A CONFIDENT SHIFT TOWARD SUBPOENA OPERATIONS EXCELLENCE

How Infosys BPM helped a leading U.S. mortgage firm transition and scale its subpoena operations seamlessly.

Abstract

Emma Collins, a Compliance Manager at one of the largest mortgage firms in the United States, was responsible for managing the organization's end-to-end subpoena process. Following a period of rapid growth and multiple acquisitions, subpoena volumes increased significantly, prompting the firm to explore transitioning this function from an in-house model to an offshore operating team. Infosys BPM partnered with the client to enable this transition through structured knowledge transfer, standardized processes, and strong quality controls. Within a short period, the offshore team was independently managing subpoena requests at scale, delivering consistent, compliant outcomes while maintaining business continuity and client confidence.

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When consistency and scale became essential

Emma Collins served as the Compliance Manager overseeing the firm's subpoena operations from initiation to closure. Her responsibilities spanned validating incoming subpoenas, logging and tracking requests, coordinating with internal stakeholders and external legal entities, and ensuring responses were delivered accurately and within mandated timelines. She also oversaw document retrieval, redaction of sensitive information, and compliance with federal and state regulations, including privacy laws.

The role demanded precision and vigilance. Each request required careful interpretation, accurate identification of mortgage documents, and meticulous record-keeping to ensure audit readiness. Emma's background in legal compliance and mortgage documentation enabled her to balance analytical rigor with operational discipline, safeguarding client confidentiality while meeting legal obligations.

Over time, however, the operating environment changed. The firm acquired several smaller mortgage companies, each with its own practices for handling subpoenas. Volumes increased nearly tenfold, and the lack of a uniform process began to strain existing capacity. With limited time to train new in-house staff and an increasing need for standardization, Emma began exploring external support— an unfamiliar approach for a function as sensitive as subpoena management.

Racing toward a new operating model

To support this transition, Infosys BPM appointed Daniel Reed as the Project Lead, responsible for designing and executing the offshore operating model. From the outset, Daniel worked closely with Emma to ensure the transition was methodical, transparent, and aligned with the firm's compliance expectations.

The client's relationship with Infosys BPM was already established through Finance & Accounting services, and they were aware of Infosys' legal operations capabilities. Before proceeding, the client requested direct engagement with the proposed offshore team. These discussions proved reassuring, as the team demonstrated prior hands-on experience with subpoena processing and

a strong understanding of compliance requirements.

The transition began with structured knowledge transfer. Dedicated communication channels were set up between Emma and Daniel, and the client conducted comprehensive training sessions via live calls. During these sessions, the offshore team shadowed the onshore team to gain practical exposure to real cases. All training sessions were recorded and stored in a shared repository, creating a lasting knowledge base for reference and onboarding.

Approach Summary

- Structured knowledge transfer and offshore transition
- Standardization of subpoena workflows, SOPs, and quality controls
- Secure operational enablement with compliant technology and governance
- Duallevel review and redaction framework for risk mitigation
- Clear ownership and accountability model for endtoend subpoena handling

Quality and compliance were embedded early. Infosys BPM introduced detailed checklists tailored to different types of subpoenas, ensuring every step was followed consistently. A two-step verification process was implemented for each response, significantly reducing the risk of sharing unnecessary or incorrect information. A comprehensive Standard Operating Procedure (SOP) was also developed, clearly outlining document requirements, escalation paths, and compliance checks.

Operational enablement progressed in parallel. The offshore team was provisioned with secure soft-phone access within the client's environment, complete with designated extensions. All calls were recorded and stored in the client's system to support audit requirements. Structured calling scripts were introduced to standardize interactions with external counsel and authorities, while secure cloud storage was implemented to manage and retain subpoena-related artifacts.

A clear ownership model further strengthened execution. Each subpoena was assigned to a single analyst, responsible end-to-end—from creation in the client's system to final document sharing with external counsel. This approach improved accountability, reduced handoffs, and enabled timely clarifications or deadline extensions when required.

At the finish line, with confidence intact

As the transition progressed, Emma observed steady improvement in consistency, turnaround times, and overall control. The offshore team began handling subpoena requests independently, with minimal onshore intervention. Despite the increase in volume, responses were delivered within statutory and court-mandated timelines, and audit-ready records were consistently maintained.

Within a short period, the team was responding to approximately 150–200 subpoenas per month. The standardized SOPs, checklists, and recorded training sessions made onboarding seamless and supported future scalability. Dual-level quality checks and clearly defined redaction protocols strengthened compliance while protecting sensitive client data.

Key benefits

- End-to-end offshore subpoena operating model established

- 150–200 subpoenas processed monthly at steady state

- Standardized SOPs implemented across subpoena types

- Dual-level quality and compliance controls enforced

- Statutory and court-mandated turnaround times consistently met

- Increased client confidence in outsourcing legal operations

One consideration arose around documents containing penalty-of-perjury clauses. After careful review, Infosys BPM and the client jointly agreed on an approach that aligned with legal and operational boundaries, ensuring responsibilities were clearly defined without impacting delivery.

Overall, the engagement delivered more than operational efficiency. It built trust. For Emma, the project resulted in a scalable, dependable subpoena operating model that

reduced internal strain while maintaining oversight and compliance. For the client, it demonstrated that outsourcing a sensitive legal function could be executed safely and effectively.

Although the engagement concluded within the originally agreed timeframe, the results left a lasting impression. The client subsequently approached Infosys BPM to explore additional opportunities across legal operations—an endorsement of the confidence earned through disciplined execution and collaboration.

Names have been altered to preserve the identities of the people involved.

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