



## **Criminal History Reviews of Contractor Employees**

In 2007, the Texas Legislature passed Senate Bill 9 (SB 9), which requires review of the criminal histories of school district employees and other persons who have contact with students at school. SB 9 includes a requirement that contractors review the criminal histories of employees who have direct student contact. Contractor employees with certain convictions are prohibited from working at a school district. In this document, we address frequently asked questions about SB 9 and contractor employees.

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### **TYPES OF CRIMINAL HISTORY RECORDS**

The term *criminal history* means different things in different contexts. No comprehensive database exists for all of the arrests, charges, indictments, convictions, and other adjudications in the United States. Instead, the nation's criminal record system is a conglomeration of federal, state, and local databases.

The criminal history reviews required by SB 9 involve either state criminal histories or national criminal histories:

- State criminal history records (*criminal history record information* or CHRI): information collected by Texas Department of Public Safety (DPS), a law enforcement or criminal justice agency, or a private agency, that consists of identifiable descriptions and notations of arrests, detentions, indictments, informations, and other formal criminal charges and their dispositions. With the possible exception of reports from private agencies, these records include only data from Texas.<sup>1</sup>

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<sup>1</sup> Tex. Gov't Code § 411.082(2); 19 Tex. Admin. Code § 153.1101(4) (*proposed*). TEA's proposed rules are projected to take effect July 31, 2008. The rules are posted on TEA's Web Site at: [www.tea.state.tx.us/rules/commissioner/proposed/0508/153dd-ltrprop.html](http://www.tea.state.tx.us/rules/commissioner/proposed/0508/153dd-ltrprop.html).

- National criminal history records (*national criminal history record information* or NCHRI): criminal history records from DPS and the FBI retrieved through fingerprint identification information. The FBI's records include data from Texas and other states.<sup>2</sup>

In other words, CHRI are state-wide, name-based or fingerprint-based criminal histories and NCHRI are national, fingerprint-based criminal histories. National criminal histories are conducted through DPS and require fingerprints, state-issued photo identification, and other identifying information.

## CONTRACTOR RESPONSIBILITIES

### ***Q. Which contractors does SB 9 apply to?***

- A. SB 9 does not apply to every contractor: It applies only to an entity that contracts with a district to provide *services*. Tex. Educ. Code § 22.0834(a). In other words, it does not apply to a contract for the purchase of goods or real estate. As discussed below, SB 9 also applies to subcontractors of service contractors.

TEA interprets the terms *contract to provide services* and *contractor* broadly. In its proposed rules, TEA describes a *service contractor* as an entity that “contracts or agrees with a [district], by written agreement or verbal understanding, to provide services through individuals who receive compensation.” Law enforcement agencies and the Department of Family and Protective Services are excepted from the definition when conducting an investigation or intervention regarding an alleged crime or act of child abuse on a school campus. 19 Tex. Admin. Code § 153.1101(10) (*proposed*).

### ***Q. What responsibilities does a contractor have?***

- A. A contractor has five general responsibilities:
- For covered employees, obtain state or national criminal history records, as required by statute;
  - For employees who are not covered, maintain any conditions or precautions that prevent the employees from being covered;
  - Provide identifying information on covered employees to the district;
  - Prohibit contractor and subcontractor employees with disqualifying convictions from serving at a school district;
  - Certify compliance—for itself and any subcontractors—to the district.

19 Tex. Admin. Code § 153.1117(c) (*proposed*). Each of these responsibilities is addressed below. The definition of “covered employees” is addressed in a separate section of these FAQs.

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<sup>2</sup> Tex. Educ. Code § 22.081(2); 19 Tex. Admin. Code § 153.1101(8) (*proposed*).

***Q. Where does a contractor obtain criminal histories on covered employees?***

A. The source of criminal history information depends on the covered employee's date of employment:

- Employed before January 1, 2008: contractors must obtain state criminal histories (CHRI). Tex. Educ. Code § 22.0834(g).
- Offered employment on or after January 1, 2008: contractors must obtain national criminal histories (NCHRI). Tex. Educ. Code § 22.0834(a), (b).

If a national criminal history is required, the contractor must create an account with DPS to access the criminal history through the Fingerprint-based Applicant Clearinghouse of Texas (FACT).

***Q. What is the deadline for a contractor to obtain the criminal history record information on a covered employee?***

A. It depends on when the covered employee was hired.

- Before January 1, 2008: "As soon as practicable." Act of May 28, 2007, 80th Leg., R.S., S.B. 9, § 30.
- On or after January 1, 2008: "Before or immediately after employing or securing the services" of the covered employee. Tex. Educ. Code § 22.0834(c).

***Q. How is a covered employee's "date of employment" determined?***

A. Determining the date of employment is very important. The date of employment dictates the type of criminal history—national or local—and the deadline for obtaining the criminal history. Under TEA's rules, the determination of "date of employment" depends on whether the employer is a contractor or subcontractor, or if the person is an independent contractor:

- Contractor: if the covered employee is employed by the contractor, the date of employment is the date the employee began providing services to the contractor for compensation;
- Subcontractor: if the covered employee is employed by a subcontractor, the date of employment is the date the subcontractor accepted an offer from the contractor for a specific project that is to begin on a date that is certain or reasonably ascertainable.
- Independent contractor: if the covered employee is an independent contractor, the date of employment is the date of the contract or agreement with the district;

19 Tex. Admin. Code § 153.1117(5), (6) (*proposed*).

**Examples:**

- Employed by contractor: School Janitors, Inc. hired Joe Smith on April 1, 2007. On January 15, 2008, School Janitors, Inc. signed a contract with Texas Star ISD to provide janitorial services. School Janitors, Inc. has assigned Joe to work at Texas Star High School. Under TEA's proposed rules, Joe's "date of employment" for SB 9 purposes is the date he began working for School Janitors, Inc. Because this date is before January 1, 2008, School Janitors, Inc. must obtain Joe's criminal history from a law enforcement or criminal justice agency, or a private entity, as soon as practicable.
- Employed by subcontractor: On August 15, 2008, School Janitors, Inc. subcontracts with Jones Janitorial Partners to assist with janitorial services at Texas Star ISD sporting events for the 2008-2009 school year. Jones Janitorial Partners has two employees: Mary and Bob Jones, who have owned and operated the company for five years. Under TEA's proposed rules, Mary and Bob's date of employment for SB 9 purposes is the date of the contract between School Janitors, Inc. and Jones Janitorial Partners: August 15, 2008. Because this date is after January 1, 2008, Mary and Bob must submit to a fingerprint-based, national criminal history review.
- Independent contractor: On December 15, 2007, Texas Star ISD contracted with Lucy Brown to provide educational diagnostician services for the spring semester of the 2007-08 school year. Under TEA's proposed rules, Lucy's date of employment for SB 9 purposes is December 15, 2007, even though she will not begin work under the contract until after January 1, 2008. Therefore, Lucy must submit to a state or local criminal history review as soon as practicable.

***Q. Are contractors required to obtain criminal histories on covered employees who are certified by the State Board for Educator Certification?***

- A. Yes. Certified, covered employees fall under the statutory provisions for covered employees who are not subject to a national criminal history review: A state-level CHRI check is required. Tex. Educ. Code § 22.0834(g). Therefore, a contractor must obtain the criminal history of a certified employee from any law enforcement or criminal justice agency or from a private entity, regardless of the date of employment. 19 Tex. Admin. Code § 153.1117(c)(3).

***Q. How does a contractor certify compliance with the criminal history review requirements?***

- A. A contractor must certify to the district that it has received all criminal history information on covered employees. Subcontractors must make the same certification to the contractor, and the contractor must certify to the district that it has received certifications from its subcontractors. Tex. Educ. Code § 22.0834(d); 19 Tex. Admin. Code § 153.1117(b)(5) (*proposed*). There is no official form for these certifications. However, TASB Legal Services has developed sample forms for contractors and independent contractors. The forms are attached to these FAQs.

## **SUBCONTRACTOR RESPONSIBILITIES**

### ***Q. What responsibilities do subcontractors have?***

A. Subcontractors have five general responsibilities:

- For covered employees, obtain state or national criminal histories, as required by statute;
- For employees who are not covered, maintain any conditions or precautions that prevent the employees from being covered;
- Provide identifying information on covered employees to the district;
- Prohibit employees with disqualifying convictions from serving at a school district;
- Certify compliance to the contractor.

19 Tex. Admin. Code § 153.1117(c)(1), (4)-(6) (*proposed*). These responsibilities mirror the contractor responsibilities, discussed above.

## **DISTRICT RESPONSIBILITIES**

### ***Q. What are a district's responsibilities regarding contractors and their employees?***

A. Districts have three responsibilities:

- Obtain certification of compliance from each contractor;
- Prohibit contractor and subcontractor employees with disqualifying convictions from serving at a district;
- Report to SBEC any certified contractor employees with a reported criminal history.

19 Tex. Admin. Code § 153.1117(b) (*proposed*).

### ***Q. What if a district has an urgent need for services and there is not enough time to obtain the criminal history of a contractor employee?***

A. In an emergency, a district may allow a contractor employee who has not submitted to a criminal history review to enter district property if the person is accompanied by a district employee. The statute does not define the term *emergency*, but it does provide that the district may adopt rules regarding this exception. Tex. Educ. Code § 22.0834(f). Accordingly, it is the district's responsibility to determine whether an emergency exists for purposes of this exception.

***Q. Can a district obtain criminal histories on covered employees for the contractor?***

A. No. The Texas Education Code requires the *contractor* to obtain the criminal histories of covered employees. In the case of covered persons employed after January 1, 2008, the contractor, not the district, must contact DPS directly to set up an account to obtain national criminal histories. Tex. Educ. Code § 22.0834(c), (g).

***Q. Can a contractor show a covered employee's criminal history record to the district?***

A. No. According to DPS, an individual's criminal history is confidential and the contractor may not show it to the district. See Tex. Gov't Code § 411.084. It is a criminal offense for a person to knowingly or intentionally obtain criminal history record information in an unauthorized manner, use the information for an unauthorized purpose, or disclose the information to a person who is not entitled to the information. Tex. Gov't Code § 411.085.

***Q. Can a district ask a contractor for a list of contractor and subcontractor employees?***

A. Yes. TEA's proposed rules require a contractor and its subcontractors to provide certain information to the district upon request. Specifically, the contractor and its subcontractors must provide the information necessary for the district to obtain the criminal history record information on the contractor's and subcontractors' covered employees. 19 Tex. Admin. Code § 153.1117(c)(5) (*proposed*).

***Q. Can a district obtain criminal histories of contractor employees after the contractor has obtained them?***

A. Yes. A district may obtain the national criminal histories of contractor employees from DPS's clearinghouse. Tex. Educ. Code § 22.0834(e). If a contractor employee was not subject to a national criminal history review, the district may obtain a state criminal history. Tex. Educ. Code § 22.0834(h). In either case, the district must pay the cost of obtaining the histories, unless the district and the contractor have agreed otherwise. By subscribing to the clearinghouse for contractor employees, the district has the benefit of obtaining electronic updates should a contractor employee be arrested or otherwise have a change in criminal history.

***Q. How often may a district obtain criminal history records on contractor employees?***

A. A district may obtain the criminal histories of contractor employees as often as the district wishes. In the past, a district could obtain the criminal history of a person only two times each year. SB 9 removed this limit. Tex. Gov't Code § 411.097(b). If a district subscribes to the DPS's clearinghouse for a specific contractor employee, however, the district will receive electronic updates should the contractor employee's status change.

For practical purposes, districts may be more concerned with obtaining ongoing and updated employee lists from contractors than with obtaining updated criminal history records. Particularly on construction projects, the constant ebb and flow of workers may necessitate careful tracking of staff to ensure that the district knows who is working on the project. A district may want to build into its agreement a requirement that the contractor provide regular updates.

## COVERED EMPLOYEES

### ***Q. Which employees of a contractor are “covered”?***

- A. A covered employee is an employee who will have continuing duties relating to the contracted services and direct contact with students. Tex. Educ. Code § 22.0834(a), (g); *see also* 19 Tex. Admin. Code § 153.1101(3) (*proposed*). The same rule applies to independent contractors. The test for a whether a person is covered has three prongs: The person must:
- 1) work on a contract for services;
  - 2) have continuing duties related to the contract; *and*
  - 3) have direct contact with students.<sup>3</sup>

This is an “all or nothing” test.<sup>4</sup> If all three prongs are met, a criminal history review is *mandatory*. If all three prongs are not met, SB 9 does not authorize the contractor or the district to obtain the employee’s criminal history through DPS’s clearinghouse. The contractor or the district may nonetheless obtain the employee’s criminal history from DPS (although not through the clearinghouse) if the employee provides written consent.

### ***Q. What are “continuing duties” related to the contracted services?***

- A. In its proposed rules, TEA defines *continuing duties* as work duties that are performed on a regular, repeated basis rather than infrequently or one-time only. 19 Tex. Admin. Code § 153.1101(2) (*proposed*).

### ***Q. What is “direct contact with students”?***

- A. In its proposed rules, TEA defines *direct contact with students* as contact that results from activities that provide substantial opportunity for verbal or physical interaction with students that is not supervised by a certified educator or other professional district employee. Examples include unsupervised coaching, tutoring, or other services.

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<sup>3</sup> There is one exception. Under TEA’s proposed rules, a student at the district where the services are performed is not a *covered employee*. 19 Tex. Admin. Code § 153.1101(3)(D) (*proposed*).

<sup>4</sup> Districts should note that this test applies to contractor employees, not to district employees. District employees are subject to criminal history background checks even if they have no student contact.

On the other hand, contact with students that results from services that do not provide substantial opportunity for unsupervised interaction with students is not, by itself, direct contact with students. Examples include addressing an assembly, officiating a sports contest, or judging an extracurricular event. 19 Tex. Admin. Code § 153.1101(7) (*proposed*).

***Q. When is a covered employee prohibited from working at a district?***

- A. A district may not allow a contractor employee to serve at the district if the district obtains information that: (a) the person has been convicted of a Title 5 felony against a minor or student; (b) the person is required to register as a sex offender because of an offense against a minor or student; or (c) the person has been convicted of a similar offense under federal law or the laws of another state. Tex. Educ. Code § 22.085(c). Title 5 felonies are those listed in Title 5 of the Texas Penal Code and include murder, attempted murder, assault, sexual assault, and similar offenses.

These are minimum standards. A district may adopt stricter standards for eligibility to work on district contracts. See 19 Tex. Admin. Code § 153.1117(b)(3) (*proposed*).

***Q. Can a contractor avoid SB 9 by taking steps to prevent employees from having direct contact with students?***

- A. Yes, but the contractor must make reasonable efforts to ensure that any such conditions or precautions are maintained throughout the project. 19 Tex. Admin. Code § 153.1117(c)(1), (5) (*proposed*). For example, on a construction project at a campus where students are present, the contractor might erect a fence or other barrier around the project, provide sanitary facilities on the construction site, and prohibit its employees from having contact with students or going into school buildings. The contractor then has a responsibility to make reasonable efforts to ensure that the barrier and sanitation facilities are maintained and that employees comply with its policies regarding contact with students and entry into school buildings.

## MISCELLANEOUS

***Q. Is UIL required to review the criminal history of sports officials?***

- A. No Texas law requires the University Interscholastic League (UIL) to review the criminal history of sports officials. In fact, sports officials are not employed by UIL or the Texas Association of Sports Officials. Most sports officials in Texas are retained by individual school districts on a game-by-game basis.

Under TEA's proposed rules, criminal history reviews are not required for sports officials who do nothing more than officiate sports contests. Officiating a game typically does not provide substantial opportunity for unsupervised interaction with students. Sports officials may, however, be subject to district rules regarding campus visitors.



***Q. Who will pay the cost of obtaining criminal history record information on covered employees?***

- A. The statute does not specify who will pay the cost of obtaining criminal history record information for covered employees. Accordingly, the district and the contractor should determine this responsibility before performance under the contract begins.

A district that is beginning the contracting process may wish to determine in advance whether contractor employees are likely to be “covered employees.” If so, it may be prudent to include a reference to the SB 9 requirements in the request for proposal or bid specifications, and to factor in the additional contractor and administrative costs.

***Q. Where can I find more information about SB 9?***

- A. Contractors can contact DPS for assistance with creating accounts and obtaining criminal histories. For legal questions, contractors should consult their own attorneys or associations. TASB Legal Services cannot advise contractors because of the potential conflict of interest.

School district representatives can contact TASB Legal Services at (800) 580-5345 or [legal@tasb.org](mailto:legal@tasb.org) for guidance. For in-depth issues, districts should contact their local attorneys. For information about SB 9 and school district employees, see the Personnel FAQs at [www.tasb.org/services/legal/faqs/personnel.aspx](http://www.tasb.org/services/legal/faqs/personnel.aspx).

*This document is provided for educational purposes only and contains information to facilitate a general understanding of the law. It is not an exhaustive treatment of the law on this subject nor is it intended to substitute for the advice of an attorney. Consult with your own attorneys to apply these legal principles to specific fact situations.*

*Prepared by Holly Claghorn, Senior Attorney, July 2008*

## Model SB 9 Contractor Certification Contractor Employees

**Introduction:** Texas Education Code Chapter 22 requires entities that contract with school districts to provide services to obtain criminal history record information regarding covered employees. Contractors must certify to the district that they have complied. Covered employees with disqualifying criminal histories are prohibited from serving at a school district.

**Definitions:**

*Covered employees:* Employees who have or will have continuing duties related to the service to be performed at the District and have or will have direct contact with students. The District will be the final arbiter of what constitutes direct contact with students.

*Disqualifying criminal history:* Any conviction or other criminal history information designated by the District, or one of the following offenses, if at the time of the offense, the victim was under 18 or enrolled in a public school: (a) a felony offense under Title 5, Texas Penal Code; (b) an offense for which a defendant is required to register as a sex offender under Chapter 62, Texas Code of Criminal Procedure; or (c) an equivalent offense under federal law or the laws of another state.

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On behalf of \_\_\_\_\_ (“Contractor”), I certify that  
[check one]:

None of Contractor’s employees are *covered employees*, as defined above. If this box is checked, I further certify that Contractor has taken precautions or imposed conditions to ensure that Contractor’s employees will not become *covered employees*. Contractor will maintain these precautions or conditions throughout the time the contracted services are provided.

*Or*

Some or all of Contractor’s employee are *covered employees*. If this box is checked, I further certify that:

- (1) Contractor has obtained all required criminal history record information regarding its covered employees. None of the covered employees has a disqualifying criminal history.
- (2) If Contractor receives information that a covered employee subsequently has a reported criminal history, Contractor will immediately remove the covered employee from contract duties and notify the District in writing within 3 business days.

- (3) Upon request, Contractor will provide the District with the name and any other requested information of covered employees so that the District may obtain criminal history record information on the covered employees.
- (4) If the District objects to the assignment of a covered employee on the basis of the covered employee's criminal history record information, Contractor agrees to discontinue using that covered employee to provide services at the District.

Noncompliance or misrepresentation regarding this certification may be grounds for contract termination.

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Signature

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Date

## **Model SB 9 Contractor Certification Independent Contractor**

**Introduction:** Texas Education Code Chapter 22 requires an independent contractor who provides services to a school district to submit to a criminal history review if the independent contractor will have continuing duties related to the contracted services and direct student contact. Each independent contractor must certify to the District that the contractor has complied.

A covered independent contractor with a disqualifying criminal history is prohibited from serving at a school district. The following offenses are disqualifying if, at the time of the offense, the victim was under 18 or enrolled in a public school: (a) a felony offense under Title 5, Texas Penal Code; (b) an offense for which a defendant is required to register as a sex offender under Chapter 62, Texas Code of Criminal Procedure; or (c) an equivalent offense under federal law or the laws of another state. The District reserves the right to designate other convictions or other criminal history information as disqualifying.

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I certify that I have obtained all required criminal history record information regarding myself through the Texas Department of Public Safety's Fingerprint-based Applicant Clearinghouse of Texas (FACT). I further certify that I do not have a disqualifying criminal history. I agree to notify the District in writing within 3 business days if I am arrested or adjudicated for a disqualifying reason during the contract term.

I agree to provide the District, upon request, my full name and any other requested information so that the District may obtain my criminal history record information. I understand that the District may terminate my services at any time if the District determines, at its sole discretion, that my criminal history is not acceptable.

Noncompliance or misrepresentations regarding this certification may be grounds for contract termination.

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Signature

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Date

## Model SB 9 Contractor Certification Subcontractor Employees

**Introduction:** Texas Education Code Chapter 22 requires entities that contract with school districts to ensure that their subcontractors obtain criminal history record information regarding the covered employees of their subcontractors. Contractors must certify compliance with these requirements to the District. Covered employees with disqualifying criminal histories are prohibited from serving at a school district.

**Definitions:**

*Covered employees:* Employees who have or will have continuing duties related to the service to be performed at the District and have or will have direct contact with students. The District will be the final arbiter of what constitutes direct contact with students.

*Disqualifying criminal history:* Any conviction or other criminal history information designated by the District, or one of the following offenses, if at the time of the offense, the victim was under 18 or enrolled in a public school: (a) a felony offense under Title 5, Texas Penal Code; (b) an offense for which a defendant is required to register as a sex offender under Chapter 62, Texas Code of Criminal Procedure; or (c) an equivalent offense under federal law or the laws of another state.

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On behalf of \_\_\_\_\_ (“Contractor”), I certify that  
[check one]:

Contractor will not use any subcontractors to provide the contracted services.

*Or*

Contractor will use subcontractors to provide the contracted services. However, none of the subcontractors, or their employees, is a *covered employee*. If this box is checked, I further certify that Contractor and its subcontractors have taken precautions or imposed conditions to ensure that the subcontractors and their employees will not become *covered employees*. Contractor and subcontractor will maintain these precautions or conditions throughout the time the contracted services are provided.

*Or*

Contractor will use subcontractors to provide the contracted services. Some of the subcontractors, or their employees, are *covered employees*, as defined above. If this box is checked, I further certify that:

- (1) Each subcontractor has certified to Contractor that the subcontractor has obtained all required criminal history record information regarding its covered employees. None of the covered employees has a disqualifying criminal history.
- (2) If Contractor receives information that a covered employee of a subcontractor subsequently has a reported criminal history, Contractor will immediately remove the covered employee from contract duties and notify the District in writing within 3 business days.
- (3) Upon request, Contractor will provide the District with the name and any other requested information of the covered employees of its subcontractors so that the District may obtain criminal history record information on the covered employees.
- (4) If the District objects to the assignment of a covered employee of a subcontractor on the basis of the covered employee's criminal history record information, Contractor agrees to discontinue using that covered employee to provide services at the District.

Noncompliance or misrepresentations regarding this certification may be grounds for contract termination.

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Signature

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Date

**Confirmation of Contractor Status**

Texas Department of Public Safety  
Crime Records Services  
Access and Dissemination Bureau  
Post Office Box 4143  
Austin, Texas 78765

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

Dear Sir or Madam:

This letter confirms that \_\_\_\_\_ Independent School District (District) has entered into a contract or agreement with \_\_\_\_\_ (Contractor) to provide services to the district. Contractor may have covered employees for whom Contractor is required to obtain state and national criminal history record information, under Texas Education Code chapter 22, subchapter C.

If there are any questions or you need further information from the District, please contact the undersigned.

Sincerely,

(authorized District representative)