



PROJECT
**CASE MANAGEMENT
MODERNIZATION SYSTEM**

CASE STUDY

The Pennsylvania Department of
Banking and Securities





EXECUTIVE SUMMARY

The Pennsylvania Department of Banking and Securities (DoBS) regulates financial services in the state of Pennsylvania and works to ensure consumers and businesses are well-informed about the marketplace. The Department works with a wide array of financial services institutions and professionals including banks, credit unions, trust companies, investment firms and professionals, mortgage lenders and brokers, and other consumer lenders.

DoBS was formed in 2012 as a merger between the Department of Banking and the Securities Commission. This merger resulted in the use of multiple case management systems across departments. In 2013, an effort was made to consolidate the systems into a single, integrated solution. The consolidation effort had many challenges, delays, and budget overruns, and in 2016 all development was halted pending further review.

The Case Management Modernization System (CMMS)

The Case Management Modernization System (CMMS) effort was introduced to consolidate the Banking Online Application (BOA), BankWeb, Pennsylvania Securities Commission (PSC), BASS, and Time Tracking applications into a unified platform. In addition to the effort to consolidate the existing systems, DoBS chose to move forward with a Self-Service portal as well, streamlining the review of thousands of paper applications currently received across departments.



The background image shows a person's hands holding a smartphone, with a laptop keyboard visible in the foreground. Overlaid on this image is a network of white dots connected by thin lines. Various financial and technology icons are placed at different nodes of this network, including a house, a dollar sign, a shopping cart, a credit card, a bank building, an ATM, a person icon, and a medical cross. A green curved shape is in the top left corner, and a blue circular shape is on the right side.

What DoBS does:

- Regulates more than 200 state-chartered banks, trusts and credit unions
- Licenses and registers more than 18,000 non-bank lenders, including mortgage brokers and lenders, auto sales finance companies, debt management and debt settlement companies, check cashers, pawnbrokers, and money transmitters
- Enforces compliance with state and federal laws for non-bank lenders
- Licenses and registers more than 200,000 investment firms and professionals doing business with Pennsylvania residents, including broker-dealers, broker-dealer agents, investment advisers, investment adviser representatives, and notice filers
- Provides free help to anyone with a question, concern, or complaint about Pennsylvania financial institutions or products

OBJECTIVES

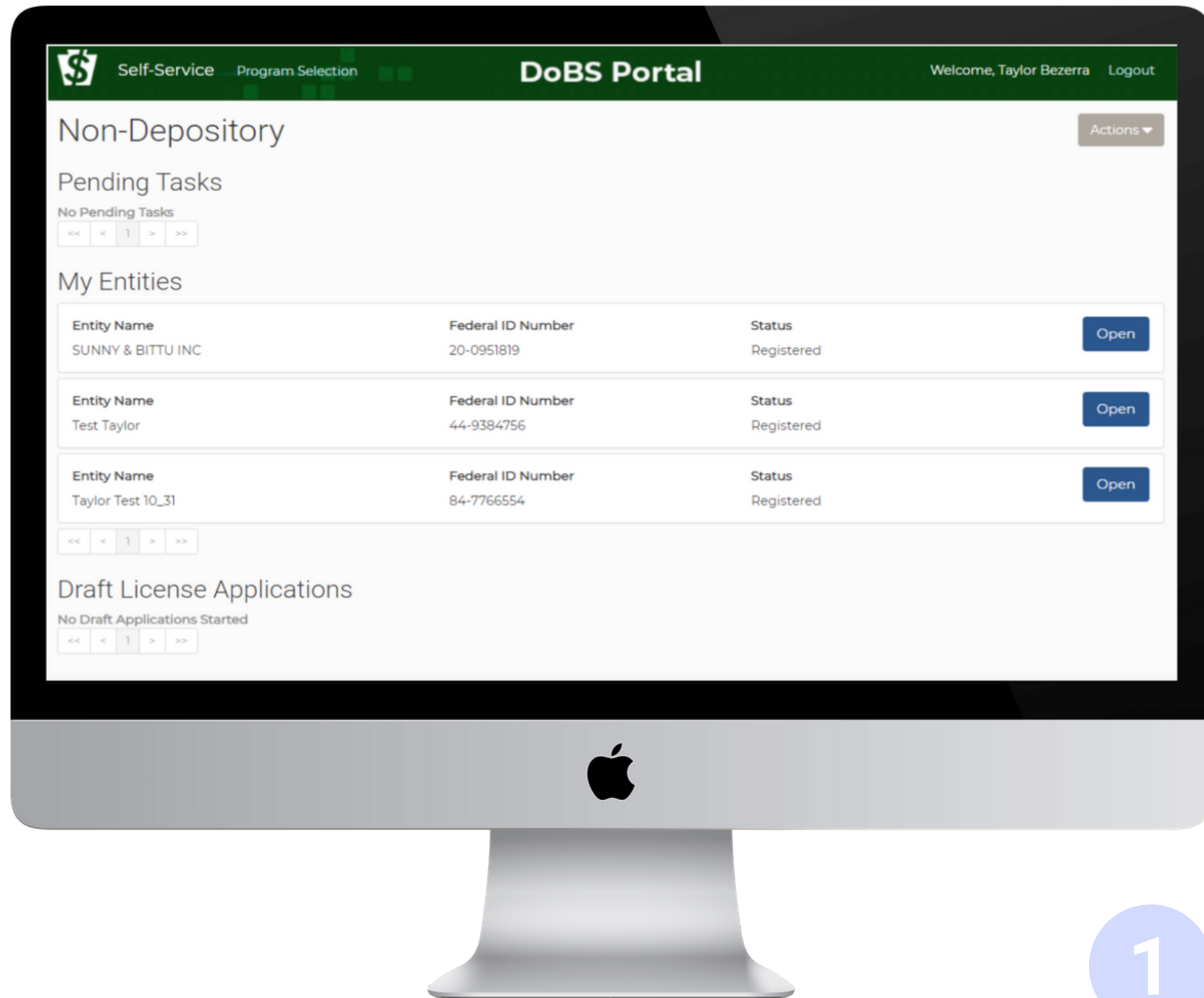
Create efficiencies and reduce redundancy within the Department through better data management, business process analysis, and extending a better customer experience





FEATURES OF CMMS





1

An external self-service portal that enables users to create new entities, join existing entities and submit applications and amendments for DoBS to review.



Application for a Collector Repossessor New License

| Entity Name | Federal ID Number | Location | Web Address |
|-----------------------|-------------------|-------------|---|
| Bobby the Bodybuilder | 12-8998790 | 456 Main St | http://google.com |

[Home](#) / [Bobby the Bodybuilder](#) / Application for a Collector Repossessor New LicenseStep 1
LicenseStep 2
Submit & Pay[General Details](#)[Contacts](#)[Affirmation](#)

Affirmation

[Save](#)

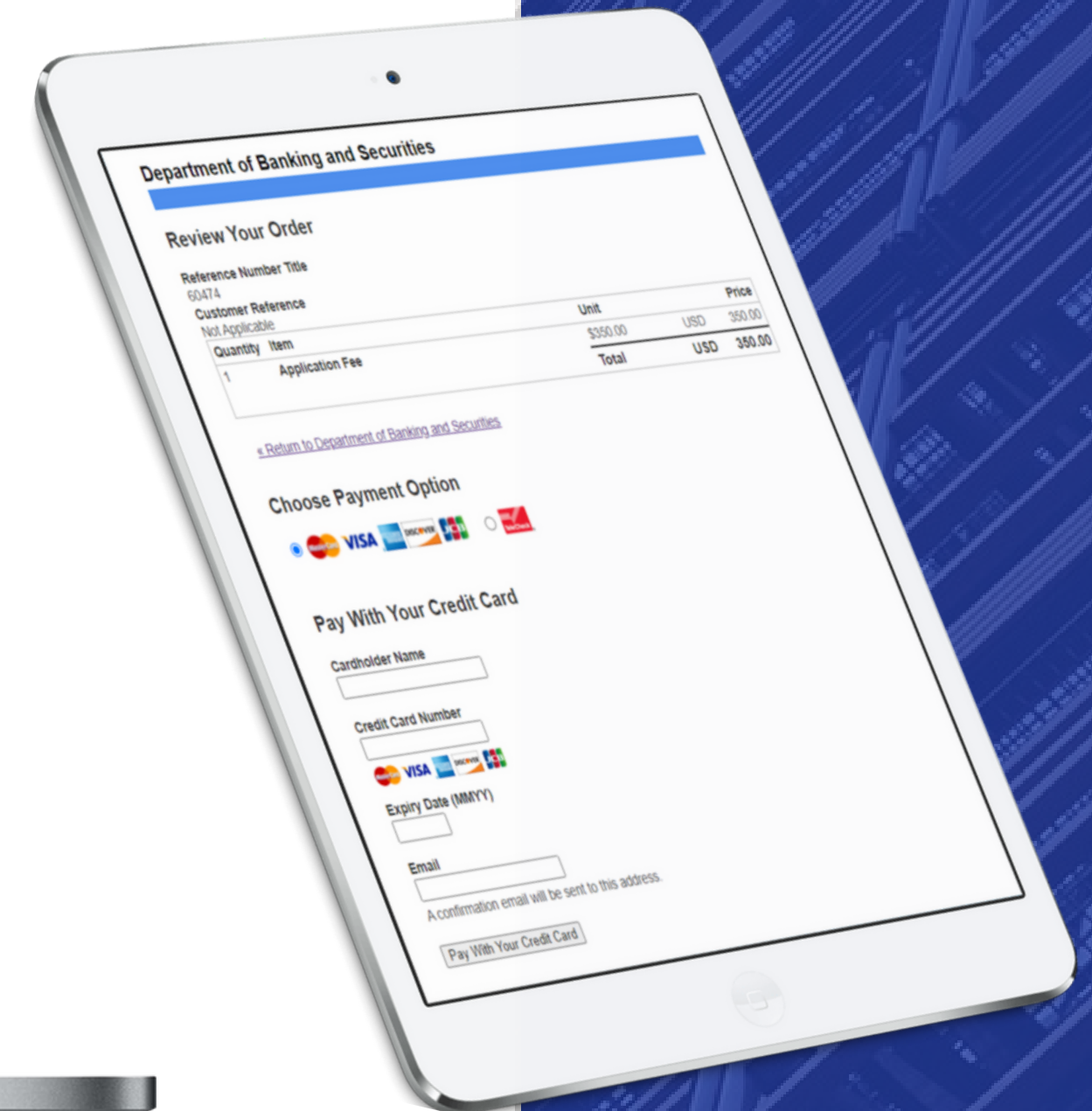
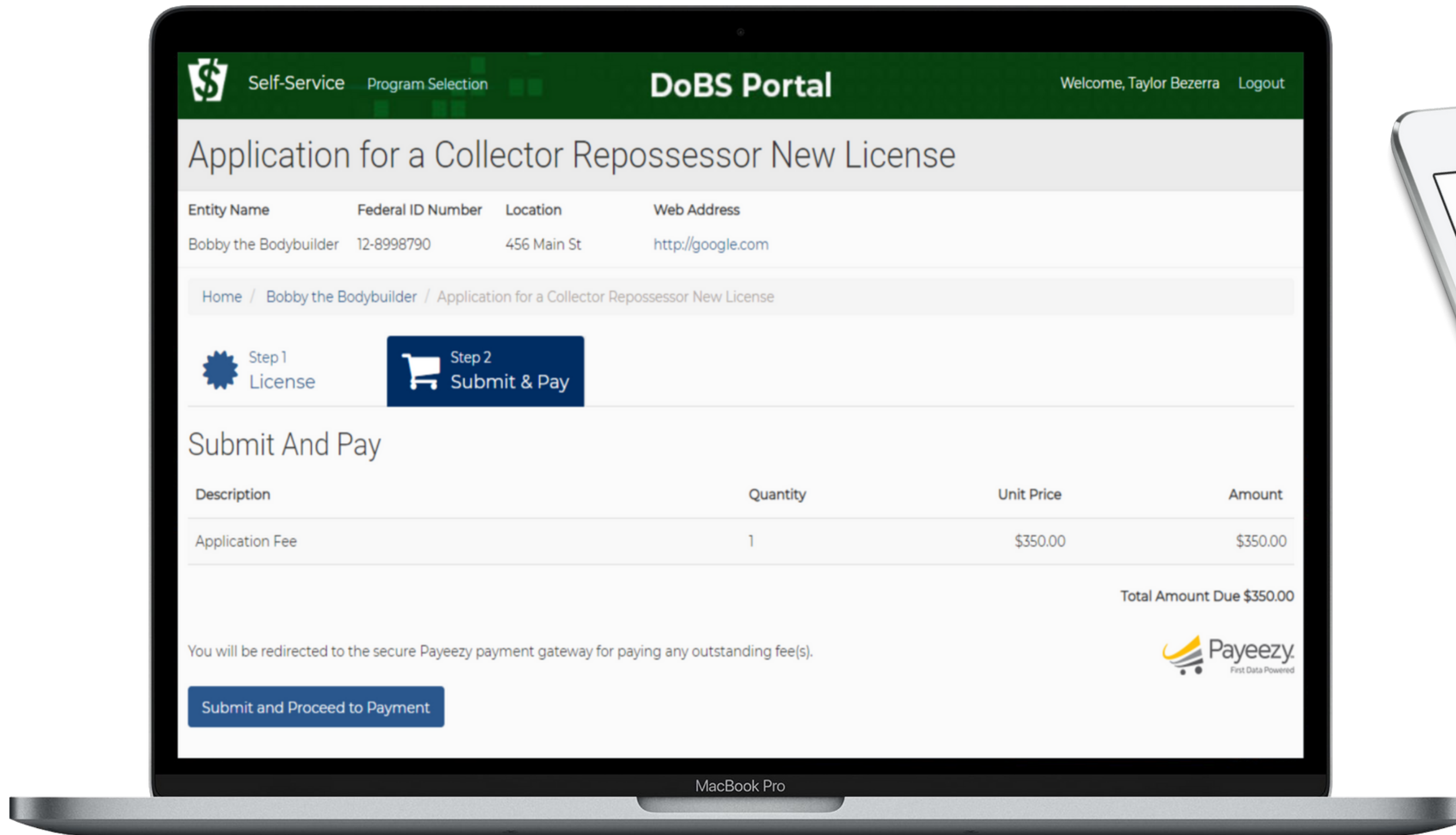
☒ I understand by submitting this Collector Repossessor Application: I am agreeing to be bound by the following declaration: "I declare that all of my answers on this License Application are complete, true and correct. I make this declaration subject to the penalties of 18 PA.C.S. § 4904 relating to unsworn falsification to authorities." *

I attest that I have read and understand the following (click each for link):

- [1. Consumer Credit Code](#)
- [2. Motor Vehicle FAQs](#)
- [3. Motor Vehicle Sales Finance Examination Guide](#)

Enter Name Below

[Finalize Application and Proceed to Cart](#)[← Previous](#)

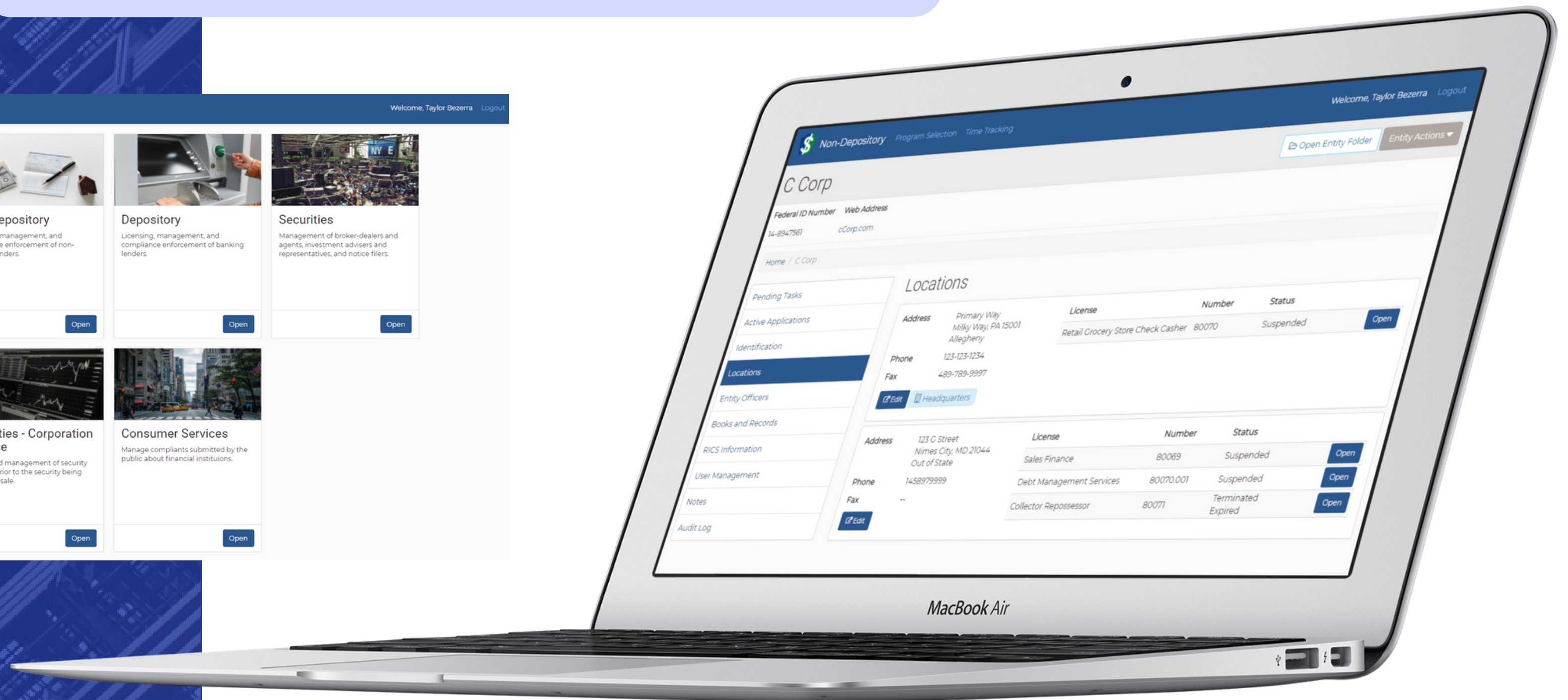
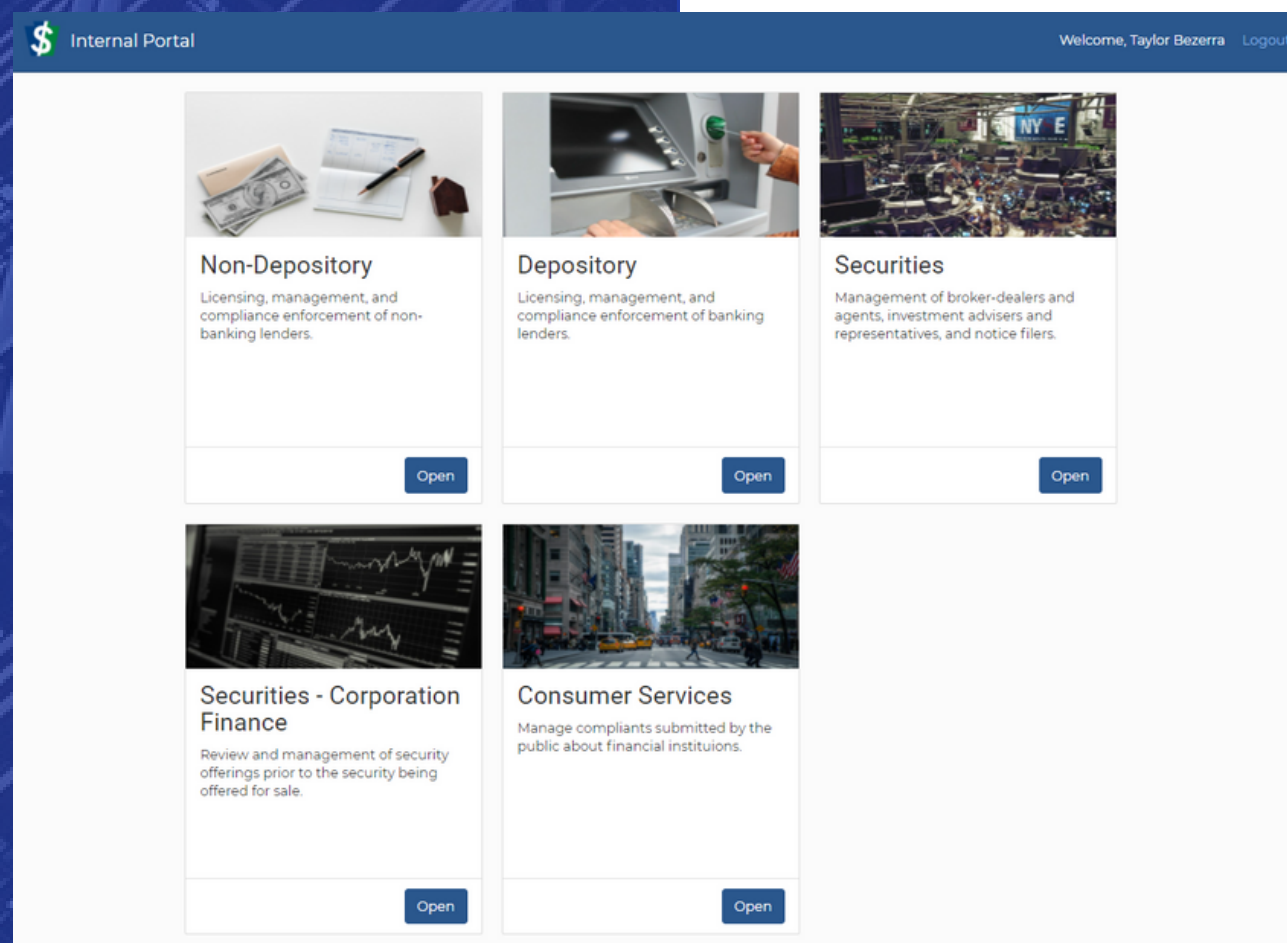


2

Integration with Payeezy, a secure e-commerce payment gateway that enables external users to pay through the integrated pay system

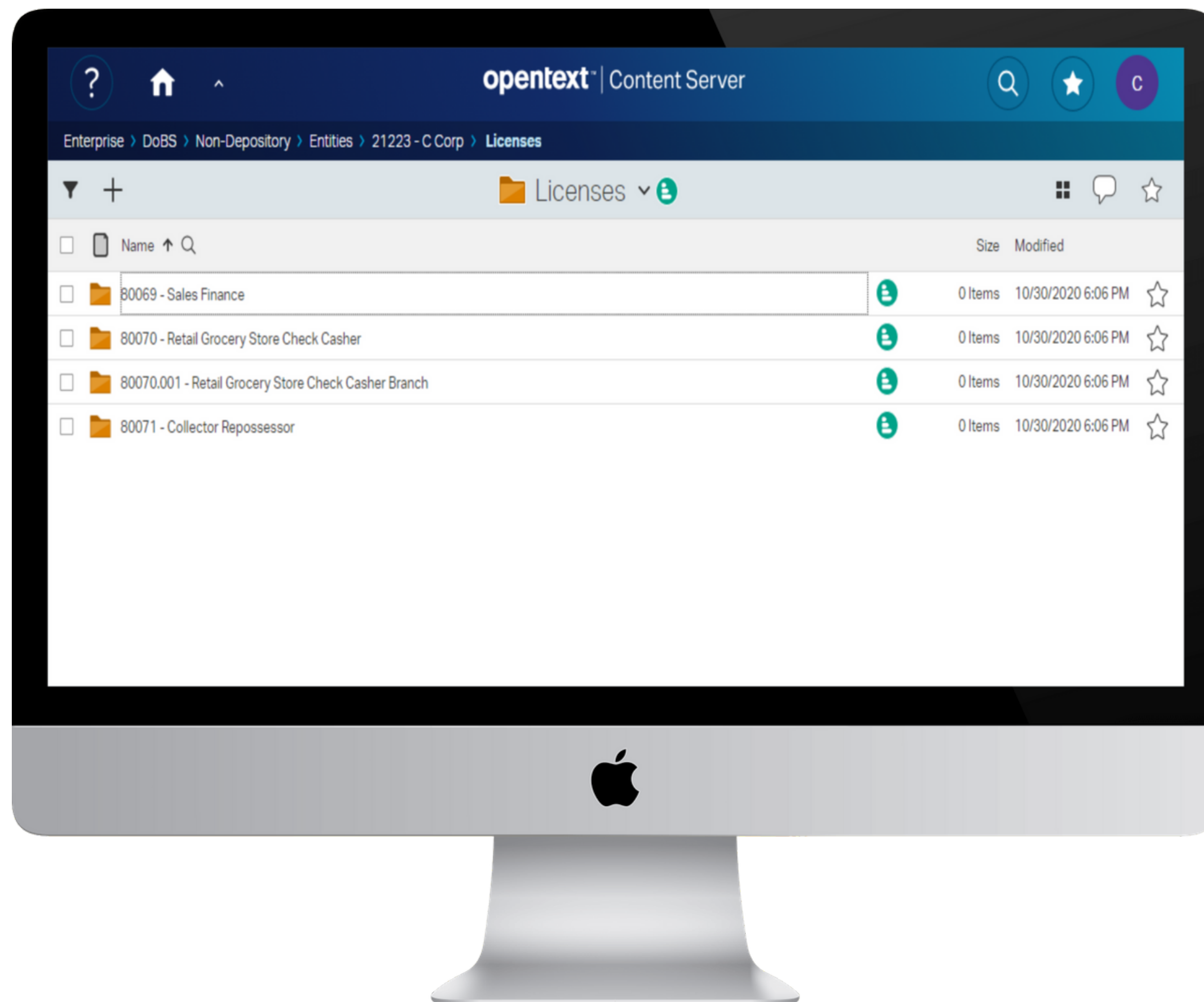
3

Internal case management system giving specific internal users access to manage entity and individual data and workflows



4

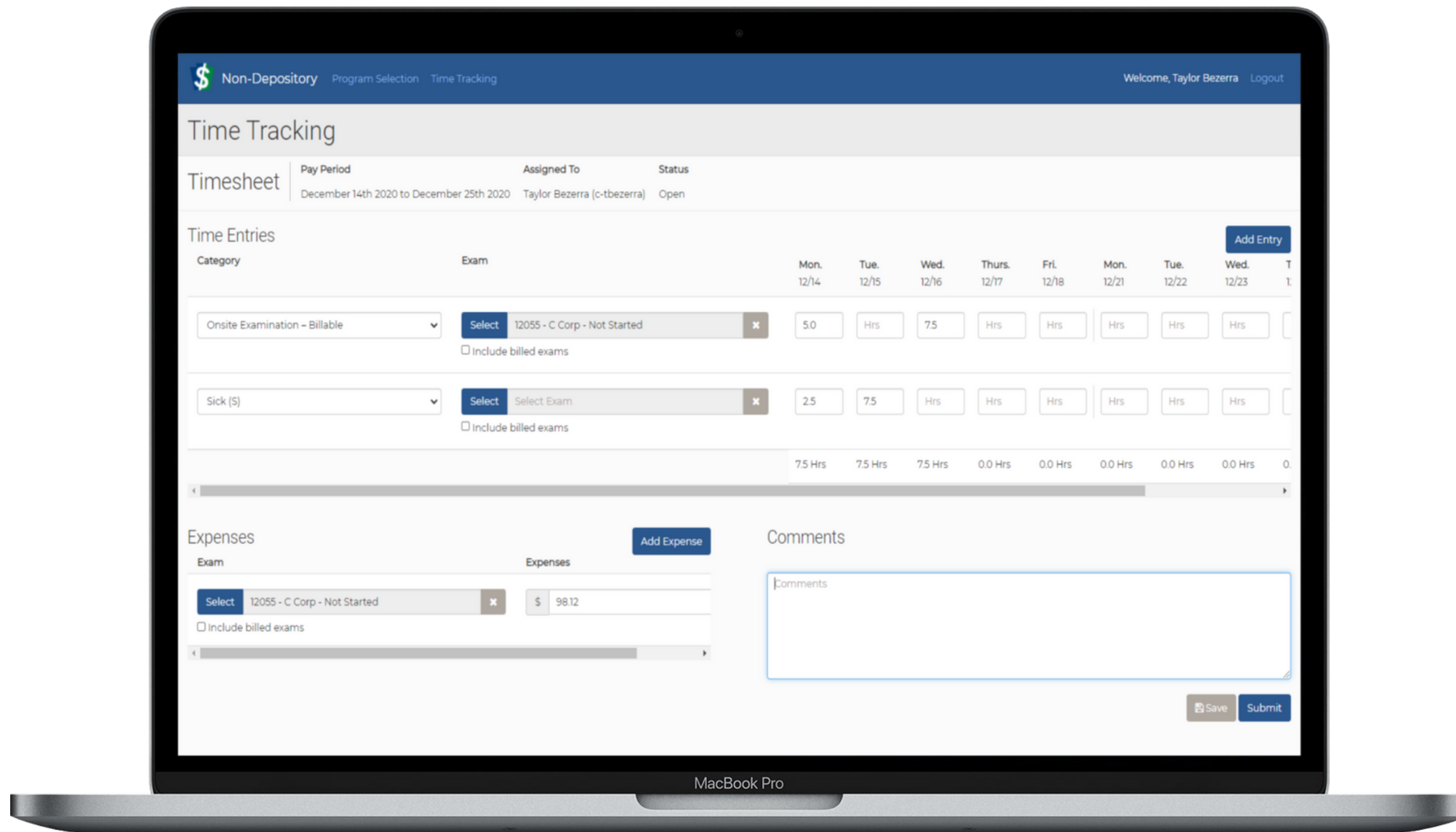
Centralized document management system, including the ability to automatically generate document templates



5

Open reporting framework using Magellan Analytics to provide real-time data in clear, organized dashboards, with the ability for end-users to create additional reports as necessary





6

Time Tracking system that integrates with examination workflow to automatically bill external entity based on billing rates, hours spent, and expenses incurred

ADDITIONAL CMM FEATURES

7

Business process workflow covering entity and application reviews, financial statement submission, examinations, and compliance

8

Correspondence module enabling internal users to securely communicate with external system users

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