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A research and advisory firm

Solution Innovation Case Study:

Persistent Background Screening Improves Compliance and Exception Reporting for Insider Risk

The SEC Solution Innovation Partner (SIP) program evolved as a means for practitioners to choose a trustworthy risk mitigation provider with confidence when there are a myriad of options in the marketplace. Proven Solution Innovation Practice Case Studies help to evaluate performance claims and differentiate security solution providers for business outcomes including risk mitigation, return on investment, and security assurance. IDentrix (IDX) has developed a patented post-hire cloud-based continuous monitoring solution that relentlessly screens personnel and automatically alerts clients when relevant risks with individuals emerge. This Solution Innovation Case Study offers a proven process approach for mitigating risk(s) that could result in injury or impairment of people, assets, critical processes, products and/or brand reputation.

Risk Issues and Mitigation Opportunities:

1. End user is bound to background screening standards that are based on Department of Homeland Security (DHS) and Transportation Administration (TSA) lists of Disqualifying Criminal Offenses.
2. Requirements include pre-screening as well as rescreening upon every 3 year anniversary of 30,000+ employees
3. Current background screening requirements, as well as the process does not provide consistent, timely and accurate risk assessments per employee. Significant changes may occur during a 3 year period which may impact the risk profile and ultimately impact employment eligibility. More frequent traditional background checks are cost prohibitive.
4. Self-reporting by individuals which is required, appears to be non-existent

Solution Requirements:

1. Population needs to be continually monitored for potential changes in risk/eligibility
2. Screening services need to include
 - o Dynamic enrollment/cancellation of over 30,000 persons
 - o Monitoring thousands of data sources for changes
 - o Notification services for activities defined by End user, with an ability to add/delete designated activities throughout the life of the program
 - o Reporting and analytics engine for Risk Alerts
3. Secure access to an online portal for reviewing identity changes

Delivered:

- ✓ Secure data base and access that is compliant with DHS and TSA standards
- ✓ Ease of access and integration with no IT setup or maintenance
- ✓ Screening services that are available daily, weekly or monthly
- ✓ Data sources available include:
 - o Criminal Data – criminal history, sex offenders, fugitives, wants/warrants
 - o Arrests and Bookings – State based and Sherriff's Office booking/arrest/jail bed records
 - o Professional licenses – drivers, lawyers, engineers etc.



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- Healthcare Licenses – doctors, nurses, dentists etc.
 - Financial Data – lawsuits, bankruptcy's, liens, judgements, pre-foreclosures and evictions
 - Sanctions
- ✓ Reporting and analytics tools that continue to evolve to meet the on-going needs of clients

Outcome and Benefits of Service Including ROI:

❖ *During the 3 month period that the End user used the IDentrix Continuous Monitoring Service, IDX identified over 800 identity changes, of which the following twenty four (24) actionable alerts were deemed to disqualify the noted persons from continued participation in the SWAC Program. Thus protecting the client from potential risk due to unacceptable activities.*

Count	Alert Category	Location	Alert Description
1	Bookings/Arrest	Waynes County, NY	Criminal possession, with intent to sell 10 pounds of marijuana
1	Booking/Arrest	Orange County, NY	Drug related, intent to sell
1	Booking/Arrest	Orange County, NY	Unknown offense
1	Booking/Arrest	Loudon County, VA	Unknown offense
1	Booking/Arrest	Alaska Department of Corrections	Felony DUI
1	Criminal-State	Passaic County, NJ	Aggravated manslaughter
1	Criminal-State	Passaic County, NJ	Assault by auto/vessel
1	Criminal-State	Burlington County, NJ	Endanger welfare of a child
1	Criminal-State	Morris, NJ	Possession controlled substance, 3 rd degree
1	Criminal-State	Nassau County, NY	Criminal possession of stolen property
1	Criminal-State	Kings County, NY	Criminal possession of controlled substance
1	Criminal-State	Kings County, NY	Criminal possession of a weapon
1	Criminal-State	Kings County, NY	Robbery 2 nd degree
1	Criminal-State	NY, NY	Assault 1 st degree
1	Criminal-State	Connecticut	Injury/risk of injury to minor – sexual nature
1	Criminal-State	Missouri	Felony possession of controlled substance
1	Criminal-State	Montgomery County, PA	Receiving stolen property
1	Criminal-State	Lancaster County, PA	Receiving stolen property
1	Criminal-State	Essex County, NJ	Endangered welfare of a child; photo sexual act
9	Recorded Death	N/A	Death
2	Sanctions	NJ, Dept. of Labor and Workforce Development	Prohibition from working on NJ Government Contracts
2	Sanctions	NY, Dept. of Treasury	Prohibition from working on NJ Government Contracts
1	Sanctions	PA, Dept. of Human Services	Office of Medical Assistance Program, Medichex List
4	Sex Offender	NY, Division of Criminal Justice	Multiple sexual offenses

SIP Process

This process was overseen by a Council Faculty member with 16 years of experience in developing and leading people and asset protection programs as a trusted security advisor for global, multinational organizations.



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Note: The Security Executive Council's Solution Innovation case study represent a snapshot in time to demonstrate a solution to a specific-organization's issue. End-user diligence, trial and measurement are strongly recommended for any contemplated risk mitigation activity.

A General Comparison of Competition

Client Service/Resource Attributes or Capabilities	<u>IDX</u>	Company A YES/NO	Company B YES/NO	Company C YES/NO	Company D YES/NO
Web-based individual enrollment of subject persons	YES	YES	YES	YES	YES
Web-based bulk enrollment of subject persons	YES	NO	NO	NO	NO
API-based individual enrollment of subject persons	YES	YES	YES	YES	YES
API-based bulk enrollment of subject persons	YES	YES	YES	YES	YES
Web-based individual monitoring-service-cancellation for a subject person	YES				
Web-based bulk monitoring-service-cancellation for subject persons	YES	NO	NO	NO	NO
API-based individual monitoring-service-cancellation for a subject person	YES	YES	YES	YES	YES
API-based bulk monitoring-service-cancellation for subject persons	YES	YES	YES	YES	YES
Web-based monitoring package configuration/specification	YES	NO	NO	NO	NO
Web-based organization configuration/specification	YES	NO	NO	NO	NO
Role-based access controls	YES	NO	NO	NO	NO
Two factor authentication	YES	NO	NO	NO	NO
Identity verification of subject persons, using public and commercial data sources	YES	NO	NO	NO	NO
Global Sanction & Watch List monitoring of subject persons, using public and commercial data sources	YES	YES	YES	YES	YES
Criminal/Sex Offender/Infraction/Traffic Offense monitoring of subject persons, using public and commercial data sources	YES	NO	YES	YES	YES
Booking/Arrest monitoring of subject persons, using public and commercial data sources	YES	YES	YES	NO	NO
Civil Court / Financial monitoring of subject persons, using public and commercial data sources	YES	NO	NO	YES	YES
Professional Licenses monitoring of subject persons, using public and commercial data sources	YES	NO	NO	YES	YES
Death Records monitoring of subject persons, using public and commercial data sources	YES	NO	NO	YES	YES
Alert Categorization – automated categorization of alert categories and sub-categories for reporting and analytics	YES	NO	NO	NO	NO
Alert Severity Assessment – automated alert severity assessment for intelligent routing, reporting and analytics	YES	NO	NO	NO	NO



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Web-based Alert Publishing	YES	NO	NO	NO	NO
Daily Alert notifications	YES	YES	YES	YES	YES
Reporting – pre-defined reports and dashboards for operational metrics	YES	NO	NO	NO	NO