

**DEPARTMENT OF ADMINISTRATIVE AND FINANCIAL SERVICES  
BUREAU OF HUMAN RESOURCES  
APRIL 29, 2005**

**HUMAN RESOURCE MEMORANDUM 7-05**

TO: Donald Williams, HR Director, Health and Human Services  
Sue Bell, Acting HR Director, Labor  
Patricia Beaudoin, HR Director, Administrative & Financial Services

***SUBJECT: PILOT IMPLEMENTATION OF PERSONNEL SECURITY  
PROTOCOLS – JUNE 1, 2005 THROUGH AUGUST 31, 2005***

Human Resource Memorandum 7-05 is intended to implement a three-month pilot of the proposed human resource related component of agency information security policies. The pilot will be conducted at the Department of Health and Human Services; the Department of Labor; and the Maine Revenue Service, Department of Administrative and Financial Services. Upon completion of the pilot, a final human resource component will be developed that may be adopted by agencies to fulfill the human resource related component of agency information security policies.

The procedures provided in this policy are intended to ensure public confidence, security, and that the State Government workforce is appropriately qualified and credentialed. These recommendations are an integral component of an information security initiative developed by the Office of the Chief Information Officer. It is anticipated that each agency will, in the near future, develop agency-specific information security protocols that are consistent with the *State of Maine Information Technology Security Policy*.<sup>1</sup>

This memorandum was developed by a team of human resource professionals from the Bureau of Human Resources, the Maine Department of Health and Human Services, the Maine Department of Labor, and the Maine Department of Administrative and Financial Services. This team will periodically convene to address emerging personnel security issues and concerns to ensure that the personnel security remains a viable component of the State's overall information security effort. Following completion of the pilot, the final personnel security policy will be issued as a Civil Service Bulletin.

**SECTION 1.1 SECURITY IN JOB DEFINITION AND RESOURCING**

**1.1.1 SECURITY IN JOB RESPONSIBILITIES**

1.1.1.a Classification specifications will include:

- General statement concerning employee responsibility for security

---

<sup>1</sup> The *State of Maine Information Technology Security Policy* "... provides a uniform set of information technology security policies, standards and general guidelines for every State Department, Agency, Board, Bureau, Commission, and Authority which are required to comply with Maine Revised Statute Annotated (MSRA) Title 5, Chapter 158, § 1871 - 1896. All Maine State Government entities, unless specifically exempted, are required to abide by the policies hereby established. All users (employees, contractors, vendors, and other parties) are expected to understand and abide by them."

- Supervisory classifications will include a statement concerning ISO responsibilities

1.1.1.b Job postings will include:

- A statement that information provided during the application and selection process will be verified

1.1.1.c State of Maine application(s) for employment will include affirmations developed by the Bureau of Human Resources.

- That the application is true, correct, and complete to the best of the applicant's knowledge
- That the applicant may have to submit information not specifically requested on the application form
- That BHR or the employing agency may verify any information provided in the application process
- That BHR or the employing agency may conduct reference checks
- That BHR or the employing agency may conduct a credit check when appropriate for a position where a credit check is authorized
- That BHR or the employing agency may release information to authorized agents, officers, and/or employees of the State of Maine which may include, but not be limited to information concerning past work, present work, attendance, evaluations, educational records (including transcripts), military service, criminal records, and any other personal record deemed necessary to verify the information provided by the applicant
- Affirmation that supplying erroneous information or omitting pertinent information as part of the application process would be sufficient cause for discharge

## 1.1.2 PERSONNEL SCREENING AND POLICY

Verification of information pertaining to applicants and new employees is a responsibility that is shared by the Bureau of Human Resources and appointing authorities. BHR is responsible to ensure that applications are complete, with the appropriate verifications left to agency interview/selection panels and the agency HR division.

All selections should be considered *conditional* until all prescribed verifications for a particular position are completed. All verifications must be completed prior to the end of the probationary period.

### 1.1.2.a *Employment Application*

- For competitive positions completeness verified by Bureau of Human Resources.
- Application returned to applicant if incomplete.
- For direct hire positions completeness verified by agency human resource representative.

### 1.1.2.b *Employment References*

- Gathered by interview/selection panel chair or member or other appropriate agency staff designated by the interview/selection panel chair.
- At least one work-related reference, preferably from the last previous and/or the most job-related employer. Additional work-related references are

encouraged. In addition to ascertaining that the person was, in fact, employed with the organization in question, reference check should include:

- At a minimum, a business reference should include the position held, whether full-time or part-time, dates of employment and eligibility for rehire.
- To the extent a former employer is willing to provide additional information, reference questions should be directly associated with the Core Competencies, Knowledge and Skills, Terms and Conditions and, for applicable supervisory positions, Manager found in the State of Maine Performance Management Form (PER 119 3/97 or its successor).
- In the absence of a work-related reference, a personal reference may be included.

#### 1.1.2.c *Resumes/Vitae*

- Completeness verified by interview/selection panel chair or member for completeness.
- Special attention should be given to account for significant gaps in employment history.

#### 1.1.2.d *Academic Qualifications*

- Verify graduation, degree conferred, and major/minor fields of study directly with academic institution.
- Verify that educational institution is accredited by a nationally recognized accrediting agency that the United States Secretary of Education has determined to be a reliable authority as to the quality of education or training provided by the institution of higher education and the higher education programs they accredit. [List published by the U.S. Secretary of Education may be found at the ED.gov website.]
- A *copy* of a degree should be retained in the personnel file only after the interview/selection panel chair (or member) and/or appropriate agency HR representative has viewed the original document. The person verifying authenticity of copy and accreditation must indicate original viewed and accreditation verified, sign and date copy for employee personnel file.\*

#### 1.1.2.e *Licenses/Certifications*

- Verify possession of license/certification required by the classification to which the employee has applied or which has been used to establish qualification for the classification to be employed.
- A *copy* of a license should be retained in the personnel file only after interview/selection panel chair (or member) and/or appropriate agency HR representative has viewed the original document. The person verifying

---

\* The term "personnel file" is not specifically defined in Civil Service Law or Civil Service Rules. The CS Law, 5 MRSA, §7071 defines what records the Director, BHR is required to maintain. These requirements are further defined in CS Rules, Chapter 14. It is these records that constitute the "personnel file" within the state service. The official "personnel file" is maintained at the Bureau of Human Resources. Agency personnel files are considered an extension of the official personnel file, subject to the provisions of the 5 MRSA, § 7070 and §7071.

authenticity of copy must indicate original viewed, sign and date copy for employee personnel file.

- Verify authenticity of license/certification directly with the granting authority, such as a licensing board.
- An agency may choose to ascertain if a candidate has had any adverse licensing board actions with respect a professional license. In that event, the agency may consult the website maintained by the Department of Professional and Financial Regulation, which provides much of this information. If the candidate is an attorney, the information may be accessed through the Board of Overseers of the Bar.

#### 1.1.2.f *Background Checks*

- A criminal background check may be conducted, and is encouraged, for all employees. A candidate's criminal record may legitimately be considered as a factor in the selection process.
  - State agencies should consult the Department of Public Safety for access to the site that will provide conviction and adjudication information for adult and juvenile crimes committed within the State of Maine. [The feasibility of conducting national background checks (e.g. FBI) is currently being explored.]
  - In the event that a prospective employee self identifies a criminal conviction, or a criminal conviction is subsequently determined by way of the criminal records check, agencies should refer to *POLICY GUIDELINE CONCERNING APPLICANTS WITH CRIMINAL CONVICTIONS* which is attached to this policy.
- A driving record check may be conducted in cases where the employee will be required to spend a significant amount of time driving a state-owned or privately-owned vehicle on state business and/or in cases when a state employee is customarily required to transport clients, patients, inmates, or civilians. In positions where the operation of a motor vehicle is a regular component, a candidate's driving record may legitimately be considered as a factor in the selection process.
  - In the event that a prospective employee self identifies a negative driving record, or a negative driving record is subsequently determined by way of the driving records check, agencies should consider the driving record in a manner similar to that provided in *POLICY GUIDELINE CONCERNING APPLICANTS WITH CRIMINAL CONVICTIONS*. That is, there must be a nexus between the driving record and the job.
  - Employees using a vehicle owned by the State of Maine are required to adhere to the *VEHICLE USE AGREEMENT* provided by Risk Management.
- A credit check may be conducted in cases where a legitimate nexus exists between an employee's credit history and his or her job functions.
  - Credit checks should only be instituted for positions where there is a clear and direct correlation between credit history and job duties.
  - The collection and proper use of credit information is subject to a myriad of state and federal laws. If an agency contemplates

instituting credit checks, the agency should receive specific direction from the Department of the Attorney General.

1.1.2.g *Verification of Identity*

- Immediately prior to employment interview, interview/selection panel chair or member must verify the identity of the person being interviewed. Verification may be by means of a picture identification such as a passport, driver's license, etc. [Note: Verification of identity and eligibility for employment in the United States will again be verified by an agency human resource representative by way of the I-9 when completing new-hire paperwork.]

1.1.2.h *Information to Applicant Prior to Employment Interview*

- Interview/selection panel chair or member or an agency HR representative should advise each applicant, in writing, what will be required at the time of the initial employment interview. These items include, but are not limited to, verification of identity, a current resume/vitae, or other information that the agency deems appropriate for the employment interview.
- A model pre-interview letter is attached for reference.

1.1.2.i *Written Job Offer*

- Must include statement that the job offer is conditional based upon verification of information provided to the State and, if required for the position, a criminal background, driver's license, and/or credit check.
- Advise candidate what "New Hire" information will be required including, but not limited to, identification materials for the Form I-9, original academic degrees, licenses, certifications, or other work-related credentials.

1.1.2.j *Administration*

- The agency HR Division should develop a verification checklist to be included with the "New Hire" paperwork.
- The agency HR Division will ensure that the verification checklist has been completed prior to authorizing permanent status.

### 1.1.3 CONFIDENTIALITY AGREEMENTS

Confidentiality agreements are intended to ensure that information designated confidential by law or rule is not improperly released to unauthorized persons. Confidentiality agreements inform an employee of his or her responsibilities with respect to the confidentiality of information and the potential consequences of the improper release of records.

Although maintaining the confidentiality of information remains an important responsibility of each State employee, the guiding principles articulated in 1 MRSA, Chapter 13, with respect to public access to public records should always be considered in the conduct of State business.

- 1.1.3.a In the event that an employee is unsure as to whether information should be released, supervisory and or legal guidance should be obtained *prior to* the release of the information requested.

1.1.3.b Prior to starting work, every employee of the State of Maine, regardless of employee status, is required to read, agree to, and sign a confidentiality agreement provided by the Bureau of Human Resources. This agreement will be included in the employee's personnel file.

1.1.3.c Individual agencies may have additional confidentiality agreements that are specific to the agency, bureau, division, or other appropriate mission. Such additional confidentiality agreements will also be included in the employee's personnel file.

1.1.3.d In the event that an employee changes work location, whether on a temporary or permanent basis, an HR representative must ensure that an appropriate agency confidentiality agreement is agreed to and signed by the employee.

#### **1.1.4 TERMS AND CONDITIONS OF EMPLOYMENT**

6.1.4.a Individual employees are responsible for information security within the purview of their employment.

6.1.4.b Maine law provides that under some circumstances, Executive Branch employees who leave state service may be disqualified from participation in certain matters. Employees should refer to 5 MRSA, §18 for guidance in this regard.

### **Section 1.2 USER TRAINING**

#### **1.2.1 INFORMATION SECURITY EDUCATION AND TRAINING**

Information security responsibilities and protocols will be incorporated into new employee and management training.

1.2.1.a Information security included in mandatory New Employee Orientation (NEO)

- Whether statewide program or agency-specific program
- Security segment included in NEO handbook

1.2.1.b Information security included in mandatory Managing in State Government (MSG) training

- Whether statewide program or agency-specific program
- Security segment included in MSG handbook

1.2.1.c Information security overview included in on-line BHR Policy and Procedures Manual



Frank A. Johnson, Acting Director  
Bureau of Human Resources

FAJ/pjs

**PILOT - VERIFICATION CERTIFICATION**  
TO BE INCLUDED IN EMPLOYEE PERSONNEL FILE  
(REFERENCE HUMAN RESOURCE MEMORANDUM 7-05)

Applicant Name \_\_\_\_\_ Classification \_\_\_\_\_  
Please Print Please Print  
Department \_\_\_\_\_ Bureau \_\_\_\_\_  
Please Print Please Print

**PRE-EMPLOYMENT**

**APPLICATION/RESUME RECEIVED**

Verified by:

**REFERENCES**

Verified by:

\_\_\_\_\_ Number Checked – Business  
\_\_\_\_\_ Number Checked – Personal  
\_\_\_\_\_ Number Checked – Academic

**ACADEMIC QUALIFICATIONS**

Verified by:

\_\_\_\_\_ Original Transcripts/Degree Reviewed  
(Copy to personnel file)  
\_\_\_\_\_ Academic Institution is Accredited  
(<http://www.ed.gov/admins/finaid/accred/accreditation.html>)

**IDENTITY (At least one picture identification required)**

Verified by:

\_\_\_\_\_ Drivers License \_\_\_\_\_  
State Number  
\_\_\_\_\_ Passport  
\_\_\_\_\_ Birth Certificate  
\_\_\_\_\_ Other (specify) \_\_\_\_\_

**PRIOR TO COMPLETION OF INITIAL PROBATION (OR EXTENSION)**

**LICENSE/CERTIFICATION (Copies of *original* to personnel file)**

Verified by:

**CONFIDENTIALITY STATEMENTS**

Verified by:

\_\_\_\_\_ State Confidentiality Statement  
(Reviewed with and signed by  
Employee with copy to personnel file)  
\_\_\_\_\_ Agency/Other Confidentiality Statement  
(Reviewed with and signed by  
Employee with copy to personnel file)

**DRIVER'S RECORD CHECK (IF APPLICABLE)**

Verified by:

**CRIMINAL BACKGROUND CHECK (IF APPLICABLE)**

Verified by:

\_\_\_\_\_ In-State  
\_N/A\_ Out-of-State (Not Yet Available)

**CREDIT CHECK (IF APPLICABLE)**

Verified by:

I CERTIFY THAT THE ABOVE INFORMATION PERTAINING TO THE SELECTED APPLICANT  
HAS BEEN VARIFIED.

\_\_\_\_\_  
Signature (HR Director or designee)

\_\_\_\_\_  
Date

**PILOT - VERIFICATION CERTIFICATION**  
TO BE INCLUDED IN EMPLOYEE PERSONNEL FILE  
(REFERENCE HUMAN RESOURCE MEMORANDUM 7-05)  
**OVERVIEW OF VERIFICATION PROCESS**

**PERSONNEL SCREENING AND POLICY**

Verification of information pertaining to applicants and new employees is a responsibility that is shared by the Bureau of Human Resources and appointing authorities. BHR is responsible to ensure that applications are complete, with the appropriate verifications, left to agency interview/selection panels and the agency HR division.

All selections should be considered *conditional* until all prescribed verifications for a particular position are completed. All verifications must be completed prior to the end of the probationary period.

*Employment Application*

- For competitive positions completeness verified by Bureau of Human Resources.
- Application returned to applicant if incomplete.
- For direct hire positions completeness verified by agency human resource representative.

*Employment References*

- Gathered by interview/selection panel chair or member or other appropriate agency staff designated by the interview/selection panel chair.
- At least one work-related reference, preferably from the last previous and/or the most job-related employer. Additional work-related references are encouraged. In addition to ascertaining that the person was, in fact, employed with the organization in question, reference check should include:
  - At a minimum, a business reference should include the position held, whether full-time or part-time, dates of employment and eligibility for rehire.
  - To the extent a former employer is willing to provide additional information, reference questions should be directly associated with the Core Competencies, Knowledge and Skills, Terms and Conditions and, for applicable supervisory positions, Manager found in the State of Maine Performance Management Form (PER 119 3/97 or its successor).
  - In the absence of a work-related reference, a personal reference may be included.

*Resumes/Vitae*

- Completeness verified by interview/selection panel chair or member for completeness.
- Special attention should be given to account for significant gaps in employment history.

*Academic Qualifications*

- Verify graduation, degree conferred, and major/minor fields of study directly with academic institution.
- Verify that educational institution accredited by a nationally recognized accrediting agency that the United States Secretary of Education has determined to be a reliable authority as to the quality of education or training provided by the institution if higher education and the higher education programs they accredit. [List published by the U.S. Secretary of Education may be found at the ED.gov website.]
- Copy of degree into personnel file only after interview/selection panel chair or member and/or appropriate agency HR representative has viewed original document. Person verifying authenticity of copy and accreditation must indicate original viewed and accreditation verified, sign and date copy for employee personnel file.\*

*Licenses/Certifications*

- Verify possession of license/certification required by the classification to which the employee has applied or which has been used to establish qualification for the classification to be employed.
- Copy of license into personnel file only after interview/selection panel chair or member or appropriate agency HR representative has viewed original document. Person verifying authenticity of copy must indicate original viewed, sign and date copy for employee personnel file.
- Verify authenticity of license/certification directly with the granting authority, such as a licensing board.

*Verification of Identity*

- Immediately prior to employment interview, interview/selection panel chair or member must verify the identity of the person being interviewed. Verification may be by means of a picture identification such as a passport, driver's license, etc. [Note: Verification of identity and eligibility for employment in the United States will again be verified by an agency human resource representative by way of the I-9 when completing new-hire paperwork.]

---

\* The term "personnel file" is not specifically defined in Civil Service Law or Civil Service Rules. The CS Law, 5 MRSA, §7071 defines what records the Director, BHR is required to maintain. These requirements are further defined in CS Rules, Chapter 14. It is these records that constitute the "personnel file" within the state service. The official "personnel file" is maintained at the Bureau of Human Resources. Agency personnel files are considered an extension of the official personnel file, subject to the provisions of the 5 MRSA, § 7070 and §7071.



PILOT

**MODEL REFERENCE CHECK**

Candidate: \_\_\_\_\_

Reference Organization: \_\_\_\_\_

Reference Name/Title: \_\_\_\_\_

**MINIMUM REFERENCE CHECK**

Position held? \_\_\_\_\_

How long did you supervise candidate? \_\_\_\_\_

Full-Time or Part-time? \_\_\_\_\_

If part-time, how many hours per week? \_\_\_\_\_

Dates of employment? \_\_\_\_\_

Eligible for rehire? \_\_\_\_\_

**EXPANDED REFERENCE CHECK**

With rating categories of Needs Improvement, Satisfactory and Outstanding, how would you rate (the candidate) on the following areas:

**Initiative**

NI S O

Did (candidate) set high standards of performance? Y N

Did (candidate) display a high level of effort and commitment to performing the work? Y or N

Comments:

**Adaptability**

NI S O

Did (candidate) handle day to day work challenges confidently? Y N

Was (candidate) willing and able to adjust to multiple demands and shifting priorities? Y N

Comments:

**Decision Making**

NI S O

Did (candidate) share information and involve others as appropriate in the decision making process? Y N

Did (candidate) take responsibility for their decisions? Y N

Comments:

PILOT

**Customer Service**

NI S O

Did (candidate) provide quality services to customers? Y N

Did (candidate) search for ways to increase customer satisfaction? Y N

Comments:

**Teamwork**

NI S O

Did (candidate) contribute to organizational goals? Y N

Comments:

**Interpersonal Relations**

NI S O

Did (candidate) show respect and tolerance for people? Y N

Did (candidate) possess good listening skills? Y N

Comments:

**Planning and Organizing Work**

NI S O

Did (candidate) arrange work in an efficient manner? Y N

Did (candidate) use resources (time, money, materials) effectively? Y N

Comments:

**Oral Communication Skills**

NI S O

Comments:

**Written Communication Skills**

NI S O

Comments:

**Works When Scheduled**

NI S O

Did (candidate) begin and end work when required? Y N

Did (candidate) call in according to policy when arriving late  
for work or when absent? Y N

Did (candidate) use work time appropriately? Y N

Comments:

**Would you rehire this person? Y N**

Comments:

**Is there anything else you can tell us about (candidate)'s work?**

THANK YOU

**PILOT - SAMPLE LETTER  
SCHEDULING AN INTERVIEW**

**In addition to the customary information provided on an interview letter (e.g.: received their name on a certification; day, date, time and place of interview, etc.) when scheduling an interview by letter or by phone, all candidates must be advised that they should be prepared to verify their identity with a picture identification when they arrive for the interview. An appropriate agency staff member (generally someone from HR or a member of the interview panel) must verify the identity of each candidate prior to beginning the interview. The document verifying identity should not be copied, but it should be noted that the verification did take place.**

**A sample scheduling letter is shown below. The letter may, of course, be revised to fit each supervisor's individual requirements and style. Whether the scheduling is done by letter or by phone, each of the candidates must be told to bring picture identification to the interview and verification must occur prior to the interview. Any anomalies should be resolved before the interview.**

\* \* \* \* \*

Dear \_\_\_\_\_,

You have been scheduled for an interview for the position of *(State job classification)* on *(day, date, time, place)*. In order for this agency to comply with our policy concerning personnel screening and verification, please be prepared to verify your identity with picture identification when you arrive at the interview. If such verification is not provided, the interview will not take place and may not be rescheduled. *[OPTIONAL: (1.) It may be advantageous for the candidate to bring a resume, writing sample(s), or other job-related materials to the interview. If so, place that request here. (2.) If rescheduling is an option, state how the rescheduling should be accomplished here.]* We look forward to talking with you on *(day and/or date)*.

## PILOT - SAMPLE WRITTEN JOB OFFER

Written job offers must include a statement that the job offer is conditional upon verification of information provided to the State and, if required for the position, a criminal background check, a driving record check, and/or a credit check.

As a general rule, written job offers should advise the candidate what "New Hire" information will be required including, but not limited to, identification materials for the Form I-9; original academic degrees/transcripts, licenses, certifications, and/or other work-related credentials.

It is also suggested that the start date and starting salary grade and step be included in the written job offer.

A sample written job offer is shown below. The letter may, of course, be revised to fit each supervisor's individual requirements and style, but each of the components of the letter must be included.

\* \* \* \* \*

Dear \_\_\_\_\_,

We have completed our interviews for the position of *(state job classification)* and I am pleased to formally advise you that you have been selected. Please let me take this opportunity to congratulate you for an excellent interview. I/we look forward to having you join our *(office/division/bureau/agency)*.

Your starting salary will be *(annual salary for overtime exempt employees/hourly rate for overtime-eligible employees)*. You will be eligible for a merit increase after one year of employment. The details of your benefits package will be explained to you at New Employee Orientation, but you should feel free to ask me or our HR staff any questions concerning your benefits before that is scheduled.

*(As we discussed,)*[Y]your start date will be *(day and date)*. At that time I will introduce you to *(name)* in our human resources division who will help you complete required "sign up" paperwork such as the Employment Eligibility Verification (Form I-9), tax deductions, Maine State Retirement, insurance forms, and other related documents. Also, in order for the agency to comply with our policy concerning personnel screening and verification, please be prepared to provide the original version (photocopies are not acceptable) of credentials that you claimed on your application for employment or during the selection process. Common examples of these documents would be an original college degree or transcripts provided by your college or university; professional licenses (nurse, social worker, etc; certifications; or other similar materials. A member of the staff will examine the documents and make a copy of the original for your personnel file, verifying that it is a copy of the original. If you do not have these documents, please take immediate steps to obtain originals from the issuing party. Since your selection is conditional upon verification of your credentials, the verification process will be completed during your probationary period. *(NEXT SENTENCE AS NEEDED ONLY: A criminal records, driver's license or credit check will also be conducted during the probationary period.)* If additional information is necessary to complete the verification process we will contact you.

Please feel free to contact me at *(phone and/or email address)* if you have any questions prior to your start date. Again, congratulations on being selected. We look for to seeing you on *(date)*.

# VEHICLE USE AGREEMENT

I (print name) \_\_\_\_\_ being age 18 or older, understand and agree that my use of the State of Maine vehicle assigned to me for the dates from \_\_\_\_\_ to \_\_\_\_\_ (maximum one year) shall be exclusively for the fulfillment of the State of Maine business that I have been engaged for. I understand and agree that I am not to use the vehicle for any other reason what so ever (human life threatening medical emergencies excepted). I agree to operate this vehicle in a safe, prudent and lawful manner at all times. Seat belts shall be worn by all vehicle occupants when the vehicle is in motion. I will not permit any other person to operate the vehicle while it is in my control unless such use is made part of this agreement. I will not drive this vehicle out of the State of Maine. I do truthfully state that I have a valid, non-conditional driver's license and that my privilege to drive is not currently under suspension. I grant permission to the State to verify my license information and motor vehicle driving record and willingly offer the following license information:

Date of Birth \_\_\_\_\_ License Number & State \_\_\_\_\_ ME

One of the following MUST be checked:

(1) I do truthfully state that in the past five years: my license has not been suspended, I have not been convicted of any alcohol related driving violations, nor have I been convicted of any unsafe motor vehicle operations including but not limited to speeding, improper passing, failure to yield right of way, or stop sign violations.

(2) I do truthfully state that in the past five years I have been convicted of the following motor vehicle violations (please list):

Type of violation: \_\_\_\_\_ Date: \_\_\_\_\_

Type of violation: \_\_\_\_\_ Date: \_\_\_\_\_

Type of violation: \_\_\_\_\_ Date: \_\_\_\_\_

*If box #2 is checked, Risk Management Division reserves the right of final approval and the vehicle may NOT be operated by this driver until approved by Risk Management Division.*

**I UNDERSTAND THAT ANY MATERIAL FALSE STATEMENT OR USE OF THE VEHICLE NOT PERMITTED BY THIS AGREEMENT WILL REQUIRE ME TO ASSUME THE FULL LEGAL AND FINANCIAL CONSEQUENCES OF MY ACTIONS. IMPORTANT NOTICE TO DRIVER: DO NOT SIGN BELOW UNLESS YOU HAVE READ AND UNDERSTAND THIS DOCUMENT.**

\_\_\_\_\_  
Driver Signature

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
Signature and Title of Authorizing State Official

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
Printed Name of Authorizing Official

\_\_\_\_\_  
Printed Department/Bureau Name

\_\_\_\_\_  
Official's Phone #

\_\_\_\_\_  
Official's Fax #

PROCESSING DIRECTIONS: When ALL of the above information is completed, immediately send or fax this form to Risk Management Division, 85 State House Station, Augusta, ME 04333-0085; Fax 287-4008. If RMD pre-approval for this driver is needed, RMD will contact you as soon as possible. If you have any questions, please call 1-800-525-1252 or 287-3351.

*For Risk Management Division Use Only*

Approved  Not Approved  RMD Approval Unnecessary  Approved with this restriction: \_\_\_\_\_  
Department notified this date By:  Fax  Phone  Other \_\_\_\_\_  
Risk Management Signature: \_\_\_\_\_ Date: \_\_\_\_\_ Rev 5/01

# AGENCY LETTERHEAD

## PILOT - CONFIDENTIALITY EMPLOYEE'S STATEMENT TO BE COMPLETED BY ALL NEW EMPLOYEES (TO BE INCLUDED IN EMPLOYEE PERSONNEL FILE)

This is to acknowledge that a representative of my agency has explained to me the need for safeguarding and keeping confidential certain information to which I may have access in the course of my employment with the State of Maine. I further understand that information that may be legally deemed confidential varies considerably from agency-to-agency and an individual office, division, bureau, or agency may require that I acknowledge and adhere to additional individual policy statements on confidentiality.

While maintaining the confidentiality of certain information remains a critically important responsibility of each state employee, the principles articulated in Maine's "Freedom of Access" laws with respect to public access to public records should always be considered in the conduct of State business [1 MRSA, Chapter 13]. Therefore, **I understand that if I have any questions or concerns as to whether I am authorized to access, inspect, copy, or release information, it is my responsibility to seek advice and approval from my supervisor prior to such access, inspection, copying, or release of the information.** I understand that failure to adhere to the confidentiality provisions of state law, rule or policy may result in disciplinary action up to and including discharge. I also understand that the unauthorized disclosure of confidential information may also result in civil or criminal penalties established in law.

\_\_\_\_\_  
Employee Name (Print)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Supervisor/Designee

\_\_\_\_\_  
Date