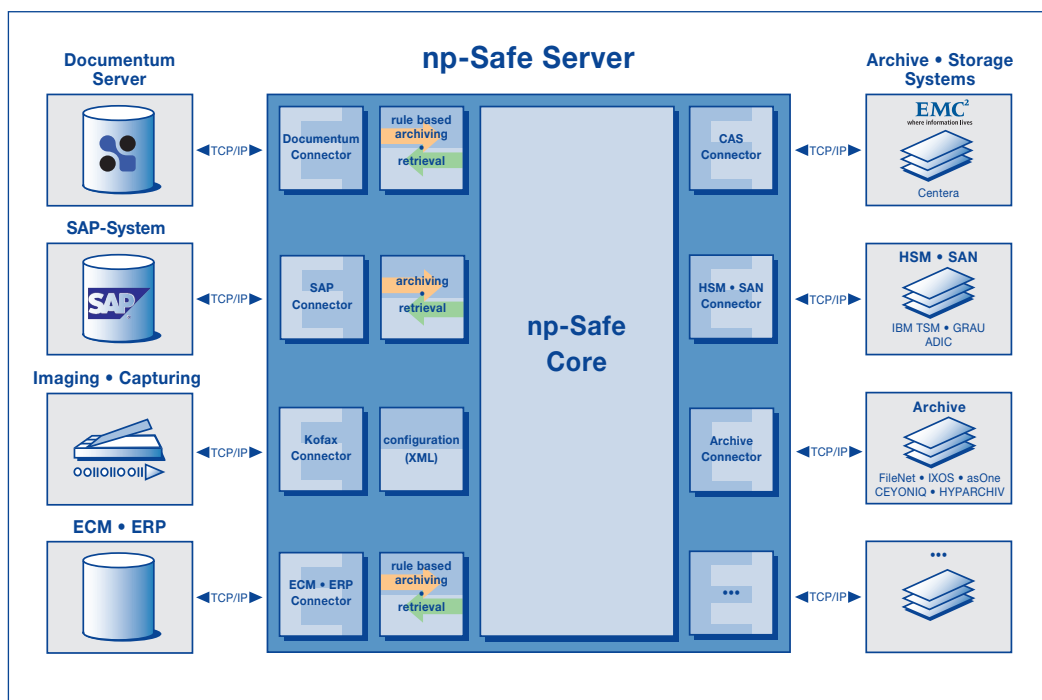


Case Study



Secure and auditable archiving with np-Safe

ARCHIVING

Once the processing of the documents has been completed in the DMS, neeb & partner securely archives them in the commercial bank's own archive using np-Safe. The archive system is based on rules defined via np-Safe: all of the objects are checked to ensure that processing has been completed and that the objects have been in Documentum for at least 7 days. The np-Safe server accesses the metadata in Documentum, selects the objects that follow these rules, and then executes archival in the company's archive. For searches, online access to the archived documents is possible using np-Safe as the metadata remain in Documentum. Using np-Safe also allows the central requirement of the bank-integrating Documentum seamlessly in its existing infrastructure and ensuring connections to

the company's own archive - to be met thanks to np-Safe's open architecture. Furthermore, the migration of the client's archive played an important role. Some 3 million objects that had already been taken over in the bank's internal archive from the client's archive were provided to the Documentum server as unchanged data records via a migration function also provided by neeb & partner. Hence, the data can be made searchable, especially for the call center, via the standard Documentum client.

OUTLOOK

In the next few months, other clients, subsidiaries, and departments within the bank will be connected to the content management system. The hardware and software environment created will allow future system extensions to be implemented quickly - an impor-

tant prerequisite for the viability of the overall system and to protect investments in the long term.

ABOUT NEEB & PARTNER

neeb & partner is a software and consulting company active in Enterprise Content Management (ECM) and archiving. As a specialist for customer-specific solutions, we integrate leading products on the market in order to improve the value gained from individual processes. People are the focus of neeb & partner's activities. Our staff in the Professional Services and Software Development employ their individual knowledge together with the competence of our entire company in order to realize the most efficient solutions for our customers.

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Please contact us for more detailed information or a personal conversation.

We look forward to meeting you!

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Case Study

Integrated Content Management Solution

INDUSTRY

Financial Services

CHALLENGE

Introduction of an integrated content management solution for the electronic support of document management in the fields of portfolio management and portfolio administration

ADVANTAGES OF THE SOLUTION

- Electronic administration and processing of relevant documents in a Document Management System (DMS)
- The documents administered in the DMS are stored in a central archive and can be researched any time online
- Secure and auditable long-term archival of data and documents
- Seamless integration of the solution in the existing infrastructure
- Unified work processes
- 90% reduction of setup time and distribution time for documents
- 80% reduction of archive space

ENGINEERING

Software

- np-Safe 2.04
- Kofax 5.0
- DOKuStar 2.0
- Documentum e-Content-Server 4.3.1
- Documentum Administrator
- Documentum RightSite
- Documentum Desktop-Client 4.3
- I-Planet
- Oracle 8.1.7

Hardware

- Fujitsu Scanner



neeb & partner completed the introduction of an integrated content management solution for the electronic support of document management in the fields of portfolio management and portfolio administration for a leading German commercial bank.

CHALLENGE

An integrated content management solution was to be introduced for the electronic administration and processing of incoming postal documents for portfolio management and customer service in order to make the processing of the in-house flows more efficient.

The incoming postal documents were to be electronically processed, administered, and archived. In addition to the seamless integration of the future content management solution in the existing infrastructure, work processes were to be unified, distribution times for documents drastically reduced, the archive space minimized, and direct access to the archived data enabled.

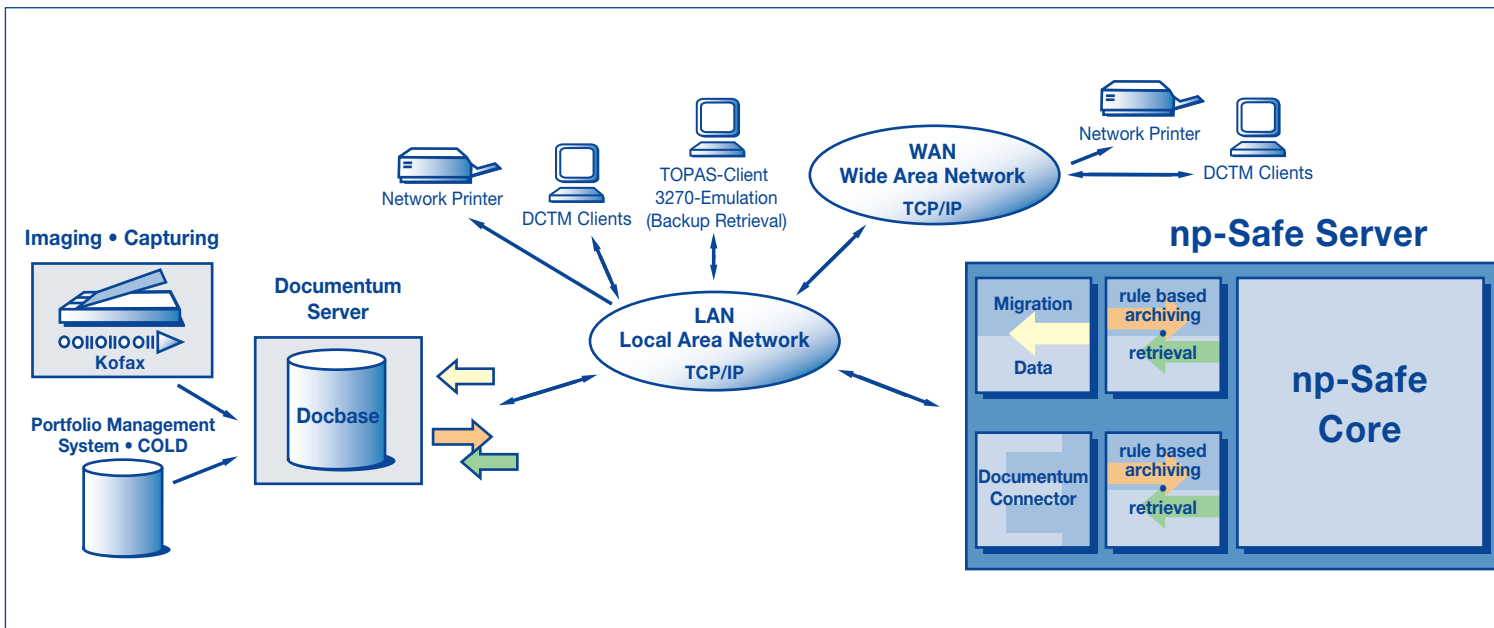
REALIZATION

The realization of the overall solution required the implementation of an Imaging, DMS and Archival solution.

The starting point for neeb & partner was an exact analysis of the customer's whole general framework. Here, aspects such as the customer's system environment to be integrated and the selection of suitable software products played a decisive role. neeb & partner handled all of the process analyses, the rollout of Documentum, the customization of several products to suit the customer's special needs, and the installation of the overall system including training.



Case Study



An overview of the Content Management Solution

The electronic portfolio management and the related customer service were initially set up for a client of the commercial bank. Service providers, who handle part of the incoming mail processing, and the external call center were also integrated in the overall system.

Processing of incoming mail

The incoming postal documents are digitized directly at the client's offices. First, Kofax is used to separate single documents from folder documents. A central requirement of this process is the electronic administration of mail in electronic folders: if several documents for a customer's portfolio management are mailed in one envelope, all of the documents have to be mapped analogously in one electronic folder.

The recognition rules - based on the business processes entered - first had to be defined for form and character recognition, and all of the

document types including the various versions had to be saved in DOKuStar.

Kofax is then used to transfer all of the digitized single and folder documents to DMS, and the objects are stored in DMS and linked to a workflow. The import of folder documents required an extension of Kofax' standard delivery script by neeb & partner. In this case, an electronic folder that maps all of the folder documents and provides links to the respective objects is also stored in the DMS.

Processing documents in the DMS

The introduction of Documentum as the DMS serves as the basis for the corporate-wide use of the content management system for the bank.

During workshops, neeb & partner defined the data model and realized it in Documentum. In the process, 50 document types specific to banks and their indices, such as portfolio

numbers and applications for tax exemption, were entered in Documentum. Furthermore, neeb & partner defined and realized the workflows and the mask layout for the processing of incoming mail and the interfaces needed for external systems.

The forms for portfolio management include the following:

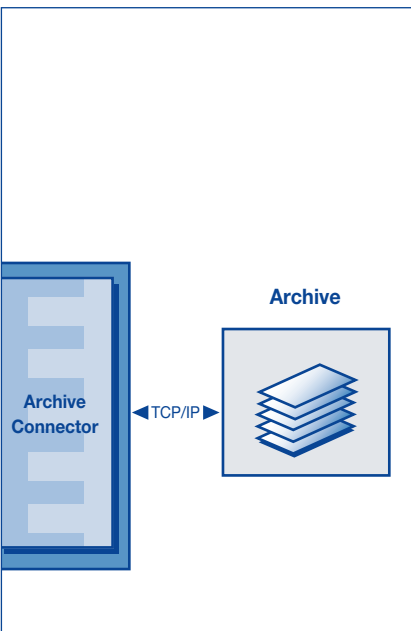
- Application to open a portfolio
- Service contracts (purchase and sales contracts)
- Application for exemption from income tax
- Powers of attorney
- Terminations of a portfolio
- Earnings report
- Earnings credit
- Annual statement of accounts
- Annual tax certificates
- Overview of assets, etc.

Workflows

The heart of the overall system is the workflow functionality. Once the incoming mail documents have been imported into the DMS, they are linked to the respective workflow or tasks and then processed by the person responsible. The tasks to be performed within the business case can be distributed to different departments or external service providers.

The application to open the portfolio that has been imported to Documentum is assigned to the appropriate workflow and forwarded to the department in charge. The application is checked. If the formal check is passed, the portfolio is opened in the portfolio administration system. Then, the person in charge indexes the document in Documentum. For instance, a typical index for an application to open a portfolio is the portfolio number, which the employee enters in the properties mask. If the portfolio

Case Study



A brief overview of the project:

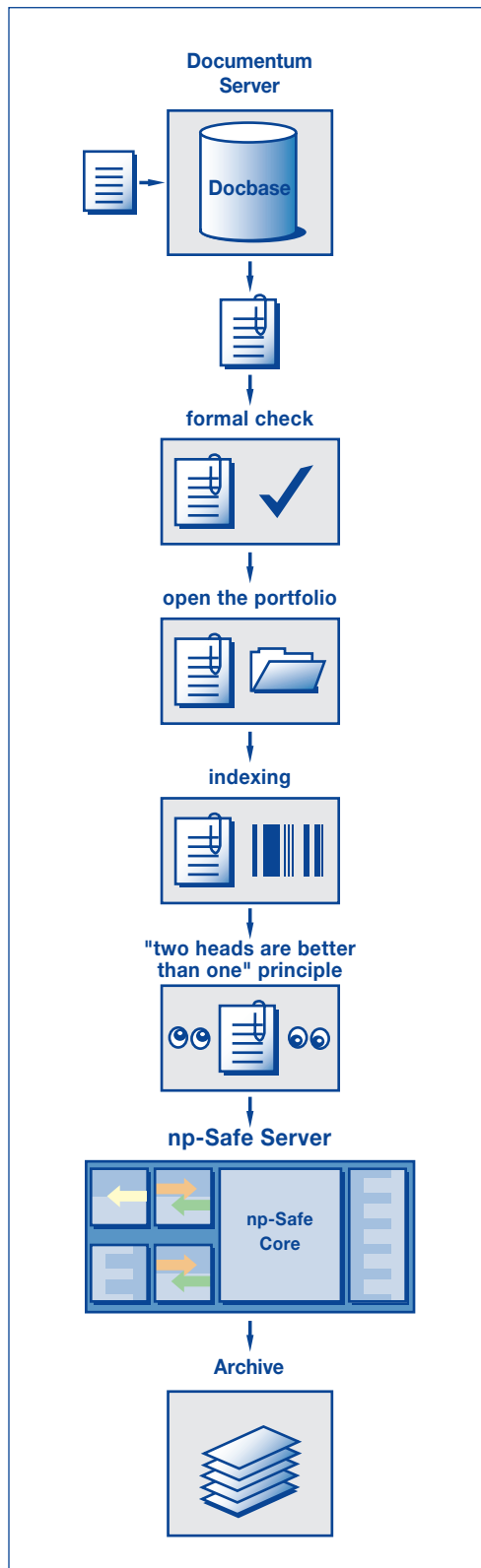
- Processing of incoming and outgoing mail – more than 350,000 documents annually
- Distribution of the documents via the workflow functionality in Documentum
- Processing of the documents in Documentum
- Connection of the company's archive to Documentum using np-Safe for secure and auditable archival of the data
- Online access to archived data
- Migration of the client's old archive data
- Alignment of the established clientele data with Documentum (interface portfolio management system / Documentum)

number is entered later as a search criterion, all of the objects assigned to this portfolio number are retrieved and displayed.

Once the indexing has been completed, the issue is sent to the next group in the workflow to fulfill the „two heads are better than one“ principle. Here, the employee makes sure that the data have been correctly recorded in the portfolio management system and compares the indexing in the DMS with the data recorded. Once this is confirmed, the object is stored in the commercial bank's archive using np-Safe.

Mask layouts

neeb & partner adopted the mask layouts to the user's specific needs to make the processing of incoming postal documents more efficient. Properties masks were developed for each document type to index the 50 document types. The standard workflow mask for single documents was adapted to allow the folders to be processed in the workflow, and the search mask was adapted to the bank's terminology.



Workflow of an application to open a portfolio

INTERFACES TO DOCUMENTUM

Connections for the portfolio management system

The portfolio management system contains all of the established clientele data for the 120,000 portfolios that can currently be administered at the commercial bank's client's offices. All of the master data for the portfolio management system are taken up into Documentum in one step using the interface created by neeb & partner. Changes to customer data are basically made in this portfolio management system. The interface created will thus provide for the constant alignment of the data in Documentum to match the data in the portfolio management system.

Capturing outgoing mail data

From time to time, mail is sent to the portfolio holders, such as annual tax statements. At the same time, these outgoing mail data are printed on laser disk (COLD method) and imported to Documentum. neeb & partner also created the interfaces need for this task.