



Connected Possibilities

FORUM
ABI Lab
2022

Appian On ESG

(Environmental, Social and Governance)

ESG Data and Reporting

Adapting to Shifting Regulatory Requirements

Herbert Schild, Global Industry Lead, Financial Services

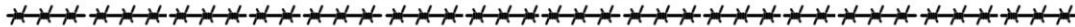
appian

ESG Challenges Today Where Tech Can Help

- Data disparity
- Process gaps, manual steps and heavy project management
- Monitoring & producing reporting for ESG

ESG relevant Application Solutions in Financial Services

1st Line of Defense



Customer Lifecycle Management	Lending and Payments	Operations	New Business and Deal Lifecycle
<ul style="list-style-type: none">• Connected Onboarding Solution• Customer Servicing Solution	<ul style="list-style-type: none">• ESG - Sustainable Finance• Trade Finance	<ul style="list-style-type: none">• Corporate Actions• Fund 360° Lifecycle Hub & Transactions	<ul style="list-style-type: none">• Financial Product and Campaign Management• Deal Lifecycle Management

ESG relevant Application Solutions in Financial Services

2nd Line of Defense

1st Line of Defense

Customer Lifecycle Management

- Connected Onboarding Solution
- Customer Servicing Solution

Lending and Payments

- ESG - Sustainable Finance
- Trade Finance

Operations

- Corporate Actions
- Fund 360° Lifecycle Hub & Transactions

New Business and Deal Lifecycle

- Financial Product and Campaign Management
- Deal Lifecycle Management

Governance, Risk and Compliance

- Enterprise Risk Management
- KYC / AML
- Credit Risk Review
- Data Privacy, including GDPR, CCPA, etc.
- IFRS Stress Test Management
- Service Provider Sourcing and Oversight
- Horizon Scanning
- Board Governance

ESG relevant Application Solutions in Financial Services

3rd Line of Defense

2nd Line of Defense

1st Line of Defense

Customer Lifecycle Management

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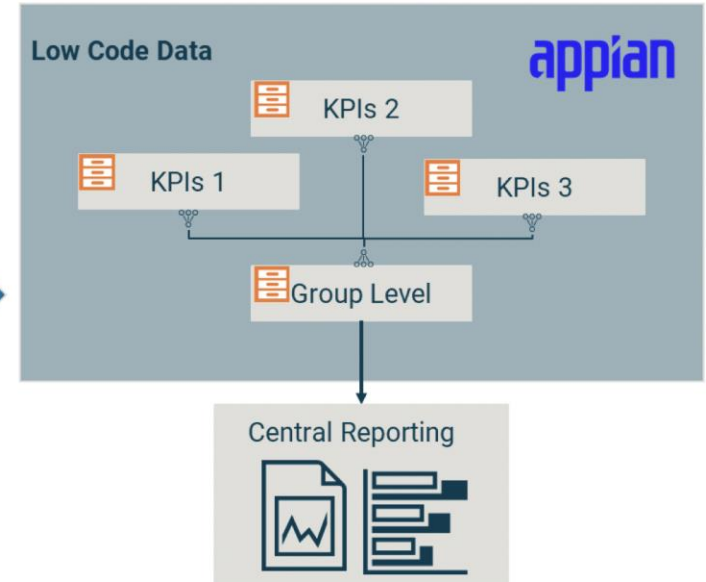
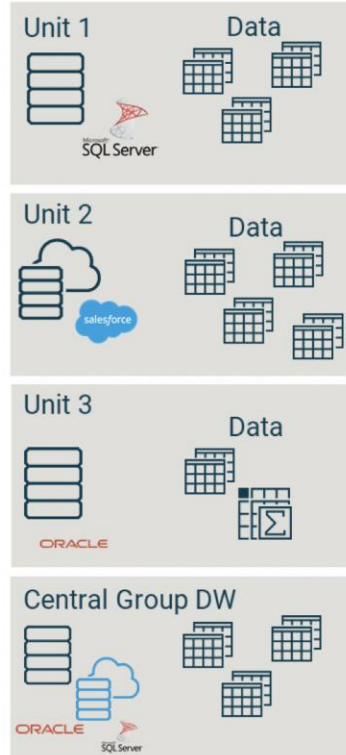
Corporate Functions

- **Internal Audit**
- Finance Management
- Sourcing & Procurement
- Human Resources (HR) Service Center
- PMO Management
- IT Master Data Management (MDM)
- IT Digitalization & Orchestration Platform

Appian Low-Code Data for ESG

Low Code Data: A major step forward

- Appian keeps your ESG data in sync, regardless of its location
- Takes care of all security features, e.g. encrypted connections
- Combines your data to create new data for ESG materiality assessments, benchmarking and reporting



Appian Low-Code Data for ESG

Enhanced control

- Enhanced control over data sources
- Graphical illustrations enable easy handling of data
- Combine your data from different sources for enhanced data modelling

The screenshot displays the Appian Data Model configuration for an 'Order' record type. The interface is divided into several sections:

- Left Navigation:** Includes sections for DATA (Data Model, Default Filters, Data Sync), USER INTERFACES (Tempo, List, User Filters, Views, Record Actions), and MONITORING (Performance).
- Data Model:** Contains tabs for 'Data Structure' and 'Data Preview'. Under 'Data Structure', there are options for 'CONFIGURE FIELDS' and 'NEW CUSTOM RECORD FIELD'.
- Field List:** A table listing fields for the 'Order' record type with their respective types and edit/delete icons.
- Relationship Diagram:** A central graphical area showing the relationships between the 'Order' record type and other record types: 'Customer Region', 'Opportunity', 'Customer', 'Service Request', 'Product', and 'Customer Tier'. The 'Order' record type is highlighted with a red border.
- Configuration Panel:** Located on the right, it includes:
 - SOURCE:** Type (Database), Table (orders), and Sync Schedule (3:00 AM - (UTC-05:00) Eastern Time (America/New_York) (Every Day)).
 - SOURCE FILTERS:** An 'ADD FILTERS' button.
 - RELATIONSHIPS:** An 'ADD RELATIONSHIP' button and a list of related record types: 'customer', 'product', and 'serviceRequest', each with a relationship icon.

Discover how the Appian Low-Code Platform supports ESG

Fast integration with external information providers.

Flexibility addressing constantly changing and evolving ESG criteria.

Intelligent automation through intelligent document processing (IDP) and AI.

Low-code data to view ESG data from different sources for enhanced data modelling.

Process mining to accelerate the discovery of ESG relevant processes, data and performance across structured and unstructured environments.

Powerful native-mobile adoption on-the-go for immediate use on any device.

Reporting and 100% auditing of all processes both internal and external into ESG-relevant processes, performance indicators, and risk parameters.

Seamless records and information access for managing internal and external data related to ESG criteria.

Speed for quickly changing or enhancing existing applications.

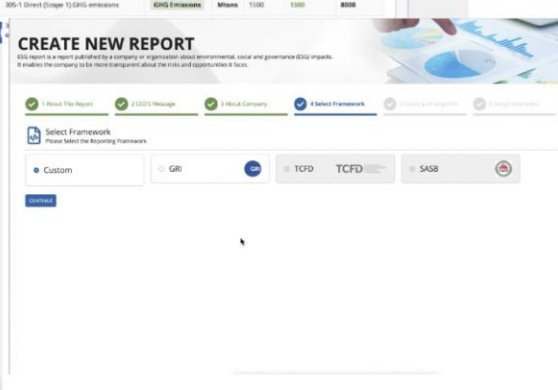
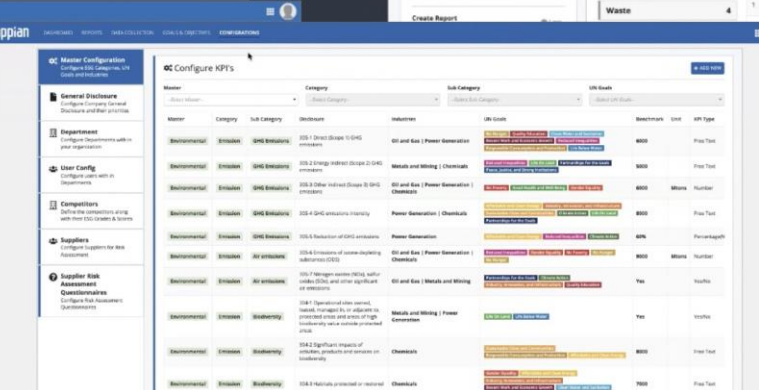
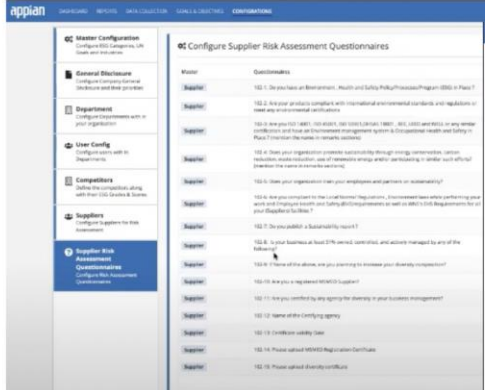
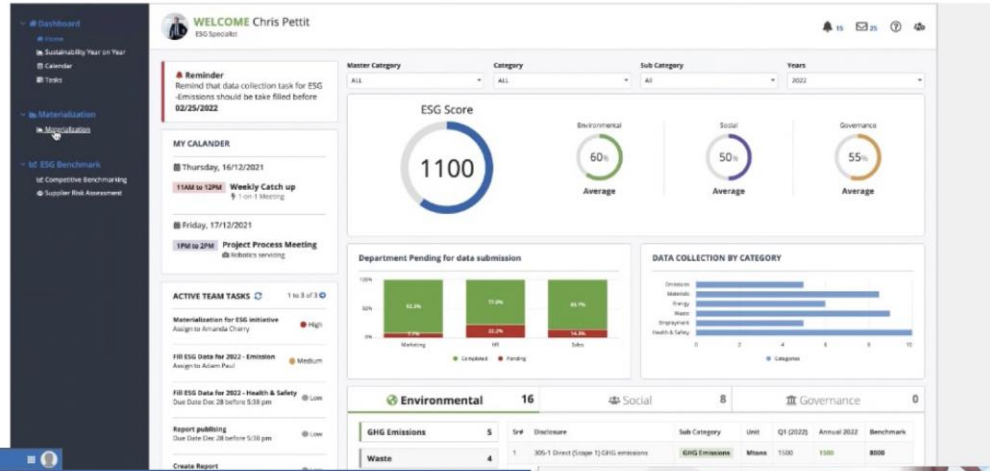
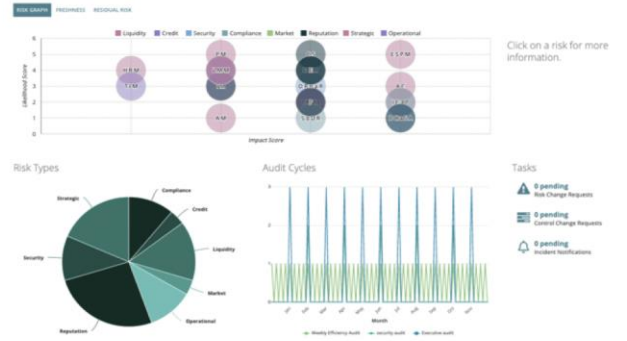
Visual process flows that provide a comprehensive view into all ESG-related workflows and their dependencies across the entire organization.

Across one Enterprise Platform – ESG with Complete Low-Code Automation

A few visual case study examples for ESG

ESG and Enterprise Risk Management

Dashboard



A few visual case study examples for ESG....

ESG and Trade Finance



My Clients

CIN	Name	Type	Renewal	ESG Risk
1022543858	Realtime	TRADE	12 Aug 2021	Medium
1082843858	Thoughtstream	RF AND TRADE	13 Aug 2021	Low
1076751976	Darmstadt	RF AND TRADE	14 Aug 2021	Medium
1047127073	Vireo	RF	15 Aug 2021	Low
104812993	Talene	RF AND TRADE	16 Aug 2021	Low
1076498084	Italgas	RF	17 Aug 2021	Medium
1091403423	Vionter	RF AND TRADE	18 Aug 2021	Medium
103261113	Kanselid	TRADE	19 Aug 2021	Medium

My Assessments

Client	Status	Progress	Created On	Owner	Risk
Thoughtstream	In Progress	33%	10 August 2021	Colin Buisbaum	Low
Bualite	In Progress	33%	14 June 2021	Colin Buisbaum	Low

WELCOME TRANSACTIONS VALIDATIONS COMPLIANCE

DATA **RISK AND RED FLAGS** APPROVALS

YOUR OPEN RISK AND RED FLAG TASKS

Name	Process	Status
Check for Over/Underinvoicing	Compliance Check - Transaction 19	Assigned
Check for Original Documents	Compliance Check - Transaction 19	Assigned
Recheck Completeness	TFCC_ComplianceCheck	Assigned
Check for Over/Underinvoicing	Compliance Check - Transaction 13	Assigned
Check for Original Documents	Compliance Check - Transaction 13	Assigned
Recheck Completeness	Compliance Check - Transaction 13	Assigned



OVERVIEW REPORTS **DETAILS**

This site provides a drill-down for all performed compliance checks

Compliance Checks

Approved transactions

Transaction ID	Compliance Check	User	Time
19	Final Outcome	SYSTEM	4/8/2020 3:32 PM GMT+02:00
19	Executive decision		4/8/2020 3:32 PM GMT+02:00
19	Check for Original Documents		4/8/2020 3:30 PM GMT+02:00
19	Check Over/Underinvoicing		4/8/2020 3:28 PM GMT+02:00

Details

ID: 146
Time: 4/8/2020 3:28 PM GMT+02:00

Transaction ID: 19
User: SystemTask Transaction Similarity
Score: 0

Compliance Check
Comparison to similar transactions in the past

Description
InId=19, IssuanceDate=11/4/2019 12:00 AM GMT+01:00, expiryDate=5/4/2020 12:00 AM GMT+02:00, currency=EUR, amount=250000, tenor=0, prodCode=Expl.C-Confirmed, refId=987654321, InsType=NEW, goodsDescription=10 x Laser Cutter
- 30 x Headlamps, updateTime=, applicantName=Health Clinic Ltd., applicantAddress=114-40 Wornhyoro Abul-ga, Yongsan-gu, Seoul, applicantCountry=KOREA (THE REPUBLIC OF), beneficiaryName=Labor Equipment GmbH, beneficiaryAddress=Hongkongstraße 10, 20457 Hamburg, beneficiaryCountry=GERMANY, invoiceNumber=10000000000000000000, refId=987654321, createDate=4/8/2020 3:28 PM GMT+02:00



Transaction Id 19

Summary Details News Related Actions

Transaction

Issuance Date	11/04/2019 12:00 AM	Expiry Date	05/04/2020 12:00 AM
Currency	EUR	Amount	250000
Tenor	0	Product Code	Expl.C-Confirmed
Ref Id	987654321	Event type	NEW
Goods Description	10 x Laser Cutter 30 x Headlamps		

[Beneficiary](#)
[Applicant](#)
[Issuer](#)
[Documents](#)

A few visual case study examples for ESG....

ESG and Board Governance

The dashboard displays key performance indicators for ESG and Board Governance. It includes sections for 'PAPERS' and 'AGENDAS', both showing 5 due today and 3 new today. A 'My Friday' calendar view for 11th Mar 2022 is shown. A 'My Tasks' section highlights a task to 'Confirm Sustainable Targets' assigned to the Group Head of HR. Below this, the '2022 Holdings Board Plan' is featured with a document browser listing items like 'Closing comments - Sample PDF' and 'What our plan is for 2022 - Divide...'. A navigation bar at the bottom contains 'ACCEPT', 'GO BACK', and 'REASON' buttons.

This view provides detailed information for the '2022 Holdings Board Plan'. It includes a 'Meeting Details' section with fields for Name, Location (London), Country (United Kingdom of Great Britain and Northern Ireland), Type (Holdings Board), Status (Archived), and Scheduled Date (11/05/2021 2:30 PM EST). A 'Milestones' timeline shows the process from 'Planned' to 'Completed'. An 'Attendance Register' table lists attendees and their participation status.

Attendees	Accepted Meeting?	Present at Meeting?
Aleah Kane	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Alex Virtus	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Dave Hillier	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Benjamin Crawley	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Michael Tan	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Sher Ali	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

This section focuses on target confirmation and meeting details. The 'Confirm Targets' table shows progress for various departments against their targets for FY 2022. The 'Meeting Details' section provides information for a 'New Holdings Board Meeting' held on 9/7/2021.

Department	Target	Actual
HR	8	13
Retail	40	45
IT	30	35
Legal	2	7

Meeting Details
Name: New Holdings Board Meeting
Location: London
Country: United Kingdom of Great Britain and Northern Ireland
Status: Archived
Scheduled Date: 9/7/2021 4:30 PM EDT

This dashboard provides a comprehensive overview of meeting performance. It features four key metrics: 'Agenda Approved First Time' at 46.7% (+2.41%), 'Papers Approved First Time' at 67% (+11.09%), 'Approved Meetings' at 15 (+41%), and 'Outstanding Papers' at 14 (+2.09%). The 'Meetings Statistics' section includes a bar chart of 'Top Meetings Creators' and a donut chart of 'Meetings by Status'.

Meetings by Status
Completed
In Progress
Planned
Published
Archived

A few visual case study examples for ESG....

ESG and Sustainable Finance

WELCOME | SUSTAINABILITY | CREDIT ASSESSMENT | APPLICATIONS | TOOLS

Welcome to ESG Workspace

- NEW CLIENT
- ESG NEW LOAN APPLICATION
- ESG TAXONOMY UPDATES
- THIRD PARTY INTEGRATION MANAGEMENT
- CONNECTED ONBOARDING
- SUSTAINABLE LOAN REVIEWS
- ESG TAXONOMY THRESHOLDS
- REGULATOR REPORTING

WELCOME | SUSTAINABILITY | CREDIT ASSESSMENT | APPLICATIONS | TOOLS

You must accept this task before completing it

Perform Minimum Safeguard Checks

Due diligence and reporting is conducted in compliance with (1) human rights, (2) labour rights, and (3) combating bribery, bribe solicitation and extortion with respect to the following standards:

- Compliance with OECD Guidelines for Multinational Enterprises
- Compliance with UN Guiding Principles on Business and Human rights
- Compliance with the International Labour Organization's (ILO) declaration on Fundamental Rights and Principles at Work
- Compliance with relevant ILO core conventions
- Compliance with the international Bill of Human Rights
- Application of OECD Due Diligence guidance for responsible business conduct

Checklist

- Embedding responsible business conduct (RBC) into the enterprise's policies and management systems

Embedding responsible business conduct (RBC) into the enterprise's policies and management systems to undertake due diligence: Define, adopt and disseminate a combination of policies on RBC, issues commitments to the principles and standards contained in the OECD Guidelines for MNEs and its plans for implementing our diligence, which will be relevant for the enterprise's own approved business relationships.

- Identifying and assessing actual or potential adverse impacts

Identifying and assessing actual or potential adverse impacts that the business enterprise may cause or contribute to through its own activities, or which may be directly linked to its operations, products or relationships.

WELCOME | SUSTAINABILITY | CREDIT ASSESSMENT | APPLICATIONS | TOOLS

Enter New Financing Application

Bank Data | Financing | Sustainability Details | Review

Client Data

WELCOME | SUSTAINABILITY | CREDIT ASSESSMENT | APPLICATIONS | TOOLS

You must accept this task before completing it

Perform Taxonomy Do No Significant Harm Checks

Production of Electricity From Gas

Water

- Risks related to water quality and/or water consumption are identified and managed
- Risks related to water quality and/or water consumption are identified and managed at the appropriate level

WELCOME | SUSTAINABILITY | CREDIT ASSESSMENT | APPLICATIONS | TOOLS

You must accept this task before completing it

Credit Assessment

Client		Legal Form	Overall Rating
Name: Test GmbH		GmbH	1.4375

Transaction			
Amount	Currency	Rate	Period
1000000	EUR	floating	3M

Type	Start Date	End Date	Special Requirements
Green Project	Aug 1, 2018	Aug 1, 2022	

Interest Rate *	Collateral Value in Euro *

Approval

Loan approved? *	Decision by *	Comment
<input type="radio"/> Yes <input type="radio"/> No		

Grazie

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