PESS

WHITEPAPER

01.06.26

Investment Servicing: Case Management Solutions

Professional services, legal firms, management consultants, and advisory specialists are all adopting work management tools, often referred to as case management solutions (CMS). Adopters of CMS recognise that inbound requests and communications are often:

- Unstructured, lacking clarity or clear actions
- Misdirected or not clearly attributable
- Of uncertain provenance or authority
- Of unclear relevance to previous communications

These challenges are equally prevalent in investment servicing, spanning investor relations, investment structure data management, reporting portal oversight, deal flow and investment committee support, and many more specialist functions.

The benefits of case management solutions include:

- Elevated customer/stakeholder experience (both internal and external)
- Reduction of email traffic
- Team efficiency, effectiveness and engagement
- Detailed operations metrics to support planning and costing
- Track and trace audit trails on all activity
- Reduction of process friction and low value keying of data
- Automation leading to Agentic participation

All are compelling reasons to implement case management solutions for investment servicing.

Case management solutions are a critical component of your business operations systems of control. ServiceNow is our platform of choice for CMS, read on to find out why.

If you wish to discuss how PESS & ServiceNow can elevate Systems of Control within your investment servicing operations, please contact bhavin.shah@pesupportservices.com

servicenow

1 Case Management: What is it and how does it help you?

Case management offers structured ways of working.

In investment servicing, case management solutions create controlled workflows which:

- Orchestrate data access and process approvals
- Automate alerts and notifications
- Incorporate human-in-the-loop touchpoints
- Harvest process performance data

This way of working ensures that:

- Tasks and transactions are performed consistently
- Collaborating parties share the same process
- Requests, approvals, contributions… related to the process are channelled through a single point
- Those same trigger requests are triaged and assigned to appropriate fulfillers
- All transaction related communications are watermarked and therefore linked

How does this help you?

Case management solutions provide:

- Greater assurance for all stakeholders
- Improved transparency across activities
- Elevated client service and satisfaction
- Automate repetitive low-value tasks
- Greater team confidence and engagement
- Full transaction audit trail to support any need to "track and trace"
- Real-time visibility of KPI performance and trends
- Clear service level monitoring with proactive alerts on at-risk deadlines

Simply put, when actions are controlled and repeatable, outcomes are foreseeable and reliable.

The case management approach recognises the need for structured ways of working in line of business operations. By formalising business processes and supporting them with the right technology all stakeholders benefit.

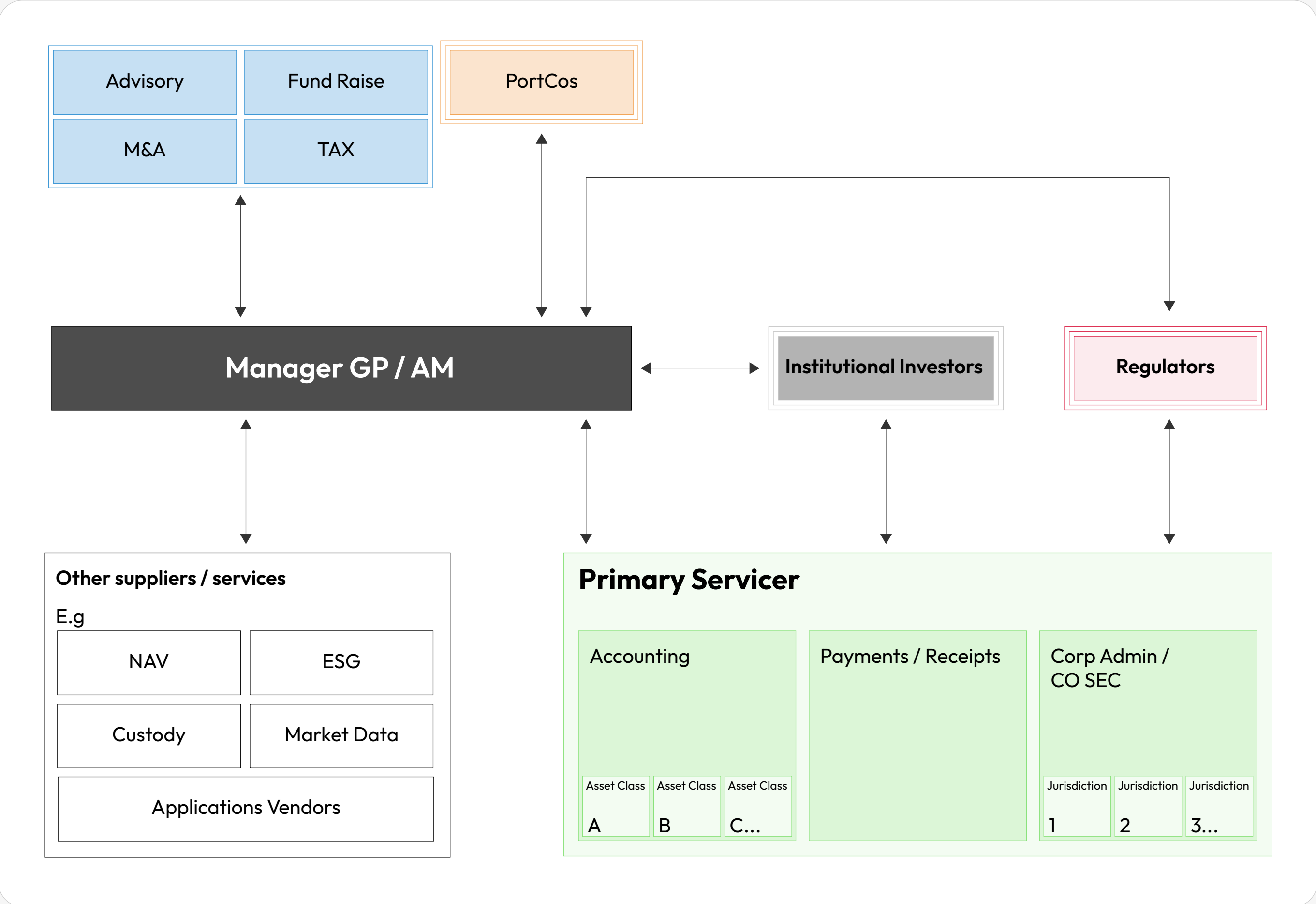
Case management is the foundation layer for overall operations control, giving insights into process bottlenecks, performance and costs. All participants can engage in one process, eliminating hand-offs, miscommunication and lack of engagement.

> "Operations Red Zone: … firms best positioned to win the … race are those who can industrialise and streamline…"
>
> **carnegroup.com**

2 The Challenge: Managing a complex supply chain

Fig. 1 **Participants in investment servicing functions will rarely complete a process without reference to other parties – whether to validate and confirm, seek approval, or add key data.**

Fig. 1 is a simplification. Each entity in a process supply chain may involve multiple individuals acting in different capacities; originators, fulfillers, reviewers, and approvers.



Counterparties, their suppliers, and third parties (e.g. regulators, banks, and registrars) use disparate systems, with little communication standardisation beyond email.

Reducing the number of and dependency on emails is a significant benefit to operations

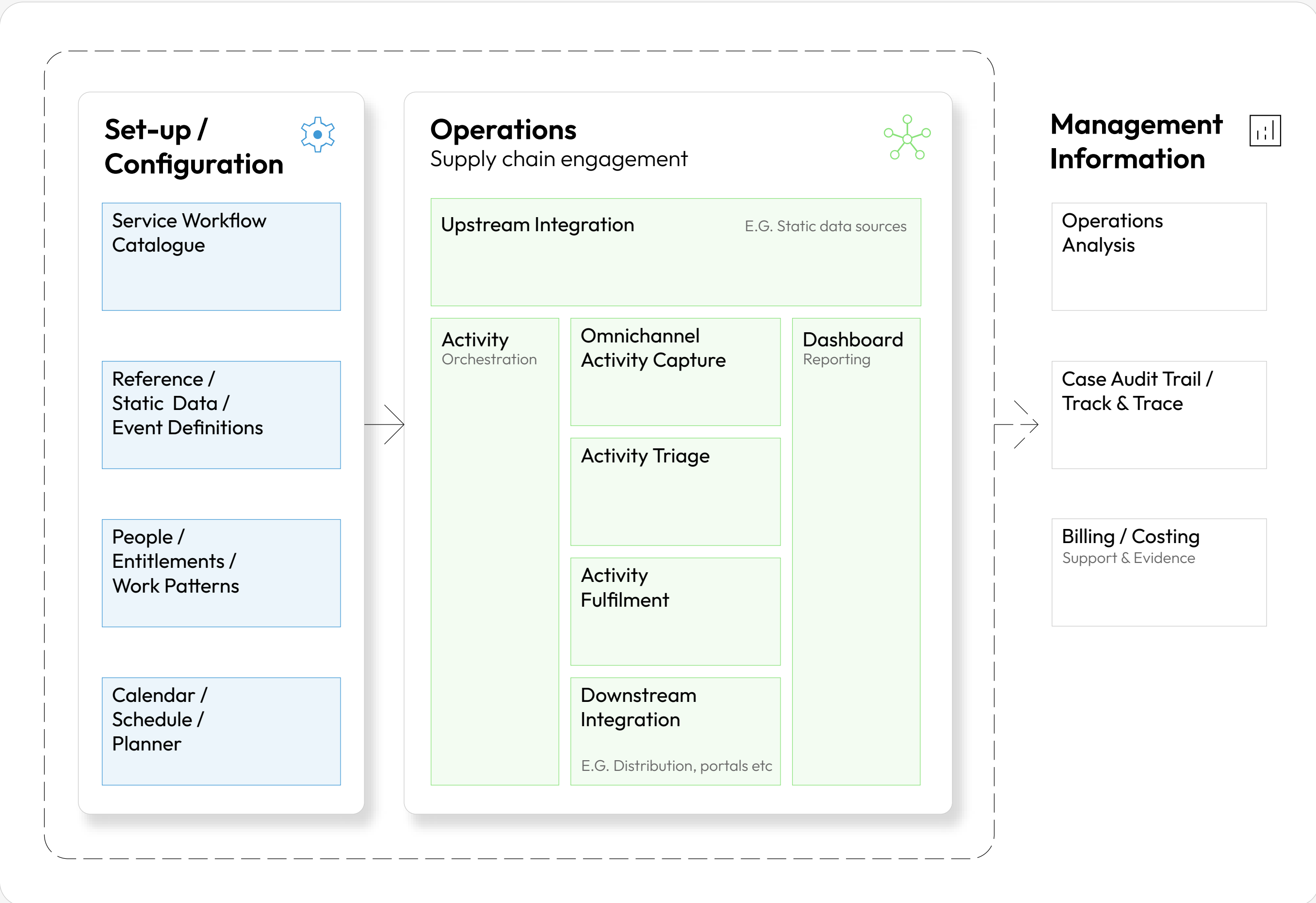
Capturing and triaging all inbound communications is a core function of case management.

> **Buyouts Emerging Manager Report 2026 | Gen II Fund Services**
>
> ...fund administration is no longer just a back-office function—it's a competitive differentiator."

3 Case Management: Model functional view

Fig. 2 **PESS has invested in a model approach to case management solutions for investment servicing.**

Adopters benefit from shortened time-to-value, the assurance of fully maintained components, and our domain expertise in your line of business functions.



Effective management of a network of internal and external stakeholders is central to strong investment servicing performance.

Once a request or instruction is recognised and acknowledged, its lifecycle is indelibly captured in the process audit trail; following its journey through the appropriate fulfilment channels, the validation and approval steps, to final delivery.

The transaction is tracked throughout all its lifecycle stages.

> “Operations teams ... (provide) management with actionable operational intelligence, not just status updates”

davies-group.com

4 Automation & Self-service: Making your workflows work for you

The path to automation starts with clear mapping of the real world, necessary controls and desired operational data. Only then can processes be considered for full or partial automation.

- “Soft” automations cover acknowledgements, alerts, notifications and can be defined for every sub-task.
- “Hard” automations may involve data exchange with end-point applications (systems of record) and interactions with other processes.

Automation creates space for the “human-in-the-loop. By taking on repetitive, friction-creating tasks, automation frees teams to focus on what matters most:

- Engaging with stakeholders
- Speaking with people when it counts
- Inviting feedback, and sharing ideas for process improvement

Self-service is another win-win.

- Reduce inbound queries
- Remove friction and distractions for your team
- Stakeholders and counterparties verify and validate for themselves
- Individuals can interact with and track their requests in real time
- Information captured in a consistent, structured format
- Easier fulfilment and stronger reporting and tracking

Self-service has long been recognised as highly effective for both requesters and fulfillers

Overall satisfaction improves when individuals have real-time visibility of the status of their request.

5 Future-state Case Management: Assisted AI and Agentic AI

Beyond automation, there will be opportunities to employ Agentic AI and elevate your case management “system of control” to include a “system of action”, autonomous activities supporting the wider process.

An Agentic AI process may be triggered by time or circumstance to check that certain conditions have been fulfilled before a scheduled process is initiated.

Autonomous AI processes can continually monitor the ecosystem which supports your case management workflows, alerting you to potential issues; resource conflicts, expired credentials, process improvement recommendations...

These benefits are derived from the first fundamental step: formalise process and capture it in a case management workflow.

> “... Managers (and their Servicers) who successfully combine growth ambitions with robust independent oversight and operational resilience will be best positioned to capitalise in an increasingly competitive and regulated environment.”

www.carnegroup.com

6 Why ServiceNow?

ServiceNow is best of breed in the IT estate management sector. It is one of the most stable and comprehensive platforms available.

Beyond this, ServiceNow are also leaders in:

- Automation tools and Agentic AI, particularly in support of Client Experience (CX)
- App Engine / Workflow functionality is strong, mature and integrated with the platform
- Interoperability: there are many use cases of bridging to other vendors
- Expertise: big ecosystem of tech consultants & resellers

But investment servicers may not be using or even recognising ServiceNow's full potential.

It is now becoming the orchestration and governance layer for the workplace – business operations – and not just in IT service management. ServiceNow is quietly redefining the control panel of enterprise-wide operations.

In ServiceNow, we have a platform to support systems of control across enterprise operations.

> Gartner & Forrester recognition...
>
> **Latest Industry Analyst Reports - ServiceNow**
>
> servicenow

7 Why PESS?

Pure & Applied: ServiceNow is a rich enterprise-level IT estate management platform. The pure side is common to all of the many thousands of user sites.

The Applied benefits can only be realised with business domain expertise and experience in the line of business operations – in our case, investment servicing – coupled with the pure expertise.

So far as we know, PESS is the only ServiceNow Consulting & Implementation Partner focussed on business domain expertise in private markets / investment services.

This is a combination that is as powerful as it is rare.

Our focus is systems of control. You have your systems of record (IBOR/ABOR, CRM...) but to support your service proposition you need systems of control; informing stakeholders of activity, logging breakdowns, capturing approvals... and building useful metrics to feed back into resource and business planning.

Choose a partner who understands your business operations and can realise your vision in ServiceNow.

Systems of control will elevate line of business operations performance, secure your reputation, and underpin your business development.

If you wish to discuss how PESS & ServiceNow can elevate Systems of Control within your investment servicing operations, please contact bhavin.shah@pesupportservices.com

pesupportservices.com

PESS