



What's New

Version 5.5.2 (On Premises)



What's New in Alessa version 5.5.2

This document highlights the exciting new features and enhancements in all versions of Alessa 5.5.2

Core Features

Rebranding

In this release, CaseWare RCM officially rebranded the CaseWare Monitor application to Alessa. The new name means Noble Defender and reflects the value the product has provided to customers.

Alessa Cloud Hosting

We have expanded our Cloud hosting to include all Alessa products:

- Anti-money Laundering
- Sanctions Screening
- P-Card & T&E Monitoring
- Fraud Detection
- Continuous Controls Monitoring

Cloud deployments include complete Cloud hosting or hybrid where some components are on-premises.

Visualization

Through visualizations, gain insights from your business process to determine the effectiveness of your compliance programs. By default, Alessa provides a number of visualizations that can help you to gauge program performance, by answering questions such as:

- What is the overall performance of my investigative team?
- What are the most common actions taken on alerts?
- Are risks concentrated in specific geographies or locations?
- What are the main root causes of exceptions within my process?

In this release, non-technical Alessa users can now create visualizations to meet additional reporting requirements using an intuitive business intelligence (BI) component. Users can choose from a wide array of chart options including maps, graphs and gauges. Once the new visualizations have been created, they can be published and used by other Alessa users.

Additionally, Alessa now provides support for **Microsoft Power BI**. Clients who have Power BI servers and employees with experience in developing Power BI visualizations, can create reports and then deploy them to Alessa.

Python Scripting

Customers can now implement analytics written in Python.

Two-Factor Authentication

Version 5.5 provides enhanced security to protect user credentials and prevent unauthorized access. Administrators can now configure Two-Factor Authentication within the application. By requiring that a verification code be sent to the user's mobile phone or email address, the user is forced to verify their account before they log in.

Data Privacy

With the emergence of tighter restrictions around data privacy, CaseWare RCM has implemented changes in the Task Administration feature to help protect confidential information. In the New and Edit Task dialog box, the *Delete data file after import* and *Reset working directory* options are checked by default.

Result Set Templates

Templates can be applied to result sets to control which fields display, to customize text formatting, and to enhance their behavior. Now, Alessa lets you apply advanced templates to result sets directly within the application and then preview the results, without having to navigate to the Detail view.

Sanctions Screening Module

Improved User Experience

In this release, the screening alert interface has been redesigned so that alerts allow users to triage possible matches and make decisions quickly. The details for each prospect are organized logically so users can identify the most relevant pieces of information.

- **Profile:** Quickly review demographic details for a prospect, including biography, aliases, category, locations and identifications to help you decide if it is a match.
- **Timeline:** View a list of significant events related to the selected prospect in chronological order.
- **Connections:** View associated entities in a social network diagram to discover connections quickly. While reviewing connections, you can also explore child entities in the graph to detect patterns.
- **Locations:** Associated locations for a selected prospect are displayed on a map. Viewing the locations in a map can help you to determine if sites are within close proximity. Additionally, you can view locations at street level to determine if the location resembles that of a business or home address.
- **Sanctions:** View a list of sanctions that have been filed against a prospect.
- **Keywords:** View any sanctions list keywords that are associated with the selected prospect.

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Data Classification: Public

Confirm Matches

In this release, once a screening match is confirmed, all other matches are dismissed, and the alert history is updated with the action taken. This reduces the time for users to complete the screening process.

Adding Comments to Dismissed List Screening Matches

To enhance the investigative process, Alessa can now be configured to make it mandatory for users to add a comment while dismissing or restoring potential matches. Additionally, the system adds a comment with the unique identifiers (UIDs) of all matches dismissed automatically when a user confirms a match.

Print World-Check Profiles

Print a selected World-Check profile to PDF. The PDF output includes details such as profile, timeline, connections, locations, sanctions and keywords.

Submit Multiple Countries

Users can now narrow their search results by submitting multiple countries related to an entity. This feature is available for on-demand, batch and real-time screening.

Improved User Experience for On-Demand Screening

Conducting on-demand searches has been made simpler by removing unnecessary fields and clearly creating a distinction between person and business searches.

- Person and business searches are done on separate tabs to provide more clarity. While conducting a person or business search, only applicable fields are displayed.
- Filter your search results to reduce false positives by selecting the categories that are most relevant to your due diligence process.
- Specify an IMO (International Maritime Organization) number while screening vessels.
- While screening persons, specifying a gender is no longer required. Additionally, you can select Unknown if you do not know the correct gender.
- If you do not have the full date of birth for a person, you can submit the day, month or year.

Screening Configuration Tool

Implementers can now configure and manage the different settings for the screening module through a graphical user interface. The tool also provides greater transparency into the screening process as users can review logs and configured settings when required.

- **Customer information:** Record details such as company name, contact person and associated emails in case there is a need to notify an Administrator.

- **Scoring:** Administrators can specify the screening threshold for both batch and real-time processes from a user interface. Settings include name and date of birth thresholds, country filter, weak aliases and whether to include deceased persons.
- **Data source:** Configure the screening module to use multiple data sources, including custom lists.
- **Keywords:** Reduce the number of false positives by selecting the keywords that should be used to screen entities.

Schedule Batch Screening Jobs

In this release, users can configure tasks to screen a batch of customers or vendors periodically. Batches can be scheduled to run daily, weekly or monthly.

Batch Screening Logs

In this release, users can quickly determine the status of batch tasks by reviewing the logs generated for each run. Logs display information such as the number of entities submitted, screened or failed.

Storing Sanctions/List Screening Results

To enforce data privacy and segregation of duties policies, Alessa can now be configured to store screening alerts in separate result sets based on different business units. This allows Administrators to permit users only to view screening alerts associated with the business unit to which they are assigned.

Limit on Number of Connections for List Screening Matches

In this release, the number of connections displayed for a potential match has been limited to 30 to allow for a cleaner and less cluttered display. Additionally, users can now toggle the display between a network connections view and a list view. The list view shows all connections for the selected prospect.

Report Tab

Formerly called the Timeline tab, the Report tab now presents the history for a match in both a timeline as well as a text view.

Unique Identifier for List Screening Matches

Users can copy a prospect's unique identifier (UID) from the Profiles tab in the Detail View. Alerts also display the UID for all prospects on the Prospects and Dismissed tabs. The UID can also be entered as a value in the search filter to narrow the list.

Configurable List Screening Thresholds

Alessa now allows you to configure the match threshold by specifying a match strength which is based on a range. Now you can set the minimum threshold at a granular level by specifying the lowest score. This helps to reduce the number of false positives or lessen the chance of missing positive matches.

Identity Verification Module

Identity Verification

In version 5.5, CaseWare RCM introduced integration with CLEAR ID Confirm. This integration allows users to accurately and efficiently confirm identities of individuals located in the United States against comprehensive public and proprietary data offered by Thomson Reuters.

Alerts are generated for identities that are not verified. The identities are placed on a workflow for further investigation.

The system provides three methods for conducting CLEAR ID Confirm searches:

- **On-demand** – Enter the search criteria in a user interface and view the results within Alessa.
- **Real-time** – Using an API, submit entities for verification. Once the search is completed, the results are returned through the API to the core system.
- **Batch** – Submit a batch of entities for verification in a CSV file for processing. After the search is completed, view and manage the results in Alessa.

All searches are logged in the system for audit purposes.

Regulatory Reporting Module

goAML and IRS Form 8300

Alessa now provides support for goAML SAR, Nil, and Authorized Disclosure reports as well as IRS Form 8300.

Other Enhancements

- Download records from the Screening History and share details with other stakeholders.
- While developing visualizations for your list screening process, access all your data from a single reporting repository. The reporting repository includes data from all your list screening alerts as well as the investigative process.
- Easily locate records in the screening history by sorting and filtering records by the screening date.
- While reviewing World-Check profiles in a list screening alert, view their inferred date of birth, Age and Age as of date.
- From the Grid view, you can now prioritize list screening alerts based on the associated World-Check alert types. Additionally, while reviewing the prospects on an alert, in the Detail view, you can now filter the list of prospects by alert type.

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Defects Corrected

Core

- With a Spanish language pack applied, it was not possible to preview all columns in an edited result set because the horizontal scrollbar did not appear.
- In the Grid view, filtering records by assigned user did not work properly.
- In Alessa, sections of the application responded slowly after the system was inactive for long periods.
- Inactive tasks were triggered automatically in Alessa.

Sanctions Screening

- In the Detail view History, List # displayed instead of UID in comments involving the confirmation or dismissal of prospects.
- Custom Python scripts used to process screening results could not be deployed per client in the hosted platform.
- In the Grid view and History tab, screening types displayed as numbers instead of words.
- On-demand searches, which return zero alerts, were not logged in the Screening History.
- Previously closed work items were not reopened when there were updates to the associated entity record being screened subsequently.
- In Batch Screening, the date last screened in the Screening Detail view was incorrect for any prospect in which nothing had changed since the previous screening.
- Selecting a prospect, which was returned from a custom list, gave an error message indicating "A profile does not exist for the input ID."
- The application froze when the Timeline tab, in the Detail View, was selected after having screened certain names.
- Maps did not display properly in the Detail view.

Identity Verification

- In the CLEAR ID Search dialog, the default position for the cursor in the ZIP Code field was incorrect.
- In the CLEAR ID Confirm dialog, the Year field was sorted in ascending order.
- CLEAR ID person profiles did not print when the identity had been confirmed and closed.
- CLEAR ID Confirm did not accept partial dates when conducting a Person Search.