



## ■ Business impact

At a global services company, SAS reduced the compliance reporting process from two weeks to four hours.

## ■ Challenges

- **Resource constraints.** Excessive time and resources are required to follow up on and reconcile differences or questions in data.
- **Accountability demands.** Clients, the company and regulators want assurance that we're doing business with trustworthy people, protecting privacy and ensuring safety.
- **Risk of noncompliance.** If noncompliant records repeatedly slip through the system, we're more vulnerable to audits, penalties and negative media.
- **Lack of insight into the future.** We don't have the ability to spot trends and predict fraud/noncompliance.
- **Manual processes.** Time-consuming manual work is required to answer regulators' questions.
- **Constantly changing databases.** Growing and changing third-party databases require process updates and careful comparisons.



**THE  
POWER  
TO KNOW®**

## How can we verify our regulatory compliance quickly and confidently?

### **YOUR GOAL: Reduce time, cost and risk in compliance data processing**

Most organizations are governed by regulations and legislation that affect the way their company and customer information is managed. Companies must comply with the laws, but maintaining external lists, tracking down false positives, verifying suspicious records, identifying the source of data discrepancies, creating reports for regulators and supporting investigative analysis can cost weeks and months in time and resources.

At every step in the process, your organization is accountable for ensuring accuracy and compliance. The implication is clear: Ensure compliance with multiple regulations or face wasted resources as well as potential civil and criminal penalties for the company and its officers.

Systems that were implemented quickly to achieve and monitor compliance may now need a second look, especially as regulations continue to change. It's more important than ever to reduce the risk of noncompliant records slipping through the cracks.

### **OUR APPROACH**

The key to compliant systems is transparency—having the right information ready when regulators request reports. For example, it's critical to trace all data changes across your entire process so that you can document the source of the data at every step. But how can you ensure that inaccurate data won't slip through the cracks?

We approach the problem by delivering software and services that help you:

- **Establish a single platform that integrates all data sources**, including third-party lists, from disparate channels and locations regardless of format.
- **Ensure data integrity by embedding quality processes** that consolidate, cleanse and standardize your data right into your framework to prevent errors from getting into the process.
- **Provide a metadata environment with automated metadata tracing** for transparency throughout the process.
- **Incorporate advanced analytics and predictive modeling** to help you predict noncompliant records and drive your organization's strategy.

The SAS solution helps you achieve all your compliance goals by helping you verify that you are doing business with reputable individuals or companies, protect your customers from fraud and privacy invasion, and be ready at all times to report to regulators exactly how you arrived at your information.

## THE SAS® DIFFERENCE: Predict noncompliance and build transparency into your process

Only SAS offers a data integration framework that embeds industry-leading DataFlux® technology to clean data and prevent errors from polluting the entire system. With multiple environments, processes and third-party databases to manage, it's important to eliminate bad data at the source, rather than looking for discrepancies across disparate systems after those errors have multiplied throughout your databases.

With SAS' unique integrated framework, you can:

- **Leverage your existing infrastructure and tools** to help you get more benefits from your compliance process.
- **Share applications in a single metadata repository**, enabling you to trace changes in the data and gain visibility into the process.
- **Pinpoint and document all data sources**, giving you greater confidence in the accuracy and completeness of your compliance reports.
- **Employ advanced analytics, queries and reporting** to predict and report when an individual or company is likely to be noncompliant.

With the level of insight available from SAS, you can ensure that the right people receive the right information so they can take action quickly to prevent harm to your clients, company, shareholder value or reputation.

### CASE STUDY: A global services company

#### ■ Situation

A global services company routinely spent 80 hours compiling, formatting and checking its compliance data. The company needed to find a way to reduce the time and costs associated with compliance tracking.

#### ■ Solution

SAS delivered a solution that enabled the company to activate a process that:

- Automatically processes the data.
- Formats a report.
- Turns it into a PDF document.
- E-mails it to a predetermined list of recipients.

#### ■ Result

As a result of the SAS solution, the company was able to reduce the process from two weeks to four hours.

#### ■ The vision

##### Data integration with embedded data quality

What if your data management system checked incoming data in real time and eliminated errors before they polluted the process, saving you time in managing your compliance process?

##### Metadata tracing for transparency

What if you had transparency across your entire data management process so that as changes are made in one step, they are made in all instances and documented according to their source – giving you more confidence in the accuracy of regulatory reports?

##### Advanced analytics for predictive modeling

What if you could predict which customer or company is likely to launder money from you, based on analytic data models?

### SAS FACTS

- SAS has been in business since 1976 and today has customers at more than 40,000 sites worldwide.
- SAS customers make up 96 of the top 100 companies on the 2006 FORTUNE Global 500®.
- *CRM* magazine has named SAS the leading provider of CRM analytics for four consecutive years.

Learn more about SAS® software and services at [www.sas.com](http://www.sas.com)



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