

Solution Innovation Case Study:

Persistent, Real Time Criminal Activity Checks with Past Review Reduces Insider Threat

The Security Executive Council (SEC) Solution Innovation Partner (SIP) program evolves 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. The following case study demonstrates a City government agency's ability to comply with regulatory expectations by identifying disqualifying criminal activities of drivers-for-hire using Appriss' RiskCheckNow solution. 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. This proof point examines representative risk issues, mitigations and result outcomes as validated by the SEC and the end-user.

Risk Issues and Mitigation Opportunities:

1. End user is a large U.S. city government agency that is authorized by city ordinance to suspend any permitted driver of a transportation-for-hire vehicle who is under indictment or has charges pending for any offense involving driving while intoxicated, or felony offense, until such time as the transportation director determines that the driver is qualified or that the charges against the driver have been finally adjudicated.
2. Traditional pre-hire screening practices only identify high risk behaviors BEFORE employment or assignment, not AFTER; when unmanaged risk can present significant ongoing safety hazards and potentially irreparable harm to patrons/customers/others, as well liability and reputational damage to the city.
3. Rescreening frequently can be very expensive. Moreover, information relied upon by screening companies may be several months old before it shows up on screening reports. Although many organizations rely upon self-reporting as a way to identify risks early, compliance is often spotty and hard to track. The Navy Yard Shooter example is a vivid reminder where security clearance "self-reporting" fell short without a persistent assurance solution. Arguably two arrests during the shooter's employment may have been adjudicated to deny his access and twelve murders. Continuous monitoring program capabilities for providing near real-time alerts of any driver arrest or incarceration mitigates disclosure failure and enables the transportation director to comply with the city ordinance to ensure a safer community.

Solution Requirements:

- Ability to replicate a continuous monitoring scenario; Appriss conducted a one-time, seven (7) month historical look-back of 13,500+ permitted drivers to identify any booking activities with charges that require driver suspension since the ordinance went into effect.
- Review the charges identified and, if necessary, conduct further research on specific charges or unknown charges at the jurisdiction of record.
- Ability to search and conduct ongoing monitoring nationally to capture all possible booking events instead of localized, sporadic searches inherent to pre-employment screening practices.
- Direct access to jail booking systems for near real-time notification of booking events.
- Ability to process a one-time batch file for the historical records search via Secure File Transfer Protocol.
- Web service interface for near real-time integration for ongoing additions/deletions of monitored population.
- Ability to search and monitor based on name, date of birth, Social Security Number and Driver's License Number
- Identification of the matching elements in the return data feed and designation of match strength as Moderate, Strong or Very Strong.

Delivered:

- ✓ Batch search to identify booking events previously missed since the ordinance was put in place
- ✓ Comprehensive national search of booking records via Secure File Transfer Protocol
 - Direct integration with over 80% of all jail bookings across the country
- ✓ Actionable booking details for additional research and subsequent case management
 - Data elements matched
 - Match confidence (moderate, strong, very strong)



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- Booking Date
- Booking Location
- Charge description and category
- Release indicator (to indicate whether person of interest is in jail or is being released)
- ✓ Capability for ongoing monitoring via a web service
 - Data refresh rate for new bookings every 15 minutes
 - Continuous vetting of new bookings against monitored individuals with multiple alert options including:
 - Web service (ability to do push notifications to clients' systems)
 - Email alerts
 - Text alerts

Outcome and Benefits of Service Including ROI:

- ❖ Over the seven (7) month look-back period, Appriss' RiskCheckNow solution identified over 400 possible hits that were subsequently filtered down to 71 high probability hits. Further investigation of the booking events identified 15 drivers who were found to have violated the ordinance. Verified charges resulted in revocation of permits.
- ❖ End user feedback was particularly complimentary of Appriss' ability to provide real-time alerts for timely investigation and community risk resolutions. Also, the agency is more aware and informed for potential negative press coverage that may arise from driver conduct.
- ❖ Additional assessments for cost avoidance over time include liability mitigation for negligent entrustment, retention or supervision claims which range to multi-millions of dollars each for wrongful death or critical injury

In addition to the specifics identified in this case study, Appriss conducted a historical booking analysis of a randomized population of 400,000 employees across a variety of industry segments over a 12 month period. This analysis yielded an annual booking rate of approximately 5 individuals per 100 (5%) with an average of 1.5 bookings per booked individual. Without any indication of the risks presented by their own employees, companies are exposed to a variety of perils including:

- Human tragedy that may include their employees and customers
- Negative media coverage
- Reputational damage
- Loss of brand value
- Decrease in customer loyalty
- Significant revenue loss
- Theft and fraud
- Litigation
- Key talent turnover
- Decreased productivity
- Missed opportunity to suggest Employee Assistance/Benefit support

SIP Process

This process was overseen by a Council Faculty member with 20+ years of experience in developing and leading people and asset protection programs as a trusted security advisor for global, multinational organizations. End-user authenticated February 2016.

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	Appriss	Company A YES/NO	Company B YES/NO	Company C YES/NO	Company D YES/NO
Direct integration to over 80% of the jail booking data	YES	NO	NO	NO	NO
Web Portal, Batch and API Service deployment options	YES	NO	NO	NO	NO
Automated assignment of Match Confidence	YES	NO	NO	NO	NO
Automated booking alert options via API, Email or Text notification	YES	NO	NO	NO	NO
Custody status (released – true or false)	YES	YES	NO	NO	NO
Booking Charge Description and Category	YES	YES	NO	NO	NO
Option for exact or fuzzy matching logic	YES	NO	NO	NO	NO
Web based reporting – predefined reporting	YES	YES	NO	NO	NO
Web based configuration and access	YES	NO	NO	NO	NO
Role based access controls for web application	YES	NO	NO	NO	NO
Death Master File monitoring of subject persons	YES	YES	NO	NO	NO
Earliest booking based indicator of criminal behavior	YES	NO	NO	NO	NO
API integration options in both XML and JSON	YES	NO	NO	NO	NO
Web based booking search of subject persons	YES	NO	NO	NO	NO
API based booking search of subject persons	YES	NO	NO	NO	NO
Batch based booking search of subject persons	YES	NO	NO	NO	NO
API based enrollment of monitored persons	YES	NO	NO	NO	NO
Web based enrollment of monitored persons	YES	NO	NO	NO	NO
API based cancellation of monitored persons	YES	NO	NO	NO	NO
Web based cancellation of monitored persons	YES	NO	NO	NO	NO
Near real-time alert notifications	YES	NO	NO	NO	NO