Appian

Investigative Case Management for Financial Regulators

AGENCIES TRUST APPIAN'S LOW-CODE AUTOMATION PLATFORM AND WORKFLOW FOR THEIR FINANCIAL REGULATION AND INVESTIGATION APPLICATIONS

› Dynamic case management application that quickly meets each organization's unique requirements

› Deploy in a secure federal cloud, on-premises, or hybrid environment

› Agencies don't need to move data from legacy applications into the platform

› Deliver a complete case management system on any device with native mobility

Financial regulatory agencies are challenged by growing caseloads, siloed data, manual processes, and legacy systems. Legacy applications are inefficient for finding and analyzing relevant case information and lack the modern technology that workers need. Furthermore, agencies often discover too late that their COTS packaged applications don't meet their requirements. Many agencies must pay for excessive customizations that lead to long, risky, and expensive upgrades.

With Appian, agencies quickly implement case management, document management, and correspondence management applications that address their specific requirements. The platform provides a single view of all relevant information across systems and data sources. Robotic process automation (RPA) and artificial intelligence (AI) deliver insights to government teams while eliminating redundant and manual tasks.

INVESTIGATIVE CASE MANAGEMENT FOR FINANCIAL REGULATORS

Appian dynamic case management combines enterprise process and content management with data navigation and an intuitive interface—all working together to support social collaboration and all styles of case work. The case management application's capabilities and features include case linking, search and retrieval, activity plans, notifications, event monitoring, auditing, messaging, checklists, and templates.

Users view tasks, cases, workload, and metrics from a single dashboard that eliminates the need to open multiple applications and windows. Appian business roles and workflow ensure that staff perform their actions in a consistent manner and only access the items they have permission to view. Managers can track department performance and view employee caseload information from their dashboard, supported by real-time reporting and advanced analytics. Supervisors monitor all cases and activities and can prioritize or reassign based on caseload.

With the case management application, staff can conduct investigations from the office and field. Agencies can build, deploy, and change their mobile apps with no additional

coding. Appian's mobile capabilities provide field examiners, investigators, and auditors with the same functionality available to desktop users, including the ability to easily create and update cases from their mobile devices. With mobile offline capabilities, all the information you need is available from your device, so no matter where you are, you can manage cases offline.
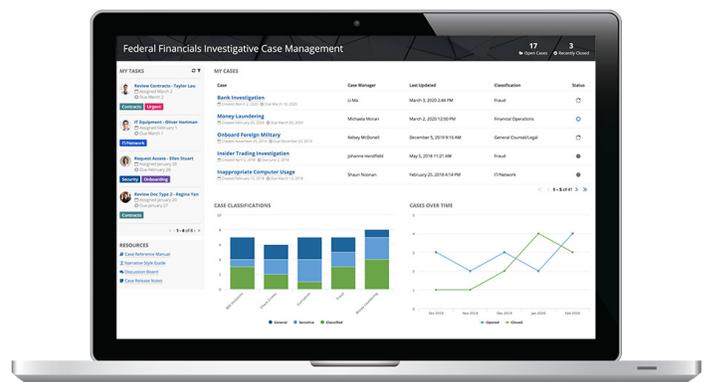
Financial Regulatory Investigative Case Management Dashboard

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The Appian platform provides a single view of all data gathered for each case, integrates with federal systems of record, and supports federal reporting and audit requirements, including those from the Office of the Inspector General. Federal agencies and financial institutions use Appian for compliance and regulatory case management applications in all areas, including:

- Investigations
- Examinations
- Supervision
- Audits
- Stress Test
- Risk Management
- Anti-Money Laundering
- Fraud

NO NEED TO MOVE DATA AND ZERO-CODE APPLICATION INTEGRATION

A proven strategy for successful government IT modernization and digital transformation is introducing technologies to build new applications that execute on top of legacy systems. Appian process automation does just that, allowing agencies to leverage current IT investments and extend the capabilities of their legacy systems.

With Appian, you can leave your data where it belongs. The platform allows customers to tap into any data repository without forcing the import of data into the application environment. Appian provides no-code integration with databases, web services, DocuSign, Esri, Oracle, Microsoft, and other applications.

Create a rich user experience that unites data from across your agency and ensures data integrity. All data gathered during examination, supervision, and investigation processes is accessible through Appian Records. Records allows agencies to integrate data, collect attachments, and store audit history while performing any task.

INTELLIGENT AUTOMATION

Federal agencies and financial institutions use AI, RPA, and robotic workforce management (RWM) to dramatically improve case management processes, productivity, customer experience, and staff engagement. Intelligent automation combines the power of Appian RPA and AI with workflow and low-code development to quickly deliver results.

Appian RPA provides organizations with software "bots" that automate high-volume, repeatable tasks within legacy processes and applications, such as cutting and pasting data from legacy systems that lack modern APIs, replying to web queries, answering routine calls, and responding to common email requests. This eliminates redundant data entry, improves data quality, reduces errors, and decreases costs. The platform also brings the best available native AI services from Google, Amazon, and Microsoft with no-code integration. Government agencies use Appian RWM to orchestrate the new, blended workforce of people, systems, and bots.

APPLICATIONS BUILT FOR FEDERAL AGENCIES

Appian allows agencies to deploy secure, scalable, seamless applications in the cloud, on-premises, or in a hybrid environment—with full mobile and offline capabilities. Agencies can build applications that address their needs, rather than rely on costly, heavily customized packaged applications. Appian gives them the ability to respond quickly to legislative, regulatory, and policy changes and adapt to new federal requirements.

The platform's extensive security architecture complies with federal standards and certifications including FISMA, FedRAMP, HIPAA, SOC 2, and SOC 3. Federal infrastructure options include a FedRAMP Authorized Cloud, fully managed IL4 and IL5 services, MilCloud, AWS GovCloud, and Microsoft Azure. Choose where to deploy your applications without limiting functionality or flexibility.