

Employee screening & vetting: Materials

Forensic



KPMG developed various forms for conducting pre-employment screening in order to prevent and detect insider threat(s). The mentioned documents are fully customizable according to your requirements to fit perfectly in your company. The objective is to identify and assess the risk and to implement a robust strategy to prevent incidents that can be caused by (potential) employees by high quality background checks.

KPMG developed several forms that can be tailored to the company's needs and internal policies

1. The background verification form, which has to be signed by the applicant before the screening process, combines the following items:

- Personal contact details
- Residential address for the past 10 years
- Education records (High School, University details)
- Employment records about current and/or previous employers and references
- Public mandates/ancillary activities records such as any public position held

Moreover, upon your request we can check the candidate's criminal record for the past 10 years before the commencement of the activity (the criminal application form has to be signed by the candidate). Upon demand, we can also consider the credit check record for the past two years (shall be requested in the last Canton of residence in Switzerland and in any applicable jurisdiction in case of foreign residency).

2. The catalogue of questions is based on three security levels. Content of the interview:

- Professional situation such as career development, job satisfaction, reputation, leadership, duty of loyalty, security at work
- Foreign relationships
- Financial situation
- Criminal proceedings

- Threats, vulnerability to blackmail, corruption, acceptance of advantages
- Substance abuse and drug offences

A formal check will be conducted prior to interviewing the candidate. If you wish, the interview can be recorded and will be destroyed once KPMG delivers its report.

3. Financial situation form combines the following items:

- Description of assets (savings, deposit accounts, bonds, shares, funds)
- Type of credit card(s) (Visa, MasterCard)
- Description of debts type (mortgage, leasing, loans)

4. Public mandate / ancillary activities form

Consists of identifying whether a public position and/or an ancillary activity has been held for the past 10 years.

5. The KPMG reporting consists in outlining the work performed thanks to:

- Background verification form
- Detailed job description
- Copy of the candidate's CV as well as all appendices available (copy of diplomas, work certificates, letters of reference)

The KPMG reporting also highlights the findings by color in different categories:

Green: Verified / In line with the documentation received
Amber: Inaccessible for verification / Unable to verify / Additional information required / Minor discrepancy
Red: Discrepancy

To go further: KPMG Insider Threat Tracking Tool (KITT)

On top of the KPMG materials, an IT platform has been developed allowing to automate the people risk operational model. It is a preventive measure and the objective is to act as a single repository for the insider risk teams. It creates stronger business synergies between all relevant business stakeholders.

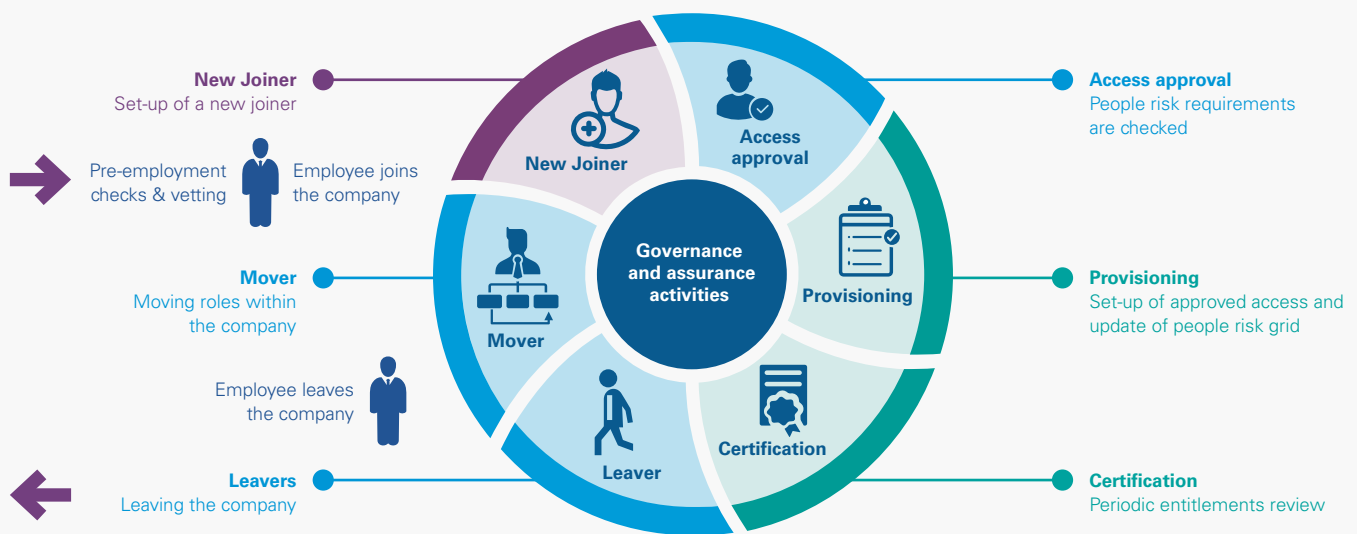
To ensure that the "right" people join your workforce and that you "know your employee" requires a rigorous risk based and consistent pre-employment screening and vetting process. KITT's combined security controls facilitate the user to identify key risk indicators and to detect malevolent insiders before any sensitive assets from the organization are exfiltrated and cause damage. KITT provides an overview on the accesses granted to the employees versus the role held and combines a large panel of tracking activities that

flag and alert inappropriate physical and IT accesses. This allows you to neutralize the risk of your employees trying to bypass any security controls. KPMG will work closely with the organization in order to build up a tailor-made platform to meet the company's needs.

Due to the constant external and internal factors that can have effects on people, the preventive people risk measures should constantly be reviewed and recertified during the duration of employment, especially when the professional function has changed (i.e. promotions, change of roles, disgruntlement etc.).

Having policies and procedures in place that are aligned with the levels of risk of the roles and specific threats to the organization is key to being efficient and to influence a company's culture in a positive way.

Governance model for user lifecycle functions and reporting:



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