704) 525-5221	Our criminal investigation revealed <b>no entries</b> concerning the applicant.

Names/Aliases
Sue Smith

Social Security Number Verification		
SSN	Year(s) Issued	State Issued
xxx-xx-0000	1980	North Carolina

Databases Queried	
Database	Results
NC Criminal Statewide	No Record Found
NC Pending	No Record Found
Federal Court System	No Record Found
National Sex Offender	No Record Found
DMV	See Below
National Criminal Check	No Record Found
County Criminal Mecklenburg, NC	No Record Found

DMV Report	
DL Number	0000000
Status	Active
DL State	North Carolina
DL Class	Class C
Issued Date	02/24/2014
Expiration Date	02/28/2023
Suspension(s)	N/A
Restriction(s)	Corrective Lenses
Endorsement (s)	N/A
Points	0
Other	DMV records reflect no violations concerning the applicant.

Para informacion en espanol, viste [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore) o escribe a la Consumer Financial Protection Bureau, 1700 G N. W., Washington, DC 20552

### A Summary of Your Rights Under the Fair Credit Reporting Act

The federal Fair Credit Reporting Act (FCRA) promotes the accuracy, fairness, and privacy of information in the files of consumer reporting agencies. There are many types of consumer report agencies, including credit bureaus and specialty agencies (such as agencies that sell information about check writing histories, medical records, and rental history records). Here is a summary of your major rights under the FCRA. **For more information, including information about additional rights, go to [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore) or write to: Consumer Financial Protection Bureau, 1700 G Street N.W., Washington, DC 20552.**

- **You must be told if information in your file has been used against you.** Anyone who uses a credit report or another type of consumer report to deny your application for credit, insurance, or employment – or take another adverse action against you – must tell you, and must give you the name, address, and phone number of the agency that provided the information.
- **You have the right to know what is in your file.** You may request and obtain all the information about you in the files of a consumer reporting agency (your “file disclosure”). You will be required to provide proper identification, which may include your Social Security number. In many cases, the disclosure will be free. You are entitled to a free file disclosure if:

- **A person has taken adverse action against you because of information in your credit report;**
- You are the victim of identity theft and place a fraud alert in your file;
- Your file contains inaccurate information as a result of fraud;
- You are on public assistance;
- You are unemployed, but expect to apply for employment within 60 days.

In addition, all consumers are entitled to one free disclosure every 12 months upon request from each nationwide credit bureau and from nationwide specialty consumer reporting agencies. See [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore) for additional information.

- **You have the right to ask for credit score.** Credit scores are numerical summaries of your credit-worthiness based on information from credit bureaus. You may request a credit score from consumer reporting agencies that create scores or distribute scores used in residential real property loans, but you will have to pay for it. In some mortgage transactions, you will receive credit score information free from the mortgage lender.
- **You have the right to dispute incomplete or inaccurate information.** If you identify information in your file that is incomplete or inaccurate, and report it to the consumer reporting agency, the agency must investigate unless your dispute is frivolous. See [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore) for an explanation of dispute procedures.
- **Consumer reporting agencies must correct or delete inaccurate, incomplete, or unverifiable information.** Inaccurate, incomplete, or unverifiable information must be removed, or corrected, usually within 30 days. However, a consumer reporting agency may continue to report information it has verified as accurate.
- **Consumer reporting agencies may not report outdated negative information.** In most cases, a consumer reporting agency may not report negative information that is more than seven years old, or bankruptcies that are more than 10 years old.
- **Access to your file is limited.** A consumer reporting agency may provide information about you only to people with a valid need – usually to consider an application with a creditor, insurer, employer, landlord, or other business. The FCRA specifies those with a valid need for access.
- **You must give your consent for reports to be provided to employers.** A consumer reporting agency may not give out information about you to your employer or a potential employer, without your written consent given to the employer. Written consent generally is not required in the trucking industry. For more information, go to [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore).
- **You may limit “prescreened” offers of credit and insurance you get based on information in your credit report.** Unsolicited “prescreened” offers for credit and insurance must include a toll-free phone number you can call if you choose to remove your name and address from the lists these offers



are based on. You may opt out with the nationwide credit bureaus at (1-888-5OPTOUT or 1-888-567-8688) or via <https://www.optoutprescreen.com>.

- **You may seek damages from violators.** If a consumer reporting agency, or in some cases, a user of consumer reports or a furnisher of information to a consumer reporting agency violates the FCRA, you may be able to sue in state or federal court.
- **Identify theft victims and active duty military personnel have additional rights.** For more information, visit [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore).

**States may enforce the FCRA, and many states have their own consumer reporting laws. In some case, you may have more rights under state law. For more information, contact your state or local consumer protection agency or your state Attorney General. For information about your federal rights, contact [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore).**

### **North Carolina Consumers Have the Right to Obtain a Security Freeze.**

You have a right to place a "security freeze" on your credit report pursuant to North Carolina law. The security freeze will prohibit a consumer reporting agency from releasing any information in your credit report without your express authorization. A security freeze must be requested in writing by certified mail.

The security freeze is designed to prevent credit, loans, and services from being approved in your name without your consent. However, you should be aware that using a security freeze to take control over who gains access to the personal and financial information in your credit report may delay, interfere with, or prohibit the timely approval of any subsequent request or application you make regarding new loans, credit, mortgage, insurance, rental housing, employment, investment, license, cellular phone, utilities, digital signature, Internet credit card transactions, or other services, including an extension of credit at point of sale.

The freeze will be placed within five business days. When you place a security freeze on your credit report, within 10 business days, you will be provided a personal identification number or a password to use when you want to remove or lift temporarily the security freeze.

A freeze does not apply when you have an existing account relationship and a copy of your report is requested by your existing creditor or its agents or affiliates for certain types of account review, collection, fraud control, or similar activities.

You should plan ahead and lift a freeze if you are actively seeking credit or services as a security freeze may slow your applications, as mentioned above.

You can remove a freeze or authorize temporary access for a specific period of time by contacting the consumer reporting agency and providing all of the following:

- (1) Your personal identification number or password,
- (2) Proper identification to verify your identity, and
- (3) Proper information regarding the period of time you want your report available to users of the credit report.

A consumer reporting agency that receives a request from you to lift temporarily a freeze on a credit report shall comply with the request no later than three business days after receiving the request. A consumer reporting agency may charge you up to ten dollars (\$10.00) for each time you freeze, remove the freeze, or temporarily lift the freeze for a period of time, except a consumer reporting agency may not charge any amount to a victim of identity theft who has submitted a copy of a valid investigative or incident report or complaint with a law enforcement agency about the unlawful use of the victim's identifying information by another person.

You have a right to bring a civil action against someone who violates your rights under the credit reporting laws. The action can be brought against a consumer reporting agency or a user of your credit report."

**Sample Criminal Background Report with Concerns**



**CONFIDENTIAL CRIMINAL BACKGROUND REPORT**

U.S. ISS Agency, LLC conducted the following criminal background investigation for **City of Charlotte**. This report summarizes the findings of that investigation. Please direct any questions or concerns to the investigator named below.

Investigation Summary for Sue Crystal Smith	
Date of Request: 06/23/2015 Date Report Completed: 06/25/2015 Data Analyst: Lanisha Lilly (704) 525-5221	Our criminal investigation revealed <b>one MISDEMEANOR conviction, one traffic violation conviction and one traffic violation charge</b> from the records of the NC Criminal Statewide, National Criminal with County by County Search, SC Criminal Statewide and the DMV report.
Names/Aliases	
Sue Smith Sue Johnson	

Social Security Number Verification		
SSN	Year(s) Issued	State Issued
xxx-xx-0000	1985	South Carolina

Databases Queried	
Database	Results
NC Criminal Statewide	Record
NC Pending	No Record Found
Federal Court System	No Record Found
National Sex Offender	No Record Found
DMV	See Below
National Criminal Check	Record
County Criminal Mecklenburg, NC	No Record Found
County Criminal Charleston, SC	Record
SC Criminal Statewide	Record

Criminal History	
<b>OFFENSE</b>	<b>Speeding</b>
DEFENDANT'S NAME	Sue Johnson
TYPE OF OFFENSE	Traffic Violation
CASE NUMBER	11CR 147277
DATE CHARGED	05/07/2011
COUNTY, STATE	Mecklenburg County, NC
DISPOSITION	Guilty
DISPOSITION DATE	06/15/2011
FINE	\$140.00
<b>OFFENSE</b>	<b>Communicating Threats</b>
DEFENDANT'S NAME	Sue Johnson
TYPE OF OFFENSE	<b>MISDEMEANOR</b>
CASE NUMBER	100065789752
DATE CHARGED	10/06/2010
COUNTY, STATE	Charleston County, SC
DISPOSITION	<b>Conviction</b>
DISPOSITION DATE	01/05/2011
FINE	\$250.00
OTHER	1 Year Probation, 2 Days Jail-Suspended
<b>OFFENSE</b>	<b>Expired Registration Card/Tag</b>
DEFENDANT'S NAME	Sue Smith
TYPE OF OFFENSE	Traffic Violation
CASE NUMBER	09CR 084546
DATE CHARGED	09/01/2009
COUNTY, STATE	Cabarrus County, NC
DISPOSITION	Dismissed
DISPOSITION DATE	11/06/2009
FINE	N/A

DMV Report	
DL Number	00000001
Status	Active
DL State	North Carolina
DL Class	Class C
Issued Date	03/24/2015
Expiration Date	03/27/2023

Suspension(s)	The applicant's license was suspended from 05/31/2011 until 06/15/2011 for Failure to Appear.
Restriction(s)	Corrective Lenses
Endorsement (s)	M-Motorcycle
Points	0
Other	DMV records reflect one of the above violations concerning the applicant. (Case #11CR 147277)

Para informacion en espanol, viste [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore) o escribe a la Consumer Financial Protection Bureau, 1700 G N. W., Washington, DC 20552

### A Summary of Your Rights Under the Fair Credit Reporting Act

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- **You must be told if information in your file has been used against you.** Anyone who uses a credit report or another type of consumer report to deny your application for credit, insurance, or employment – or take another adverse action against you – must tell you, and must give you the name, address, and phone number of the agency that provided the information.
- **You have the right to know what is in your file.** You may request and obtain all the information about you in the files of a consumer reporting agency (your “file disclosure”). You will be required to provide proper identification, which may include your Social Security number. In many cases, the disclosure will be free. You are entitled to a free file disclosure if:
  - **A person has taken adverse action against you because of information in your credit report;**
  - You are the victim of identity theft and place a fraud alert in your file;
  - Your file contains inaccurate information as a result of fraud;
  - You are on public assistance;
  - You are unemployed, but expect to apply for employment within 60 days.

In addition, all consumers are entitled to one free disclosure every 12 months upon request from each nationwide credit bureau and from nationwide specialty consumer reporting agencies. See [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore) for additional information.

- **You have the right to ask for credit score.** Credit scores are numerical summaries of your credit-worthiness based on information from credit bureaus. You may request a credit score from consumer reporting agencies that create scores or distribute scores used in residential real property loans, but you will have to pay for it. In some mortgage transactions, you will receive credit score information free from the mortgage lender.
- **You have the right to dispute incomplete or inaccurate information.** If you identify information in your file that is incomplete or inaccurate, and report it to the consumer reporting agency, the agency must investigate unless your dispute is frivolous. See [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore) for an explanation of dispute procedures.
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- **You may limit “prescreened” offers of credit and insurance you get based on information in your credit report.** Unsolicited “prescreened” offers for credit and insurance must include a toll-free phone number you can call if you choose to remove your name and address from the lists these offers are based on. You may opt out with the nationwide credit bureaus at (1-888-5OPTOUT or 1-888-567-8688) or via <https://www.optoutprescreen.com>.
- **You may seek damages from violators.** If a consumer reporting agency, or in some cases, a user of consumer reports or a furnisher of information to a consumer reporting agency violates the FCRA, you may be able to sue in state or federal court.

- **Identify theft victims and active duty military personnel have additional rights.** For more information, visit [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore).

**States may enforce the FCRA, and many states have their own consumer reporting laws. In some case, you may have more rights under state law. For more information, contact your state or local consumer protection agency or your state Attorney General. For information about your federal rights, contact [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore).**

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The freeze will be placed within five business days. When you place a security freeze on your credit report, within 10 business days, you will be provided a personal identification number or a password to use when you want to remove or lift temporarily the security freeze.

A freeze does not apply when you have an existing account relationship and a copy of your report is requested by your existing creditor or its agents or affiliates for certain types of account review, collection, fraud control, or similar activities.

You should plan ahead and lift a freeze if you are actively seeking credit or services as a security freeze may slow your applications, as mentioned above.

You can remove a freeze or authorize temporary access for a specific period of time by contacting the consumer reporting agency and providing all of the following:

- (1) Your personal identification number or password,
- (2) Proper identification to verify your identity, and
- (3) Proper information regarding the period of time you want your report available to users of the credit report.

A consumer reporting agency that receives a request from you to lift temporarily a freeze on a credit report shall comply with the request no later than three business days after receiving the request. A consumer reporting agency may charge you up to ten dollars (\$10.00) for each time you freeze, remove the freeze, or temporarily lift the freeze for a period of time, except a consumer reporting agency may not charge any amount to a victim of identity theft who has submitted a copy of a valid investigative or incident report or complaint with a law enforcement agency about the unlawful use of the victim's identifying information by another person.

You have a right to bring a civil action against someone who violates your rights under the credit reporting laws. The action can be brought against a consumer reporting agency or a user of your credit report."

COPY



**Sample MVR Report with No Concerns**



**CONFIDENTIAL CRIMINAL BACKGROUND REPORT**

U.S. ISS Agency, LLC conducted the following criminal background investigation for **City of Charlotte**. This report summarizes the findings of that investigation. Please direct any questions or concerns to the investigator named below.

Investigation Summary for John Johnson	
Date of Request: 06/16/2015 Date Report Completed: 06/16/2015 Data Analyst: Lanisha Lilly (704) 525-5221	Our criminal investigation revealed <b>no entries</b> concerning the applicant.

Names/Aliases
John Johnson

Databases Queried	
Database	Results
DMV	See Below

DMV Report	
DL Number	0000123
Status	Active
DL State	North Carolina
DL Class	Class C
Issued Date	03/03/2015
Expiration Date	03/20/2020
Suspension(s)	N/A
Restriction(s)	Corrective Lenses
Endorsement (s)	N/A
Points	0
Other	DMV records reflect no violations concerning the applicant.

Para informacion en espanol, viste [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore) o escribe a la Consumer Financial Protection Bureau, 1700 G N. W., Washington, DC 20552

### **A Summary of Your Rights Under the Fair Credit Reporting Act**

The federal Fair Credit Reporting Act (FCRA) promotes the accuracy, fairness, and privacy of information in the files of consumer reporting agencies. There are many types of consumer report agencies, including credit bureaus and specialty agencies (such as agencies that sell information about check writing histories, medical records, and rental history records). Here is a summary of your major rights under the FCRA. **For more information, including information about additional rights, go to [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore) or write to: Consumer Financial Protection Bureau, 1700 G Street N.W., Washington, DC 20552.**

- **You must be told if information in your file has been used against you.** Anyone who uses a credit report or another type of consumer report to deny your application for credit, insurance, or employment – or take another adverse action against you – must tell you, and must give you the name, address, and phone number of the agency that provided the information.
- **You have the right to know what is in your file.** You may request and obtain all the information about you in the files of a consumer reporting agency (your “file disclosure”). You will be required to provide proper identification, which may include your Social Security number. In many cases, the disclosure will be free. You are entitled to a free file disclosure if:
  - **A person has taken adverse action against you because of information in your credit report;**
  - You are the victim of identity theft and place a fraud alert in your file;
  - Your file contains inaccurate information as a result of fraud;
  - You are on public assistance;
  - You are unemployed, but expect to apply for employment within 60 days.

In addition, all consumers are entitled to one free disclosure every 12 months upon request from each nationwide credit bureau and from nationwide specialty consumer reporting agencies. See [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore) for additional information.

- **You have the right to ask for credit score.** Credit scores are numerical summaries of your credit-worthiness based on information from credit bureaus. You may request a credit score from consumer reporting agencies that create scores or distribute scores used in residential real property loans, but you will have to pay for it. In some mortgage transactions, you will receive credit score information free from the mortgage lender.
- **You have the right to dispute incomplete or inaccurate information.** If you identify information in your file that is incomplete or inaccurate, and report it to the consumer reporting agency, the agency

must investigate unless your dispute is frivolous. See [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore) for an explanation of dispute procedures.

- **Consumer reporting agencies must correct or delete inaccurate, incomplete, or unverifiable information.** Inaccurate, incomplete, or unverifiable information must be removed, or corrected, usually within 30 days. However, a consumer reporting agency may continue to report information it has verified as accurate.
- **Consumer reporting agencies may not report outdated negative information.** In most cases, a consumer reporting agency may not report negative information that is more than seven years old, or bankruptcies that are more than 10 years old.
- **Access to your file is limited.** A consumer reporting agency may provide information about you only to people with a valid need – usually to consider an application with a creditor, insurer, employer, landlord, or other business. The FCRA specifies those with a valid need for access.
- **You must give your consent for reports to be provided to employers.** A consumer reporting agency may not give out information about you to your employer or a potential employer, without your written consent given to the employer. Written consent generally is not required in the trucking industry. For more information, go to [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore).
- **You may limit “prescreened” offers of credit and insurance you get based on information in your credit report.** Unsolicited “prescreened” offers for credit and insurance must include a toll-free phone number you can call if you choose to remove your name and address from the lists these offers are based on. You may opt out with the nationwide credit bureaus at (1-888-5OPTOUT or 1-888-567-8688) or via <https://www.optoutprescreen.com>.
- **You may seek damages from violators.** If a consumer reporting agency, or in some cases, a user of consumer reports or a furnisher of information to a consumer reporting agency violates the FCRA, you may be able to sue in state or federal court.
- **Identify theft victims and active duty military personnel have additional rights.** For more information, visit [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore).

**States may enforce the FCRA, and many states have their own consumer reporting laws. In some case, you may have more rights under state law. For more information, contact your state or local consumer protection agency or your state Attorney General. For information about your federal rights, contact [www.consumerfinance.gov/learnmore](http://www.consumerfinance.gov/learnmore).**

**North Carolina Consumers Have the Right to Obtain a Security Freeze.**

You have a right to place a "security freeze" on your credit report pursuant to North Carolina law. The security freeze will prohibit a consumer reporting agency from releasing any information in your credit report without your express authorization. A security freeze must be requested in writing by certified mail.

The security freeze is designed to prevent credit, loans, and services from being approved in your name without your consent. However, you should be aware that using a security freeze to take control over who gains access to the personal and financial information in your credit report may delay, interfere with, or prohibit the timely approval of any subsequent request or application you make regarding new loans, credit, mortgage, insurance, rental housing, employment, investment, license, cellular phone, utilities, digital signature, Internet credit card transactions, or other services, including an extension of credit at point of sale.

The freeze will be placed within five business days. When you place a security freeze on your credit report, within 10 business days, you will be provided a personal identification number or a password to use when you want to remove or lift temporarily the security freeze.

A freeze does not apply when you have an existing account relationship and a copy of your report is requested by your existing creditor or its agents or affiliates for certain types of account review, collection, fraud control, or similar activities.

You should plan ahead and lift a freeze if you are actively seeking credit or services as a security freeze may slow your applications, as mentioned above.

You can remove a freeze or authorize temporary access for a specific period of time by contacting the consumer reporting agency and providing all of the following:

- (1) Your personal identification number or password,
- (2) Proper identification to verify your identity, and
- (3) Proper information regarding the period of time you want your report available to users of the credit report.

A consumer reporting agency that receives a request from you to lift temporarily a freeze on a credit report shall comply with the request no later than three business days after receiving the request. A consumer reporting agency may charge you up to ten dollars (\$10.00) for each time you freeze, remove the freeze, or temporarily lift the freeze for a period of time, except a consumer reporting agency may not charge any amount to a victim of identity theft who has submitted a copy of a valid investigative or incident report or complaint with a law enforcement agency about the unlawful use of the victim's identifying information by another person.

You have a right to bring a civil action against someone who violates your rights under the credit reporting laws. The action can be brought against a consumer reporting agency or a user of your credit report."

**Sample MVR Report with Concerns**



**CONFIDENTIAL CRIMINAL BACKGROUND REPORT**

U.S. ISS Agency, LLC conducted the following criminal background investigation for **City of Charlotte**. This report summarizes the findings of that investigation. Please direct any questions or concerns to the investigator named below.

Investigation Summary for John Johnson	
Date of Request: 06/16/2015 Date Report Completed: 06/17/2015 Data Analyst: Lanisha Lilly (704) 525-5221	Our criminal investigation revealed <b>two traffic violation convictions</b> from the records of the DMV report.

Names/Aliases
John Johnson

Databases Queried	
Database	Results
DMV	See Below

DMV Report	
DL Number	00000123
Status	<b>Suspended</b>
DL State	North Carolina
DL Class	Class C
Issued Date	08/29/2014
Expiration Date	05/02/2016
Suspension(s)	The applicant's license was suspended on 01/03/2015 until currently for 1 <sup>st</sup> Offense of Driving While Impaired.
Restriction(s)	Corrective Lenses
Endorsement (s)	N/A
Points	3

Other	DMV records reflect the following violation concerning the applicant.
Driving History	
OFFENSE	Driving While Impaired
DEFENDANT'S NAME	John Johnson
TYPE OF OFFENSE	Traffic Violation
CASE NUMBER	14CR 000012
DATE CHARGED	12/24/2015
COUNTY, STATE	Mecklenburg County, NC
DISPOSITION	Conviction
DISPOSITION DATE	01/03/2015
FINE	N/A
OFFENSE	Speeding More Than 10 mph Over Speed Limit
DEFENDANT'S NAME	John Johnson
TYPE OF OFFENSE	Violation
CASE NUMBER	11012323445
DATE CHARGED	07/05/2011
COUNTY, STATE	South Carolina
DISPOSITION	Conviction
DISPOSITION DATE	08/22/2011
FINE	N/A

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## EXCEPTIONS



July 13, 2015

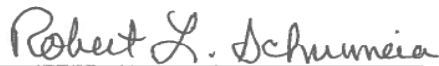
Sarah J. Poulton  
Service and Technology Team Leader  
City of Charlotte  
Management & Financial Services  
Finance Office - Procurement Management  
600 East Fourth Street, CMGC - 9th Floor  
Charlotte, North Carolina 28202-2850

Ref: RFP# 269-2015-078  
Background Investigation Services  
**Exceptions**

Dear Ms. Poulton:

I am pleased to offer our proposal on behalf of the U.S. Investigative Security Services Agency, LLC (ISS) in response to your Request for Proposals #269-2015-078. We accept the terms of RFP# 269-2015-078 and sample contract, and offer or claim no "Exceptions."

Sincerely,



Robert L. Schurmeier  
U.S. ISS Agency, LLC  
President & CEO