

SAS Workflow, Business Process Management und SAS Enterprise Case Management

Enterprise Case Management als praktische Umsetzung von Workflow-Elementen in SAS

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Was ist SAS Enterprise Case Management?

Eine neue SAS Lösung für die abteilungsübergreifende Zusammenarbeit bei der Betrugserkennung im Unternehmen mit folgenden Leistungsmerkmalen:

- Verwaltung von Workflows zur Steuerung von Verantwortlichkeiten und Aktivitäten bei Ermittlungsvorgängen
- Bearbeitungsreihenfolgen (Triage) zur Steuerung der Prioritätssetzung bei der Fallbearbeitung
- Anhängen von Dokumenten und sonstige digitale Daten an laufende Ermittlungsfälle
- Verdichtete Darstellung relevanter Kennzahlen in Berichten und Dashboards für das Management
- Fortlaufende Kontrolle der Performance und Effizienz von Ermittlungsaktivitäten

Nutzen für Ihr Unternehmen

- Eliminieren redundanter Daten und Fallanalyse-Werkzeuge
- Gesamtheitliche Sicht auf Betrugsrisken
- Mehr Effizienz bei den Ermittlungen
- Verbesserte Kontrolle der Business-Prozesse
- Enthält Repository für unternehmensweite Betragsanalyse
 - Welche Betrugsaanfälle erreichen die Organisation über verschiedene Vertriebskanäle, Sparten oder Produkte
 - Wie hoch ist das Gefährdungsanalyse nach Produkt, Sparte oder Vertriebsregion?
 - Welche Prüfregeln generieren die meisten Treffer?

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Schlüsselkonzepte

Case

Ermittlungsrelevanter Fall verdächtiger Vorgänge im Unternehmen , gestützt auf auffällige Verhaltensmuster, Transaktionen oder sonstige Ereignisse und Aktivitäten

Incident

Über ein bestimmtes System automatisch oder manuell erfasster Einzelfall mit einer Auffälligkeit (Transaktion, Kundenverhalten etc.)

Workflow

Vordefinierter Bearbeitungsablauf für die Ermittlungsaktivitäten (kann je nach Case-Typ verschieden sein)

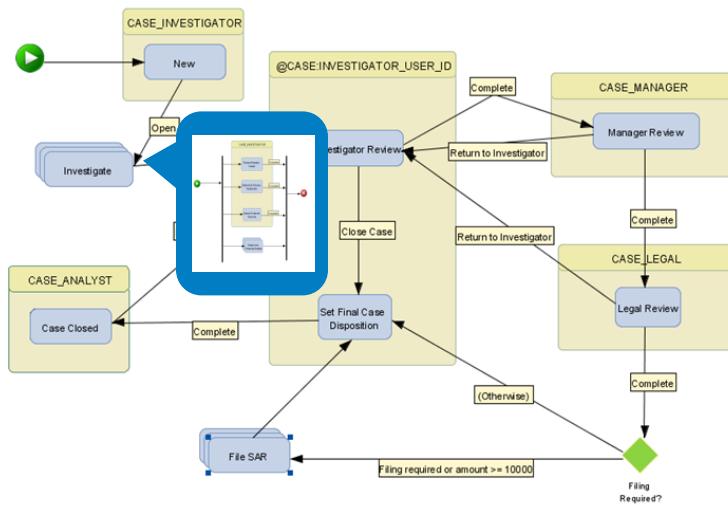
Subject

Eine an einem Incident oder Case beteiligte Person oder Organisation (kann unterschiedliche Rollen haben, z.B. verdächtiger Kunde, Kunde als Opfer, Mitarbeiter ...)

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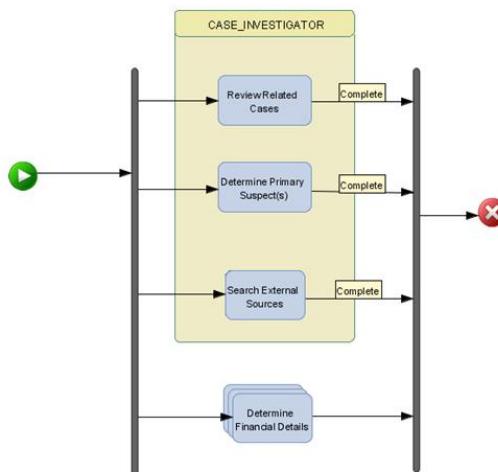
Beispiel für komplexen Workflow (1)



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Beispiel für komplexen Workflow (2)



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Login als Ermittler Art Moore

The screenshot shows the SAS Log On page. The URL in the address bar is http://sads-demo.sas.com:8080/SASLogonIndex.jsp?_sesapp=Information+Delivery+Portal+4.2b. The page has a blue header with the SAS logo and the text "SAS® Log On". It contains fields for "User name:" (containing "amore") and "Password:" (containing "*****"), and a "Log On" button. At the bottom left, it says "Copyright © 2003 - 2009 by SAS Institute Inc., Cary, NC, USA. All Rights Reserved." and at the bottom right, "Done" and "Local Intranet".

Liste und Abfrage von einzelnen Incidents

The screenshot shows the SAS Enterprise Case Management page. The URL in the address bar is http://sads-demo.sas.com:8080/SACENCaseManagement/IncidentSearch.do?saspf_sessionId=837fbcae26252bd1-773a1de12b67baea03-723b&saspf_sessionRequest=session2. The page title is "SAS Enterprise Case Management". It features tabs for "Cases", "Incidents", "Subjects", and "Administration". A search bar at the top says "New Incident...". Below it is a "Search Incidents" form with fields for "Incident ID", "Source system" (set to "SAS Fraud Framework"), "Description", "Type" (set to "Fraud"), "Taxpayer ID number", "Subject name", "Case ID", and "Unassigned Incidents". There are also date range fields for "Date created" (From: 09/07/2010, To: 09/16/2010), "Date last modified" (From: 09/02/2010, To: 10/06/2010), and "Incident start date" (From: 09/02/2010, To: 10/06/2010). Buttons for "Search", "Clear", and "Reset" are at the bottom of the form. Below the form is a "Results" section with a table showing incident details. The table has columns: Incident ID, Source System, Case ID, Type, Description, Incident Start Date, and Date Created. The results are:

Incident ID	Source System	Case ID	Type	Description	Incident Start Date	Date Created
2009-10170	SAS Enterprise Case Management		Fraud	ACH Fraud: Transaction occurred based on phone call with bank account and routing numbers		8/25/09 6:26 PM
2009-10174	SAS Incident Reporting		GIR	Suspicious Behavior: Customer asked teller to count & confirm \$250,000 in SDB	8/19/09	8/25/09 4:44 PM
2009-312	SAS Enterprise Case Management		Fraud	Check Kiting: Identified between Bank of Yamaha and Imperial National Bank		8/25/09 6:21 PM
2009-427	SAS Enterprise Case Management		Fraud	Wage Garnishments		8/25/09 7:10 PM

Detailanalyse der Ermittlung

The screenshot displays two windows from the SAS Enterprise Case Management system:

- Alert Details Window:** Shows an alert for "Deposited at Least \$9,900, 2 Out of 2 Business". It includes fields for Alert ID (6576), Create Date (10/17/2008), Run Date (10/15/2008), Status (ACT), Money Laundering Risk (656), Terror Financing Risk (656), Category (Cash), Subcategory (Structure), and Scenario Info (Scenario: BAS10007).
- Related Cases Window:** A modal window showing a list of related cases. It includes columns for Case ID, Type, Category, Description, Date Created, Principal Investigator, Case Status, and Priority. One case is listed: 2009-10181 (Fraud, Bankcard, Card Fraud, 10/10/09 3:21 PM, Patricia Lark, Investigate, Medium).

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Existierender Case mit Workflow

The screenshot shows the details of an existing case (Case 2009-10181) in the SAS Enterprise Case Management system. A blue callout bubble highlights the "Action Items" section, which lists activities such as "Search External Sources", "Determine Total Amount", "Determine Primary Suspect(s)", and "Review Related Cases". The "Completed By" column shows "Art Moore" and the "Activity Status" column shows "Open".

Action Items

Activity	Completed Date	Completed By	Activity Status
Search External Sources			
Determine Total Amount			
Determine Primary Suspect(s)			
Review Related Cases			
New	10/9/09 3:23 PM	Art Moore	Open

Case Information

Source	Type	Date Created
2009-10188	Fraud	10/8/09 4:48 PM
2009-10201	Fraud	10/9/09 3:32 PM

Im Workflow definierte Arbeits-schritte (Aktionen) und zugehörige Aktivitäten!

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Incident an existierenden Case anhängen

The screenshot shows the SAS Enterprise Case Management interface. A modal dialog box titled 'Add incident to case' is open over the main case details page. The dialog has fields for 'Incident ID', 'Source system', and 'Type'. Below this is a grid titled 'Available incidents' listing several cases with their details. An arrow points from the 'Add Incident to case' button in the main interface to the 'Add incident to case' dialog.

Incident ID	Source System	Case ID	Type	Description	Incident Start Date	Date Create
2009-10116	SAS Anti-Money Laundering	AML	Cash Structuring: Deposits		8/24/09 6:21 PM	
2009-10170	SAS Enterprise Case Management		Fraud	ACH Fraud: Transaction occurred based on phone call with bank account and routing numbers	8/25/09 6:26 PM	
2009-10174	SAS Incident Reporting	SIR	Suspicious Behavior: Customer asked teller to count & confirm \$250,000 in SDB		8/19/09 8:46 PM	
2009-312	SAS Enterprise Case Management	Fraud	Check Kiting: Identified between Bank of Yamaha and Imperial National Bank		8/25/09 6:21 PM	

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Kommentarvergabe zur Dokumentation

The screenshot shows the SAS Enterprise Case Management interface with a comment dialog box open. The dialog has fields for 'Subject' and 'Comment'. The comment text area contains a message from 'Art Moore' about further suspicious activity related to cash structuring. Below the dialog is a table of comments for the case, showing columns for Subject, Comment, Author, and Date Created.

Subject	Comment	Author	Date Created
New evidence - I suggest filing a SAR.	Thank you Art Moore		

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Login - Case-Verantwortliche (Patricia Lark)

The screenshot shows the SAS Log On page. The address bar displays the URL: http://sasb.demo.sas.com:9090/SASLogon/index.jsp?_sasapp=Ent<case++Ngt+&Md-Tier+2.1&. The page has a blue header with the SAS logo. It contains fields for 'User name:' (plark) and 'Password:' (*****), and a 'Log On' button. At the bottom, there is a copyright notice: 'Copyright © 2001 - 2008 by SAS Institute Inc., Cary, NC, USA. All Rights Reserved.'

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Case mit geändertem Bearbeitungsstatus

The screenshot shows the SAS Enterprise Case Management application. The address bar displays the URL: http://sasb.demo.sas.com:9090/SASEntCaseManagement/Case.do?viewMode=EDITABLE&key=10181&indexLayout=MAIN_DIALOG. The page title is 'SAS Enterprise Case Management - Case 2009-10181'. It shows a table of 'Action Items' with columns: Activity, Completed Date, Completed By, and Activity Status. One item is listed: 'Search External Sources' (Completed Date: 9/30/10 6:22 AM, Completed By: Art Moore, Activity Status: Task assigned to another user). Below this is a 'Case Information' section with tabs: Case Details, Incidents, Subjects, Linked Cases, SAR, and Case History. The Case Details tab is selected, showing fields like Case ID (2009-10181), Description (Card Fraud), Principal Investigator (Patricia Lark), Source system (SAS Enterprise Case Management), Type (Fraud), Category (Bankcard), Subcategory (Credit), Priority (Medium), Final disposition ((none selected)), Created by (Art Moore), and Date created (10/09/2009).

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Fazit – Enterprise Case Management

- Ermöglicht effiziente unternehmensweite Zusammenarbeit von Betrugsermittlern
- Strukturierung der Bearbeitungsvorgänge durch einheitliche Workflows
- Visualisierung der mit Workflow Studio erzeugten Workflows über grafische Oberfläche
- Erste produktive SAS Lösung mit neuer Workflow Technologie (Workflow Studio etc.)

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Thank you

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