NASWA Services Board Report

- Integrity Center – Randy Gillespie
- UI ITSC – Ben Peirce
- SIDES- Ellen Golombek
- WIOA ITSC – Ellen Golombek

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Integrity Center Update
NASWA Board

June 12, 2018

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The NASWA UI Integrity Center

Integrity Center Overview

- Completed three webinars: Academy, Data Hub and Knowledge Exchange, approx. 300 participants in each.

- Developing revised project plan:
  - ✓Two Task Completed: Innovation Investment, DAPM
  - ✓New Tasks: Behavioral Insights, Pilots and Research

- Funding thru NYSDOL/USDOL and Direct Grants from USDOL

- Comprehensive Evaluation program in place showing high state engagement and satisfaction.

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Integrity Knowledge Exchange Metrics

- **537** Monthly Average Website Users

- **1,035** Integrity Library Resources Available

- **12** UI SME State Services Visits Completed

- **424** UI SME Recommendations Provided

Academy Numbers

- **1,097** Enrolled in the Integrity Academy

  - ✓ **-**704 Fraud Investigation
  - ✓ - 581 Operations
  - ✓ - 227 Program Leadership
  - ✓ - 101 Tax
  - ✓ - 139 Data Analytics

- **50** States represented in enrollment total

- **42** States have sent learners to fraud ILT

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Lesson Completion Status
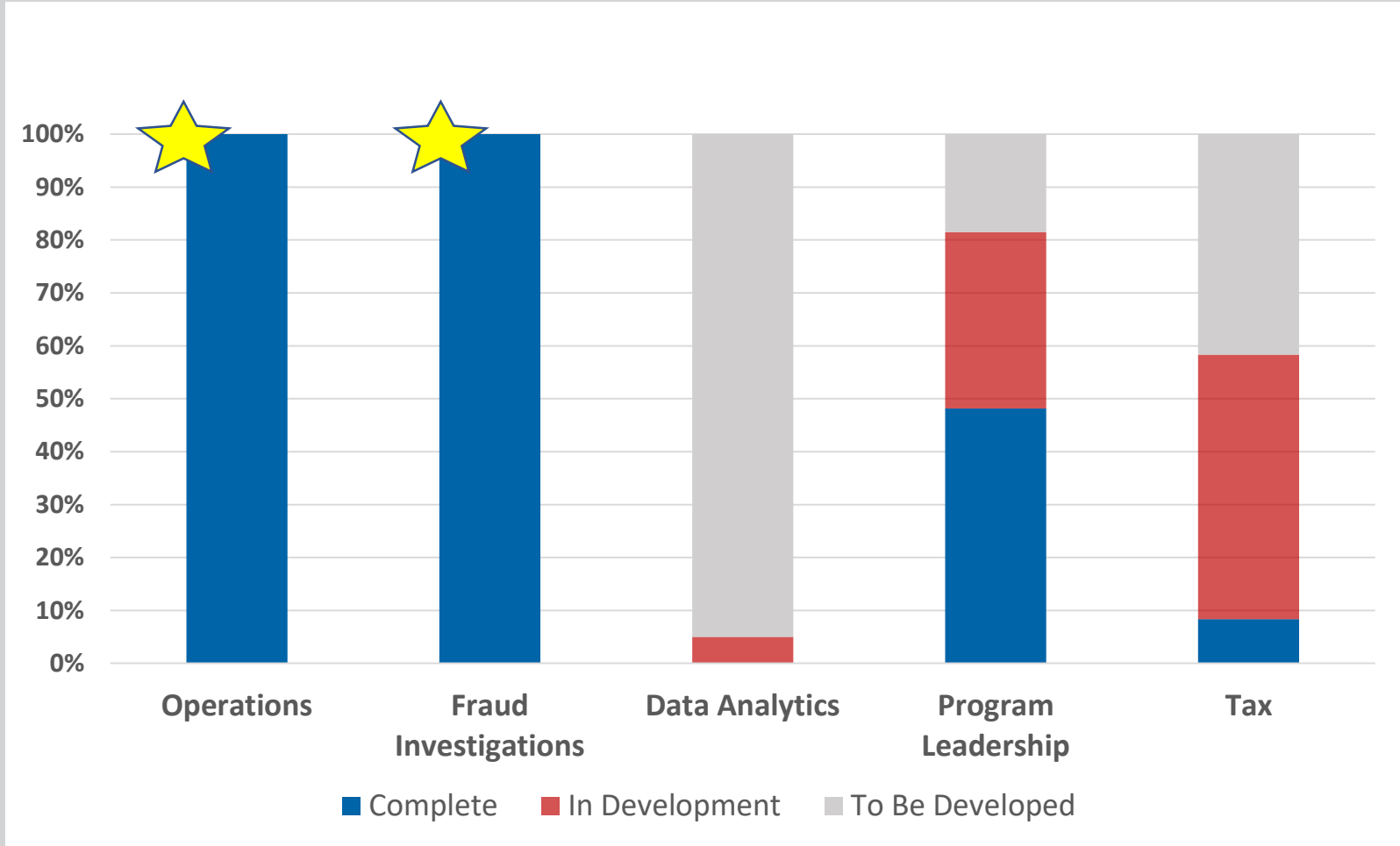
Data Hub: Current Status

- Data Hub Vision
  - ✓ To allow participating states to submit UI claims data for cross-matching and analysis to reduce fraud/improper payments

- Data Hub Phase 1 was launched in Sept 2017

- Currently allows states to cross-match claims against:
 - ✓ Suspicious email domains
  - ✓ Suspicious Actor Repository

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Data Hub Concept
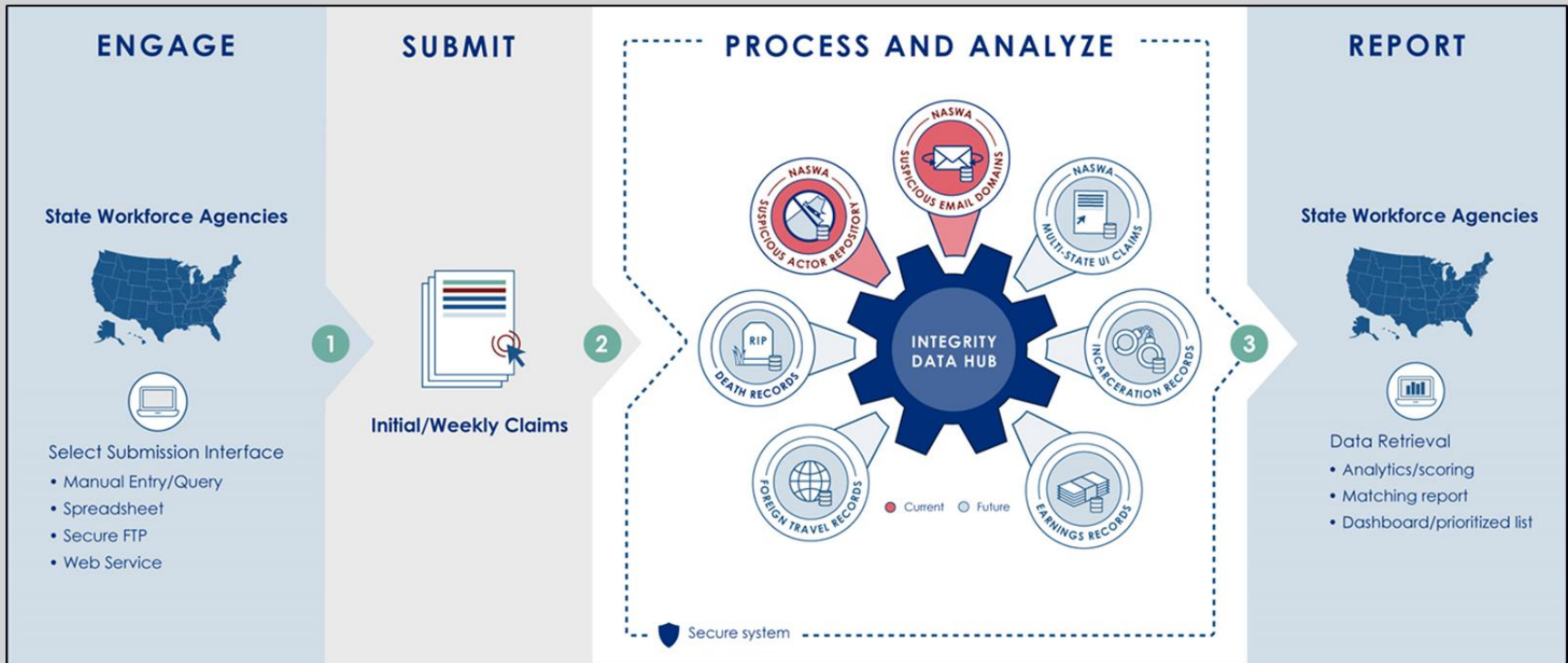
Integrity Data Hub Metrics

- **17** States with IDH Agreements

- **8** States Submitted SAR Data Records

- **6** States Routinely Cross-Matching Against IDH

- **10,313** SAR Data Records Submitted
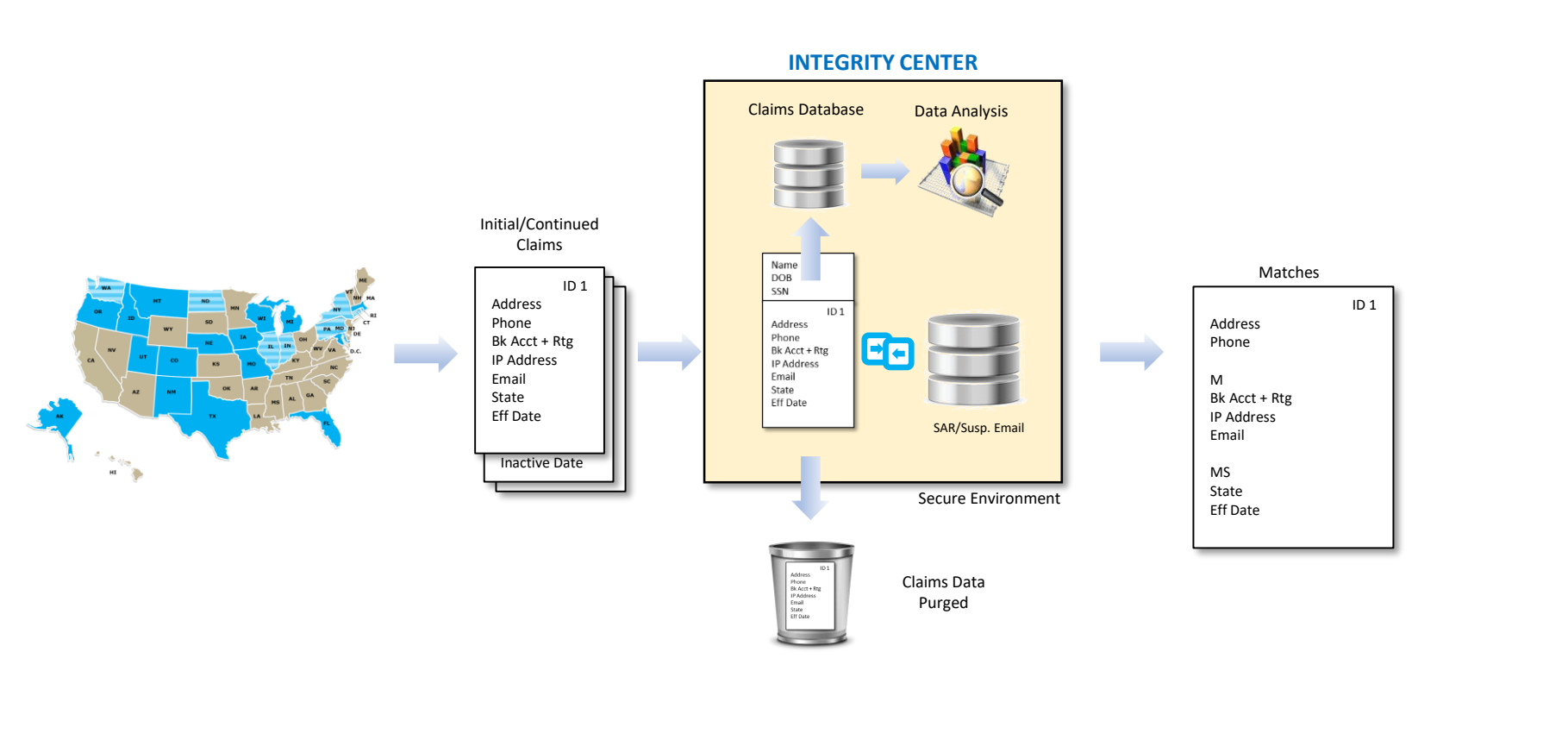
- **530k** Claims Cross-Matched against IDH

Data Hub Participation

Active | In-Process
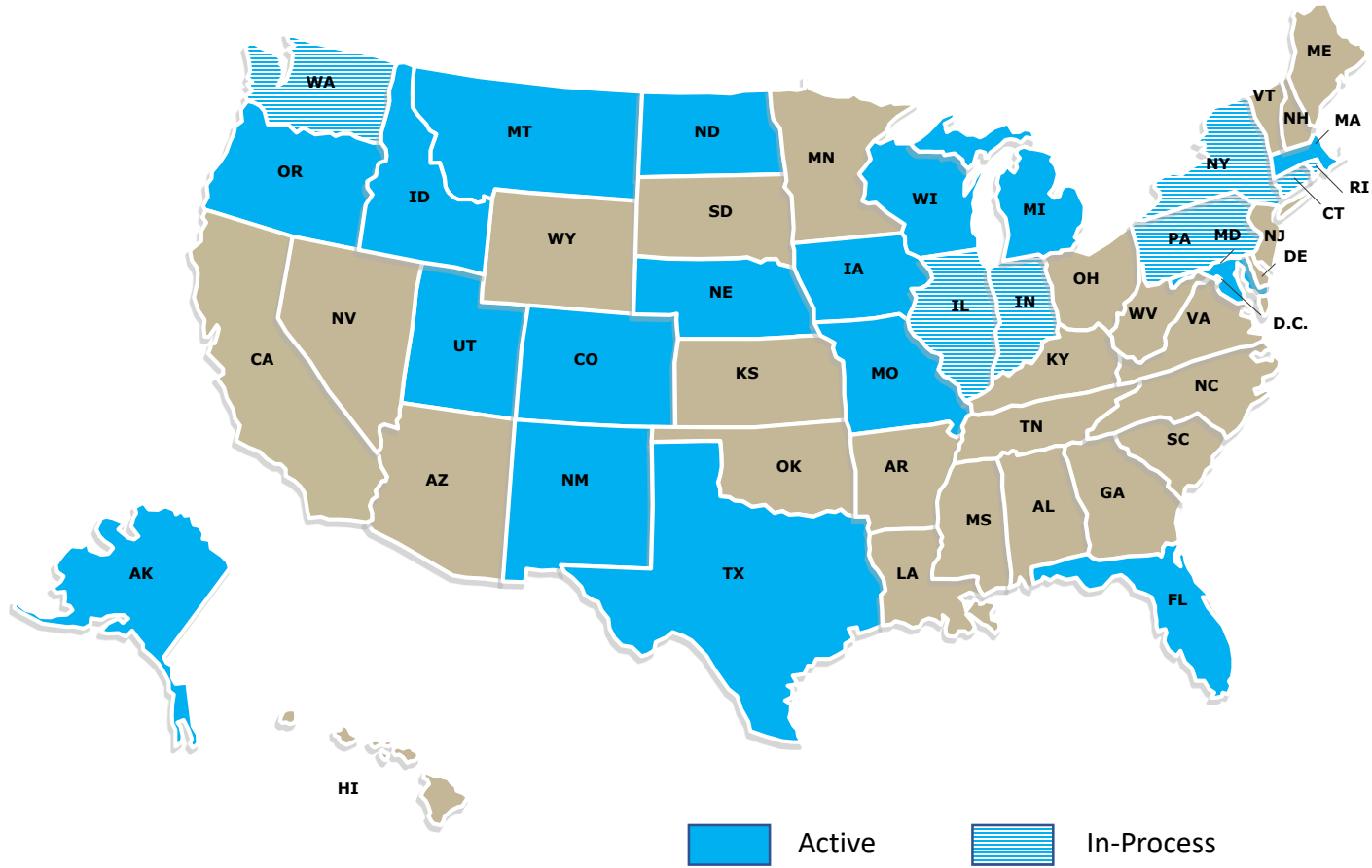
Data Hub Phase 2

- Phase 2 plans developed with guidance from:
  - Data Hub participating states
  - Center Steering Committee (STCO)

- Phase 2 operational updates to support states needs:
  - Collect additional claims data elements
    - ✓ Name, SSN, DoB
    - ✓ Includes adding "pending" status to support earlier detection
  - Storing and maintaining claims data
    - ✓ Collect and hold initial and weekly claims data
    - ✓ Initial holding period of 60-90 days

Data Hub Operation

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Claims Database   Data Analysis

Initial/Continued Claims

ID 1
Address
Phone
Bk Acct + Rtg
IP Address
Email
State
Eff Date

Inactive Date

Name
DOB
SSN

ID 1
Address
Phone
Bk Acct + Rtg
IP Address
Email
State
Eff Date

SAR/Susp. Email

Secure Environment

ID 1
Address
Phone
Bk Acct + Rtg
IP Address
Email
State
Eff Date

Claims Data Purged

Matches

ID 1
Address
Phone

M
Bk Acct + Rtg
IP Address
Email

MS
State
Eff Date

Phase 2 Initial Impacts

- Provides multi-state cross-matching capability
  - Analyze/compare claims across all participating states
    - ✓ Example: Claims in multiple states using the same Name or SSN
  - Not currently available for individual states

- Allows for matching on current and historical data
  - Reduces the impact of latency
    - ✓ Example: Matches that would have been identified if SAR data was present
 - Reduces burden on states to submit historical claims data

Phase 2 Benefits (cont'd)

- Leverages data and collection mechanisms already in- place
  - Data Hub infrastructure is already collecting claims data using multiple channels
  - Supports states with varying levels of claim volume and technology
- Allows potential cross-matching against greatly expanded group of potential data sources
  - Incarceration records
  - Death records
  - Earnings information

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Phase 2 Future Impacts

Allows NASWA to potentially provide valuable analysis to states…such as:
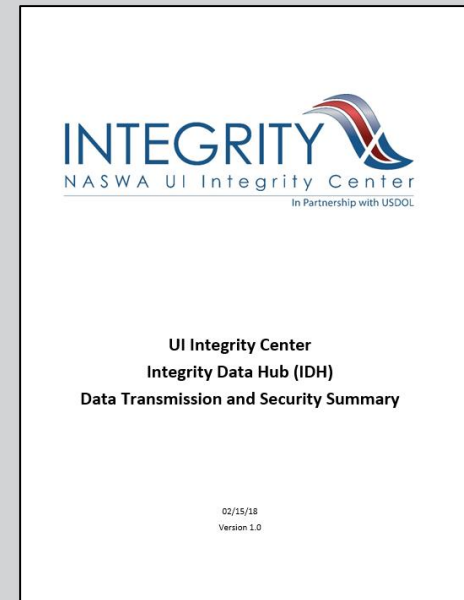
- Link analysis
- Pattern matching/clustering
- Predictive modeling
- Scoring/Prioritization
- Centralized ID verification
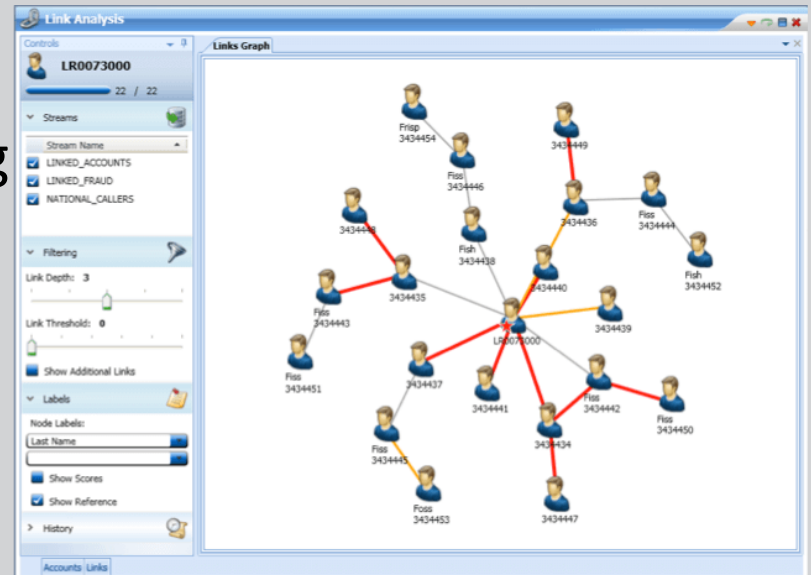
Security/Protection of PII

The IDH team prepared a data transmission and security summary to document:

- Policies/Procedures
- Tools
- Testing
- 3rd party IV&V

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NASWA UI Integrity Center
In Partnership with USDOL

UI Integrity Center
Integrity Data Hub (IDH)
Data Transmission and Security Summary

02/15/18
Version 1.0

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Security/Protection of PII (cont'd)

Highlights

- All data is encrypted using asymmetric encryption with all transmission methods/channels

- SAR application logs can generate reports on all user activity and transactions, including user ID and timestamp

- All users must comply with provisions of 20 C.F.R. Part 603

- SAR state administrators will be re-certified semi-annually

- IDH-SAR infrastructure developed using the most recent NIST 800-53 guidelines

- NASWA has a documented data breach policy and maintains active cyber insurance

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Security/Protection of PII (cont'd)

- Security program includes the use of 3rd parties for IV&V
  - Code-level scanning (Ongoing)
    - ✓ Agreement with Veracode for code-level static and dynamic assessment (including components in Java and .NET)
  - Penetration testing (Mar - July 2018)
    - ✓ Authorized systematic simulated attack on the entire system to evaluate security vulnerabilities and strengths
    - ✓ Awarded a contract to Nettitude, Inc. (utilized for SIDES)
  - Full security audit (Jul/Aug 2018 est.)
    - ✓ Addresses physical environment, information handling, and user practices (ex. User registration)
      - ❖ FIPS 199,200, NIST 800-53 rev4, SP 800-30
    - ✓ Plan to work jointly with SIDES to issue an RFP and associated contract

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Q&A and Board Discussion

UI ITSC Board Report

- New Director
- ITSC Update
- Charter Change Proposal

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UI ITSC Board Report

Charter Change Goals:

- Enhance the NASWA BoD / UI ITSC connection;

- Encourage Steering Committee (STCO) to focus on strategy;

- More effectively leverage STCO members' knowledge, and focus on state needs;

- Simplify budgeting and project approval processes

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UI ITSC Board Report

Charter Changes:
- STCO structural changes
  - At large position changed to Administrator position
  - Elimination of Treasurer position
- STCO meetings reduced to two/year
- Executive Oversight Committee (EOC)
  - Membership
  - Responsibilities

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UI ITSC Board Report

Charter documents that need changes:
- UI ITSC Charter (handout)
- MD/DLLLR-CESER Grant Agreement
- USDOL-MD/DLLR Cooperative Agreement

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UI ITSC Board Report

- Discussion
- Vote

SIDES State Webinars

7/11	Changes to E-Response
8/1	Single Sign-on
9/5	Earnings Verification Exchange
10/3	Marketing Strategies
11/7	Setting up a successful help desk
12/5	Determinations and Decision Exchange

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WIOA ITSC Board Report

- Operational Budget and Project Work
- Charter Changes
- New Staff
- Funding for 2019
- STCO Meetings

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WIOA ITSC Board Report

Operational Budget:

- STCO Approves $1.1M 2018 Budget

- Authorizes Project Work

Project Work:

- Online Tools: eLibrary, State Technology Profiles
  Solutions Marketplace, RFP Archive

- Technical Assistance: Training & Consulting Services

WIOA ITSC Board Report

Charter Changes:

- Added language from Strategic Plan
- Added 3-year terms
- Minor language edits

New Staff:

- Amy Hiltunen, Project Manager
- Amber Gaither, Project Manager

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WIOA ITSC Board Report

2019 Funding:

- $825K processed through MD DLLR
- New Ops Budget to be approved October 2018

STCO Meetings:

- March 14-15 and June 7-8
- Active Representation of all WIOA partners
- Focus on strategic discussions and project steering
- National associations engaged