

Department of Management (DOM) Background Investigation Policy

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Policy Number: ISEC.1403.01.I

Policy Type: Department of Management (DOM) Internal Policy

Authority: Iowa Code section 8.78

Effective Date: July 10, 2026

Review Date: July 9, 2027

1. Summary

This policy explains when and how background investigations are required for Department of Management Workers (“[DOM Workers](#)”). These checks help protect State of Iowa [systems](#) and [information](#) by ensuring that individuals with access meet minimum qualifications.

2. Who This Policy Applies To

This policy applies to all Department of Management (DOM) employees, regardless of the type of information they access. Additionally, this policy applies to all individuals working for or on behalf of DOM, including contractors, vendors, interns, board members, and any other non-employee personnel who:

- Access State of Iowa-managed systems, facilities, networks, or information, regardless of data classification, or
- Perform information technology (IT), operational, administrative, or criminal justice information (CJI) work for DOM, or
- Support, manages, maintain, or can influence DOM systems, programs, [data](#), or business processes.

For purposes of this policy, all such individuals are referred to as “DOM Workers.”

3. Actions and Responsibilities

DOM Workers covered by this policy must complete a background investigation as a condition of employment or engagement. Background investigations will be based on the individual’s role and level of access to systems or information.

Background investigations will be required:

- After a job offer is made.
- At least once every five years from the last background check.
- When vendor personnel are granted access to [sensitive](#) systems or information.
- When a workforce member joins DOM through an employee-sharing agreement and will access sensitive systems or information.

Background checks may include:

- Verification of past employment.
- Reference checks.
- Criminal history checks at the national, state, and local levels.

Access to sensitive systems or information will only be granted after a favorable background check is completed and documented.

Results and Review

Background investigation results will be reviewed to determine eligibility for employment or engagement. Individuals may be disqualified based on certain criminal offenses or other findings.

DOM will notify individuals of any adverse decision and provide an opportunity to respond or contest the findings, following DOM HR procedures.

All background check results will be treated as confidential and retained according to applicable laws and regulations.

Current DOM Workers may be asked to complete a new background check at any time. Refusal to sign the required authorization form may result in disciplinary action, up to and including termination.

4. Questions and Exceptions

DOM Workers may request clarification or seek an exception to this policy by contacting DOM's HR Bureau, HR@dom.iowa.gov.

5. Compliance and Enforcement

Failure to comply with this policy may result in disciplinary action consistent with human resources (HR) policy and contractual authority.

6. Document Ownership & Approval

Document Owner: DOM CyberGUARD (Information Security Policy) Architect

DOM Director Approval: July 10, 2026

Distribution Date: July 2026, publicly available

Last Revision Date: N/A

Supporting Documentation: Department of Management (DOM) Background Investigation Procedure and Audit Controls (Internal-only)

Glossary

Data

A subset of information in an electronic format that allows it to be retrieved or transmitted. [Source: NIST SP 1800-10]

DOM Workers

All employees, contractors, vendors, interns, board members, and any individual working for the Iowa Department of Management (DOM) who has access to State of Iowa-managed systems, data, or information. This also includes anyone who does IT work or works with Criminal Justice Information (CJI) for DOM even if they don't otherwise work for DOM. These individuals must follow any additional requirements for IT or CJI work, along with the general requirements for DOM Workers.

Information

Any communication or representation of knowledge such as facts, data, or opinions in any medium or form, including textual, numerical, graphic, cartographic, narrative, or audiovisual. An instance of an information type. [Source: NIST SP 800-31 Rev 1 under 'information' from CNSSI 4009, FIPS 199]

Information System

A discrete set of information resources organized for the collection, processing, maintenance, use, sharing, dissemination, or disposition of information. [Source: FIPS 200 under 'information system' from 44 U.S.C., Sec. 3502]

Sensitive Information

Information that could adversely affect the national interest, federal or state programs, organizational or enterprise interests, or individual privacy (e.g., confidential). This includes data that can be used to distinguish or trace an individual's identity or any information requiring protection based on data criticality and system value.