

> Product Brief



Challenges

- **Inconsistent processes and workflows.** Process inconsistency can lead to less-efficient or incomplete investigations that in turn result in fewer successful prosecutions and recoveries and greater scrutiny by regulatory examiners.
- **Siloed departments.** Departments are often segregated and compartmentalized, which significantly hinders information sharing and results in duplication of effort.
- **Limited reporting and management oversight.** Systems that provide insufficient information critical to investigations can result in greater financial losses.

SAS® Enterprise Case Management

Efficiently manage investigation workflows

Overview

Effective case management forms the backbone of an organization's investigation documentation process, as it enables the tracking of exposures and losses related to any type of financial crime that may pose a risk. An organization's case management solution can also serve as a source of financial reporting information (e.g., fraud losses) and as the primary resource for filing regulatory reports to government agencies.

Unfortunately, organizations today face multiple case management challenges, including a lack of communication between investigative departments and insufficient oversight at an enterprise level. Deficient oversight and communication can result in monetary losses that could have been prevented had there been prior knowledge of cases worked elsewhere within the organization. This can also lead to closer regulatory scrutiny as well as civil money penalties and reputational damage if required regulatory filings are incomplete, late or missing altogether.

The Solution

SAS® Enterprise Case Management enables investigators and operational risk managers in a variety of industries - banking, insurance, government, health care, etc. - to streamline processes and conduct more efficient, effective investigations, leading to reduced costs and better fraud prevention. Gain power, flexibility and task automation, without having to rely on IT for support, to:

- Receive alerts on incidents needing investigation from multiple monitoring systems.
- Review incoming items prior to creating or linking an incident to a case.
- Customize activities and automate workflows (develop different workflows for different case types).
- Assign activities in the workflow to individuals or groups of users.
- Import existing records and historical information by custom ETL to prepopulate customer fields and prevent rekeying errors.
- Create, edit and view a case based on user permissions.
- Classify cases by type, category and subcategory.
- Attach documents, video files and other digital media to a case.
- Set default fields and values on screens based on case type.
- Create audit records containing user identification, a time stamp and date when actions are performed.
- Generate batch files for regulatory reporting via e-filing.

SAS offers a case management solution that enforces best practices and the proper gathering of evidence, and can greatly reduce the cost of investigations. SAS Enterprise Case Management provides a structured environment for managing investigation workflows, attaching comments or documentation, and recording financial information, such as exposures and losses.

The solution includes advanced dashboards that go beyond providing traditional operational performance metrics to enabling management oversight and analytical reporting. Dashboards also let you track the performance of investigative functions and trends related to financial crime exposure.

Benefits

Develop an automated workflow

This SAS solution lets organizations define processes and design consistent, automated workflows. In addition, users can:

- Create multiple, customized workflows for various types of cases – fraud, physical security, anti-money laundering, regulatory filings, etc.
- Classify cases (e.g., by type, category, subcategory), and automatically route them to the right individuals or groups.
- Make the completion of specific workflow actions mandatory prior to moving the case to the next step in the investigative process.

Unite departments at an enterprise level

SAS opens the doors of communication between investigative departments by providing a unified repository of case management information that can:

- Access and standardize data from multiple systems and business units (e.g., operational systems, databases and fraud detection systems).
- Apply data quality rules consistently across all data sources and platforms to deliver a unified, accurate view across the organization.

- Link structured and unstructured data for analysis and review.
- Provide users in multiple departments with a holistic view of customer relationships as they pertain to financial crimes.
- Display both current and historical cases worked across the organization, with permission-based access that defines the level of viewing capabilities between departments.
- Enable the organization to take proactive measures to prevent future monetary losses based on information gleaned from both current and historical cases.

Give users on-demand access to meaningful information

SAS Enterprise Case Management provides on-demand access to reports at any level by enabling you to:

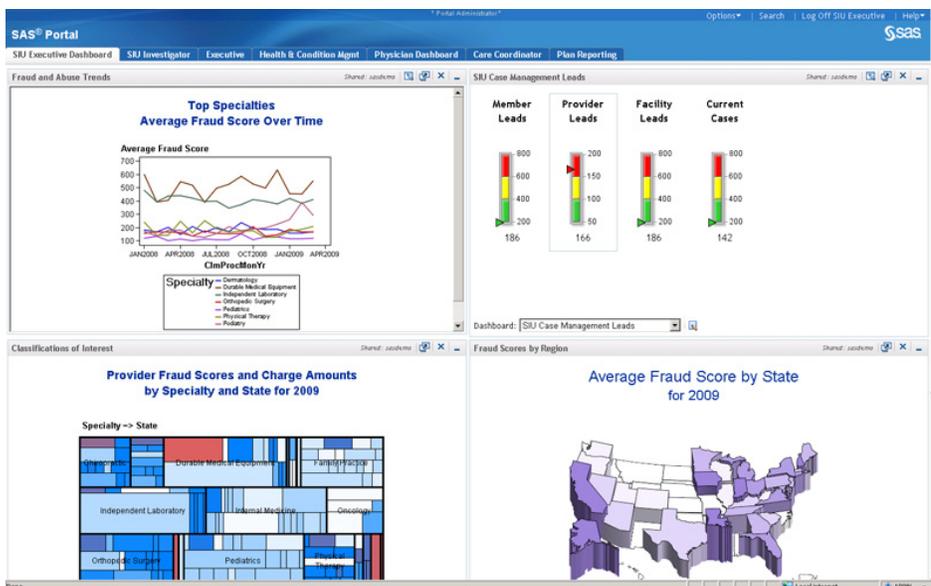
- Create customized reports ranging from global statistics for high-level board reporting to extensive, detailed documentation of investigations necessary for supervisor review.
- Produce audit records for management, examiners or regulatory agencies that contain user identification, a time stamp and the date when actions were performed.

Capabilities

SAS Enterprise Case Management provides a structured environment that includes advanced capabilities for efficiently managing investigation workflows, attaching comments and documentation, and recording exposure and losses.

Historical versioning

The solution provides historical versioning capabilities that enable you to easily review changes made to selected fields at subject, incident and case levels. With this capability, investigators can quickly and easily see where changes have been made in their



Customizable dashboards, such as this one for health care, meet the specific needs of your industry and organization.

cases from prior versions, which saves time by eliminating the need to check for differences between versions manually. An audit trail and window show any key changes, including the addition of or changes to investigative information.

Social network analysis integration

Case network analysis visualizations and functionality enable you to incorporate case network analysis information into the system to identify networks of individuals who may have been tracked and disposed of through the solution, thus providing richer information and a holistic view of parties associated with a case or cases.

External data access

With the solution's interface, you can retrieve external data from other systems, rather than populating the solution itself with a copy of the data. This increases the efficiency of investigations, while also saving storage space.

Web services

Use the Web services capability to create, locate or update records. And users can add reports, e-files, comments and attachments. The service can be configured to check for existing content prior to the creation or update of records.

Search

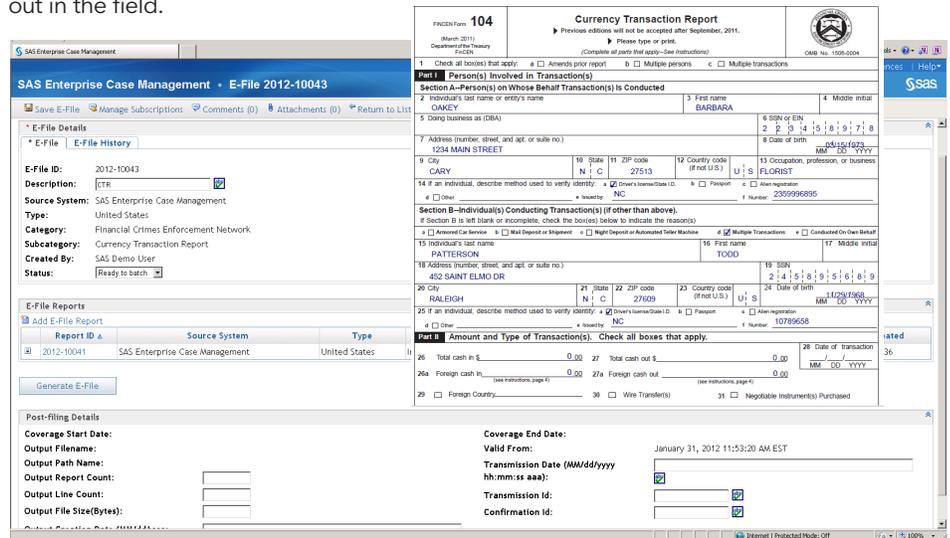
Users can retrieve relevant incidents, subjects, cases and reports using simple keyword queries, or complex Boolean logic. Keywords are evaluated across all indexed fields, and the most relevant results are returned at the top of the result list. This improves investigator efficiency by not requiring users to query each field individually.

Event notification

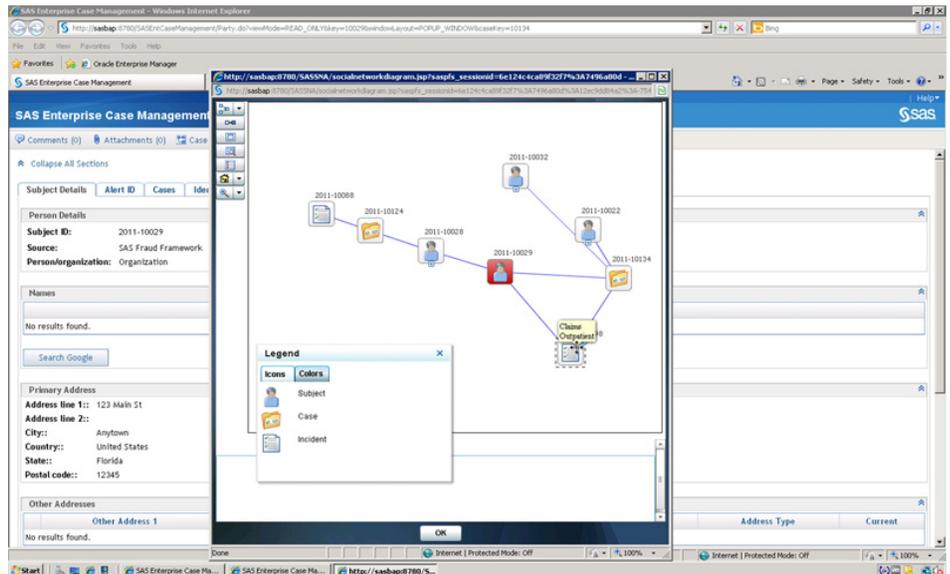
The solution can send you notifications - via email or text message - whenever any event affects or changes a case, incident, subject, report or e-filing. You can specify what types of events you would like to receive notifications about, as well as how and when notifications are sent to you, which enables you to better manage notification volumes. Notification customizations are especially important for investigators who may be working a case out in the field.

Regulatory reporting

The solution's regulatory reporting console enables you to draft, review and electronically file regulatory reports - such as suspicious activity reports (SARs) and cash transaction reports (CTRs) in the US - using an intuitive point-and-click interface. The solution supports multiple jurisdictional requirements and gives you the flexibility to generate other custom reports specific to your industry or organizational needs.



Electronically file reports with the regulatory reporting console that autopopulates fields to reduce errors.



Case network analysis visualizations and functionality let you see linkages and associations that you may otherwise miss.

The SAS® Difference

- **Automated workflows.** Create multiple workflows for various case types - fraud, physical security, AML, etc. - to automatically route cases to the right individuals or groups. In addition, you can designate certain action items as being required prior to the case proceeding to the next step in the workflow.
- **Enterprise data consumption.** Receive alerts from multiple monitoring systems, and import existing records and historical information from originating systems to help prevent rekeying errors and to reduce the volume of duplicate data.
- **Triage queue.** Review work items sent electronically to the system prior to creating or linking the incident to a case.
- **Attachments.** Easily store documents with a case, including any digital media that may need to be retained for future viewing.
- **E-filing.** Prepare batch files for uploading to complete regulatory reporting requirements (e.g., for SARs and CTRs), as well as any other formal internal or external documentation or reporting requirements.