PROJECT IDENTIFICATION

Project:	**ECM DMS**	Business Architect	Norbert Palas
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PM:	**Sebastian Petrů**	Solution Architect:	
RB:	**L.Mrvík (DIST), A. Viktůrková (OPER), J. Vaněk (RISK), T. Koudelka (TCA), I. Štěpánková (Legal), M. Maděryč (SSC), J. Dvořák (DIST), R. Gallas (DIST), J. Polák (DIST)**	IT PL	Radek Dvořák

CHANGE HISTORY

Date	Version	Change made by	Change description
11.1.2012	070	Jan Vajsejtl, Jitka Bartošová	New form of PD documentation with the aim to incorporate the changes proposed by BUS and IT

CONTENT

Notes:

- **Comments/help can be viewed by clicking on the ¶ button.**
- Any part of the document must not be deleted (can be filled by "N/A" = Not Applicable).
- Points 3-7 of this document appertain to the selected scenario.
- In case of large size of this document, appendixes related to the specific topics could be used in order to keep the structure tabular.
- Used language (English/Czech) for fulfillment should be defined by Project Manager according to the project stakeholders' requirements.

1 OPPORTUNITY DEFINITION

1.1 Business Needs

Need ID	Current Status Description	Related Need	Priority	Unit Declaring the Need (Unit number – Name)
1	The circulation and distribution of documents is currently based largely on paper copies, which generates increased effort for document handling, mainly in Active and Passive Product Centers	Implementation of DMS/ECM allowing usage of electronic documents for processing in Active and Passive Product Centers	1	2070 Distribution 2080 Operations
2	Unnecessary copies of documents are printed, photocopied, stored and archived, generating operating and procurement costs (print & copy equipment, material & services and storage facility costs)	Implementation of DMS/ECM allowing usage of electronic documents for processing in Active and Passive Product Centers Implementation of DMS/ECM allowing collaboration on, approval and storing of internal documents in electronic form only	1	2070 Distribution 2080 Operations

3	Current model of processing requests at Passive and Active Product Centers relies on physical copies of documents, limiting the scope for outsourcing of paper handling and storage to external providers	Implementation of DMS/ECM allowing usage of electronic documents for processing in Active and Passive Product Centers	1	2070 Distribution 2080 Operations
4	Contracts and additional documents documenting a deal are mostly available in paper form only, resulting in slower access to documents needed for further transactions for both sales and processing roles	Implementation of DMS/ECM, allowing usage of digitally originated and scanned documents for further transactions	1	2070 Distribution 2080 Operations
5	Multiple applications are used for electronic document storage	Integration/migration of existing KB systems currently used for document storage (Alfresco, etc.) into DMS/ECM	1	5303 CIO Office 5320 IT Infr. & Operation
6	In the future, it is considered to automate processing of domestic payment orders; however, there is currently no dedicated depository for scanned images of payment orders	In the sizing for DMS/ECM solution, allow for the storage required for scanned images of payment orders	2	5600 Payments
7	Usage of electronic documents in the Execution dep. is complicated due to the lack of a structured depository for databox messages	Implementation of dedicated structured depository for databox messages	2	5515 Executions 5191 Central Services
8	Usage (availability, searching, versioning, tracking and other functions) of electronic documents in RISK management departments is limited due to the lack of a single shared dedicated depository and DMS tools	Implementation of a dedicated structured depository for documents (single shared DMS), supporting processes between RISK management departments and other arms (DIST, OPER and others in the future)	2	9400 Assets Valuation and Recovery 9200 Credit RISK Assessment 9300 Capital Markets RISKs 8000 Supervision and Measurement
9	Usage (availability, searching, versioning, tracking, auditing, document changes notification and other functions) of electronic documents in the Legal departments is complicated due to the lack of a structured depository mainly for documents in litigation agenda and for legal opinions	Implementation of dedicated structured depository mainly for documents in litigation agenda and for legal opinions Implementation of DMS/ECM, allowing collaboration on and approval of documents	2	2300 Legal Department

10	Usage of electronic documents in the Shared Service Centre is complicated due to the lack of a structured depository for non-client contracts	Implementation of dedicated structured depository for non-client contracts and invoices Implementation of DMS/ECM, allowing collaboration on and approval of documents	2	8100 Shared Service Centre
11	The circulation and distribution of documents is currently based largely on paper copies, which generates increased effort for document handling	Implementation of DMS/ECM allowing usage of electronic documents	2	2020 Top Corporations
12	Unnecessary copies of documents are printed, photocopied, stored and archived, generating operating and procurement costs (print & copy equipment, material & services and storage facility costs)	Implementation of DMS/ECM allowing usage of electronic documents Implementation of DMS/ECM allowing collaboration on, approval and storing of internal documents in electronic form only	2	2020 Top Corporations
13	Current model of processing requests at Passive and Active Product Centers relies on physical copies of documents, limiting the scope for outsourcing of paper handling and storage to external providers	Implementation of DMS/ECM allowing usage of electronic documents for processing in Active and Passive Product Centers (namely CAP Brno and CPPs; TCA CAP, TCA CPP will receive documentation in paper and/or digital form)	2	2020 Top Corporations
14	Contracts and additional documents documenting a deal are mostly available in paper form only, resulting in slower access to documents needed for further transactions for both sales and processing roles	Implementation of DMS/ECM, allowing usage of digitally originated and scanned documents for further transactions	2	2020 Top Corporations

1.2 Benefits (Financial/Non-financial)

= Advantages to be achieved through the Project.
Benefits are measurable <u>during a longer period</u>, as a rule especially after Project closure

Bene-fit ID	• **Benefit Description** • **Benefit Type** (*select from the table in the help*)	**Benefit KPI:** • **Unit of Measure** • **Current Value** • **∑ 5 Years Value** since Project Start) • (Target Value) • **Capture Start Year**	• **Unit Declaring the Benefit** • **Unit Earning the Benefit** (Proj.Client) • **Agreed By** (Earning Unit Representative)	**Related Need ID**	**Status**	
1	Reduced number of support officers and BO specialists in Active Product Centers, related to reduction of paper handling processes, outsourcing of paper handling activities and automated access to documents and data	• # of FTEs	• Network Management Support • Active Product Centers • L. Mrvík	1,2,3,4	1	

2	Reduced number of support officers and BO specialists in Passive Product Centers, related to reduction of paper handling processes, outsourcing of paper handling activities and automated access to documents and data	• # of FTEs	• Operations • Passive Product Centers • J. Krýsl	1,2,3,4	1	
3	Technology cost reductions: decrease in IT and business operating costs due to decommissioning of current paper and electronic document management applications (Alfresco, Escudo)	• CZK	• 5303 CIO Office • 5320 IT Infr. & Operation • 5303 CIO Office • 5320 IT Infr. & Operation • TBD	5	1	
4	Cost avoided related to extension of storage space for working paper documentation (CAPs), increase in IT and business operating costs related to current paper and electronic document management applications, data boxes storage (i.e. need for own archival storage).	• CZK	• TBD	2,3,5,7	1,2	
5	Decrease in operating and procurement costs (i.e. print/copy costs, storage and transfer of paper documentation)	• CZK	• TBD	2,3	1	
6	Faster access to existing documents for FO roles, elimination of loans (“výpůjčka”) of physical documentation from Active and Passive Product Centers. In some cases, faster processing of loan drawing and processing of new deals	• SLA • D+1 • D+0 • D+0	• Network Management Support • Distribution network • L. Mrvík	4	1	
7	Faster access to documentation for BO specialists in Active and Passive Product Centers due to online access to electronic documents, elimination of loans (“výpůjčka”) of physical documentation and elimination of handover of paper documents among the teams	• Improvement in access to documentation • N/A • Improvement accepted by RB • ditto	• Network Management Support, Operations • Active and Passive Product Centers • L.Mrvík, J. Krýsl	4	1	
8	Processing of domestic payments prepared for processing automation	• Processing of domestic payments prepared for automation • Improvement accepted by dept’s representative/RB • ditto	• 5600 Payments • 5600 Payments • K. Brynychová	6	2	
9	Improvement in usage of electronic documents in the Execution dep.	• Improvements in usage of el. doc. • N/A • Improvements accepted by dept’s representative • ditto	• 5515 Executions • 5515 Executions • M. Smyčka	7	2	

10	Improvement in usage of electronic documents in RISK management departments	• Improvements in usage of el. doc. • N/A • Improvements accepted by dept's representative • ditto	• 9400, 9200, 9300, 8000 • 9400, 9200, 9300, 8000 • J. Vaněk	8	2	
11	Improvement in usage of electronic documents in the Legal dep. Conversion of paper documents into electronic form and implementation of DMS in the Legal department: • minimizing losing documents, current duplicities or triplicate copies of documents • automating registration of documents inside KB units under certain numbers or other signs of files • processing of documents • ensuring easier retrieving of documents • checking mails pursuant laws • ensuring audit trail • containing control system in relation to fulfillment of terms, mainly concerning judicial procedures, allocation of hours spent by employees of KB units on a matter, limitation of risk of expiration of terms to make a claim in court or to make another act before court connected with any financial fulfillment	• Improvements in usage of el. doc. • N/A • Improvements accepted by dept's representative • ditto	• 2300 Legal Department • 2300 Legal Department • I. Štěpánková	9	2	
12	Improvement in usage of electronic documents in the Shared Service Center	• Improvements in usage of el. doc. • N/A • Improvements accepted by dept's representative • ditto	• 8100 Shared Service Centre • 8100 Shared Service Centre • M. Maděryč	10	2	
13	TBD	• TBD	• 2020 Top Corporations • 2020 Top Corporations • T. Koudelka/Z. Melicharová	11,12, 13,14	2	

1.3 Project Objectives Hierarchy

= Definition of the target status <u>at the end of the Project</u>, reaching of which is necessary for Benefits achievement.

Objecti-ve ID	Objective Description	Objective KPI • Unit of measure • Current Value • Desired Value at Project Closure	Related Benefit ID	Obje-ctive Priority	Status
1	Establish the target operating model by implementing the DMS/ECM tools and infrastructure	• Successful implementation of DMS/ECM tools and infrastructure • N/A • Implementation accepted by RB	1-13	1	
2	Establish the target operating model by outsourcing selected activities	• Successful change in the sourcing model • N/A • Pilot operation successfully concluded and accepted by RB	1,2,4, 5,6,7,13	1	
3	Implement DMS/ECM tools for processing of active products, implement changes in relevant business processes and applications	• Successful implementation DMS/ECM tools, changes in business processes and applications • N/A • Implementation accepted by RB	1,4,5,6,7, 13	1	
4	Implement DMS/ECM tools for processing of passive products, implement changes in relevant business processes and applications	• Successful implementation DMS/ECM tools, changes in business processes and applications • N/A • Implementation accepted by RB	2,5,7,13	1	
5	Prepare the processing of domestic payment orders for possible future automation: the sizing of the DMS/ECM solution allows for the storage required for scanned images of payment orders	• DMS/ECM sizing includes the needs for scanned images of payment orders • N/A • Implementation accepted by RB	8	2	
6	Implement required DMS/ECM tools for use in Executions dep,, implement dedicated structured depository for databox messages	• DMS/ECM tools required by Executions dep. implemented • N/A • Implementation accepted by RB	9	2	
7	Implement required DMS/ECM tools for use in RISK management dep., implement dedicated structured depository for RISK/CMR, RISK/CRA and RISK/SAM	• DMS/ECM tools required by RISK management dep. implemented • N/A • Implementation accepted by RB	10	2	

8	Implement required DMS/ECM tools for use in Legal dep., implement a dedicated structured depository mainly for documents in litigation agenda and for legal opinions – DMS is composed of: • Single document storage component that ensures documents storing, backup, versioning, user access rights, availability • Document management layer with defined rules for document manipulation, notification, auditing, reporting etc.	• DMS/ECM tools required by Legal dep. implemented • N/A • Implementation accepted by RB	11	2	
9	Implement required DMS/ECM tools for use in Shared Service Centre, implement a dedicated structured depository for non-client contracts	• DMS/ECM tools required by Internal Service Centre implemented • N/A • Implementation accepted by RB	12	2	

1.3.1 Non-Objectives

Non-Objective ID	Non-Objective Description
01	The aim of the project is primarily not to change the activities of involved departments or evaluate if some documentation is required for the processes – however, it changes the way of working with documentation (digital form instead of paper form etc.).

1.4 Constraints

TBD whole chapter - SPE/RDV

Cost Limit given by Sponsor (MCZK MAX)		**Whole Project:**		**5 Years Recurring for Operation of Project Outputs:**				**Expected Cost:**	
Regulatory									
Dependencies									
People									
Timing	Expectant SD start (Q)		Expectant IM start (Q)		Expectant PPD (Q)		Con-straints		
Other constraints									
Dominant dimension		**EITHER: Cost**		**OR: Time**		**OR: Scope, Quality**			

1.5 Overall project background (chapter added to PD template)

Electronic documents usage, primarily in Distribution Arm (Points of Sales, Active Product Centers, External Archive), Operations Arm (Passive Product Centers, Executions), Top Corporations and some central departments (Legal, RISK, Shared Service Centre) has been identified as **an opportunity for achieving significant benefits in terms of operating cost reduction and process improvements**.

Current model

- Currently, for the processing of both passive and active products, the circulation and distribution of documents is based largely on paper copies, which generates increased effort for document handling, especially for support officers in Active and Passive Centers, as well as increased costs for document storage in different locations.
- Moreover, for processing of active documents, additional paper copies are made of documents deemed to be too important for the bank to circulate freely for processing purposes (e.g. loan contracts), resulting in extra paper copies which need to be handled, recorded, stored and archived.
- In the current model, all paper copies of documents created in the bank are stored for the duration of the product lifecycle, and are then archived for additional +10 years (according to the retention register). This results in significant long-term costs for handing and storing for each paper copy, especially those not required to be archived under the current legislation.
- Additionally, in the current model paper documents effectively serve as a workflow for task processing, resulting in delays caused by transportation (especially between Points of Sales and Active and Passive Product Centers) and limiting the scope for outsourcing of paper-handling and storage to external providers.

Target model

- To address the inefficiencies of the current model, the target model is based on the **following key principles of document circulation:**
  - Digitally originated documents are printed only for legislative purposes (e.g. contracts), internal documents are created, handled and processed only in electronic form (exceptions are allowed, but are managed centrally).
  - For all digitally originated documents, only electronic version is used within the bank for further processing.
  - Whenever possible, the printed version of digitally originated documents is registered and stored, but not scanned (the main exception being the requests by RISK/AVR, which require copies with client signature as well as TCA which requires copies with signatures and specimen signatures).
  - For active products, all paper documents are scanned (complete client and deal file will be available in electronic form for further processing). Some of these documents, which are not required to be archived physically for further processing by RISK/AVR, Legal, Accounting or any purpose necessitated by current legislation, are subsequently shredded. The rest of the paper documents are stored and archived as in the current model. In case of documentation of Top Corporations segment, all documents are supposed to be stored and archived as in the current model (i.e. storing for the document lifecycle and subsequently archived without any change to current model).
  - For passive products, only those paper documents which are needed for processing of the request at the Passive Product Center are scanned with the exception of documentation of Top Corporations segment where all paper documents are scanned (complete client and deal file will be available in electronic form). All paper documents are stored and archived as in the current model (i.e. storing for the document lifecycle and subsequently archived without any change to current model).
  - To minimize the risks resulting from processing of requests based on electronic version of digitally originated documents, all such documents are checked for authenticity with the printed version. The check can be done at F/O or at DTP, before or after processing of the request – for details please see the annex No. 6 Annex_6_ECM_DMS_Katalog dokumentu_DIST&OPER and the annex No. 7 Annex_7_ECM_DMS_Katalog dokumentu_TCA.
- To enable the implementation of the target model, **DMS/ECM is required to fulfill the following key requirements** (please see the annex No. 4 Annex_4_ECM_DMS_Requirements for a detailed list of requirements on DMS/ECM):
  - A tool to create, collaborate on, approve and store digitally originated documents and store paper documents.
  -
  - Integration with existing systems for document creation (TSS3, MS Word, etc.) and scanning facilities for automated or partially automated depositing of digitally originated and scanned documents.
  - An automated or partially automated indexing, registering and tracking of physical documentation.
  - An automated or partially automated archiving and “shredding” of electronic documents after the end of their lifecycle.

- A user-friendly way of searching, sharing and accessing both digitally originated and paper documents.
- Predefined user rights for searching, accessing and printing of stored documents for specific roles/groups of users.
- Integration of existing KB systems currently used for document storage (e.g. Alfresco) into DMS.

- The target model allows **outsourcing of activities related to scanning, registering and storing of physical documentation** to a greater extent than in the current model. Specifically, these activities are to be outsourced:
  - Transportation of physical documentation from Points of Sales to outsourcer providing sorting, scanning and document registering services.
  - Sorting and registering of both digitally originated and paper documentation, updating status of physical documentation in DMS/ECM.
  - Scanning of defined incoming paper documents as well as of selected existing documents (i.e. documents created before the implementation of the target model).
  - Transferring of scanned documents to the Active and Passive Product Centers for processing (automated or partially automated).
  - Storing of all physical documents related to active products for the duration of their lifecycle (both new and existing cases).
  - Storing of all physical documents related to passive products in operational mode for a limited period of time (probably 3 months).
  - Managing of loans ("výpůjčka") of physical documents.
  - Archiving of physical documents after the end of their lifecycle (remains under the current contract with IM).
  - Shredding of physical documents at the end of their archiving period (remains under the current contract with IM).
- To enable the implementation of the target model, it is necessary to **implement new governance model relating to** document management.

2 SCENARIOS

2.1 Scenario Nr.1

The main concept and basics of the To-Be model were chosen and approved by the Steering Committees during the DMS business opportunity study and Project Definition phase. The delivery of the solution consists of the following key areas:

DMS solution:

- **System Integrator delivering the DMS Solution selected within the RFP**
- The scope of required services is defined by this PD document
- Internal KB delivery (e.g. changes to existing applications) will be the part of the implementation project

Transportation of physical documentation:

- The only partner for negotiations will be **Ceska Posta (CP)** - except for GlobusCar in the Prague region
- The partner will be responsible for **transportation of documents from KB premises to DTP (Digitizing and Sorting Place = outsourcer) as well as to Iron Mountain**

DTP (Digitalizační a třídící pracoviště/Digitizing and Sorting Place = outsourcer) services:

- The **digitizing, sorting and storing services selected within the RFP**
- The scope of required services is defined by this PD document

Archiving of the physical documents:

- The archiving services will be kept **under current frame contract with Iron Mountain**

During the PD phase, alternative options of particular sub-areas of this scenario were considered, for example:

- storage of active documentation during the lifecycle of the products
- indexing of paper documentation
- tracking of paper documentation
- slotting of involvement of corporate, retail and TCA segment as well as all departments involved into ECM/DMS solution
- involvement of PRIV department into ECM/DMS solution

2.2 Scenario Nr.2: non-existent

2.3 Selected/Recommended Scenario

Scenario Nr. 1 is the recommended and selected scenario.

3 PROJECT SCOPE

3.1 Organizational & Process Scope

IN Organizational and Process Scope - Description

KB organizations in scope of slots 1-5:

- Distribution
- Operations
- Top Corporations
- Strategy & Finance (selected departments)
- Corporate Secretariat - Legal department
- RISK Management
- Internal Audit (partial involvement)

According to the Steering Committee decision, the involvement of BDSK Bratislava into ECM/DMS solution will be analyzed before the start of slot 3.

There were also other KB departments that were screened for the future involvement into DMS solution:

- Human Resources
- Project Organization & Management
- Strategy & Finance (selected departments)
- Corporate Secretariat (selected departments)
- Marketing, Communication and Business Development
- Supported Services
- Internal Audit

Detailed list of KB organizations and departments in scope of the project is documented in the annex No. 14 “Annex_14_DMS_ECM_Utvary”.

In the future, the scope may be extended by the following related companies (these were also screened for their potential future requirements):

- MPSS

IN Organizational and Process Scope - Description
• KB Factoring • SGEF • KB Penz. Fond • KB Pojišťovna • Essox • ALD Automotive • IKS KB However, they are not part of scope covered by this PD document. Product / process scope: • The DMS solution is built primarily for supporting processes around active and passive client products. • For departments where product dimension is not relevant, the scope covers handling of their documentation needs.

3.2 Functional Scope

IN Functional Scope - Description
As an overall summary from functional perspective, the scope of the project covers: • Scanning and imaging services (will be provided by DTP) • Transportation services (will be provided by existing providers) • Document management system and its functionality covering business requirements • Changes to existing KB applications • Integrations between the new DMS system and other components

3.3 Change Management Scope

IN Change Management Scope - Description

The main scope of activities related to change management:
• Technical deployment
  ○ Deployment of the new DMS component
  ○ Deployment of changes to existing applications
  ○ Deployment of relevant interfaces between DMS and other components
• Organizational deployment
  • business roll-out, incl. roll-out set up, deployment approach and plan, roll-out and post roll-out support
  • training and performance coaching
  • communication (external as well as internal)
  • update of internal rules and methodologies
  • change monitoring and measurement

3.4 Technical & Infrastructural Scope

IN Technical Scope - Description
• Complete HW infrastructure required to run the new DMS system • Changes to HW infrastructure of existing applications   ○ WMT

3.5 Out of Scope

OUT	Description	Impact (N/Y)	Assumed preconditions
SECURITY	KB will not provide DTP with electronic versions of documents in any manner, i.e. DTP will not have KB's electronic documents at their disposal.		
FUNC	Sorting of the documentation stored in Iron Mountain.		
FUNC	Exact document content matching is not required on DTP; DTP will only perform integrity check (please see Terminology).		
SECURITY	With regard to security, KB needs to agree/confirm if resigning of messages from ISDS is required. In either case, DMS will only provide a list of documents that need resigning but the actual resigning procedures will be implemented out of DMS.		
FUNC	Migration of Dealer documenation currently stored in MRT#18 will be part of the project replacing MRT#18.		
FUNC	Payments orders have been put out of scope, only storage maybe required in the future – business case results were not positive for scanning and automatic OCR for payment orders.		

4 ORGANIZATIONAL IMPACT

4.1 End-users

ID	End-user	Estimated #	Unit Representing the End-users	End-users´ Activity	Unit's Responsibility
1	BO specialists at the Active Product Centers (incl. BO teams, support officers and MO teams)	330(*)	2070 Distribution: 4050 Active Product Center Praha 4060 Active Product Center Plzeň 4070 Active Product Center Hradec Králové 4080 Active Product Center Ostrava 4090 Active Product Center Brno	These users will be actively using DMS/ECM for creating, accessing and editing documents	Validate outputs, define expectations
2	BO specialists at the Passive Product Centers and other BO specialists	250(*)	2080 Operations: 5010 Passive Product Center Ostrava 5020 Passive Product Center Ústí na Labem 5930 TCA Passive Products Center 4225 TCA Active Products Center 7100 Investment Banking Operations	These users will be actively using DMS/ECM for creating, accessing and editing documents	Validate outputs, define expectations

3	Distribution network employees – mainly processing roles	700(*)	Distribution Network: 4270 Projects and Network Support 2002 Direct Channels	These users will be actively using DMS/ECM for creating, accessing and editing documents	Validate outputs, define expectations
4	Distribution and TCA network employees – mainly sales roles (Retail Front-Office, Corporate Front-Office, TCA Front-Office, Private Banking, Trade Finance, Expat Premium branch, International Desk, Mortgage Products Support Center)	3500(*)	Distribution and TCA Network	These users will be using DMS/ECM mainly for automated depositing of digitally originated documents and for the viewing of existing documents (replacing today's loans ("výpůjčka") of physical documentation), in certain cases these users will also be creating, accessing and editing documents	Validate outputs, define expectations
5	Selected users in RISK, Legal and Shared Service Centre Departments	260(*)	9400 Assets Valuation and Recovery 9200 Credit RISK Assessment 9300 Capital Markets RISKs 8000 Supervision and Measurement 2300 Legal Department 8100 Shared Service Centre	These users will be actively using DMS/ECM for creating, accessing and editing documents	Validate outputs, define expectations
6	Users in other central departments	1500(*)	Other central departments	These users will be using DMS/ECM mainly for the viewing of existing documents (replacing today's loans ("výpůjčka") of physical documentation)	Validate outputs, define expectations

Additional notes:

- Please find the detail description of changes into roles/departments in the annex No. 5 "Annex_5_ECM_DMS_RolesChanges" and involvement of different departments into ECM/DMS solution in the annex No. 14 "Annex_14_DMS_ECM_Utvary".
- According to the Steering Committee decision, the involvement of BDSK Bratislava into ECM/DMS solution will be analyzed before the start of slot No. 3.

People in Key Project Roles

- see the Project Charter which contains the list including their standard competencies and specific assignments.

4.2 Other Impacted Units

Arm	None/ Low	Medi-um	High	Impacted Unit (Unit Number – Name)	Impact Description (e.g. increase of required capacity)	ID
DIST			X	2070 Distribution: Distribution Network	Significant changes to processes and methodology Large reduction of number of Support Officers	

Arm	None/ Low	Medi-um	High	Impacted Unit (Unit Number – Name)	Impact Description (e.g. increase of required capacity)	ID
				4000 Active Product Centers 4270 Network Management Support 2900 Private Banking		
TCA(1)			X	2020 TCA: TCA Network Trade Finance	Significant changes to processes and methodology	
MKT						
IT			X	5303 CIO Office 5320 IT Infrastructure & Operation	Implementation of DMS/ECM solution and its integration with the existing IT infrastructure, including the decommissioning of current paper and electronic document management applications	
FIN (incl. BI)			X	8100 Internal Service Centre 7250 Sourcing	Some changes to processes and methodology in document circulation Significant changes to the bank's sourcing model	
RISK			X	9400 Assets Valuation and Recovery 9200 Credit RISK Assessment 9300 Capital Markets RISKs 8000 Supervision and Measurement	Some changes to processes and methodology in document circulation	
OPER(1)			X	2080 Operations: 5010 Passive Product Center Ostrava 5020 Passive Product Center Ústí na Labem 5930 TCA Passive Products Center 4225 TCA Active Products Center 5515 Executions	Significant changes in processes and methodology Large reduction of number of Support Officers and BO Specialists	
POM	X			7400 Project Organization and Management	Involvement in governance model (e.g. coordination and providing changes in DMS solution)	
IB						
SuSe			X	5190 Central Services	Significant changes to the bank's outsourcing model	
TC		X		2002 Direct Channels	Some changes to processes and methodology in document circulation	
HR						
CSECR		X		2300 Legal department	Some changes to processes and methodology in document circulation	

5 REQUIREMENTS

5.1 Functional Requirements

More than four hundred of Business Requirements were identified during the analysis phase. They are categorized into the 18 groups to help to navigate through them:

- 01.Integration architecture
- 02.Application architecture
- 03.Data and content architecture
- 04.SW and HW Technology is compatible with KB standards
- 05.Application migration
- 06.Security standards and compliance
- 07.Performance
- 08.Operations standard
- 09.Documentation
- 10.Governance and Competence center
- 11.Workflow/document flow
- 12.Collaboration and versioning
- 13.Metadata
- 14.Taxonomy
- 15.Local devices and integration
- 16.Environments and Development standards
- 17.Integrated applications
- 18.DMS services (Retention, Search, Reporting, Record management)

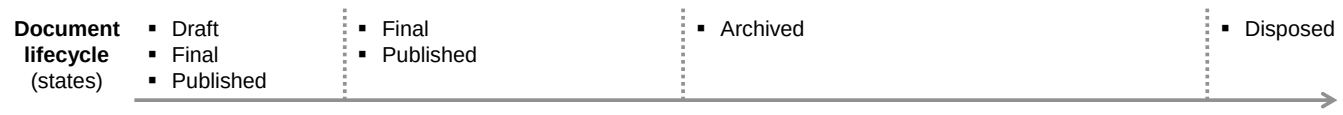
Please find the further details of requirements in the annex No. 4 Annex_4_ECM_DMS_Requirements.

ID	Functional Requirement	Objective ID	Objective Priority	Related Process

5.1.1 Archiving services

In order to allow optimization of costs for storage of the digital documents, principally “living” and “archive” parts of the DMS solution are anticipated. Further optimization of the “living” part into often accessed documentation and not-so-often accessed documentation resulted in the following three tiers definition:

T1: Living *(high performance)*	T2: Living occasional *(medium performance)*	T3: Archive *(low performance)*
• Living documentation, accessed often	▪ Living documentation, seldom accessed	▪ Documentation for closed products ▪ In the retention period



Each of the tiers will have its own SLA requirements. Currently, the estimated numbers of documents are not calculated with respect to individual T1-T3 tiers; this will be précised during the SD phase of the project.

Archive content definition:
The following conditions define when content is to be stored in the lowest level SLA tier T3:

- Document with status "archived"; retention period for the document has been started
  - Potential additional rules may need to be defined to cover also documents where triggering of the "go-to-archive" event will not be automatic (e.g. non-client documents created and edited manually by DMS end users)
- Old versions of a document
  - Limit on maximum number of older versions may be defined
- Content assigned for archivation (e.g. databox messages which are stored in DMS only for archive purposes)

Open points:

- The estimated ratio for T1:T2 volume is approx. 40:60. The final/achieved ratio will depend on the rules defined.
- The exact conditions for a document to be stored in T1-T3 are to be defined during SD phase (apart from the above definition of T3 conditions).
  - The rules will probably be defined according to categories of documentation as their handling differs quite significantly, e.g.:
    - Passive documents – seldom accessed after the 3 months period
    - Active documents – mostly depending on document type
- Impact to estimated PD infrastructure budget after SD phase analyze.
  - The data distribution between T1-T3 impact cost of overall DMS storage. PD budget (DMS storage) will be based primarily on SI proposed best practice (which could differ from KB behavior analyzed during SD phase)

Archiving services provided by the DMS solution
The following table compares the current DMS solution plan against various criteria typically relevant for archiving solutions:

Service	Meaning	What current DMS solution covers	What current DMS solution does not cover
Confidentiality	Secure access to content	Platform security will be used to control end-user access to documents	Additional protection of the content files from system administrators not planned
Integrity	Content has not been tampered (unauthorized change)	There are no requirements on integrity	Securing content by additional integrity measures (hashes, digital signatures) is not planned
Content availability	Content is present in the archive and can be returned	Given by the solution architecture	No specific SLAs set There are no special measures planned to guarantee 100% availability of the content There are no special technical solutions planned to guarantee 100% availability of the content Additional protection of the content files from system administrators (deletion restriction) is not planned
Authenticity	Who created the content?	On application level (metadata)	Signatures who created the document are not planned for all documents

Service	Meaning	What current DMS solution covers	What current DMS solution does not cover
Non-repudiation	Proof that content exists and was created by given user	On application level (metadata)	Timestamps not planned for the contents
Format conversions	Content readability over long period of time	Same format what is inserted will be returned	No guarantee that after XY+ years the formats are still readable on contemporary computers
Access logging	Audit trail	Audit trail is planned for the content stored in DMS; due to big data volumes might be limited to selected content	Additional audit of the content on administrator/system level not planned
Direct access	Permanent link to a given document	Each document should have a direct link in the platform	Q: does the platform guarantee that the link address will not be changed after e.g. migration to a newer version?
Migratability	Possibility to migrate content to a different storage (need of technical upgrade of the HW estimated to every 5-7 years)	The platform should allow migration of the content to other storages	Detailed evaluation of archive migration (and related costs) is not planned at this point of time
Hard deletion of the data	Deleted data will be overwritten in a way not allowing restore from the disk	Should be supported by the DMS platform	N/A

The following table clarifies how the designed DMS solution addresses selected requirements (for complete list please see Annex_4_ECM_DMS_Requirements.xls):

Requirement(s)	Solution
ID209: Solution shall enable approval of documents by digital signature by multiple users (the issuer and the recipient) and designation as the final approved version, including the weight of evidence of signatures throughout the archiving of documents ID223: Solution shall support integration with KB internal certification authority to enable electronic signing of digital form of documents. It must be possible to sign documents in DMS/ECM by internal user certificate.	The following content types with digital signatures are planned within the solution: • Documents from DCS with digital signatures – signatures and signing are provided by DCS, DMS serves only as the storage for documents and their metadata • Archived content from databox messages Use cases where DMS directly should support digital signing of documents (and therefore should be integrated with PKI, cert authority, etc.) are not known. For the solution it is assumed that signing will be accomplished outside of DMS.
ID225: The solution shall be providing list of documents that require-signing.	Assumed to be part of the stamper component.

5.2 Non-Functional Requirements

5.2.1 Availability and Main Performance Requirements

Effort for optimization of costs related to digital documents storage resulted in definition of three tiers of storage – for detail please see chapter 5.1.1.

The following performance and availability requirements and service level classes have been designed for the individual tiers:

	T1 Living	T2 Living occasional	T3 Archive
Working hours	W1 24x7	W3 12 x 6	W4 12x5
Availability	99% (outage <5,5 hrs/month) RTO 4 hours	99% (outage <5,5 hrs/month) RTO 1 day	A4 < 99% (outage >5,5 hrs/month) RTO 3 days
Data recovery	RPO 24hrs	RPO 24hrs	RPO 3d
Response time	RT search 97% <5s	R3	RT search 90% <1min

(RT)	RT browse 97% <3s RT doc retrieve 97% <5s	50% cases < 6s 90% cases < 9s	RT doc retrieve 90% <5min
Volumes	F1 Very high (>100.000 /day OR >10/s)	F3 Medium (1.000 -10.000 /day)	F4 Low (100 – 1.000 /day)

5.2.2 Security Non-Functional Requirements

The following table summarizes the key security requirements and principles of the target DMS solution:

ID	Security Non-Functional Requirement	Description	Functional Req. ID
S01	Communication with external parties through B2B	All communication with external parties (DTP scanning centre, Iron Mountain long term storage) will go through B2B gateway in batch mode only. Bidirectional communication will be implemented.	
S02	All accesses to DMS will be controlled through ITIM	All accesses to DMS will be controlled through ITIM - global and local roles.	
S03	Users access and authorization will be controlled per groups	User will be assigned to groups and access rights will be defined based on the groups. DMS will connect to an LDAP – details which LDAP and how it will be used are to be specified in SD phase (LDAP AD, LDAP WMT?).	
S04	Technical accounts for applications	Other applications using DMS as a storage for documents will connect through a dedicated technical account. User identity shall be propagated for proper authorization and for auditing purposes.	
S05	Accesses to DMS will be audited	Standard ADS auditing service will be used. Detailed plan on what activities will be audited will be prepared in order to have a sensible compromise between data volumes and relevant security information.	
S06	Secure authentication	The direct users access to the GUI of the DMS system will be implemented in a secure way – either https or such mean of authorization that no sensitive information (passwords…) are transferred through plain text. It is also expected that the DMS platform should support some means of single-sign-on. Details to be specified during the SD phase.	
S07	Restamping of digital signature	The DMS shall also support restamping of document with digital signature to digital timestamps. Two scenarios shall be supported: a) signed by internal KB authority, b) signed by an external authortiy (e.g. for archived databox messages). Details for the solution are to be specified during the SD phase. Actual statements and recommendations by legal (and potentially other depts) are to be requested again. For the solution, it is assumed that DMS will provide a report (or a file) of documents where restamping is needed and with the help of an external component such list will be restamped. For internal document, the current solution on Alfresco shall be reused as much as possible.	
S08	Reuse of common service NOS	The system shall provide notifications to end-users for some operations (e.g. after scan request an email may be sent to the requestin user after DTP processes the scan and sends it to DMS)	
S09	Reuse of common services with potential modification – IGS	IGS might need to be modified in order to standardize the barcode on documents	

S10	Authorization of access to documents	The access to documents will be authorized, principle need-to-know will be used. Principle “retain the model used in primary systems if possible” (there is a requirement that for Distribution and Operations a hierarchical structure of access rights needs to be maintained; e.g. a RM can only access the documents within his field of activity) The concept shall be built on defining universal access permissions for standardized user roles, minimizing any exceptions in order to provide long-term maintainability of the content.	
S11	Information governance	Information governance is understood an important part of the project (to be detailed in SD phase) with the aim to provide framework for defining owners of the content stored in DMS and processes how to handle changes to the content, control access rights, etc. The scope of information governance is part of PD phase.	
S12	Confidentiality classification	Each document (or document type) will have assigned a C0…C3 confidentiality classification. For all documents, an audit trail (in ADS) may be required. For C3 documents encryption of the document will be required.	
S13	Internal standards and directives	The following KB internal standards and directives are applicable to the DMS system: • Directive 31: Security Policy of the Information System of Komerční banka, a.s. • Instruction 19-011: The security of KB information system • Instruction 19-012: Information classification and asset management of KB information system • Instruction 19-017: Security monitoring of KB information system • Instruction 20-005: Access rights to IS KB • Instruction 20-023: Communication Infrastructure Security Policy • Instruction 20-024: Server Platform Security Policy	

S14	External standards	The DMS solution shall be built in compliance with the following legislation and standards: • zák. 499/2004 Sb. o archivnictví a spisové službě a o změně některých zákonů • zák. 190/2009 Sb. o archivnictví a spisové službě a o změně některých zákonů, ve znění pozdějších předpisů, a další související zákony • zák. č. 227/2000 Sb. o elektronickém podpisu a o změně některých dalších zákonů • zák. č. 148/1998 Sb. o ochraně utajovaných skutečností a o změně některých zákonů • zák. č. 101/2000 Sb. o ochraně osobních údajů a o změně některých zákonů - to v prezentaci již je • zák. č. 300/2008 Sb., o elektronických úkonech a autorizované konverzi dokumentů, • zák. č. 301/2008 Sb., kterým se mění některé zákony v souvislosti s přijetím zákona o elektronických úkonech a autorizované konverzi dokumentů • zák. č. 127/2005 Sb., o elektronických komunikacích; • zák. č. 121/2000 Sb., autorský zákon; • zák. č. 21/1992 Sb., o bankách; • zák. č. 513/1991 Sb., obchodní zákoník; • zák. č. 40/1964 Sb., občanský zákoník • vyhláška 191/2009 o podrobnostech výkonu spisové služby • vyhláška 192/2009 kterou se provádějí některá ustanovení zákona o archivnictví a spisové službě a o změně některých zákonů • vyhláška 193/2009 o stanovení podrobností provádění autorizované konverze dokumentů • vyhláška 194/2009 o stanovení podrobností užívání a provozování informačního systému datových schránek • vyhláška 645/2004 kterou se provádějí některá ustanovení zákona o archivnictví a spisové službě a o změně některých zákonů • security standards PCI-DSS • security standards PA-DSS	

5.2.3 Other Non-Functional Requirements

Please see chapter 6.3.4 Other functional aspects.

6 SOLUTION CONCEPT

Attention! In case of slotting, in the final version of this document it must be **clearly visible** in point 6 (and 7), which parts of its content appertain to the slots those are planned to be elaborated in SD phase of this project.

6.1 Processes

As this project changes the way how paper documentation (esp. in the area of client documentation) is handled, the existing processes are not being described in more detail.

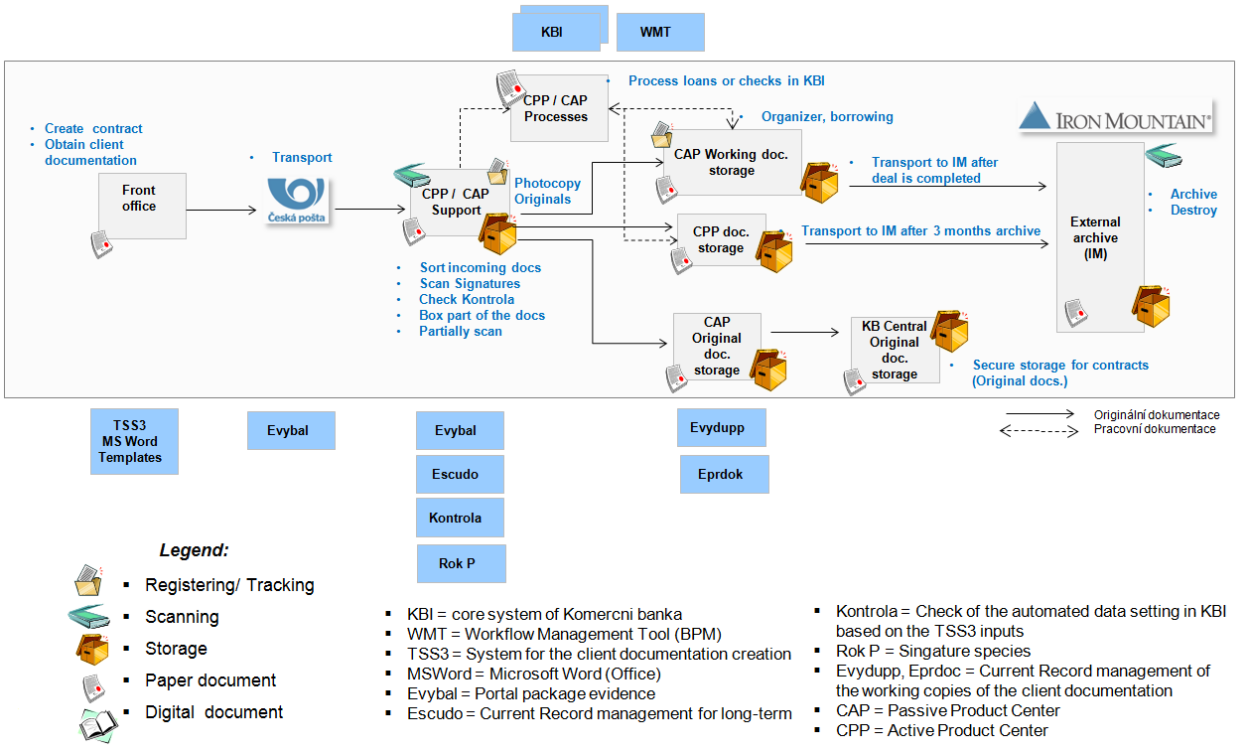
6.1.1 Processes AS IS

For detailed description of As-Is processes please refer to the following documents:

- Outputs of DMS BOS Steering Committee presentations, particularly Steering Committee No. 1 containing the description of As-Is documentation flow) – please find it in the Annex No. 11 “Annex_11_DMS_BOS_Steering_Committee_1”

- "Annex_6_ECM_DMS_Katalog dokumentu_DIST&OPER" and
- "Annex_7_ECM_DMS_Katalog dokumentu_TCA" containing the active and passive documentation of corporate, retail and TCA segment
- "Annex_12_ECM_DMS_Katalog dokumentu_Shrnuti" summarizing all the documentation involved in the Project scope
- The verbal description of As-Is processes can be also found in the Annex No. 5 "Annex_5_ECM_DMS_RolesChanges" as one of the input for the designed To-Be processes.

A simplified picture of As-Is client documentation flow between FO, CAPs, CPPs, CUD and IM can be found below (the picture does not cover all the aspect of client documentation (e.g. cooperating internal departments, TCA back-offices as well as the non-client documentation):



6.1.2 Processes Should Be: Client documentation processes – new documentation

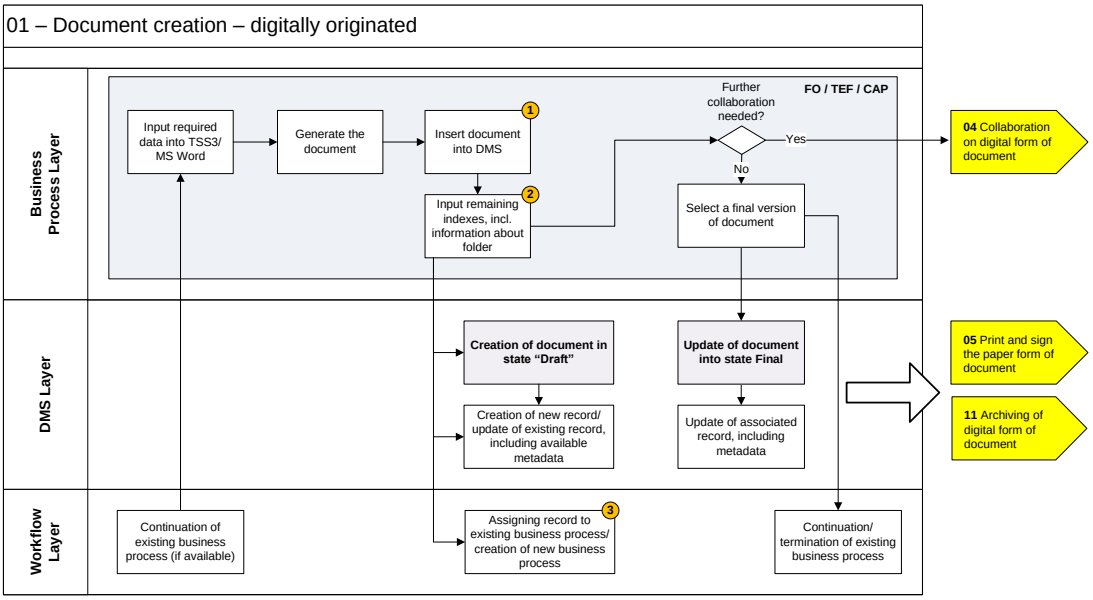
The TOBE processes are described in „Annex_3_ECM_DMS_Documentary Processes". The following subchapters for TOBE processes describe individual processes in more detail.

Sub-proces		Obsaženo v procesech
01	Document creation – digitally originated	D1, D2, D3, D4, D5, D6, D7
02	Document creation – paper originated	P1, P2, P3, P4, P5, P6
03	Insertion of digital document	D1, D2, D3, D4, D5, D6, D7
04	Collaboration on digital form of document	D3, D4, D7
05	Print and sign the paper form of document	D4, D5, D6
06	Check and handover of documentation to DTP	
07	Takeover of documentation and integrity check at DTP	P1, P2, P3, P4
08	Document processing and storing at DTP	D4, D5, D6
09	Processing of document content – from digital form	D2, D3, D4, D5, P1, P2
10	Processing of document content – from paper form	P5
11	Archiving of digital form of document	D1, D2, D3, D4, D5, D6, D7, P1, P2, P3,

Sub-proces		Obsaženo v procesech
		P4
12	Archiving of paper form of document	D4, D5, D6, P1, P3, P5, P6
13	Shredding of digital form of document	D1, D2, D3, D4, D5, D6, D7, P1, P2, P3, P4
14	Shredding of paper form of document	D4, D5, D6, P1, P2, P3, P4, P5, P6
15	Loans (“výpůjčky”) – access to paper form of document	V2
16	Obtaining document scans on request	V1
17	Access to digital form of document	V3

6.1.2.4 Document creation – digitally originated

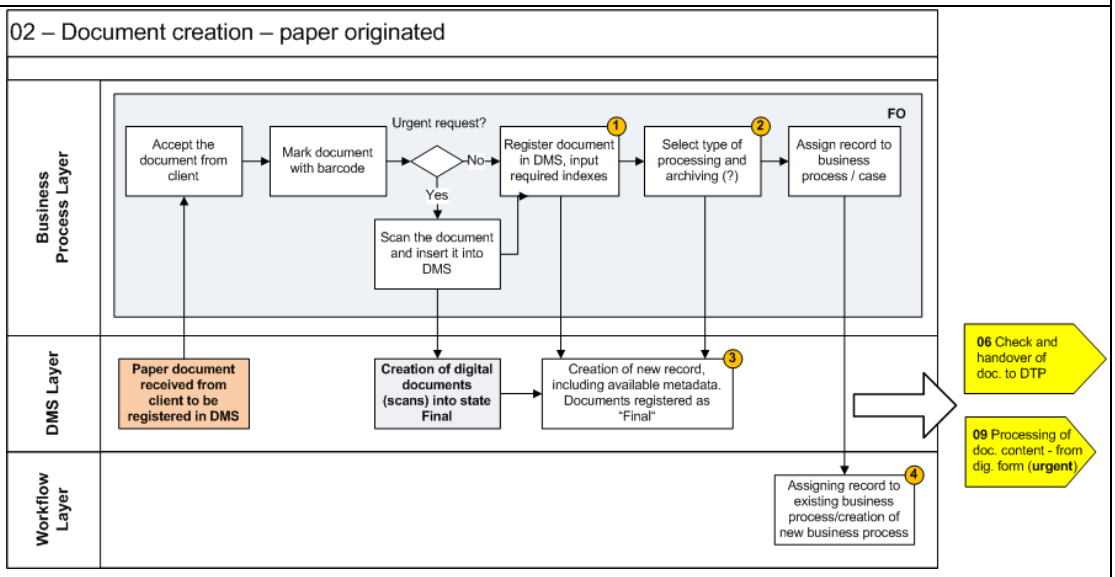
Process Name	**Document creation – digitally originated**	***Process ID***	***01***
SD Responsible	TBD		
Purpose	• Creation of a new digital document and its corresponding record from electronic source (e.g. TSS3, MS Word templates) by KB FO / TEF / CAP; • Saving of the created document and its corresponding record into DMS; • Creating a new business process (“obchodní požadavek”) or assigning the document to an existing business process (if relevant).		
Trigger Event(s)	• Decision by user to generate a new digital document and to insert it into DMS, or • Generation of a new digital document initiated by an existing business process (“obchodní požadavek”).		
Common rules	• Creation of document initiates the creation of its corresponding record or update of an existing record. • Record’s metadata should contain as few business information as possible (e.g. only client identification number, but not his name) in order to reduce the risk of mismatch between information in DMS and primary systems. • If a previous version of the document exists, the user should have a possibility to decide whether to create a new version of the same document (updating an existing record), or whether to create a new document (with a new record).		
Main Input(s)	• Required data inputted into e.g. TSS3 or MS Word template; • Metadata relating to the new document inputted into DMS (automatically and/or manually)		
Main Output(s)	• Newly created document in “Draft” state (if it requires further collaboration) or in “Final” state (document ready for printing); • Creation of a corresponding record of the document, indexed by all required metadata, or update of an existing record; • The document assigned to corresponding business process (“obchodní požadavek”), or • New business process related to the created document created (e.g. when workflow is initiated directly from TSS3 or MS Word), or • Newly created document not assigned to any existing or new business process, as some documents are created and stored but are not part of any business process.		

Operating Parameters	
Basic Process Flow	01 – Document creation – digitally originated  **Comments:** 1. In certain cases, the action to generate a document may automatically trigger its insertion into DMS (e.g. document generated as part of business process, "obchodní požadavek", in TSS3). 2. During its creation, the record is automatically indexed by all relevant information taken from the system/ MS Word document in which document was created. Only when certain required information is not available, the user is prompted to input the remaining indexes manually. • Certain metadata also determine document's (or more precisely its corresponding record's) assignment to specific folder(s)/views („složka"). Users can, in certain cases, manually define and/or change the target folder(s). 3. In certain cases, newly created document is not assigned to any existing or new business process ("obchodní požadavek," see above).
Open Issues	• In SD phase, it is necessary to perform detailed analysis of all document types in order to: ○ Confirm the possible channels of document origination (TSS3, MS Word, other?); ○ Confirm whether and how it will be possible to print documents in "Draft" state from DMS. ○ Define the required metadata for their records, including the information which metadata can be obtained automatically from e.g. TSS3 or MS Word template and which will have to/will be allowed to be filled in manually by the user; ○ Define the principles for assigning documents into folder(s)/views ("složka"), including the extent of automatic/manual actions permitted; ○ Define links between document types and case types and processes to which they correspond, including the information whether creation

	of the document triggers creation of a new business process ("obchodní požadavek"). • Define rules for archiving previous versions of digital document, i.e. whether all versions of the document will be archived in DMS, or only the most recent version will be available. In the latter case, only the information about creation and/or modification of previous versions of the document would be available, without the underlying document. • In SD phase, it is necessary to perform detailed analysis of all document types in order to: • Confirm whether there can be multiple versions of the underlying document in the "Final" state (example: FO employee prepares multiple proposals for client who then chooses the one that best meets his needs). If yes, define rules for creating, selecting and printing of such documents. Note: it is possible that this depend on the document type. • Defines the process and rules for inserting documents in DMS in situations where the underlying case ("obchodní případ") does not yet exist. The possible approaches include: o Insert documents on the client level. After the creation of the corresponding case, the FO user manually links to it relevant documents in DMS, o A new case is created immediately. During the opening of the product in TSS3, FO user selects the existing case; no manual linking of the documents is required.

6.1.2.5 Document creation – paper originated

Process Name	**Document creation – paper originated**	***Process ID***	***02***
SD Responsible	TBD		
Purpose	• Registering paper originated document (i.e. paper documents supplied by the client) in DMS in the form of corresponding record, indexed by required metadata; • Marking paper originated documents with a unique identifier in order to facilitate their scanning, processing and archiving; • Scanning paper documents in order to make them available for immediate processing (only for Urgent requests); • Creating a new business process ("obchodní požadavek") or assigning the document to an existing business process (if relevant).		
Trigger Event(s)	Paper originated document designed for registering in DMS (e.g. received from the client).		
Common rules	• Only paper documents which require processing by a different person than the one who accepted the document, or documents which need to be archived (based on legal or process requirements), are registered in DMS. • FO users mark all paper originated documents with a barcode that uniquely identifies them in the context of a particular record in order to facilitate their scanning, processing and archiving. • It is assumed that the barcode serves purely to identify a document and		

	does not contain any information about document type and its processing.
Main Input(s)	Paper originated document in “Final” state designed for registering in DMS.
Main Output(s)	• Paper originated documented marked by a unique identifier and registered in DMS in “Final” state; • Paper document scanned and saved in DMS (only for Urgent requests); • Creation of a corresponding record of the document, indexed by all required metadata; • Paper document prepared for sending to DTP pro processing (e.g. document filed in client folder); • The document assigned to corresponding business process (“obchodní požadavek”), or • New business process related to the created document created, or • Newly created document not assigned to any existing or new business process, as some documents are created and stored but are not part of any business process.
Operating Parameters	
Basic Process Flow	

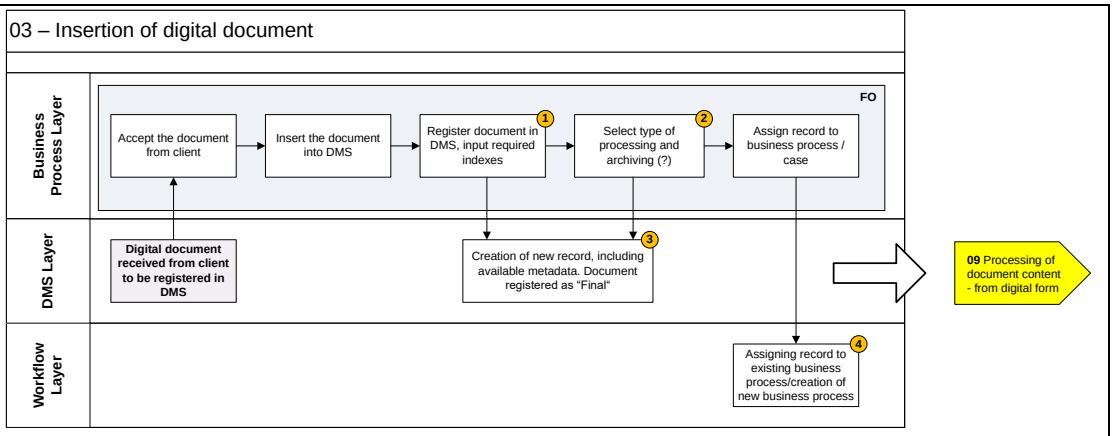
Comments:

1. FO users register the paper documents in DMS and input all required indexes, including information about the assigned barcode.
   - Certain metadata also determine document’s (or more precisely its corresponding record’s) assignment to specific folder(s)/views („složka“). Users can, in certain cases, manually define and/or change the target folder(s).
2. FO users select type of requested processing at DTP and archiving – it is an open question about how this will be done (e.g. automatic selection of archiving method based on the selected document type).
3. Registering document in DMS initiates the creation of its corresponding record, including available metadata.
4. If relevant, FO users also assign document to existing business process (“obchodní požadavek”) or create a new business process.

Open Issues	• Define the required metadata for documents' records, including the information which metadata can be obtained automatically from the KB systems and which will have to/will be allowed to be filled in manually by the user. • Define the principles for assigning documents into folder(s)/views ("složka"), including the extent of automatic/manual actions permitted. • Define the process for FO users to select required processing and archiving (e.g. automatically selecting archiving code through selecting document type and other parameters). • Confirm that the barcode assigned to documents will serve purely to identify a document and will not contain any information about the document itself (e.g. its type, content or processing requirements). • Define links between document types and processes to which they correspond, including the information whether registering of the document triggers creation of a new business process ("obchodní požadavek").

6.1.2.6 Insertion of digital document

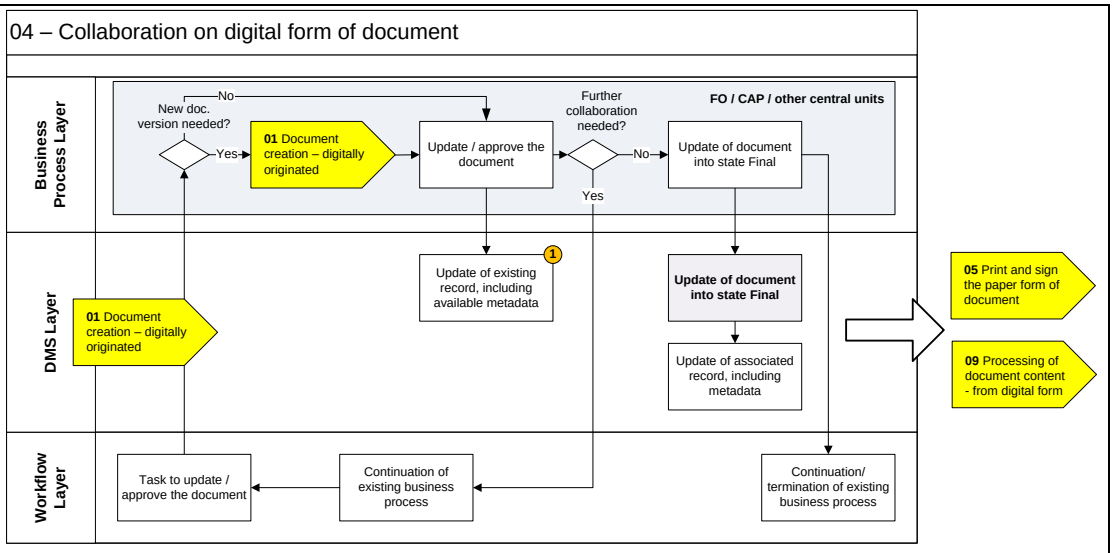
Process Name	**Insertion of digital document**	***Process ID***	***03***
SD Responsible	TBD		
Purpose	• Inserting digital document received from client into DMS; • Creating a corresponding record, indexed by required metadata; • Creating a new business process ("obchodní požadavek") or assigning the document to an existing business process (if relevant).		
Trigger Event(s)	Digital document designed for registering in DMS received from the client.		
Common rules	• Only digital documents which require processing by a different person than the one who accepted the document, or documents which need to be archived, are registered in DMS.		
Main Input(s)	Digital document designed for registering in DMS.		
Main Output(s)	• Digital document inserted into DMS and registered in "Final" state; • Creation of a corresponding record of the document, indexed by all required metadata; • The document assigned to corresponding business process ("obchodní požadavek"), or • New business process related to the created document created, or • Newly created document not assigned to any existing or new business process, as some documents are created and stored but are not part of any business process.		
Operating Parameters			

Basic Process Flow	 **Comments:** 1. FO user inserts and subsequently registers the digital documents in DMS and inputs all required indexes. • Certain metadata also determine document's (or more precisely its corresponding record's) assignment to specific folder(s)/views („složka"). Users can, in certain cases, manually define and/or change the target folder(s). 2. FO users select required type of processing and archiving – it is an open question about how this will be done (e.g. automatic selection of archiving method based on the selected document type). 3. Registering document in DMS initiates the creation of its corresponding record, including available metadata. *4.* If relevant, FO users also assign document to existing business process or create a new business process.
Open Issues	• Define the allowable formats and size limits of digital documents that can be inserted into DMS. • Define channels and sources by which digital documents can be received. • Define the required metadata for documents' records, including the information which metadata can be obtained automatically from the KB systems and which will have to/will be allowed to be filled in manually by the user. • Define the principles for assigning documents into folder(s)/views ("složka"), including the extent of automatic/manual actions permitted; • Define the process for FO users to select required processing and archiving (e.g. automatically selecting archiving code through selecting document type and other parameters). • Define links between document types and processes to which they correspond, including the information whether registering of the document triggers creation of a new business process. • Consider potential involvement of DTP during inserting of digital files into DMS.

6.1.2.7 Collaboration on digital form of document

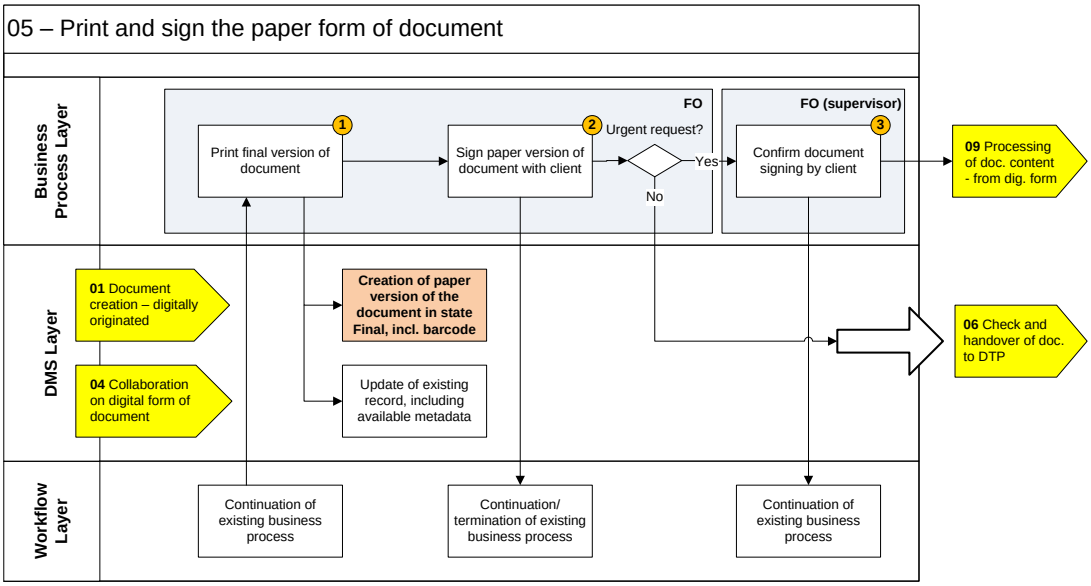
Process	**Collaboration on digital form of**	***Process ID***	***04***

Name	**document**		
SD Responsible	TBD		
Purpose	This process is used in cases where the finalization of the digitally originated document requires processing/ approval by a different role/person. Specifically, the purpose of the process is: • Changing/commenting of document creation by another person/role, or • Approval of document by another person/role.		
Trigger Event(s)	The finalization of the digitally originated document requires processing by a different role/person. The collaboration process can be triggered: • Automatically as part of the workflow of generating of specific document type, or • Manually by the user in the preceding process (i.e. user who initiates the document creation).		
Common rules	• Cooperation on the document creation can take place within a given department (e.g. approval of document by a branch manager) or across different departments (e.g. approval of document by a centralized Risk department). • As part of the process, a new version of the document may or may not be created. If it is required, the steps are identical as in process 01 (Document creation – digitally originated). • If a previous version of the document exists, the user should always have a possibility to decide whether to create a new version of the same document (updating an existing record), or whether to create a new document (with a new record). • The process of collaboration can be followed by printing and signing of the paper form of document or directly by processing from its digital form, depending on the underlying workflow.		
Main Input(s)	• Task to update/approve the document; • Digitally originated document in “Draft” state.		
Main Output(s)	• Updated document in “Final” state; • Update of the associated record, including relevant metadata; • Continuation of the underlying business process (“obchodní požadavek”) or its termination if there are no following steps/tasks.		
Operating Parameters			

Basic Process Flow	 **Comments:** 1. Any change of the document, including any change in associated comments or metadata, triggers the update of the record associated with the document.
Open Issues	• Decide on whether collaboration on documents will be managed organizationally (resp. by the end-users) or whether there will be fixed by a system (e.g. DMS internal workflow, WMT process) • Decide whether and to what extent the process of Collaboration on digital form of document should be managed by DMS workflow or by a dedicated workflow management tool (e.g. WMT). • Consider the possibility of using electronic signatures which would be themselves part of the document, in order to avoid the risk of losing the approval information in case of DMS record database.

6.1.2.8 Print and sign the paper form of document

Process Name	**Print and sign the paper form of document**	***Process ID***	***05***
SD Responsible	TBD		
Purpose	• Selecting and printing the final version of the document; • Creating a paper version of the document and signing it with client; • Update of the corresponding record in DMS; • Making the digital document available for immediate processing (only for Urgent requests).		
Trigger Event(s)	Printing of the document is necessitated by business need to have a paper version of the document which is then signed with the client. Printing of the document is always triggered manually by a user who requires its paper version.		
Common rules	• Only document in the state “Final” can be printed (to be confirmed). • All digitally originated documents are provided with a barcode that uniquely identifies them in the context of a particular record.		

	• Barcodes are assigned to documents during the printing job. • It is assumed that the barcode serves purely to identify a document and does not contain any information about document type and its processing. • Currently it is assumed that when printing identical documents (i.e. the same version of digital document in DMS) such prints should be assigned with identical barcodes.
Main Input(s)	• Digitally originated document in “Final” state.
Main Output(s)	• Creation of paper version of the document in “Final” state; • Paper document prepared for sending to DTP pro processing (e.g. document filed in client folder); • Update of the associated record, including relevant metadata; • Paper version of the document signed with the client; • Confirming that the document was signed by the client and thus making the digital document available for immediate processing (only for Urgent requests); • Continuation of the underlying business process (“obchodní požadavek”), or its termination if there are no following steps/tasks.
Operating Parameters	
Basic Process Flow	

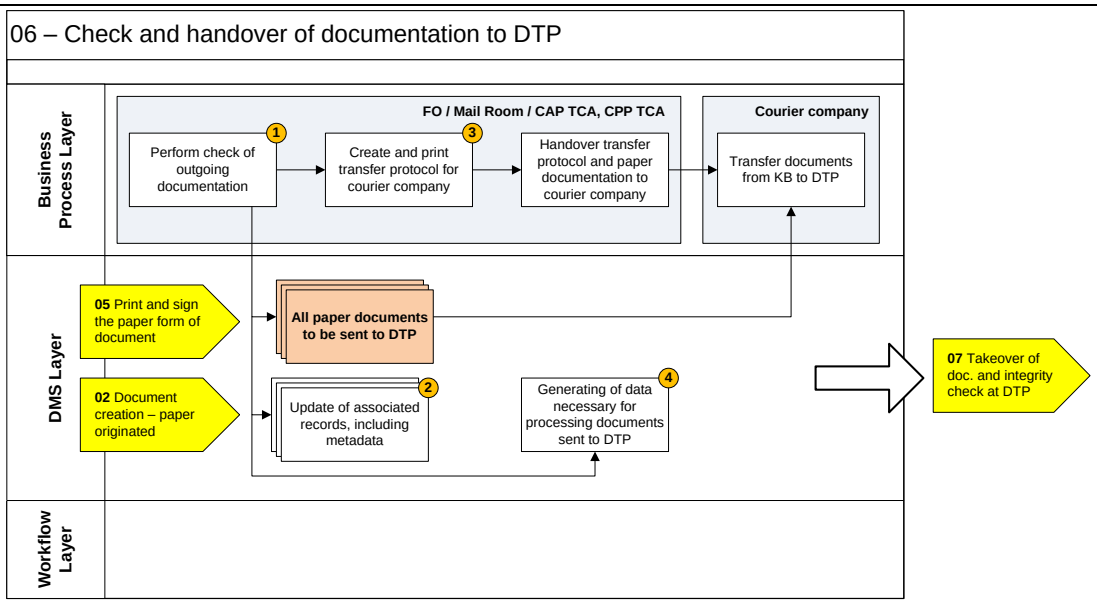
Comments:

1. Select a version of the document to print.
2. Besides the signing of the paper document with client, it is also necessary to mark in DMS which of the digital document versions was signed (see note about multiple instances of document in “Final” state in process 01 - Document creation – digitally originated). In general, there approaches are possible:
   - In case multiple versions of digital document in “Final” state exist, appropriate version is selected manually the user after signing of the paper version of the document,
   - Appropriate version is selected automatically by defined rules (e.g.

	selecting of the last printed version), ○ Appropriate version is selected automatically during the check of outgoing documentation from branch to DTP (part of the process 06 - Check and handover of documentation to DTP). 3. Document signature confirmation will be done by a supervisor electronically and will replace the current method of confirmation (scanning and sending by e-mail the page of the document with client signature).
Open Issues	• Confirm that the barcode assigned to documents will serve purely to identify a document and will not contain any information about the document itself (e.g. its type, content or processing requirements). • Confirm whether the barcodes will be assigned to documents directly by DMS or in a similar way that is used today (barcodes assigned during the printing job). • Define process for situation when the digital document does not contain the date of contract signing: ○ For Top Corporates, the last page with date is signatures is scanned, ○ For Corporates, consider scanning of the last page with signatures. Alternatively, the date could be included in the corresponding record ‘s metadata by FO employee or by DTP. ○ This issue is only relevant for contractual documentation of active products. ○ This issue is also relevant for urgent requests, where similar options are possible: scanning of the last page or manually inputting the date of signing.

6.1.2.9 Check and handover of documentation to DTP

Process Name	**Check and handover of documentation to DTP**	***Process ID***	***06***
SD Responsible	TBD		
Purpose	• Perform a check of outgoing documentation to DTP; • Transfer paper version of documents from KB to DTP; • Generate and send data necessary for processing of documents sent to DTP; • Establish basis for document tracking throughout the process.		
Trigger Event(s)	At the end of the business day, documents which accumulated in individual KB branches during the day are sent to DTP via a courier company (GlobusCar and Česká pošta). The process is manually triggered by a FO user (or a mail room employee in bigger branches).		
Common rules	• The main goal of the outgoing documentation check is to confirm which physical documents are sent to DTP each day (not all documents which are finalized and printed on a given day need to be sent to DTP on the same day). • List of documents and reports of outgoing documents have to be generated automatically. • Note regarding outgoing documentation check at TCA:		

	○ For TCA Prague the check of outgoing documentation will be performed by CAP TCA / CPP TCA,[1] ○ For TCA Brno, the check will be performed by FO.
Main Input(s)	• All paper documents to be sent to DTP, with corresponding records in DMS and with assigned barcodes.
Main Output(s)	• Check of outgoing documentation performed at all KB branches; • Paper documents, arranged into packages, handed over to a courier company (together with a handover protocol); • Data necessary for processing of sent documents generated.
Operating Parameters	
Basic Process Flow	

Comments:

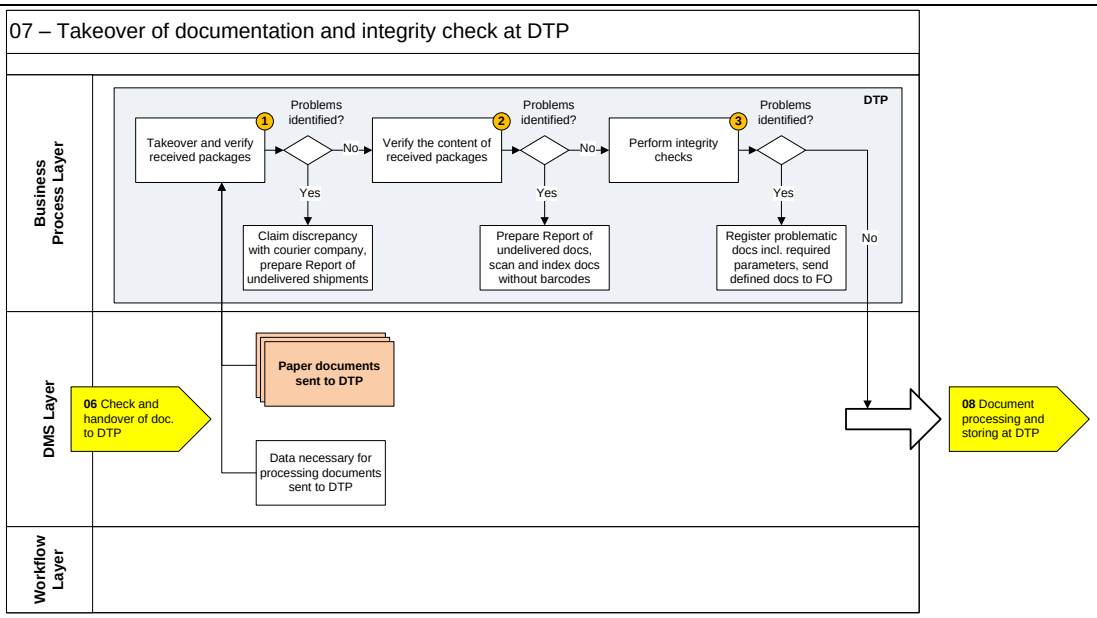
1. The check of outgoing documentation is done by reading the barcodes of individual documents which are to be sent to DTP that day. As a result, a report is created of all documents sent to DTP from individual KB branches. At smaller branches, this check is done by FO personnel, at larger branches it is done by the Mail Room employees.
2. The check (i.e. reading barcodes of individual documents) also triggers and update of the associated records, including but limited to information about the digital and paper copy of the documents.
3. After the outgoing documentation check, the documents are put into packages and a handover protocol for the courier company is created and printed (this handover protocol contains only information about packages, not individual documents). This protocol is confirmed by the courier company at the moment of the handover of packages.
4. During the time between the dispatch of the last package from KB branches (app. 18:00) and the delivery of the first package at DTP (app. 22:00) KB will also generate and send to DTP in an agreed extent and manner the data needed for processing of documents sent that day. These data will contain particularly the following:

	○ Identification of packages sent from individual branches, ○ Identification of individuals documents in each package sent, ○ Information about individual documents, including processing and storage directions.
Open Issues	• Confirm pick-up times and SLA for documentation transfer with a courier company. • Agree on the content, form and way of transfer of data needed for processing of sent documents with DTP. • Define transfer of documentation for Top Corporates (currently no transports in place), e.g. by handing documentation over to a KB branch sharing the same building.

*6.1.2.10 Takeover of documentation and integrity check at DTP**

Process Name	**Takeover of documentation and integrity check at DTP**	***Process ID***	***07***
SD Responsible	TBD		
Purpose	• Takeover of paper version of documents from a courier company; • Takeover of data necessary for processing of documents sent to DTP; • Perform integrity check of received documentation and deal with identified problems.		
Trigger Event(s)	• Paper documentation received from a courier company and • Data necessary for processing of received documents received from KB.		
Common rules	• A check between paper document and its digital version is **not** performed by DTP as consistency between the two is assured by the generation of unique barcode generated during the printing of the document. • All documents which do not meet defined rules are registered by DTP, including all required parameters. In defined cases physical documents are sent back to the point of origination (e.g. sending back documents to FO branch for signing).		
Main Input(s)	• All paper documents received by DTP, with corresponding records in DMS and with assigned barcodes. • Data necessary for processing of sent documents received by DTP.		
Main Output(s)	• All packages received by DTP from the a courier company; • Verification of all received packages performed by DTP, all identified problems recorded; • Verification of the content of all packages (i.e. all received documents) performed by DTP, all identified problems recorded; • All documents without a barcode provided with a special one, scanned and indexed by DTP for identification and resolution by KB; • Integrity check of all received documents performed by DTP, all problematic documents registered including all required parameters, defined documents sent back to KB branches.		
Operating Parameters			

Basic Process Flow	07 – Takeover of documentation and integrity check at DTP



Comments:

1. DTP performs a takeover of packages from a courier company based on a handover protocol. DTP claims any discrepancies in the number of received packages and information on the handover protocol directly with the courier company.

- DPT registers all received packages by reading their barcodes. A check is performed between the registered packages and data received from KB, after which DTP prepares a Report of undelivered and unregistered shipments and sends it to KB.

2. DTP opens packages and registers received paper documents by individually reading their barcodes (all received documents should have a unique barcode).

- A check is performed between the registered documents and data received from KB, after which DTP prepares a Report of undelivered and unregistered documents and sends it to KB.
- All documents without a barcode (exceptional situation) are provided with a special bar code, scanned and indexed with agreed identificators and sent to KB for identification and resolution.

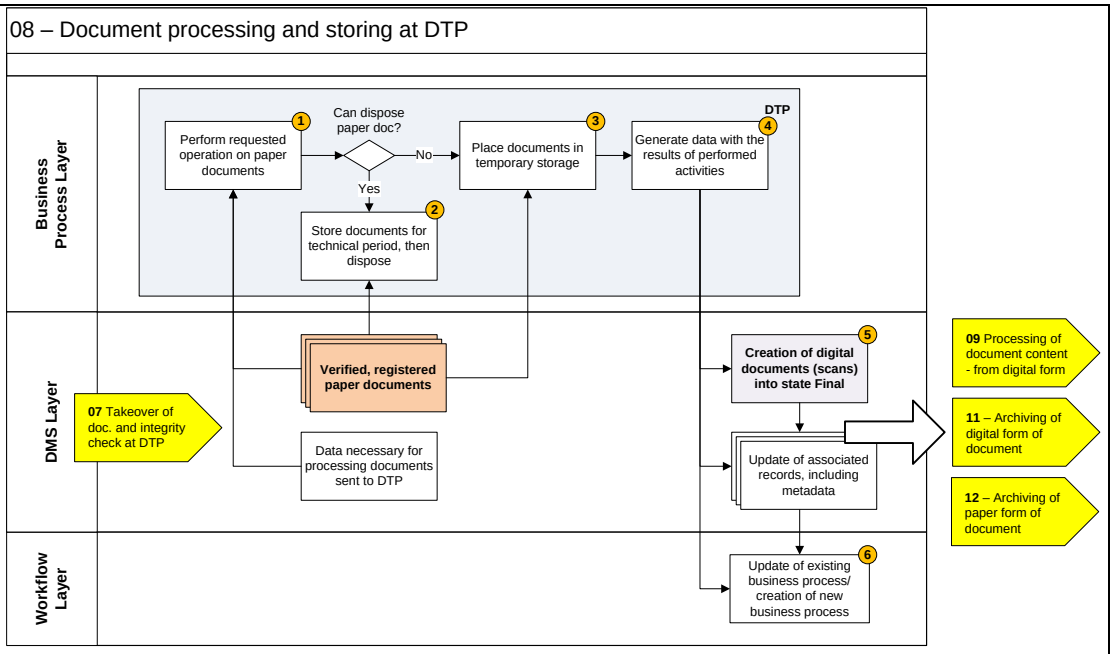
3. DTP performs integrity check of all received paper documents, including but limited to:
    - Completeness of document (document contains all pages),
    - Integrity of document (document is not damaged),
    - Integrity of stickers (“přelepka”) for relevant documents,
    - Existence of initials on each page of unbound documents,
    - Existence of physical signature on relevant pages (can be on multiple pages, does not need to be on the last page),
    - Existence of date of contract signing (same page as signature),
    - Lack of corrections by hand throughout the document.

Open Issues	• Define rules and procedures to deal with missing/ damaged packages.

	• Define the structure, parameters, recipients and procedures for Report of undelivered and unregistered shipments. • Define rules and procedures to deal with missing/ damaged documents. • Define the structure, parameters, recipients and procedures for Report of undelivered and unregistered documents. • Define rules for integrity check for different document types. • Define rules and procedures for documents that do not meet the integrity check requirements, including definition of cases in which physical documents are sent back to the point of their origination. • Define and agree on SLA between KB and DTP for all performed activities, including the preparation of corresponding Reports, dealing with missing/ damaged packages and documents and documents that do not meet the integrity check requirements, etc.

*6.1.2.11 Document processing and storing at DTP**

Process Name	**Document processing and storing at DTP**	***Process ID***	***08***
SD Responsible	TBD		
Purpose	• Processing of received documents at DTP; • Storing paper documents at DTP according to defined rules.		
Trigger Event(s)	• Paper documents after successful verification, registration and integrity check. • Specific trigger event to be selected by DTP (e.g. after registration and verification of all documents, work in parallel or in batches) with the restriction that the target process meets agreed SLA.		
Common rules	• DTP sorts received documents by the type of required processing, identified after reading their barcodes (information about required processing steps and storing are included in the data about all paper documents sent by KB).		
Main Input(s)	• Paper documents after successful verification, registration and integrity check. • Data necessary for processing of sent documents received by DTP.		
Main Output(s)	• All received paper documents processed according to the instruction from KB; • All received paper documents stored in temporary storage based on the instruction from KB; • Generation and sending to KB of data in agreed extent and structure with the results of all activities performed on individual documents. For scanning request, data also include the image of corresponding document.		
Operating Parameters			
Basic Process Flow			



Comments:

1. Perform requested operation, which include but are not limited to:
   - Scanning of specified range (whole document, last page, page with signatures, etc.), including generating defined metadata (e.g. date of scanning),
   - Follow-up quality check for documents previously scanned in KB (confirmation that scan is of sufficient quality and number of scanned documents),
2. In some cases, it is possible to dispose (“zlikvidovat”) original paper documents after their processing. In this case, DTP stores such documents for the duration of a technical period and them disposes of them according to rules and procedures agreed with KB.
3. Place documents into temporary storage in DTP:
   - All paper documents are placed into one of approximately 10 types of boxes (based on their assumed shredding periods). Boxes are marked with unique barcodes in order to facilitate their handling in this and following processes (archiving, loans (“výpůjčka”) of documentation etc.)
   - Information about the type of box into which the document should be placed is included in the data about all paper documents sent by KB).
   - Individual documents will be simply placed into boxes, and will not be grouped by e.g. clients and products.
4. After performing requested operation, DTP sends data to KB in agreed extent and structure. It is assumed that these data will be sent in multiple batches during the process at DTP, rather than in one batch before the agreed SLA. Included in the information from DTP is the location of documents in each box.
5. After receiving data from DTP, new scanned versions of documents are

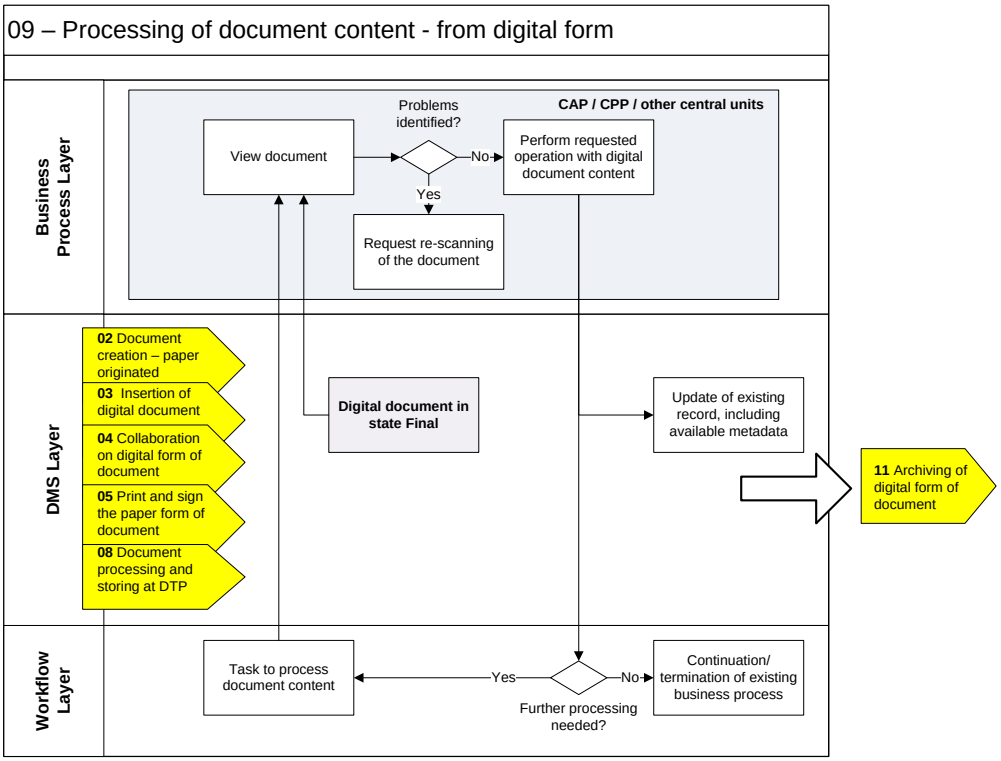
	uploaded to DMS. All processed documents (including those not scanned) are updated, including relevant metadata (e.g. of result of document registering and verification, result of processing, information about new instance of documents, information about disposal of paper documents, etc.) 6. Depending on the type of documents and the result of their processing, underlying business processes ("obchodní požadavek") may be updated, incl. links to updated records, or new business processes may be initiated. • Note: It is assumed that the processing of documents with errors (missing barcode, failed integrity check etc.) will be done similarly to the processing of other documents. A task will be generated with a reference to the document, with the task in this case being the processing / correcting of the identified error.
Open Issues	• Define all operations that may be performed on a paper document. • Define requested type of processing and storing for all document types. • Agree on the content, form and way of resulting data from DTP to KB. • Define and agree on the DTP process for follow-up quality check for documents previously scanned in KB (alternatively, DTP could scan such documents in a standard way in order to ensure consistent quality of scanned documents). • Define rules for disposal ("likvidace") of selected paper documentation after processing, including the minimal duration of technical storage period for such documents. • Define and agree with DTP on the extent and format of data about the results of performed activities, including required metadata for all types of processing requests. • Define links between document types and processes to which they correspond, including the information whether processing of document triggers creation of a new business process ("obchodní požadavek"). • Define and agree on SLA between KB and DTP for all performed activities, including processing times, quality of scanned images, etc.

* Processes 06 - Takeover of documentation and integrity check at DTP and 07 – Document processing and storing at DTP are considered blackbox in that their detail is in DTP's responsibility. They are divided into two processes in this document for the sake of clarity, but some of their actions (e.g. registering of documents, integrity check and processing) can be performed in parallel. The only specific KB requirement is that processes steps Takeover and verify received packages and Verify the content of received packages are done at the very beginning of the process in order to identify potential problems as soon as possible.

6.1.2.12 Processing of document content – from digital form

Process Name	**Processing of document content – from digital form**	***Process ID***	***09***
SD Responsible	TBD		
Purpose	• To allow processing of the digital documents' content by appropriate role.		
Trigger Event(s)	• Task to process the digital documents from the workflow management tool.		
Common rules	• Only documents in "Final" state can be processed within this process.		

	• Task to process the digital documents is always linked to an underlying business process (“obchodní požadavek”).
	• The task to process digital documents can be initiated:
	  ○ Automatically as part of the workflow of underlying business process (“obchodní požadavek“¨), or
	  ○ Manually by the user of the preceding task (e.g. in the Supporting Process in WMT3).
	• Urgent requests should, in most cases, be processed only after confirmation of document signing by a supervisor of the user who created the document. For details, see process 05 - Print and sign the paper form of document.
	• The processing of the document itself (e.g. specific steps and in specific applications to perform) is not changed by the implementation of DMS. The scope of DMS project does not cover process redesign except for cases where process change is necessitated by DMS implementation.

Main Input(s)	• All digital documents related to specific task within the underlying business process (“obchodní požadavek”) in “Final” state. • Task to process the documents from the workflow management tool.
Main Output(s)	• Digital documents’ content processed by the role indicated in the task of the underlying business process (“obchodní požadavek”), • Update of the associated record, including relevant metadata (to be confirmed); • Continuation of the underlying business process (“obchodní požadavek”) or its termination if there are no following steps/tasks.
Operating Parameters	
Basic Process Flow	

Open Issues	• Define rules, processes and SLA for rescanning of documents at DTP if problems are identified which do prevent it from being processed (missing pages, low quality, blurry image, etc.)

6.1.2.13 Processing of document content – from paper form

No need for such a process was identified in the target model.

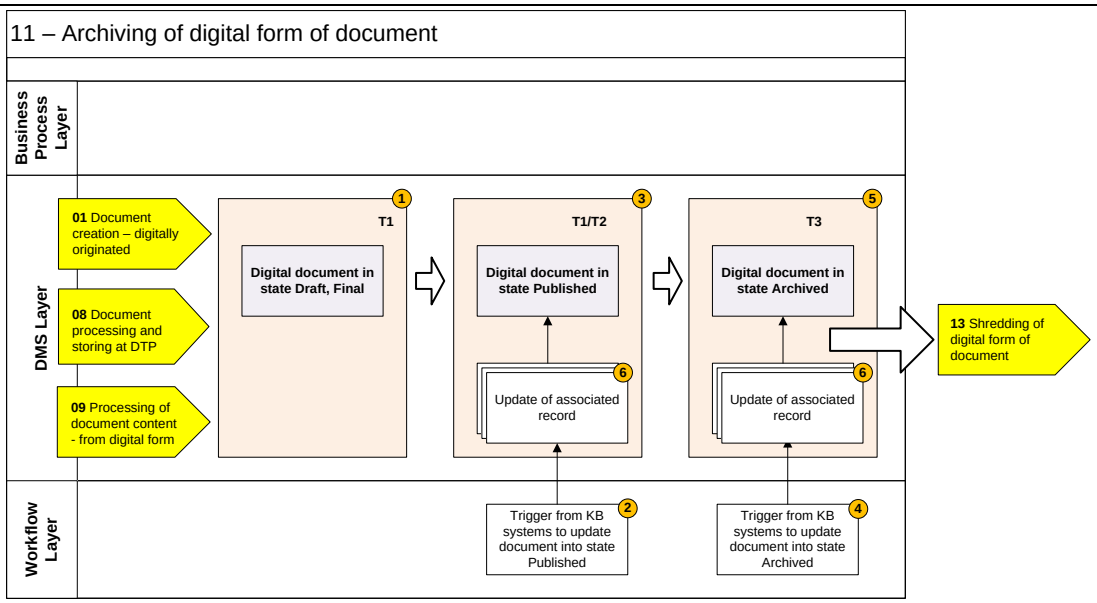
6.1.2.14 Archiving of digital form of document

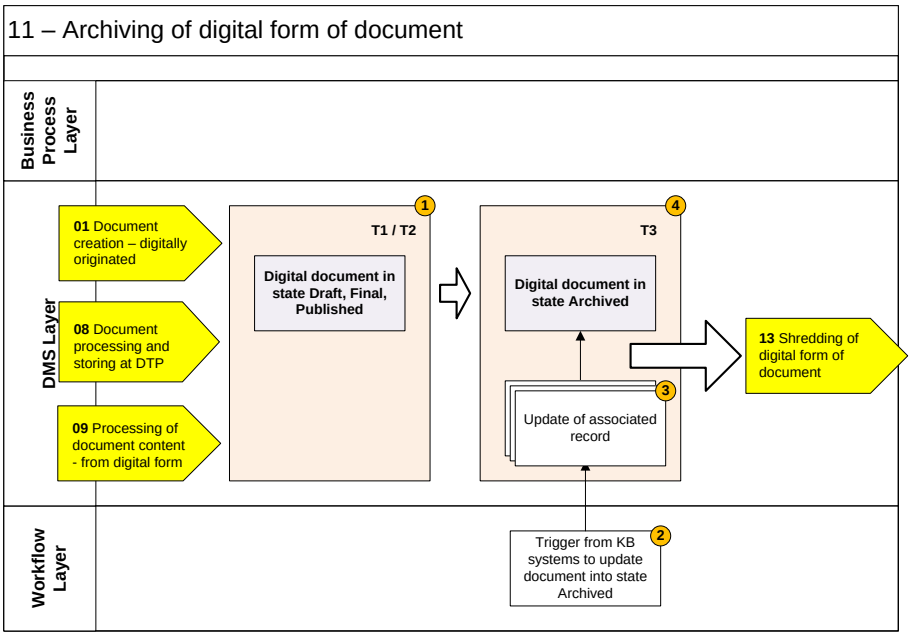
Process Name	**Archiving of digital form of document**	***Process ID***	***11***
SD Responsible	TBD		
Purpose	• Assigning digital forms of documents into one of the digital storage tiers (see Common rules below) depending on the lifecycle of the underlying cases (“obchodní případy“).		
Trigger Event(s)	• Creation of a digital document and its insertion into DMS.		

Common rules	• Conceptually, digital storage tiers correspond to different ways of storing and archiving paper documents – documents which are accessed less frequently are stored in a way that reduces costs, even if it means longer SLA, e.g. response times in case of requests to access documents.
	• Specific digital storage categories and corresponding SLAs parameters are to be defined with selected DMS vendor, but it is currently assumed that there will be three tiers of digital storage with different SLA:
	  ○ **T1: Living** – living documentation with relatively frequent access requests,
	  ○ **T2: Living Occasional** – living documentation which is seldom accessed,
	  ○ **T3: Archive** – documents for terminated products, in the retention period.
	• The proposed differentiation between T1 and T2 is based on cost optimization.
	• Regardless of the tier in which the document is stored, all digital documents will be accessible in the same place and through the same user interface – the main difference is the different SLA parameters, e.g. guaranteed response time to access the document.
	• For the description of the different states of digital documents, please see the section 6.2.1 of the PD document.		

Main Input(s)	• Digital document in “Draft” or “Final” state inserted into DMS. • Corresponding records exist in DMS.		
Main Output(s)	• Digital documents stored in DMS storage tier which corresponds to the lifecycle of the underlying case (“obchodní případ“).		
Operating Parameters			

Basic Process Flow





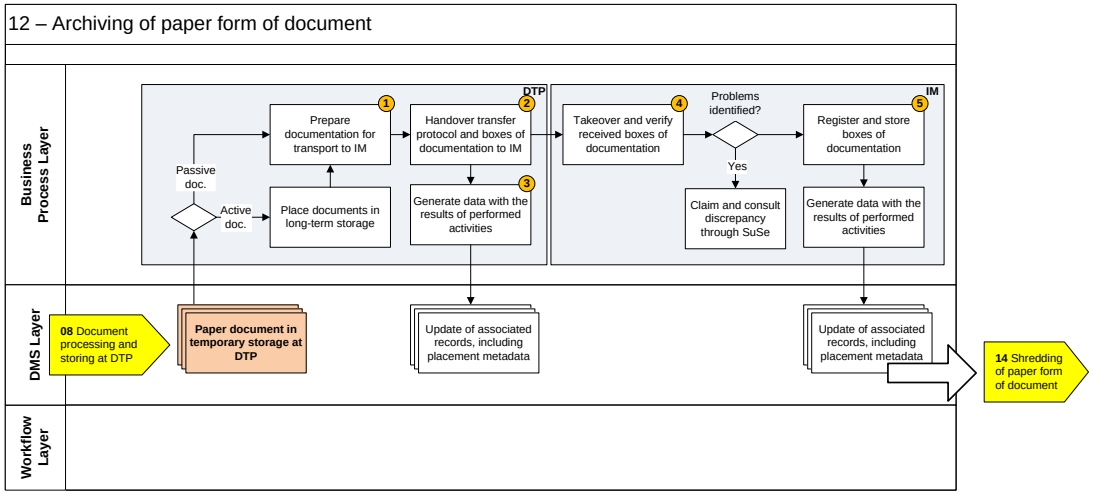
Comments:

1. All digital documents in states “Draft”, “Final” and “Published” are stored in Tiers 1/2: Living for easy access during the documents’ processing. Rules for moving documents between tiers 1 and 2 will be defined during SD phase.
2. Based on a trigger from either workflow management tool or from core KB system(s), the state of digital documents is changed to Archived. The trigger could be e.g. the information from KBI that the underlying case (“obchodní případ“) was ended and closing of the case has been done.
3. Change of the document’s status can lead to changes of some the corresponding record’s metadata (e.g. access right, folders, etc.)
4. All digital documents in state “Archived” are stored in Tier 3: Archive for the

	duration of their retention period.
Open Issues	• Define and confirm specific digital tiers and corresponding SLAs parameters (e.g. response times) with selected DMS vendor. • Define rules for document placement into T1, T2 and T3. • Define and confirm the process for updating documents into state "Published", e.g. based on a trigger from workflow management or reports from KBI. • Define and confirm the process for updating documents into state "Archived", e.g. based on a trigger from workflow management or core KB systems. • Define the behavior for linked documents (e.g. all documents corresponding to the same underlying case, "obchodní případ").

6.1.2.15 Archiving of paper form of document

Process Name	**Archiving of paper form of document**	***Process ID***	***12***
SD Responsible	TBD		
Purpose	• Storing documents at DTP in temporary and long-term storage; • Transporting document to IM; • Archiving documents in IM for the remaining of the retention period.		
Trigger Event(s)	• Received paper documents placed in boxes according to the instructions from KB; • Passing of temporary (technical) 3-month storage period (for passive products only).		
Common rules	**Storing of paper documents at DTP** • All documents processed at DTP are stored for at least 3 months, this period is referred to as a temporary (technical) period. • Documents related to passive products are kept at DTP in temporary storage for the duration of at least 3 months; afterwards, they can be transported to IM. • Documents related to active products are kept at DTP long-term storage for the whole duration of their lifecycle. DTP can either place such documents in temporary storage and later move them to long-term storage, or place them directly in target storage, with the restriction that the target process meets agreed SLA. • The boxes of documentation related to active products stay at DTP long-term storage as long as at least one document in the box relates to an active product. • So-called "original" documentation is stored in the same mode as the remaining documentation. • Target model assumes documents (and their records) are linked with the underlying cases ("obchodní případy"), whose status has influence on the state of the document. Example: when a mortgage loan is terminated, for example, it is the impulse for process of archiving of related documents into IM.		

	Archiving of paper documents at IM • It is assumed that documents will be transported from DTP to IM only with certain periodicity, so that in some cases documents can be stored for longer than specified above.
Main Input(s)	• Received paper documents placed in boxes according to the instructions from KB. • Information about documents' placement into individual boxes in DMS.
Main Output(s)	• Paper documents stored at the storage type corresponding to the lifecycle of underlying cases; • Up-to date information in DMS about the paper documents placement.
Operating Parameters	
Basic Process Flow	

Comments:

1. After the passing of 3-month temporary (technical) period of documents related to passive products, or after the termination of all active products related to documents in a given box, boxes with paper documents are prepared for transportation to IM.
2. Based on a trigger from either workflow management tool or from core KB system(s), DTP is informed which of the boxes are ready for transport and archiving in IM.
3. DTP prepares a handover protocol with all boxes to be sent to IM and arranges the date of transport with SuSe. This protocol is confirmed by IM at the moment of the handover of documentation.
4. After takeover of documentation by IM, DTP sends data to KB in agreed extent and structure with the result of the activity, leading to an update of records associated with transported documents (especially placement metadata, date of transfer, etc.)
5. IM registers all received packages. At least initially, IM will not claim any discrepancies in the number of received packages and other problems with the received documentation directly with DTP, but will consult any such issue with SuSe.
6. IM places the boxes with documents into its archive, registers information into IM systems and generates and sends data to KB with the result of

	performed activities, leading to an update of records associated with transported documents (especially placement metadata).
Open Issues	• Define and confirm the process for informing DTP which boxes are ready to be transported and archived in IM. Decide whether the same process be used for both active products (where it is necessary) and passive products (where DTP could use own scheduling system). • Define and agree with DTP on the extent and format of data about the results of performed activities, including required metadata related but limited to documents' placement. • Define details of documents transfer from DTP to IM, including support by SuSe in cases of problems with the received documentation. • Agree on any needed changes in the extent and format of data sent by IM used to update the documents records' metadata, especially related to documents' placement. Note: B2B transfer is not possible, but an electronic transfer e.g. via e-mail could be arranged. • Define the way in which records in DMS are updated in case of the termination of underlying cases ("obchodní případy"). • Define process for situation when legislative changes affect documents' retention period.

6.1.2.16 Shredding of digital form of document

Process Name	**Shredding of digital form of document**	***Process ID***	***13***
SD Responsible	TBD		
Purpose	• Set procedures for shredding digital form of document.		
Trigger Event(s)	Retention period of digital documents and the subsequent shredding of digital documents can be linked with: • Document type, **or** • Lifecycle of the underlying case ("obchodní případ") from core KB systems (e.g. KBI, Bagman, C4M). The shredding period in such cases could be triggered automatically based on a trigger from either workflow management tool or by information from these core KB systems, **or** • Manually set retention period by user (e.g. in cases of Frame agreements), currently managed by ESCUDO.		
Common rules	• Although the retention period of paper and digital documents can in theory be different, they have to be linked: e.g. prolongation of the retention period for paper documents should also prolong the retention period of digital documents.		
Main Input(s)	• Digital document in state "archived"; • Corresponding record in DMS.		
Main Output(s)	• Shredding of the digital document; • Update of shredded documents' records in DMS, including relevant metadata.		
Operating Parameters			
Basic	For the process flow, please see process 14 – Shredding of paper form of		

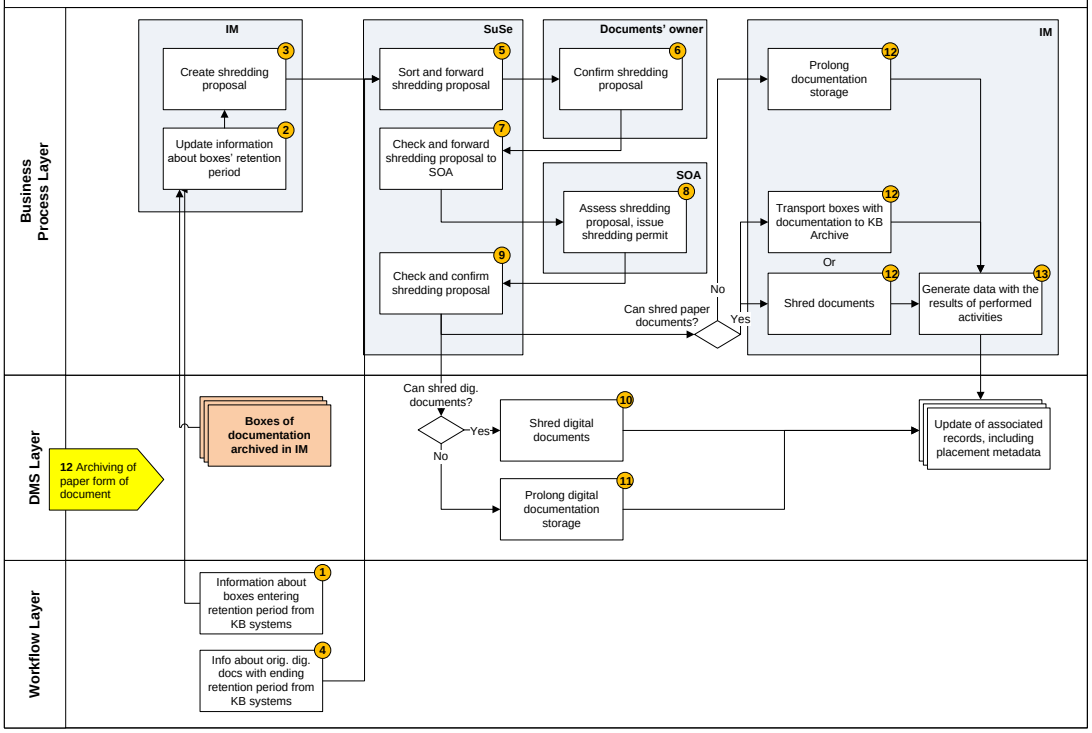
Process Flow	document below.
Open Issues	• Define rules for retention and shredding of documents in state “Draft” and “Final”, i.e. documents which are not updated into state “Published”. • Analyze and define process for monitoring retention period of documents, where shredding cannot be linked with document type or lifecycle of the underlying case (“obchodní případ“) from core KB systems. I.e. analyze which functions of ESCUDO will need to be replaced, in what extent, form and in which systems.

6.1.2.17 Shredding of paper form of document

Process Name	**Shredding of paper form of document**	*Process ID*	*14*
SD Responsible	TBD		
Purpose	• Set procedures for shredding paper form of document.		
Trigger Event(s)	• Information from KB system listing boxes of documentation with ending retention period.		
Common rules	• A box of documentation can be considered for shredding only when the retention period has passed for **all** documents included in it. • It is assumed that documents will be shredded only with certain periodicity (e.g. once a year). • The target model assumes no major changes to the current procedure for creating shredding proposal on IM side. • KB is responsible for shredding of documents, IM only performs it based on KB instruction. • Shredding is done only by IM (DPT only performs disposal, "likvidace", of selected paper documents after scanning – for details see process 08 - Document processing and storing at DTP). • Current legislation states that when paper documents are shredded, any copies (incl. digital ones) need to be shredded without undue delay. • Current legislation treats 'original' digital documents (i.e. documents which do not have a paper form) in the same way as paper documents, including necessary approval from regulating authorities.		
Main Input(s)	• Boxes of documentation archived in KB, with corresponding records in DMS. • Information about end of retention period of specific boxes from KB system.		
Main Output(s)	**In case of shredding:** • Shredding confirmation certificate (paper document created by IM); • Update of shredded documents' records in DMS, including relevant metadata. **In case of retention period prolongation:** • Prolongation of documents' retention period or transfer of documentation to KB archive (incl. a change of shredding parameter to "A") • Update of relevant documents' records in DMS.		
Operating Parameters			

Basic Process Flow

14 - Shredding of paper form of document



Comments:

1. Workflow management tool or core KB system generates information about boxes with paper documents, which can enter the retention period.

   Note: Currently this is relevant only for documentation related to passive products, but can change in the future if KB decides to transfer to IM also documents related to active ("živé") active products. Currently this agenda is done by ESCUDO.
2. IM updates the status of boxes of documentation in their IT systems using existing procedures.
3. At the end of the retention period of boxes of documentation, IM prepares a shredding proposal using existing procedures (currently done by 1.10.) and sends it to SuSe.
4. Workflow management tool or core KB system generates information about 'original' digital documents that can enter shredding process.
5. SuSe employee sorts and forwards shredding proposal to respective documents' owner for confirmation (e.g. CPP for passive and CAP for active products documentation) and sends them a document Proposal for shredding permit ("Návrh na povolení skartace"). It is assumed that these proposals will include paper documents and newly also 'original' digital documents.
6. Documents' owners decide whether the documents can be shredded, sign the Proposal for shredding permit and send it back to SuSe.
7. SuSe employee puts together signed Proposal and sends a copy to SOA (Státní oblastní archiv Ministerstva vnitra) for review and confirmation.
8. SOA employee reviews the Proposal, issues shredding permit and sends it

	to SuSe. 9. *For shredding proposal related to paper documents*: SuSe employee archives the original permit in KB archive and sends a copy to IM. In case some boxes are not be shredded, he updates shredding proposal. *For shredding proposal related to 'original' digital documents*: SuSe employee checks the Proposal, archives the original permit in KB archive and confirms the actions to be performed. 10. Based on the previous activities, selected digital documents are shredded. It is assumed that both the confirmed 'original' digital documents and copies of paper documents will be shredded. 11. For documents which cannot be shredded at the moment, the retention period is prolonged. Note: In some cases, it is possible that selected documents are to be kept indefinitely and cannot be shredded. 12. Based on the shredding proposal and permit sent by SuSe, IM: o Shreds selected documents, or o Transports selected documents to KB archive, or o Prolongs retention period of selected documents. 13. IM generates and sends to KB data with the results of performed activities. IM also prepares and sends to KB shredding confirmation (certificate).
Open Issues	• Define the system(s) which will monitor the retention period of all documents in all archived boxes (currently done by ESCUDO) and generate inputs for IM. Define the structure and way of transmission for such data. • Decide whether DMS will create shredding proposals for 'original' digital documents and if yes, define their form and recipients. • Define processes and necessary forms/tools (if any) for SuSe to prepare/sort shredding proposals for 'original' digital documents. • Define the procedure for SuSe to confirm shredding proposals for 'original' digital documents (e.g. whether these activities will be performed directly in DMS or in some other form).

6.1.2.18 Loans ("výpůjčky") – access to paper form of document

Process Name	**Loans ("výpůjčka") – access to paper form of document**	***Process ID***	***15***
SD Responsible	TBD		
Purpose	• To allow stocking out of originals of paper documents from archives of paper documentation in DTP and IM and, in some cases, to allow returning them back to these archives. • Examples of the process include special cases of Internal Audit requests (paper documents are usually returned) and Recovery – sale of receivables (paper documents are not returned).		
Trigger Event(s)	• Request for stocking out a paper document from a relevant department (e.g. Internal Audit, AVR).		
Common rules	• Requests can be targeted at documentation located in short-term (temporary) and long-term storage in DTP, as well as at documentation archived in IM.		

	• DMS interface allows both requesting new loans ("výpůjčky") of paper documents as well as tracking the status and location of existing loans. These information are kept in the documents' records.
	• This process will replace the existing processes for requesting and registering loans of document stored at CAP, CPP, CUD and TCA and will be applicable to all new documentation (i.e. for documentation created after the launch of the target model). For loans of old documentation, please see section *Client documentation processes – existing documentation* below.
	• The process will be available only to selected roles.
	• Key attributes used by this process:
	  ○ Borrowed 'flag' – an attribute marking if document is stocked out from physical archive;
	  ○ Requestor – name of the user who requested the paper document;
	  ○ Original documentation 'flag' (only relevant for active products) – an attribute marking that the document is to be handled in a special mode ("originální dokumentace"), especially regarding shipment.

Main Input(s)	• Request for stocking out a specific paper document; • A record corresponding to and identifying the document in DMS; • User rights.
Main Output(s)	• Paper document delivered to the requestor; • Paper document returned back to the archive in DTP or IM (relevant only for some requests, e.g. by Internal Audit).
Operating Parameters	
Basic Process Flow	1. Requestor searches for a record corresponding to specific document, using DMS user interface. 2. Requestor fills in request for stocking out a paper version of the document. The requestor can ask for multiple documents within one request. 3. The request is send either to DTP or to IM, according to the identification (box ID) and location of the paper document. 4. The request for stocking out a paper document is processed (search, stock out, package, send) by DTP or IM according to the request. 5. DPT or IM send the physical document to the requestor (requirements for delivery mode will be set by KB). 6. DPT or IM send information to KB about stocking out of the document in agreed structure. 7. The paper version of the document is marked as borrowed in DMS (update of the corresponding record), metadata are updated by date of stocking out, the name of requestor etc. 8. Requestor confirms the takeover of the document in DMS, the corresponding record is updated accordingly. 9. In case the document is returned back to DTP or IM, it is archived back into the original box / new box (see Open Issues below). 10. DPT or IM send information to KB about returning of the document in agreed structure.
Open Issues	• Define user roles which will be allowed to request paper documents from DTP / IM archives.

	• Define all attributes, which will be tracked for loans of paper documents (e.g. name of the requestor, borrowed flag, original documentation flag, date of the request, date of stocking out and returning of the document, etc. • Confirm modes of transportation (from DTP / IM to KB and from KB back to DTP / IM) for ordinary and original documentation. • Confirm whether returned documents are to be filed back to the original location (more expensive option), or whether they can be put into a new box, with the information about the new location to be provided by DTP and IM. • Define and agree on SLA for the process with DTP and IM. • Agree on the content, form and way of transferring from and to DTP / IM regarding the change of status of paper documents in DMS (stocked out, returned).

6.1.2.19 Obtaining document scans on request

Process Name	**Obtaining document scans on request**	***Process ID***	***16***
SD Responsible	TBD		
Purpose	• To allow obtaining a scan of paper documents on request. • The process is relevant for documents which do not have digital form (e.g. Confirmation of studies) or for documents which do have a digital form but do not contain a scan of the client's signature (e.g. most contractual documentation). • Examples of the process include special cases of Internal Audit requests and Recovery (standard recovery).		
Trigger Event(s)	• Request for ad-hoc scanning of a paper document from a relevant department (e.g. Internal Audit, Recovery).		
Common rules	• Requests can be targeted at documentation located in short-term (temporary) and long-term storage in DTP, as well as at documentation archived in IM. • This process will be applicable to all new documentation (i.e. for documentation created after the launch of the target model). For scanning requests of old documentation, please see section *Client documentation processes – existing documentation* below. • During the process, paper documents will be stocked out from the archive only for the purpose of scanning, the information about this stocking out will not be available in DMS. • Documents will not leave DTP / IM premises during this processes, only electronic data (image of the requested document) will be transmitted to KB. • The process will be available only to selected roles.		
Main Input(s)	• Request for scanning of a document; • A record corresponding to and identifying the document in DMS; • User rights.		
Main Output(s)	• A new digital version of the document created (scanned document); • Paper document returned back to its original location after scanning;		

	• Scan delivered to the requestor via DMS, corresponding record updated with the new version of the document.
Operating Parameters	
Basic Process Flow	1. Requestor searches for a record corresponding to specific document, using DMS user interface. 2. Requestor fills in request for scanning a paper version of the document. The requestor can ask for multiple documents within one request. 3. The request is send either to DTP or to IM, according to the identification (box ID) and location of the paper document. 4. The request for scanning a paper document is processed (search, stock out, scan, return to archive) by DTP or IM according to the request. 5. DPT or IM send the newly created digital document to KB in agreed format, including required indexed. 6. KB receives the digital document from DPT / IM and inserts it into DMS, also updates the corresponding record based on the indexes filled in by DTP / IM. 7. The requestor is notified about the availability of scanned document. 8. Requestor confirms the takeover of the new digital document in DMS.
Open Issues	• Define user roles which will be allowed to request ad-hoc scanning of paper documents from DTP / IM archives. • Define and agree on SLA for the process with DTP and IM. • Agree on the format and way of transferring the new digital documents to from DTP / IM to KB. • Confirm whether received documents will be inserted into DMS automatically based on the indexes filled in by DTP / IM. If yes, agree on the indexes to be filled in by for each request, which will allow inserting of the digital document into DMS and update of the corresponding record.

6.1.2.20 Access to digital form of document

Process Name	**Access to digital form of document**	***Process ID***	***17***
SD Responsible	TBD		
Purpose	• To allow access to an existing digital version of documents. • The process is relevant for documents which already have a digital version available (true for most documents in the target operating model).		
Trigger Event(s)	• Need for access to the digital version of the document identified by a user.		
Common rules	• Users will be able to access digital version of document in the same place and through the same user interface regardless of the digital storage tier in which the actual file is located (for details, see process 11 - Archiving of digital form of document above). • This process and access to digital version of the document will be granted only to selected roles.		
Main Input(s)	• Digital version of the document; • A record corresponding to and identifying the document in DMS;		

	• User rights.
Main Output(s)	• Access to digital version of the document granted to the user (based on user rights). • Digital document available for viewing and/or for download.
Operating Parameters	
Basic Process Flow	1. Requestor searches for a record corresponding to specific document, using DMS user interface. 2. Requestor access the existing digital version of the document. 3. User views / downloads the selected digital document.
Open Issues	• Define user roles which will be allowed to access digital version of documents. • If relevant, define rules for specific user roles which need to met in order for them to have access to the document (e.g. the same region of the user and the underlying case, "obchodní případ", access only to documents related to cases initiated by the user, etc.) • Define and agree on SLA with DMS provider for access to documents stored in different digital storage tiers. • Confirm whether there will be any restrictions on the users' ability to download / print digital version of the document.

There was the analysis run in the Bank regarding the outsourced services provided by DTP that revealed some of the risk associated with the outsourcing of these activities – the detail of risk identified by the Bank as well as the mitigation of such risk is attached in the annex No. 9 Annex_9_ECM_DMS_Risk Analysis DTP services.

6.1.3 Processes Should Be: Client documentation processes – existing documentation

Approach and processes related to existing documentation (including one-time scanning, ad-hoc scanning and loan requests etc.) is described in the document *Annex_8_ECM_DMS_RFP_DTP_Zpracování dokumentace_Overview v8.doc*, chapter 4, attached to this PD Document as Annex 8.

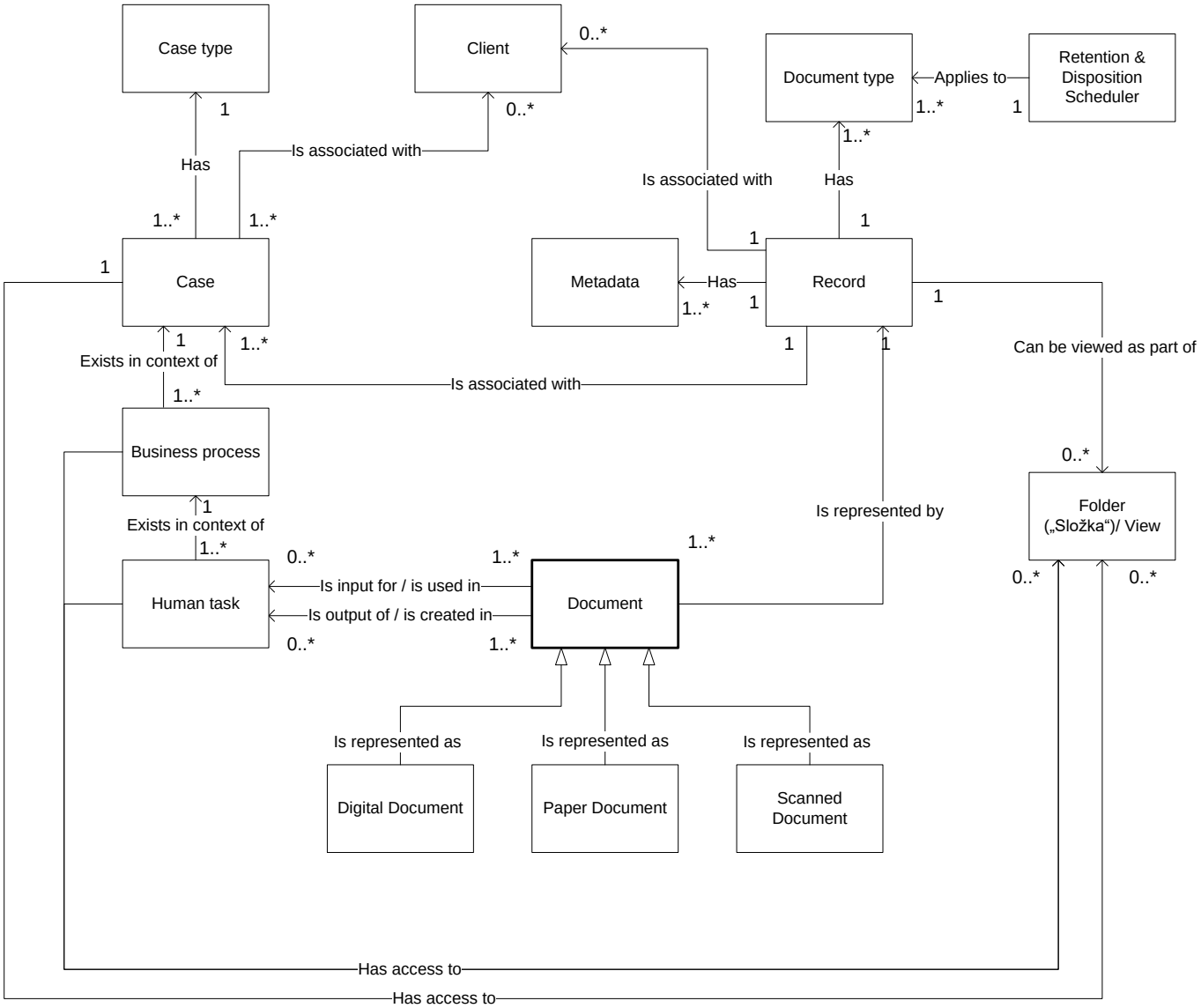
6.1.4 Processes Should Be: Other processes

Process ID	Process Name	Process Owner / Process Designer	Status	Test Required
NONCLIENT	Non-client document documentation processes are described in Annex_1_ECM_DMS_DIST & OPER_Target Design to this PD document. Further details and specifications are also described in Annex_5_ECM_DMS_RolesChanges.	TBD	C	Y
CONTROLLING	Controlling processes Changes to the Controlling processes (comparison of TSS documentation with data registered in KBI/ view DCS and processing of inconsistencies) is described in the document TSS procesy_20110830.vsd, attached to this PD document as Annex_13_ECM_DMS_TSS_specifikace.doc.	TBD	C	Y
SECINV	Securities inventory DTP shall be obliged to perform physical inventory of securities stored in strongboxes four times a year. DTP personnel will use barcodes scanning of the individual documents to create the list of securities which will be	TBD	C	Y

Process ID	Process Name	Process Owner / Process Designer	Status	Test Required
	afterwards sent to KB for analysis and reporting purposes. • In the target model, securities originated before the DMS implementation will be kept in CAPs and processed according to the current rules. However, securities created after the DMS implementation will be transferred together with the rest of the documentation into DTP and stored in safes there and the storage of these securities involves also the quarterly inventory taking (according to the as-is methodology). • During the SD phase, detail analysis shall be performed to analyze the options of automated inventory taking – i.e. once the bar code of securities are scanned in DTP, the required data shall be processed automatically – to avoid manual interventions – the question is if the application for automated processing should be DMS.			
TSS	TSS processes for a new client, creation of a new digital document for a business case (per product groups) as well as its rejection is described in Annex_13_ECM_DMS_TSS_specifikace.doc. Corresponding Requirements are described in the Annex_13_ECM_DMS_TSS_specifikace.doc.	TBD	C	Y

6.2 Business Entities

The following diagram shows the relevant business entities:



Entity name	Description	Comment / example
Document	Recorded information in electronic or paper form. Document can be managed as a Record.	If there are multiple versions of the same underlying document (e.g. electronic version, paper version, scan) these are considered as multiple documents – an electronic document, a paper document, a scan.
Record	Information (“záznam”) about existence of KB information asses in non-structured form (documents). A record may incorporate one or several documents.	Creation of record is initiated by the creation of first instance of a document in DMS (including in Draft state).
Metadata	Descriptive information about an underlying document and its specific instances.	Metadata can also include information about the associated business case, client, etc.
Document type	Type of document from Document catalogue.	Among other things, each document type has information about category of retention/ disposition period associated with it.
Retention & disposition scheduler	Existing register which defines categories of documents with specific retention/ disposition periods.	
Folder/View	Organizational element used for virtual	One record (and the underlying document) can be

Entity name	Description	Comment / example
("složka")	grouping of several records (and their underlying documents) for the purpose of viewing and working with them.	viewed in multiple folders/ views, such as Client, Product or Business process views.
Business process	Currently, business processes are a second-level processes in WMT. Business processes may contain several workflows.	Example: Interest rate renewal of a specific mortgage loan.
Human task	Specific type of activity within the workflow. There are two main types of tasks: Human task and Automatic tasks.	Example: Check data in KBI in the example above.
Case	Logical entity common to selected group of processes, referring all related business entities. It may thus serve as an intermediary between primary systems and business processes.	Example: Specific mortgage loan from the above example.
Case type	Type of specific case, which can be e.g. client or product based.	Example: Mortgage loan
Client	In the context of client documentation processes, client is the counterparty with which the associated case is arranged.	Client can be either an individual or an organization/corporation.

6.2.1 Entities States

BE ID	State Description

The following diagram displays the state diagram for documents/records in the DMS system:

Initial state
Final state

State ID	State Description
Draft	Purpose • Document is in working mode, the only state where versioning is allowed • Document can be deleted Possible triggers • Generally, new documents inserted into DMS will be in Draft state
Final	Purpose • The document has be finalized, no more updates/changes are allowed • However, the document has still not been sent into processing/workflow (e.g. the relevant case/deal has not yet been contracted) • Document can not be deleted Possible triggers • Either by finalizing a draft document or a document inserted into DMS with initial state Final
Published	Purpose • The document is final and is read to be / being processed by the appropriate workflow • Document can not be deleted Possible triggers • Information from a core system (e.g. KBI, CCDB, WMT) that the case/deal has been sold/contracted
Archived	Purpose • The document has finished its active life and its retention period has been started • Potential additional attributes to control the authorization of changing state – e.g. "hold" attribute to prevent disposal of a document in case of litigation

State ID	State Description
	• Some documents will be stored into DMS directly in archived state – e.g. databox messages Possible triggers • Information from a core system (e.g. KBI, CCDB, WMT) that the case/deal has been closed/ended
Disposed	Purpose • The retention period has elapsed and the document is deleted (and cannot be recovered) • Metadata (record) of the document shall remain in the DMS system • Potential additional attributes to control the real state of deletion may be used ("document ready for disposal" attribute to support deletion of the documents in regular batches, e.g. monthly/quarterly; attribute to control disposal of the paper form of the document) Possible triggers • Retention period has elapsed

Further common open points for SD:

- Exact definitions of rules connected with changes between states, automatic (i.e. system initiated) vs. manual (i.e. user initiated) handling
- Definitions of possible actions on documents in the given state
- Any change of state may (and probably will) induce changes of other attributes of the given record – e.g. change of access rights, movement of the document onto a different storage (tier)

6.3 Functional View

6.3.1 Functional Architecture AS IS

The current functional architecture is highly paper-based with very limited electronic processing of documents. With the introduction of DMS a completely new set of functionalities is being defined.

6.3.2 Functional Architecture TO BE

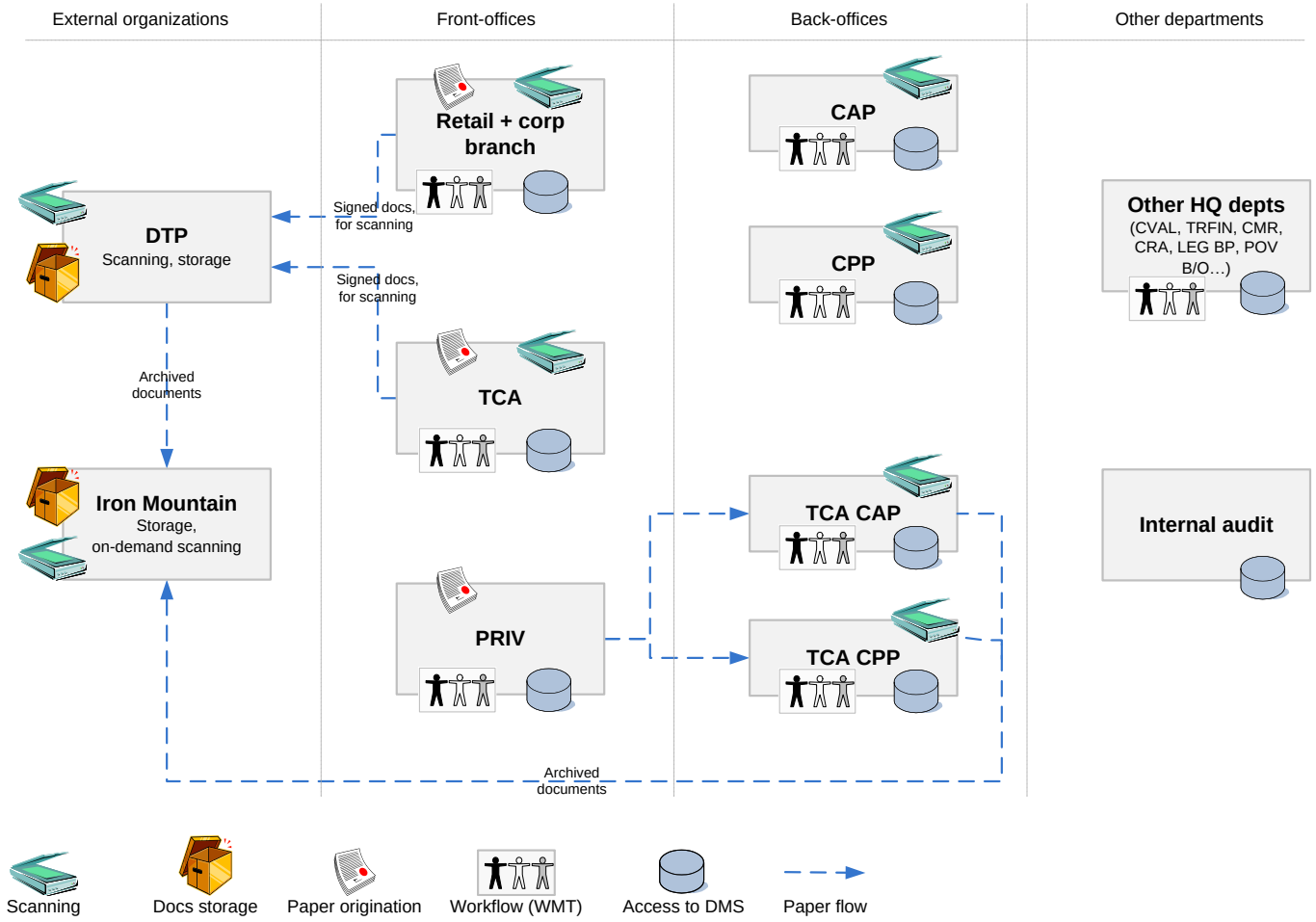
Key Principles of the Target Model

Key principle of the target model is that all documents needed for internal processing will circulate in electronic form only, documents created electronically would be deposited into DMS directly, paper documents will be scanned:

- **Digitally originated documents are printed only for legislative purposes** (e.g. contracts), internal documents are created, handled and processed only in electronic form.
- For all digitally originated documents, **only electronic version is used within the bank for further processing**.
- Whenever possible, the **printed version of digitally originated documents is registered and stored, but not scanned** (the main exception being the requests by RISK/AVR, which require copies with client signature as well as TCA which requires copies with signatures and specimen signatures).
- **For active products**, all paper documents are scanned (**complete client and deal file will be available in electronic form** for further processing). Some of these documents, which are not required to be archived physically for further processing by RISK/AVR, Legal, Accounting or any purpose necessitated by current legislation, are subsequently shredded. The rest of the paper documents are stored and archived as in the current model. In case of documentation of Top Corporations segment, all documents are supposed to be stored and archived as in the current model (i.e. storing for the document lifecycle and subsequently archived without any change to current model).
- **For passive products, only those paper documents which are needed for processing** of the request at the Passive Product Center **are scanned,** with the exception of documentation of Top Corporations segment where all paper documents are scanned (complete client and deal file will be available in electronic form). All paper documents are stored and archived as in the current model (i.e. storing for the document lifecycle and subsequently archived without any change to current model).
- To minimize the risks resulting from processing of requests based on electronic version of digitally originated documents, all such documents are checked for authenticity with the printed version. The check can be done at F/O or at DTP, before or after processing of the request.

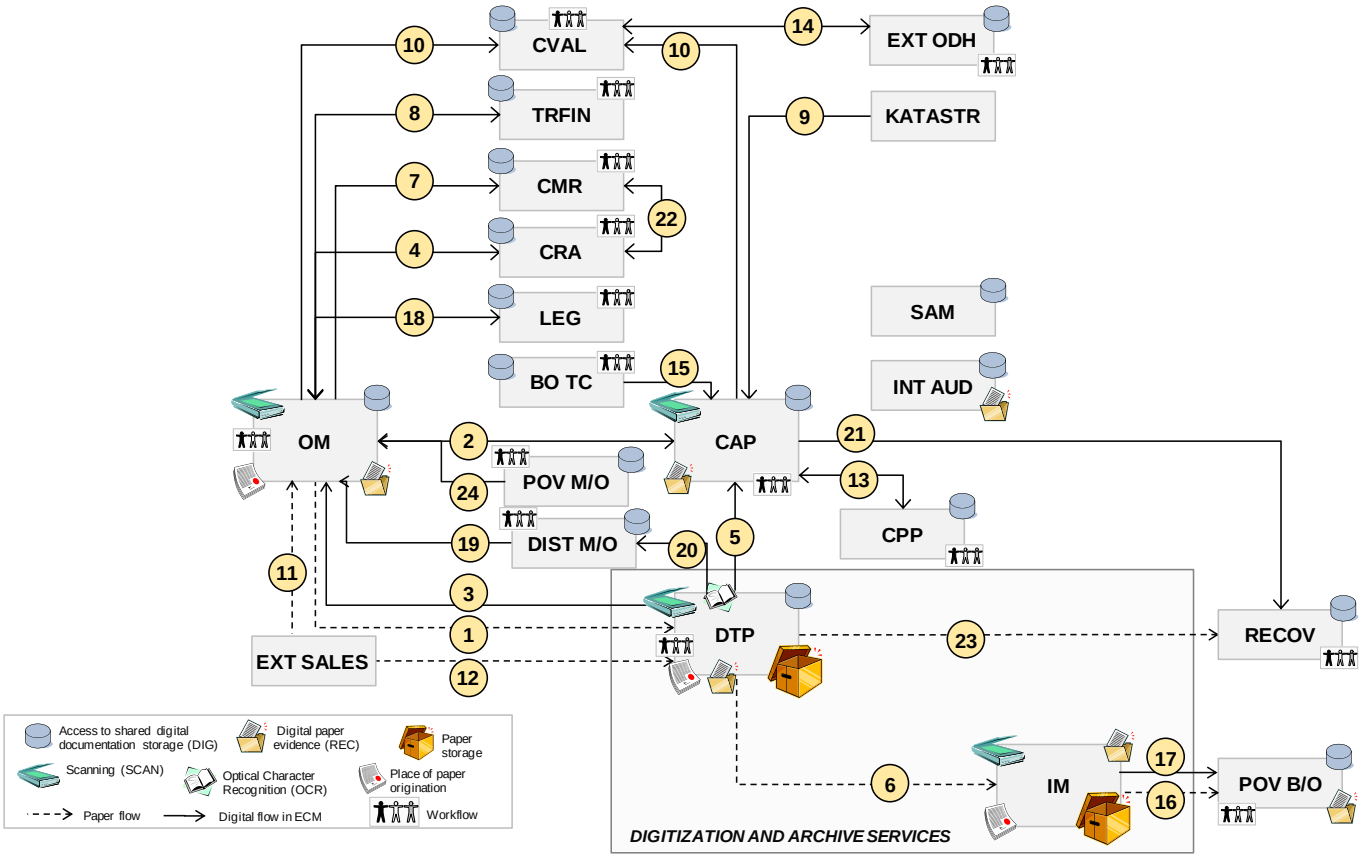
Client documentation as the key part of DMS solution – functional point of view

The client documentation processes form the vast majority of benefits brought by the DMS system. Functional view summary therefore displays functionality related esp. to these areas. Overall high-level view of key departments and their required functionality (for sake of simplicity the diagram does not display digital flows [WMT responsible for tasks, DMS responsible for documents] and also does not display all departments participating in DMS):



The processes and participating organizations differ for active and passive products. More details for each category are displayed on the two following schemas.

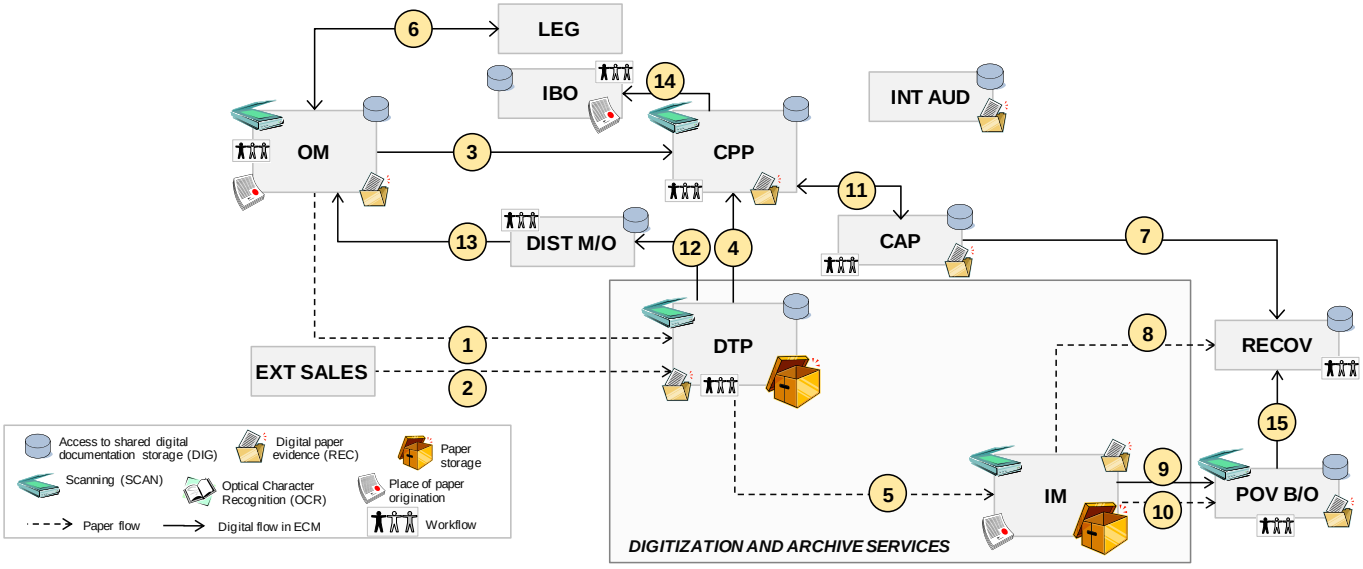
Active products – retail and corporate segment (client documentation):
New model in the processes of active products will reduce the costs on the paper documentation flow due to more efficient way of document sharing in the digital copy.



ID	Doc copy	Primary documents
1	P	Paper originated documents or paper copy of digitally originated documents
2	D	From CAP: Proposals of contract documents, from OM: Digitally originated documents or digital copy of paper originated documents for faster processing in CAP
3	D	Digital copy of paper originated documents for processing in OM
4	D	From OM: Documents for risk evaluation; from CRA: Documents with the risk evaluation results
5	D	Digital copy of paper originated documents for processing in CAP
6	P	Paper form of documents for archive storage
7	D	Notification of limit setting for deals on capital markets
8	D	From OM: documents for specialised processing of trade finance products; from TRFIN: Approved contract proposals
9	D	Documents from the Land Register in digital copy
10	D	Documents necessary for evaluation orders
11	P	Documentation of deal arrangements
12	P	Requests for products granting (namely KB products distributed through MPSS network except mortgage)
13	D	Documents for processing of overdrafts and allowed debits
14	D	From CVAL: documents necessary for evaluation; from EXT ODH: supplementary documents from clients related to properties
15	D	Contract documents and requests for deals agreed via internetbanking or call centre
16	P	Originals of active products documents for the purpose of internal controls or loans (“výpůjčka”)
17	D	Document copies of active products for the purpose of internal controls
18	D	Contract documents for the purpose of legal opinion obtaining for modification of standard

		contract version
19	D	Requests for products granting (namely KB products distributed through MPSS network except mortgage)
20	D	Requests for products granting (namely KB products distributed through MPSS network except mortgage)
21	D	Copies of active products documents for the purpose of recovery
22	D	Documents for processing of limits for trading on capital markets
23	P	Originals of active products documents for the purpose of recovery (sales)
24	D	Restruction proposals

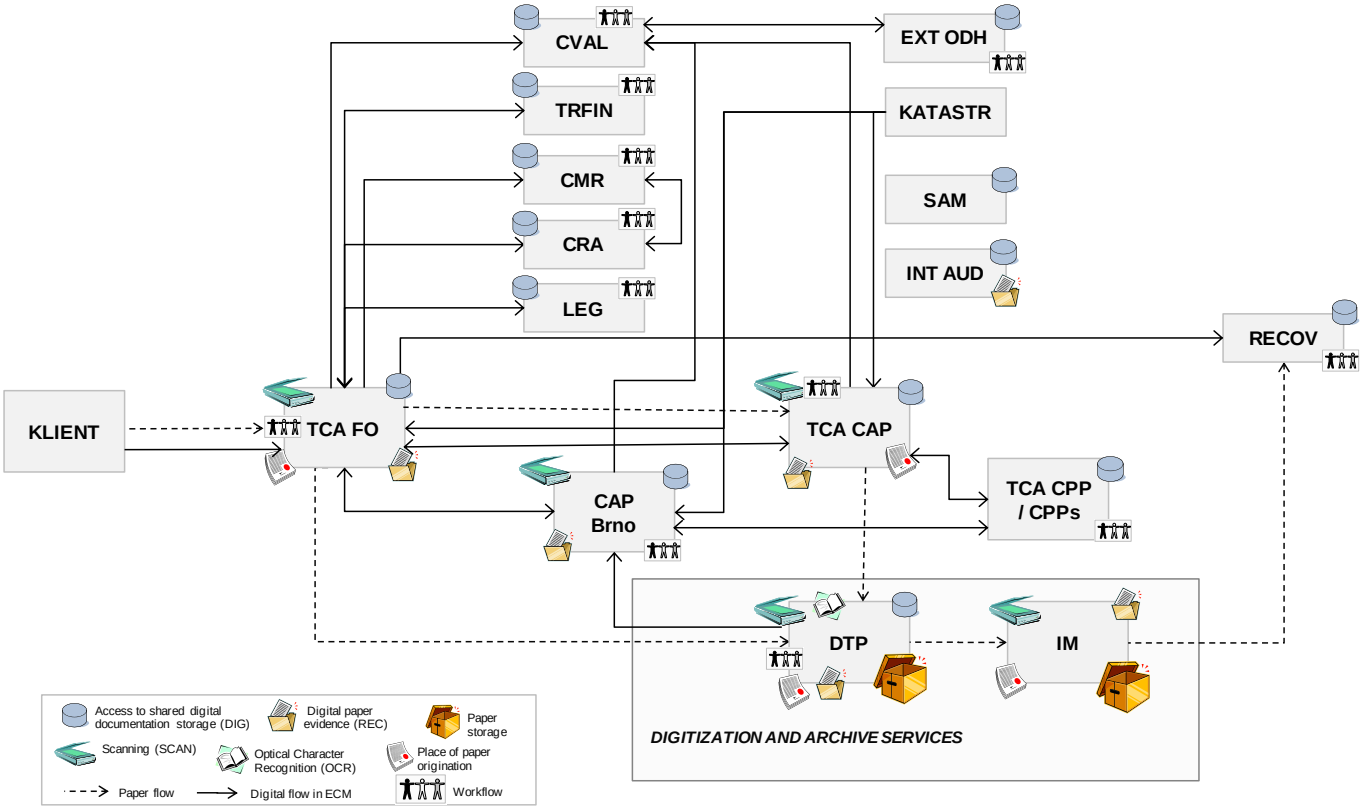
Passive products – retail and corporate segment (client documentation):
New model in the processes of passive products will reduce the costs of document records keeping in paper copy due to automation of data inputs and due to lower costs related to loans (“výpůjčka”) of paper copy of documentations being available in digital copy.



ID	Doc copy	Primary documents
1	P	Paper originated documents or paper copy of digitally originated documents
2	P	Requests for products granting (namely KB products distributed through MPSS network except mortgage)
3	D	Digitally originated documents or digital copy of paper originated documents for faster processing in CPP
4	D	Digital copy of paper originated documents for processing in CPP
5	P	Paper form of documents for archive storage
6	D	Contract documents for the purpose of legal opinion obtaining for modification of standard contract version
7	D	Copies of passive products documents for the purpose of recovery in case that client also have the active products
8	P	Originals of passive products documents for the purpose of recovery
9	D	Copies of passive products documents for the purpose of recovery
10	P	Originals of passive products documents for the purpose of internal controls or loans (“výpůjčka”)

11	D	Documents for processing of overdrafts and allowed debits
12	D	Requests for products granting (namely KB products distributed through MPSS network except mortgage)
13	D	Requests for products granting (namely KB products distributed through MPSS network except mortgage)
14	D	Documents for products of investment banking
15	D	Copies of passive products documents for the purpose of recovery in case that client does not have any active products

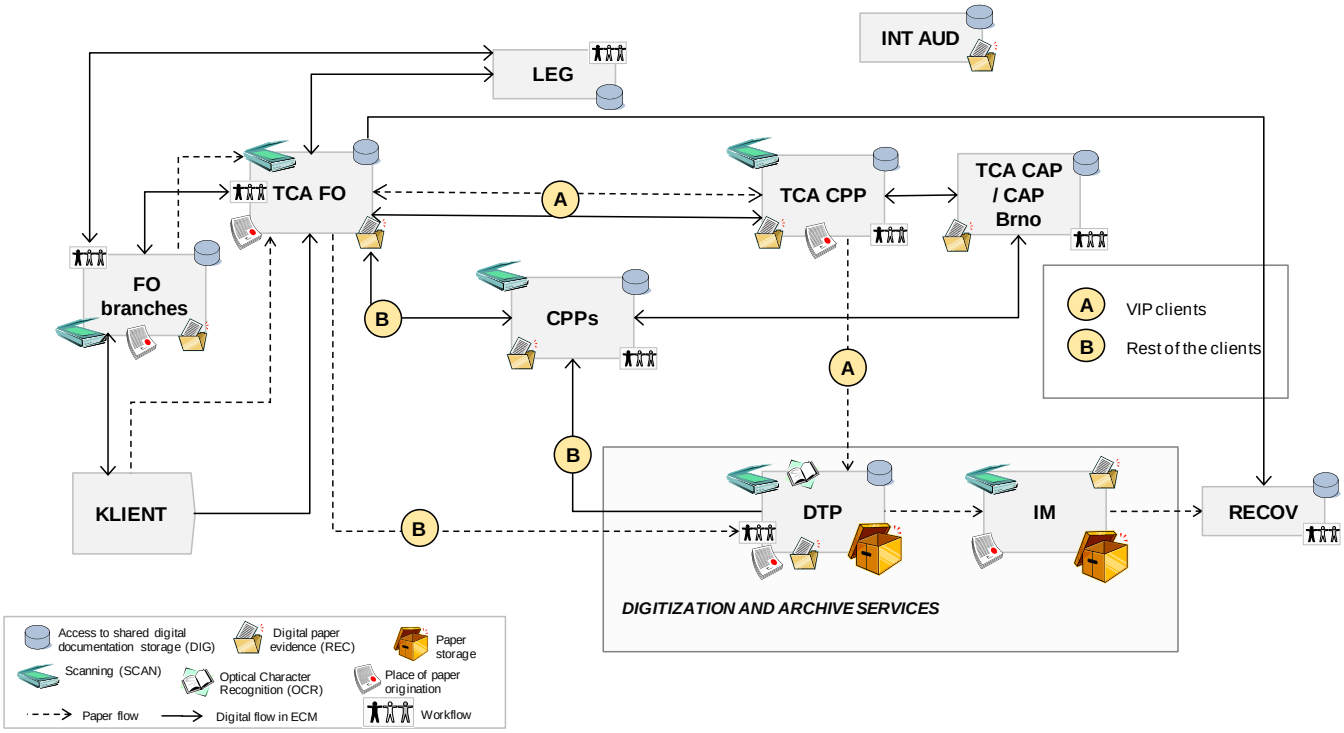
Active products – Top Corporations segment (client documentation):
ECM/DMS solution can either serve to TCA as digital storage - once the documentation is processed, all is sent to DTP where the active file is made complete into digital copy, paper copies are stored in DTP or in IM, or serve as workflow too.



Documentation flow:
1) Documentation between RISK departments (CRA, CMR, CVAL, EXT ODH) and TCA FO/TCA CAP/CAP Brno is all in digital flow, including the document uploading from the Land Register.
2) Documentation between Trade Finance department and TCA FO is all in digital flow.
3) Documentation between Legal department and TCA FO is all in digital flow.
4) Documentation from TCA FO to TCA CAP can be sent in digital copy but all the paper/physical docs will be transferred there too. Once the docs are processed in TCA CAP, all paper documentation is sent to DTP. DTP will scan paper docs (only the docs that were not originated from KB systems or were not scanned before) and will scan the page with signatures of RAS contracts and specimen signatures parts of all documentation (if not done before by TCA FO/TCA CAP) and will index the docs, if applicable.
5) Documentation sent from TCA FO to CAP Brno can also be sent digitally, but all paper/physical copies of docs being processed in CAP Brno will be sent to DTP, processed there accordingly (sorting, scanning, confirmation of correspondence of digital and paper copy etc.), afterwards docs will be processed in CAP Brno from its digital copy

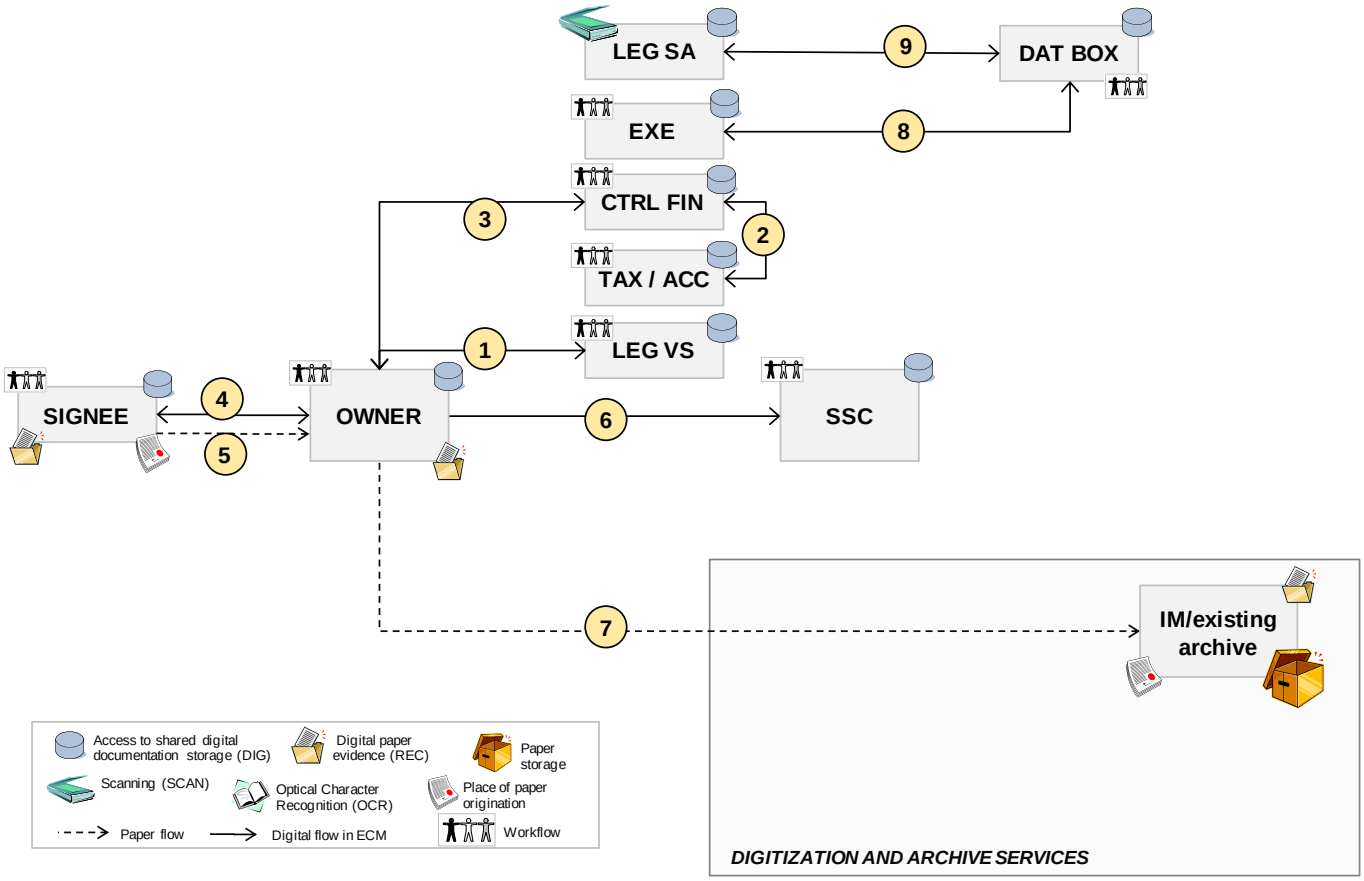
– if not done the previous day in urgent cases (same rules as for the docs of other segments processed in CAP Brno).
6) After processing in DTP where the operational storage of docs is, all docs are sent to Iron Mountain.
7) In case of transfer of TCA clients to AVR: TCA FO will collect all the necessary docs for AVR department (RECOV), the paper originals will be sent to AVR department from IM or DTP operational storage.

Passive products – Top Corporations segment (client documentation):
ECM/DMS solution can either serve to TCA as digital storage - once the documentation is processed, all is sent to DTP where the passive file is made complete into digital copy, paper copies are stored there or in IM, or serve as workflow as well.



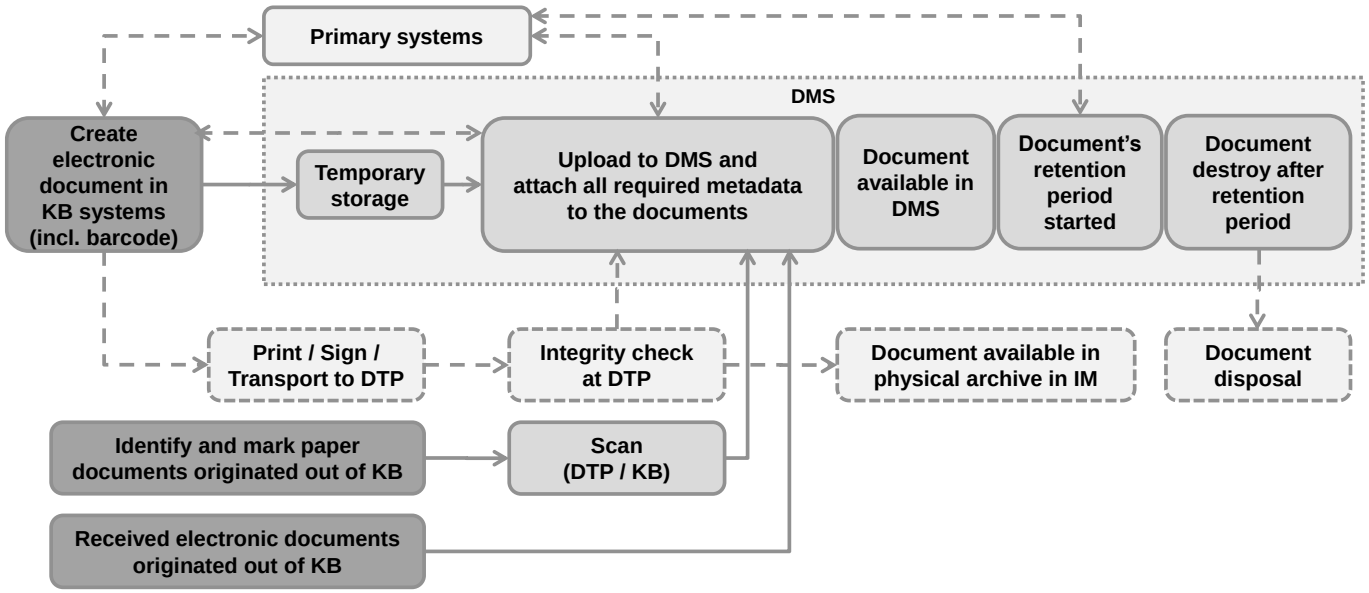
Documentation flow:
1) Documentation between Legal department and TCA FO/FO branches is all in digital flow.
2) Documentation of VIP clients (ca. 200 clients) from TCA FO to TCA CPP can be sent in digital copy and all the paper/physical docs will be transferred there too. Once the docs are processed in TCA CPP, all paper documentation is sent to DTP. DTP will scan paper docs (only the docs that were not originated from KB systems or were not scanned before) and will scan the specimen signatures parts of all documentation (if not done before by TCA FO/TCA CPP) and will index the docs, if applicable.
3) Documentation of the rest of TCA clients (ca. 800 clients) can also be sent digitally from TCA FO to CPPs, but all paper/physical copies of docs will be sent to DTP, processed there accordingly (sorting, scanning, confirmation of correspondence of digital and paper copy etc.), afterwards docs will be processed in CPPs only from its digital copy – if not done the previous day in urgent cases (same rules as for the docs of other segments processed in CPPs).
4) After processing in DTP where the operational storage of docs is, all docs are sent to Iron Mountain.
5) In case of transfer of TCA clients to AVR: TCA FO will collect all the necessary docs for AVR department (RECOV), the paper originals will be sent to AVR department from IM or DTP operational storage

Non-client documentation:
New model of non-client documentation circulation will reduce the costs for operations of current digital storages of non-client documentation due to its replacement by ECM tools that will be used for client KB documentation.



ID	Doc copy	Primary documents
1	D	Contract documents for the purpose of legal opinion obtaining for modification of standard contract version
2	D	Contract documents for the purpose of tax and accounting opinion obtaining
3	D	Contract documents for the purpose of opinion and approval obtaining of other FIN departments
4	D	Digital copy of contract documentation to be signed by authorized KB department and giving it back to the contract owner
5	P	Signed paper copy of contract documents back to the contract owner for counterparty signature securing
6	D	Digital copy of contract document signed by the counterparty for processing in SSC
7	P	Paper copy of contract document signed by the counterparty for storage
8	D	Exchange of data boxes between Execution department and interface for data boxes
9	D	Exchange of data boxes between legal department „Litigation Agenda“ and interface for data boxes

Basic schema for document / information flow between DMS and DTP scanning centre
The following schema introduces high-level point of view:



More details on design of the to-be functional architecture is described in annexes to this PD document.

- Annex_1_ECM_DMS_DIST & OPER_Target Design.ppt (i.e. client documentation of retail and corporate segment as well as non-client documentation)
- Annex_2_ECM_DMS_TCA_Target Design.ppt (i.e. client documetantation of TCA segment)
- Annex_15_ECM_DMS_PRIV_Operating Model (i.e. operating model for PRIV segment)
- Annex_5_ECM_DMS_RolesChanges_v11_00.doc (i.e. changes in user roles/departments involved into ECM/DMS solution)
- Annex_14_DMS_ECM_Utvary.xls (i.e. structured description of To-Be involvement of deparments into ECM/DMS solution)

6.3.3 High-level use cases

Based on the processes documented in chapter 6.1, the following high-level use cases were identified:

Process ID	ID	UC type	Description	More detailed description	Status	Relevant systems	Other relevant Ucs	Open points for SD
01	01.01	User	Create a digital document (in one of the relevant applications)	The individual systems that will insert documents into DMS shall be updated to ensure that the created documents and inline with requirements from DMS. These shall especially be: assignment of a unique ID/barcode using IGS (it is the responsibility of the calling application to assign a proper barcode), assignment to a proper case (WMT), assignment of the required set of metadata (which may be gathered automatically or entered by the user).	C	WMT, TSS3, MSWord templates, +other applications	IGS-GEN, WMT-CASE, DMS-INS, WMT-EVT	Details of changes in individual relevant applications
01	WMT-CASE	System	Create a case in WMT or retrieve an existing one	Create a case or retrieve an existing one in WMT by the calling application so that a document to be inserted into DMS can be assigned to the proper case to allow its processing using WMT	C/N	WMT, TSS3, MSWord templates, +other applications	-	Will all applications assign documents to cases?
01	DMS-INS	System	Insert a digital document into DMS, including metadata	Store the created document into DMS using a defined universal service. The calling system will need to provide all the required input parameters, such as ID/barcode in the document, WMT case and other required set of metadata. If the document is inserted with a non-final state, the process may be followed by collaboration usecases.	N	DMS, TSS3, MSWord templates, +other applications	-	Details of required metadata, may differ for different document types Check that non-final documents will be inserted from applications as system use cases
01	WMT-EVT	System	Signal event to WMT that a document was inserted into DMS	DMS will send an event to WMT that such a document has been inserted into DMS so that WMT can trigger further flow of the process relevant to the document	N	DMS, WMT	-	Conditions when WMT shall be informed about the inserted documents (may not need to be done always)
02	02.01	User	Register paper document into DMS	The user enters all required data about the document into DMS (all relevant metadata & indexes, scans the barcode [if any], for urgent cases the user can also scan the content of the document on a local scanner and insert the scan itself).	N	DMS	WMT-EVT	-
02	02.02	User	Register paper document into DMS - urgent	For urgent cases/documents, the KB user makes the document scan itself - using the local application (same as in ASIS). The user also uploads the scan of the document as in process	N	DMS	03.01	-

Process ID	ID	UC type	Description	More detailed description	Status	Relevant systems	Other relevant Ucs	Open points for SD
				"03.01".				
03	03.01	User	Register digital document into DMS	The user enters all required data about the document into DMS (all relevant metadata & indexes) and inserts/uploads the digital file of the document.	N	DMS	WMT-EVT	-
04	04.01a	User	Collaboration on a digital document - "free"	During PD phase it is assumed that collaboration on a digital document may be managed for some cases and for somoe cases not managed "free". The free collaboration shall consist of the following steps: 1) Create a document and mark the next user to make comments (either by an attribute in DMS or by pure email). Additional metadata for the document may be set as well (e.g. access rights). 2) The next user will make his/her comments and potentially pass the document to the next user. 3) The last user will make the final comments, approve them and updates the document to next state (final and/or published are the target states where collaboration ends).	N	DMS	WMT-EVT	Whether the managed or free collaboration on the document will be decided in SD phase. Details on versionong shall also be coverd in SD phase. Details of collaboration features to be used (versioning, annotations) will be detailed during SD phase.
04	04.01b	User	Collaboration on a digital document - managed	The managed version of the collaboration shall reuse the functionality of the underlying DMS platform. The steps shall be following: 1) Create the document and select or define the workflow associated with this document (the workflow may be selected by the system automatically based on the type of document). 2) Individual relevant users (or roles) will make comments/changes to the document. 3) Once the whole workflow has been finished, the document will be passed into the relevant state (final/published).	N	DMS	WMT-EVT	Whether the managed or free collaboration on the document will be decided in SD phase. Details on versionong shall also be coverd in SD phase. Details of collaboration features to be used (versioning, annotations) will be detailed during SD phase.
05	05.01a	User	Print document in DMS	Document will be printed directly using the underlying DMS layer; document metadata may be updated accordingly. Potential options for forbid printing of documents are discussed in separater chapter and are to be finally decided during SD phase.	N	DMS	-	Will printing be done only from original applications or also from DMS? Potential locking against printing - options to be resolved in SD.

Process ID	ID	UC type	Description	More detailed description	Status	Relevant systems	Other relevant Ucs	Open points for SD
05	05.01b	User	Print a document (in one of the relevant applications)	The originating application will be used to print the document. Potential options for forbid printing of documents are discussed in separater chapter and are to be finally decided during SD phase.	C	TSS3, MSWord templates + other apps	-	Will printing be done only from original applications or also from DMS? Potential locking against printing - options to be resolved in SD.
06	06.01	User	Prepare documentation for transport to DTP	The user updates the relevant metadata of the given records in DMS when preparing for sending paper documents to DTP - barcode scanning shall be used to make the process efficient.	N	DMS, DTP, B2B	06.02	Relevant detailed metadata
06	06.02	System	DMS sends metadata about transported documents to DTP	The documents prepared for sending in 06.01 will be send by DMS to DTP including the metadata relevant for DTP (based on the need to know principle) using B2B gateway. The relevant metadata shall also contain information how DTP shall process the individual documents (e.g. integrity check only, scan the last page with a signature, scan the whole document).	N	DMS, DTP, B2B	-	Relevant detailed metadata
07	07.01	User	Takover of documentation at DTP	The DTP personnel take overs the received documentation and processes it according to the requested parameters. This usecase (done at DTP and not having direct impact into KB) is followed by the 08.01 usecase.	N	DTP	08.01	-
08	08.01	System	DTP sends metadata about processed documents to DMS	After takeover at DTP, integrity check and processing of the incoming paper documents, DTP sends back through B2B to DMS information about the results (scanned content, new indexes to documents, result of integration check, information about potential errors [lost documents, unreadable, ...], etc.). DMS may not necessarily contain detailed information about where the document is stored in DTP.	N	DMS, DTP, B2B	WMT-EVT	Relevant detailed metadata
09	09.01	User	Process document content from DMS	The back-offices (and possibly other centralized departments) will use WMT and potentially other applications to retrieve content of the relevant documents and process it accordingly in the respective applications. This use-case is changed so that newly tasks will be managed by WMT processes and documents' content will be provided only in digital form from DMS. The user will primarily use WMT front-end (however, for some segments/products WMT may not be used at all).	C	WMT, DMS	-	-

Process ID	ID	UC type	Description	More detailed description	Status	Relevant systems	Other relevant Ucs	Open points for SD
11	11.01	System	Trigger archived state for digital documents (auto)	Based on information from primary system(s) such as TSS3/CCDB/WMT, state of relevant document(s) will be updated to archived and the document will be move to archived storage. This may also be connected with update of document's metadata, including access rights. It is expected that the calling system for DMS will be WMT; DMS will not contain business logic that should automatically archive files.	N	DMS, WMT	WMT-RET	Definition for which documents automatic triggering will be made and what will be the calling systems for DMS (currently only WMT is assumed).
11	11.02	User	Trigger archived state for digital documents (manual)	As not all document types will be supprted with automatic triggering of retention period, this use case is an analogy to the automatic one, only it is started manually by a competent user.	N	DMS	-	Definition for which documents manual triggering will be made.
12	12.01	System	DMS sends information about archiving period start to DTP	Based on processes 11.01 and 11.02 DMS sends the relevant data to DTP about the need to archive documents and that DTP shall prepare and transport the documents into IM.	N	DMS, DTP, B2B	REP-EDTP	-
12	12.02	System	DTP sends back information about documents sent to IM	Based on 12.01 DTP will take care about packaging the documents and preparation for transport to IM. DTP sends back to DMS information about what happened to the documents to update the relevant metadata in DMS.	N	DMS, DTP, B2B	REP-EDTP	-
12	12.03	System	DMS sends information transported documents sent to IM	Based on 12.02 DMS sends information to IM that the given documents are being transported to IM.	N	DMS, IM, B2B	REP-EIM	To check if can be done without a new interface between IM and DMS (i.e. manually as in current status)
12	12.04	System	IM sends information about received documents to DMS	Based on 12.03 IM sends to DMS the information about incoming documents to be archived. Relevant metadata in DMS are updated accordingly.	N	DMS, IM, B2B	REP-EIM	To check if can be done without a new interface between IM and DMS (i.e. manually as in current status)

Process ID	ID	UC type	Description	More detailed description	Status	Relevant systems	Other relevant Ucs	Open points for SD
13	13.01	User	Shredding of digital documents	Responsible user will use a special functionality / report to confirm that digital documents which have passed their retention period will be shredded (i.e. unrecoverably deleted). The process may include various checks (e.g. no litigations are being held relevant to this document) and a specific approval process may exist (it will not be implemented on DMS layer).	N	DMS	-	Details of the approval process and checks Shall the whole record be deleted or content only? Shall draft/temp documents be completely deleted?
14	14.01	User	Shredding of paper documents	Responsible user will use a special functionality / report to select paper documents about to be shredded. The process (all the relevant checks, approvals, ...) will be same as the current process. Finally IM will receive from KB instructions on what to do with what documents.	C	DMS, IM, B2B	-	To check if can be done without a new interface between IM and DMS (i.e. manually as in current status)
14	14.02	System	IM sends information about shredding of paper documents	Based on 14.01 IM sends to DMS information about what happened with which documents to update the relevant metadata in DMS.	N	DMS, IM, B2B	-	To check if can be done without a new interface between IM and DMS (i.e. manually as in current status)
15	15.01	User	Borrow paper form of document	DMS will allow users borrowing the paper forms of documents. The process will be controlled by respective metadata in the document's record. Approval workflow for borrowing documents: the current PD assumption is that the access will be managed through a table of document type and a list of roles that are able to borrow the document.	N	DMS	-	Will there be a formal workflow used for borrowing documents?
15	15.02	System	DMS sends information to DTP/IM about borrowing request	The DMS will send data relevant to the process of borrowing paper form of document from DTP/IM (i.e. the user requested the paper form).	N	DMS, DTP/IM, B2B	-	
15	15.03	System	DTP/IM returns results of borrowing request	DTP/IM returns the result of the request and sends back information that the document has been sent to KB and is currently not in posession of DTP/IM.	N	DMS, DTP/IM, B2B	NOS01	

Process ID	ID	UC type	Description	More detailed description	Status	Relevant systems	Other relevant Ucs	Open points for SD
15	15.04	User	Return borrowed paper form of document	Once the end-user has finished processing with the paper form of the document, he/she will indicate via. DMS that the paper form has been sent back to DTP/IM. UCs 15.02 and 15.03 will be used for communication between DMS and DTP/IM.	N	DMS	-	-
16	16.01	User	Request a document scan	DMS will allow users request scanning a paper-only document. The scan will be performed by DTP or IM, based on the current placement of the document. Processes 16.02 or 16.03 will be used for that purpose. The user will find the scanned image within the document record; may also be notified by DMS that the scan has arrived.	N	DMS	NOS01	-
16	16.02	System	DMS sends information to DTP/IM about document scan request	Similarly as for 15.02, only this UC is relevant for document scan.	N	DMS, DTP/IM, B2B	-	
16	16.03	System	DTP/IM returns results of document scan request	Similarly as for 15.03, only this UC is relevant for document scan.	N	DMS, DTP/IM, B2B	NOS01	
17	17.01	User	Search for a document	The core functionality by the DMS platform allows users to search and access all documents. Individual actions will be controlled by access rights. DMS GUI may be used as the front-end, but the original core KB applications are encouraged to be the primary way of accessing documents in DMS (e.g. the application opens a given URL that allows direct working with the document)	N	DMS	-	-
17	17.02	User	Edit a document	One of the core functionality by the DMS platform allowing users to edit the documents; security restrictions based on access rights will apply.	N	DMS	-	
17	DMS-UMU	User	Edit metadata of a document	The users may need to update only the metadata of a document rather than changing its content. Security restrictions based on access rights will apply. During SD phase, details will be specified what metadata in which states can be updated, how and by what roles.	N	DMS	-	Details on metadata will be specified during SD.

Process ID	ID	UC type	Description	More detailed description	Status	Relevant systems	Other relevant Ucs	Open points for SD
17	DMS-UMS	System	Update document metadata	An external system updates the metadata for a document in DMS.	N	DMS, TSS3 + applications inserting documents	-	
All	ADS-EVT	System	Audit events and operationsperformed in DMS	Activities performed by users and/or systems in DMS will generally be audited into the common ADS service. This common use case may be part almost all other usecases listed here.	N	DMS, ADS	-	Detailed list of audited events will be specified in SD phase.
n/a	ADS-REP	User	Reporting on audited events	Standard ADS reporting and evaluation will be extended with DMS specific information.	C	ADS	-	
n/a	NOS01	System	Notify event in DMS	Selected events which happen in DMS will be notified to end-users through the common NOS notification service.	N	DMS, NOS	-	List of notified events
01	IGS-GEN	System	Generation of document ID / barcode in IGS	Documents inserted into DMS will be assigned a unique ID and/or barcode to allow simplified further processing and identification between digital nad paper copy of the document.	N	IGS, TSS3, MSWord templates	-	List of document types where ID/barcode are obligatory (this may impact applications needing interface to IGS)
n/a	LOV-ADM	User	Administer lists of values	Nominated power users will administer the relevant lists of values in the DMS system (e.g. document types, metadata obligatory/optional, etc.).	N	DMS	-	Details of all list of values, what are private (DMS only) and public parts
n/a	LOV-PUB	System	Publish lists of values from DMS to CSC	DMS publishes public parts of list of values to central lists of values CSC where they will be at disposal for other KB applications.	N	DMS, CSC	-	
n/a	LOV-APPS	System	Synchronize lists of values from CSC to apps	Synchronize the relevant lists of values needed for communication with DMS - from CSC to all the relevant applications.	N	CSC, TSS3 + applications inserting documents	-	
n/a	LOV-DMS	System	Synchronize lists of values from CSC to DMS	DMS shall need standard lists of values from CSC, periodical batch synchronization is expected	N	CSC, CMS	-	Details of required LOVs
n/a	STMP01	System	Restamp documents that where digital signatures will expire soon	Stamper component will periodically check documents that are digitally signed and need restamping due to the signature expiring. Restamping by both internal (e.g. DCS documents) and external (e.g. D-Box documents) certification authority shall be supported.	N	Stamper, DMS, PKI	-	

Process ID	ID	UC type	Description	More detailed description	Status	Relevant systems	Other relevant Ucs	Open points for SD
n/a	STMP02	System	Prove validity of document's digital signature	For digitally signed documents where the certificate has already expired, provide means of verification that a restamped information (proving validity of the document) exists	N	Stamper, DMS, PKI	-	
Controlling	CONT01	System	Controlling process	TSS3 compares data from DMS (document metadata, inserted also by DTP), TSS3 internal data and KBI data relevant for the given document. TSS3 will generate WMT tasks to perform corrective actions for the inconsistencies found (during these tasks the user may need to update metadata of the document in DMS).	N	TSS3, DMS, WMT	DMS-UMx	
Securities inventory	INV01	System	Inventorying of securities - transfer from DTP	DTP shall be obliged to perform physical inventory of securities stored in strongboxes. DTP will scan barcodes of the securities documents stored and send them through B2B to DMS.	N	DMS, DTP, B2B	INV-REP	Details of the inventorying process
Securities inventory	INV02	System	Collateral reconciliation	DMS shall be able to update document records based on reconciliation with existing systems, e.g. with CCDB or integration with Bagman for collateral´s inventarization	N	DMS, Bagman	INV-REP	Details of the inventorying process
n/a	REP-INV	User	Inventory reports	DMS will be able to provide the end-users with reports regarding the inventorying process (securities, collaterals, etc.)	N	DMS	-	Details of the inventorying process
n/a	REP-AUD	User	Reporting for audit purposes	• detection of discrepancies between the products that were originated in KB systems but the documentation of such products never arrived into back-offices to be processed, i.e. no paper evidence of such products (fraud suspicion) • detail specification of these reports will be defined in SD phase (probably DWH reports?)	N	DMS, DWH	DWH01	
n/a	DWH01	System	Transfer relevant data to DWH	Transfer selected relevant data from DMS to DWH to be used further for potential reporting purposes	N	DMS, DWH	-	
n/a	REP-SLA	User	Reporting of SLAs	View report(s) with the aim of evaluation of SLAs with DTP (and/or IM) – no need for online reporting, probably DWH reports	N	DMS, DWH	DWH01	

Process ID	ID	UC type	Description	More detailed description	Status	Relevant systems	Other relevant Ucs	Open points for SD
n/a	REP-EDTP	User	Reporting of DTP related errors	User reports dedicated to help resolving errors related to DTP. Possible situations are: - inconsistency of documents sent from F/O and received in DTP - inconsistency of documents sent from F/O and metadata sent back from DTP - inconsistency of ducuments sent to IM and reported from IM - no reactions on borrowing / scanning requests	N	DMS	-	
n/a	REP-EIM	User	Reporting of IM related errors	User reports dedicated to help resolving errors related to DTP. Possible situations are: - inconsistency of ducuments sent to IM and reported from IM - no reactions on borrowing / scanning requests	N	DMS	-	
n/a	WMT-RET	System	Set document(s) retention period	After a premature cancellation of an application, documents in that case are set with a retention period start - the activity is started by TSS3 user action, and managed by WMT	N	WMT, DMS	-	
n/a	WMT-DEL	System	Delete documents in a working folder	The user in TSS3 has decided to cancel a new product or service - WMT deletes the respective case and signals DMS to delete the working documents	N	WMT, DMS	-	
n/a	ITIM01	System	Manage user roles	ITIM will be used as the primary manager of roles for end-users within DMS	N	ITIM, DMS	-	
n/a	ROKP01	System	Read signature specimens	The ROK-P application will read the signature specimens from DMS rather than from local scanners (as an image). The rest of the processing will remain.	C	ROK-P, DMS	-	Potential increased security regarding documents with signature specimens.
n/a	DBOX01	System	Store archived databox messages to DMS	The D-BOX will store the already processed messages into DMS with corresponding minimum metadata.	N	DMS, DBOX	-	
n/a	DBOX02	System	Retrieve archived databox message	DMS will provide service for D-BOX to retrieve archived message; searching of messages (or archives) will be done only in D-BOX, DMS will provide only minimum metadata.	N	DMS, DBOX	-	
n/a	PRTSC01	User	Take a screen copy and store it into DMS	The user will take take a snaphost of current screen (window) and will be allowed to directly store it into DMS with relevant obligatory metadata.	N	DMS, PrintScreen	DMS-INS	

6.3.4 Other functional aspects

This chapter was added to the template of the PD document in order to clarify various other aspects of the planned solution. It summarizes especially selected topics which received a lot of attention during the SD phase and were discussed on a number of meetings.

6.3.4.1 Basic DMS principles

There are several key principles that shall be adhered to during the DMS solution design and extending:

- DMS shall serve as storage of documents for other KB applications.
- Documents shall be accompanied by metadata allowing efficient handling and processing of the content stored and allowing end-users efficiently use it.
    - The metadata shall be kept to minimum possible size (there is currently no fixed limit on number of metadata attributes that can be assigned to a document type).
    - The metadata shall not contain duplication of information from primary systems to avoid need of synchronization with primary systems (and possible inconsistencies).
- Documents that will be handled by DTP in paper form shall contain a unique bar-code identifier.
    - Applications inserting documents into DMS are responsible for assigning proper barcodes.
- DMS shall not contain any business logic. The business logic will be supplied by primary systems/applications; via defined services applications will be allowed to change metadata and attributes assigned to the content stored in DMS.
- Workflow shall be handled by WMT engine.
    - Possible exceptions can be made for collaboration on creation of documents where support by DMS can be efficiently used (internal simplistic workflow).

6.3.4.2 Interaction between DMS and WMT

Current solution design assumes the following principles:

- Starting of WMT tasks is in the responsibility of:
    - applications inserting documents into DMS¨
    - manually by the end-users
- Task management for individual end-users in WMT will be controlled by existing WMT3 algorithms (after practical experience from WMT3, review/update may be needed on WMT)
- Potential manual interventions by the team-leaders shall be available based on the operational reporting – please find in the chapter 6.3.4.9.

6.3.4.3 Document formats

The solution shall support various differing document types

- The following formats shall be supported at minimum:
    - MS Office formats
        - Word, Excel, PowerPoint
        - Various versions of MS Office formats shall be supported (e.g. both DOC and DOCX)
    - Image scans (during SD it will be determined [probably also in cooperation with DTP scanning center] whether that will be TIFF or PDF)
    - PDF
- At the point of finishing PD phase, no limitations on document formats are expected. Detailed verification of this assumption will be performed during SD phase, but still considering the above mentioned requirement as minimum.

6.3.4.4 Taxonomy

Different groups of end-users will require different view on the content stored in DMS - the solution shall support multiple different taxonomies. In this context following possibilities were discussed and considered during PD; during SD phase this will be analyzed in more detail from the point of end-users requirements and comfort and also from the point of solution feasibility and operability.

Possible approach from distribution / operations point of view:

- Level 0: selection of relevant department/team, if applicable
- Level 1: client search (possibility to switch from TSS to DMS would be a help)
- Level 2: product search (possibility to switch from TSS to DMS would be a help)
  - on the level of products, there can be some business opportunities that will not be converted into business
- Level 3: documents search
  - documents can be bundled into categories/groups (for example: •contracts, amendments/changes, collateral, evaluation, other)
  - Possibility to sort and filter according to selected criteria/parameters (e.g. user that stored/inserted the document into DMS, date/time, document name etc.).
  - There are documents like framework agreement ("RAS") that covers several products.
  - There are documents that are related to several products (like collateral) and vice versa, i.e. N:N relations.
  - Situation when there is some new documentation that can not be directly assigned to a product can occur. Therefore, it is recommended during the SD phase to analyse the options of categorization of such documents (when, where and how - e.g. by inserting manually/automatically some metadata like the number of credit account that is a unique identification of a product).
  - There will also be some documentation to the products that were not finally approved and activated – therefore, the differentiation of approved and not-approved cases would be helpful (because some documentation "proposal" will not have to be transferred into a contract or because the client will not sign the printed contract). It must be decided during the SD phase how to treat such documentation (whether to store it in DMS).
  - Termination/start of the retention period shall be solved for the cases when the whole file was terminated or just certain documentation in an active file – SD phase should answer the main questions: how - automatically, semi-automatically or manually and when.

Other departments may have different requirements and priorities – specific hierarchy approaches can be created for them.

There are some principles based on which the taxonomies will be built:

- Each document will be stored just once in DMS (though from a user's point of view it may appear in various "folders")
- The taxonomies will be built based on relevant metadata / attributes of the documents.

6.3.4.5 Access control

All users' access to DMS, documents and documents metadata will be governed, controlled and audited by access rights. As part of the SD phase, the detailed definition of access user rights to documentation stored in DMS will be performed:

- Restriction will be influenced by the requirements to access only the documentation needed vs. complication with too difficult access setting that could negatively influence client service (e.g. retail segment serving the corporate clients too or clients from other branches, there are clients with secondary service etc.),
- Restriction could differ in segments (less strict control in retail + corporate vs. complicated access rights for TCA segment (on the level of relationship manager or team) or Private clients),
- Different activities will be allowed to different roles – possibility to edit document content, view document content, view only attributes / metadata (i.e. without the content).
- Audit department will have a specific access rights to the DMS content – detail are to be specified in SD phase (option 1: audit has access everywhere by default;, option 2: audit will be granted access to specific content based on audit activities being performed)

6.3.4.6 Collaboration on creation of documents

It is expected that in various use-cases there will be several end-users working together on creation the final state document. The details for which cases what options will be available for end-users will be decided during SD phases. For now it shall be assumed that the following shall be implemented within the solution:

- "Free" collaboration on a document – there will be no fixed process on how the document is created, the users will decided themselves who are going to work on the document. Limited system support shall be provided for this case: setup of access rights on who is allowed to make changes to the document, indication of who is the next validating user to update/check the content.
- "Managed" collaboration on a document – there shall be a fixed process and list of users required to express opinion/approval to the document. Such process shall be managed by a defined workflow engine; it shall be decided during SD whether DMS internal workflow or WMT engine will be used for such purposes.

Currently there are no plans to limit the functionality of collaboration offered by the DMS Documentum platform; however their potential usage will be detailed in SD phase.

6.3.4.7 Document printing

During the SD phase it shall be decided how printing in applications and DMS will be supported (and/or limited) and whether specific care will be taken for printing forbiddance. There are several possibilities differing in implementation complexity and efficiency:

- Forbid printing of documents on organizational level; do not take specific actions on IT solution level.
- Completely forbid printing from "local" applications (such as MSWord) and allow printing only through DMS.
- Implement a complex mechanism of forbidding printing for certain documents or documents in certain states via conversion of the document content to PDF with disabled printing (and copying) possibility.
- Possibly some other view on the topic may be introduced during the SD phase.

6.3.4.8 Bar-codes on documentation

In the SD phase, the question of location and the way of bar codes generation shall be answered – remarkable effort can be related to the analysis of current templates taken into account the differences as well as the amount of templates. The following aspects shall be designed:

- The location of bar-codes on the documentation (certain area on the page, on every page or just on the first page of every document)
- The way bar codes are generated – carrying information, starting with the same characters, etc.
- It is expected that applications shall consistently use IGS common component to generate the bar-codes.

6.3.4.9 Operational reporting

Business activity monitoring in WMT:

- Implementation of DMS will probably lead to multiplications of tasks in WMT. Therefore, the operational online tool for team leaders to control, manage and better organize the active/open tasks might be needed.
- During the SD phase, some detail specification of requirements on BAM in WMT will be defined by DMS project. Considering that the project WMT3 has implemented operational reporting (and has also brought the change of concept that WMT processes are the primary bearer of tasks rather than the incoming paper), it should be analyzed during SD phase of DMS whether extensions or improvements to the available reporting are necessary.

Reporting on the level of DMS for the purpose of:

- Evaluation of SLAs with DTP (or IM) – no need for online reporting, probably DWH reports
- Evaluation of mistakes (e.g. not all the documentation sent from KB was received/processed by DTP):
    - Could be processed in batches (e.g. after the last batch of documents sent from DTP – some discrepancies could be transferred into tasks to be solved in WMT)
- Detailed specification of these reports will be defined in SD phase

Reporting requirements of audit department for the purpose of:

- Detection of discrepancies between the products that were originated in KB systems but the documentation of such products never arrived into back-offices to be processed, i.e. no paper evidence of such products (fraud suspicion)
- Detailed specification of these reports will be defined in SD phase – probably DWH reports

6.3.4.10 TSS3 – IPS

The following chapter has been taken from the TSS3 team ASIS and therefore is described in CZ language.

Uvedené požadavky představují změny na úrovni konceptuálních/systémových UC. V aplikaci TSS3 jsou změněny některé současné funkčnosti a také jsou zavedeny nové funkčnosti. Všechny změny budou zachyceny na úrovni UC Modelu aplikace TSS (úroveň detailní analýzy – UC dokumentace systému TSS3), který je udržován v úložišti ClearCase v rámci CC TSS. Odkaz na detailní UC model TSS3 - http://vmwtss00.dslab.kb.cz/news/ucm/index.htm

Protože požadavky projektu DMS jdou napříč celou aplikací TSS3 (potažmo dopady tvoří změny v celém UC modelu) bylo pro snažší pochopení dopadu celého projektu provedeno následující rozdělení:

a) Popsán sumarní přehled změn z pohledu reuse některých funkčností (společné změny) viz. níže
   - TSS3 bude volat služby WMT (předpoklad WS) pro získání jednoznačného identifikátoru case_id (case = jednoznačný identifikátor ve WMT CM) (reuse některých WS z WMT + vznik nových createDepositCase atd.). Pokud již bylo case_id získáno (WMT voláno) nesmí dojít k opětovnému volání a získání nového case_id.
   - TSS3 bude volat služby pro zrušeni rozjednaného case
   - Dopady do oblasti v TSS3 můžeme rozdělit do třech základních kategorii (z procesního pohledu)
     i. Klient – veškerá práce s entitou klient (založení, změna, aktualizace, tisk dokumentů…)
     ii. Produkt (chápeme jako BU entitu např. Úvěr, CK účet atd.) – veškerá práce s entitou produkt (založení produktu, dodatek, změna parametrů…)
     iii. controlling – změna v oblasti controlingu – rozšíření atributů controllingu
   - TSS3 bude v procesu práce se šablonami rozlišovat několik volání (pouze pracovni názvy pro snažší orientaci)
     i. DMS insertContentWithMetadata - slouží pro volání DMS a vložení documentu (budeme označovat jako content) a metadat pro DMS
     ii. DMS insertUpdateMetadata – pro insert a aktualizaci metadat v DMS
     iii. DMS openDMSApp – přenášení dat do DMS formou otevření tenkého klienta s přenesením atributů v URL k danému obchodu který právě edituji (otevření DMS, načtení metadat z CSC a DB)
   - Dojde ke zrušení přenášení informací do aplikace ESCUDO, rovněž bude zrušeno I přenášeni výsledku controlingu do ESCUDA
   - V rámci controllingu bude TSS3 od DMS získávata informaci o stavu dokumentů (batch job)
   - Bude zachováno ukládání dat o dokumentu ve schematu PRINTER.PRINT_ITEM (header,data) a PRINTER.PRINT_ITEM_ARCHIVE (header,data)
   - Nebude zrušen fyzický tisk
   - Pokud dojde k automatickému ukončeni obchodu bude informována DMS. Informace do DMS o změně stavu složky
   - Všechny šablony musí mít čarový kód.
   - Šablony se nebudou ukládat na disk N
   - V systémech DMS a WMT existuje flow management – z procesního hledisku nedojde ke změně vužití jednotlivých flow. WMT bude řešit BU process workflow, DMS document workflow
   - V SD fázi bude upřesněno, zda bude požadována nějaká změna u schvalování ve WMT a generování šablon přes RPS
   - V rámci DMS vznikne jednotny číselnik dokumentů (základní identifikátory + seznam metadat pro DMS) – TSS3 bude tento číselník používat pro práci se šablonami (insertUpdateMetadata, openDMSApp)
     Open issue: v rámci DMS se uvažují dvě varianty (prosím o nacenění obou variant):
     a. *Volání openDMSApp na jednotlivým produktem, klientem (volba služby, menu akce)*
     b. *Vytvoření jednotné TSS3 obrazovky pro vložení dokumentů do DMS (proces zadání doukumentu (papírového/elektronického) do DMS přes TSS3) – funkčnosti*
        - *načtení seznam šablon a výběr konkrétní*
        - *po výběru šablonu načtení xml dat (atributu) z CSC (číselník dokumentů)*
        - *předvyplnění atributů z TSS3*
        - *volání služby insertUpdateMetadata*

Dále ještě ad_hoc nacenit

V rámci produktových procesů (prodej/údržba/zrušení) bude TSS3 vytvářet ve WMT eventy a úkoly na příslušné role. Typy eventů a úkolů do WMT budou záviset na typu produktu a dokumentu.

Aktuální přehled identifikovaných typů eventů/úkolů generovaných z TSS3 do WMT:
- Kontrola/Založení produktové složky v DMS
- Potvrzení složky v DMS
- Úkol pro prac. F/O: Vyber finální verzi dokumentu v DMS
- Řízení schvalovacího procesu
- Identifikaci chyby/neexistence dokumentace v kontrolinku

b) Popsání změn z pohledu rozdělení/dopady do UC dle oblastí IPS/TC a aktivn, pasivní… více viz. níže
Z důvodu neopokování stalé stejného procesu ve všech UC byl vyčleněn tento obecny proces
Obecný process komunikace z WMT a DMS

- Při spuštění funkčnosti se zavolá na pozadí WMT (WMT CM), které vrátí pro klienta/produkt unikátní Case ID (case_id bude ukladat – pro všechny nize uvedene pripady, místo/způsob bude definovana az v ramci SD). Pokud je case_id již uloženo,získáno WMT se znovu nevolá.
  Poznámka: obecně je potřeba ověřit v každé fazi procesu, kde je tisk, zda-li existuje v DB/objektu case_id. Pokud ne, je potřeba jej získat (jde např. o produkty, které již byly založeny/rozpracovány a ke kterým budou sjednávány dodatky)
- Při tisku dokumentace TSS3 zavolá DMS, předá metadata,Case ID a kontent (insertContentWithMetadata). DMS vytvoří pod daným Case ID složku a uloží do ní vytištěnou dokumentaci.
- Při zpracování zadaných údajů o novém klientovi/produktu TSS3 uloží do databáze Case ID a změní stav případu ve WMT. V DMS dojde k aktualizaci metadat u všech dokumentů vytištěných k danému klientovi (insertUpdateMetadata)

- Pokud dojde k zrušeni rozpracovaného produktu (ukončení aktivního, storno zrušení rozpracovaného) bude TSS3 volat službu WMT pro zrušeni case_id (WMT se postará o zrušení case složky v DMS),
Poznámka: Ke zrušení case ID může dojít až po skartaci dokumentů (u aktivních obchodů se po zrušení rozpracovaného obchodu musí zachovat dokumentace)

- V TSS3 u jednotlivých tisků přidat volbu zda-li se jedná o elektronický nebo papírový dokument (elektronický = tisk z TSS3, přenášení contentu, papírový – přenášení metadat + volba pro výběr typu dokumentu + načítání dat z CSC)

Upozornění (prosím o zohlednění při ohodnocení)
- v níže uvedených UC jsou vyjmenovány šablony, které byly uvedeny a zmíněny v aktuálních UC. Obecně se týká změna všech šablon uvedených v UC modelů proto nelze brat níže uvedený výčet jako finální (může se v průběhu dalších release, patchu měnit)

Seznam use-casů (detaily jsou k dispozici v příloze):

Oblast, skupina	Use cases
Obecné UC	• Xxx_volba_sluzby • Xxx_komunikace_s_dms • 219_prehled_tiskovych_uloh • 240_prehled_dokumentu • 314_kontroling • 328_kontroling_opravy • 375_kontroling_aktivnich_obchodu
Klient	• 028_Založení klienta • 036_Souhrnná změna klientských údajů • 031_Překlopení potenciálního klienta • 001_evidence_marketingoveho_souhlasu • 004_sprava_adres_klienta • 220_upozorneni_na_podstatne_skutecnosti_tykajici_se_klienta • 310_generovani_a_tisk_pripravneho_formulare • 259_prehled_kampani_klienta

Oblast, skupina	Use cases
	• 261_klienti_s_neoverenym_mistem_trvaleho_pobytu • 352_prenos_dat_do_tiskovych_sablon • 049_vyhledavani_klientu_v_portfoliu • 030_prevod_klienta_do_AVR • 032_sprava_podpisovych_vzoru • 033_sprava_rizikovych_zprav_klienta • 035_vydani_noveho_certifikatu • 288_sprava_ctecek_cipovych_karet • 354_prenos_zmeny_klientskych_udaju • 042_zobrazeni_kreditni_informace
Produkty (obecně bez rozlišení)	• 068_vyber_poplatku • 116_zmena_zasilani_vypisu • 355_prenos_zmeny_vypisove_adresy_k_uctum_klienta • 373_sjednani_notifikace
Depozita (CK, SV,TD, CK skládačka)	• 058_zmena_nazvu_uctu • 105_bonifikace_ir • 107_prehled_spicich_a_delikventnich_beznych_uctu • 111_vyrovnani_uctu • 112_vystaveni_potvrzeni_vklad_zustatek • 113_zalozeni_bezneho_uctu • 117_zmocnene_osoby_dispozice_vazby_k_uctu • 120_sprava_individualnich_poplatku • 121_podporujici_ucet • 122_individualni_poplatky_za_hladke_platby • 124_domino • 126_tisk_prohlaseni_zakonneho_zastupce • 128_zasilani_druheho_vypisu • 129_zmena_typu_uctu • 131_zruseni_bezneho_uctu_vypovedi • 132_zruseni_uctu_dohodou • 134_udrzba_sv • 136_vyber_ze_sv • 137_vypovedi_sv • 138_vypoved_a_zruseni_sv • 139_splatne_vypovedi_sporouctu • 140_zalozeni_td • 142_predcasny_vyber_z_td • 144_uzavreni_smlouvy_na_td • 145_radny_vyber_z_td • 146_zmena_automatickeho_obnovovani_td • 147_zmena_konecneho_data_splatnosti_td • 194_zalozeni_ck_skladacky • 195_zmena_typu_uctu_na_ck_skladacku • 239_sleva_balicku • 275_sestava_nevyhovujicich_duo_kont_a_profi_vazeb • 302_zauctovani_bonusu • 311_neprevzate_konfirmace • 312_sprava_otevrenych-uzavrenych_uctu • 368_sestava_nevyhovujicich_sporicich_uctu • 376_kb_start_konta_nevyhovujici_podminkam • 377_nastaveni_poplatkoveho_uctu_pro_mf • 379_nastaveni_slevy_na_druhy_ucet_v_balicku_a_zmena_smb_uctu • 380_sprava_majitelu_prostredku • 381_sjednani_programu_family_koncept • 383_zruseni_vazby_k_ck_uctu • 385_prodej_transakcni_komponenty • 386_zmena_zruseni_transakcni_komponenty • 388_vyber_z_uctu

Oblast, skupina	Use cases
	• 389_nastaveni_zruseni_individualniho_bonusu_k_ck_uctu
Pasivní produkty – přímé bankovnictví, expresní linka	• 184_sprava_zmocnenych_osob • 185_zalozeni_el • 186_zmena_el • 188_zruseni_el • 189_prikaz_k_administraci • 190_zalozeni_pb • 191_pb_zmena • 193_pb_zruseni • 351_zrizeni_edc.doc
Pasivní produkty – platební styk	• 106_hromadne_zauctovani_poplatku • 110_uctovani_poplatku_v_hotovosti • 133_uctovani_jednotliveho_poplatku • 148_proplaceni_faktur • 149_ruseni_ucetni_transakce
150_uhrada	• 151_sprava_povoleni_k_inkasu • 152_zadani_trvaleho_prikazu • 153_zmena_zruseni_trvaleho_prikazu • 353_prehled_prikazu
Pasivní produkty – pojištění	• 175_Sjednání pojištění Vital (předpokládaný termín ukončení nabídky pojištění je 31.12.2011, viz TDE-20136) • 290_sjednani_pojisteni_vital_invest • 316_sjednani_pojisteni_broucek • 177_sjednani_pojisteni_merlin • 234_vypocet_pojistne_castky • 297_pojisteni_vitaly_broucek_souhrn • 172_rizikove_zivotni_pojisteni • 174_sjednani_pojisteni_patron • 237_pojisteni_patrony_souhrn • 304_obnoveni_zruseneho_pojisteni_merlin • 327_prechod_na_nove_pojisteni_merlin • 173_ruseni_nezaplacenych_smluv • 181_vypoved_ze_strany_klienta_patron • 249_vypoved_ze_strany_klienta_merlin
Pasivní produkty – platební karty	• 155_zobrazeni_udaju_o_platebni_karte • 156_zadost_o_vydani_dalsi_kreditni_karty • 159_zalozeni_zadosti_o_platebni_kartu • 161_stoplistace_platebni_karty • 162_vypoved_uveroveho_uctu_ke_kreditni_karte • 163_vypoved_platebni_karty • 164_evidence_platebnich_karet • 165_predani_platebni_karty_pin • 166_prevzeti_platebni_karty • 167_zmena_platebni_karty • 168_zmeny_k_platebnim_kartam • 241_znovuzaslani_pin • 268_zauctovani_poplatku_za_pin • 280_komunikace_s_cda- • 287_nastaveni_pristupu_pk_na_internet • 336_odeslane_zadosti • 337_neodeslane_zadosti • 338_zmeny_udaju • 346_sestava_vypovedi_a_stoplistaci_pk • 348_inventura_platebnich_karet • 157_zadost_o_vygenerovani_pin • 160_ruseni_zadosti_o_platebni_kartu • 269_zpracovani_dat_z_univerzity • 308_pk_automaticke_operace

Oblast, skupina	Use cases
	• 319_prehled_stavu_karetniho_balicku • 321_vyhledani_platebni_karty_opravy • 322_oprava_kbi_id_drzitele_karty
Aktivní obchody	• 079_zpracovani_uveroveho_obchodu_kreditni_karty_foo • 078_vyrizeni_uveroveho_obchodu_kreditni_karty_foo • 061_zobrazeni_vysledku_aplikacniho_ratingu_foo • 097_parametry_uveroveho_obchodu_foo_su • 097_parametry_uveroveho_obchodu_foo_hu • 101_zpracovani_uveroveho_obchodu_foo_su • 101_zpracovani_uveroveho_obchodu_foo_hu • 273_tisk_dokumentu_pro_hypoteku • 085_vyrizeni_uveroveho_obch_debet_foo • 086_zpracovani_uveroveho_obc_debet_foo • 082_vyrizeni_uveroveho_obchodu_povoleny_debet_business • 083_zpracovani_uveroveho_obchodu_povoleny_debet_business • 072_vyrizeni_uveroveho_obchodu_kreditni_karty_business • 073_zpracovani_uveroveho_obchodu_kreditni_karty_business • 087_zadost_o_uverovy_obchod_profiuver • 088_navrh_na_poskytnuti_uveroveho_obchodu_profiuver • 091_zpracovani_uveroveho_obchodu_profiuver • 070_zajisteni_uveroveho_obchodu • 067_ukonceni_uveroveho_obchodu • automatické_ukonceni_obchodu
Telefonní centrum	• 733_parametry_hypotecniho_uveru • 737_zadost_o_kreditni_kartu • 743_modelovani_td • 746_zalození_td • 748_vyzadani_minivypisu • 749_sprava_povoleni_k_inkasu • 751_uhrada • 752_sprava_trvaleho_prikazu • 754_prehled platebních karet • 756_zalozeni_zadosti_o_platebni_kartu • 757_zmena_platebni_karty • 760_reklamace_transakce_pk • 761_sjednani_pojisteni_merlin • 765_Zmena_modulu • 774_znovuzaslani_pinu • 783_nastaveni_pristupu_pk_na_internet • 786_zadost_o_pin_k_neaktivni_kreditni_karte • 790_prechod_na_nove_pojisteni_merlin • 796_vyber_z_td • 784_tisk_pinu • 775_tc_reportprinter • 781_komunikace_s_cda

Více detailů k TSS3 naleznete v příloze č. 13 „Annex_13_ECM_DMS_TSS_specifikace“.

6.4 Application View

6.4.1 Application Architecture AS IS

The table below describes the key relevant existing KB applications (applications indicated in bold and with * are also described in more detail later in this chapter):

Component	Description	System UC
Alfresco*	The existing DMS Alfresco provides other applications with services for storing, searching and retrieving documents.	

ArchivKB	Application for searching documents in Iron Mountain; allows users to order documents from IM; intranet application. The application contains also documents that will not be available in DMS.	
Bagman	Collaterals management, off-balance sheet items management	
C4M	Central credit risk assessment tool – anti fraud system	
CCDB	Central database containing data from various applications.	
CLDF	Corporate loans documentation front end – business application for document management in corporate loans.	
ColCo	Collection cooperation application is providing selection of data for CRM Essox application.	
CSC	Management of central LOV's (list of values)	
D-Box	System is managing Data box agenda (Datové schránky)	
DCS	Internet banking application	
Debety	Register of unapproved overdrafts, unapproved overdrafts reporting, printing letters to customers	
Dejar*	Dejar is application for management of account related documents (written reminders, statements, etc.) in readable form (e.g. pdf files). Originally it was a candidate for replacement by DMS but during PD phase it was decided that Dejar will be kept unchanged because of negative business case.	
DSDC	Data sharing with daughter companies - Data-service component providing consolidated data related to KB group clients and their products and additional data-quality services like data cleansing.	
DWH	Data ware house	
E-klid*	E-klid (elektronická klientská dokumentace); application is used for docs in CAP (in corporate loans area)	
Eprdok* **Evydupp***	Eprdok - System for recording of operation documents, which are handed over inside company for active transactions. (Operation document = photocopy of original document version). Evydupp - System for recording of operation documents, which are handed over inside company for passive transactions (CPP). Applications are not under management of IT.	
Escudo*	Escudo was designed to store/record all the client documentation (business transactions, contracts etc.) from passive products and active products. No documents content is stored in Escudo.	
Exekuce	System for processing of execution. As a primary data source system is using D-box application.	
IBSNet	Complete processing of documentary payments - receipts, letters of credit and guarantees	
International cash pooling	Connection to SoGe system for client's statements (client in SoGe and KB together)	
IRR	Interest rate renewal	
Local departments storage	Various KB departments have their own local document storages; currently on network disks. DMS should/may replace such network disks.	
MS Templates	Templates for MS Office (mostly MS Word), containing also business logic and programmatic data readings	
NOS	Service component is providing notification services (sending emails, SMSes etc.)	
OLMF	OLMF – obálkovací linka main frame – application, where is collected data from KB systems for printing of statements and documents	
ROK-K	Support application – application for searching of client's Unique identifiers	
RPS	The main purpose of the Reporting service is filling a document template with user data and rendering the document in specified format.	
T-Card (T-Mobile)	Service component for co-branding credit cards between KB and T-Mobile	
TOL (Xerox)	TOL – tisková a obálkovací linka – Service is outsourced from Xerox company, Preparation of pdf files and print of docs.	
TRT	KB internal application – Time sheeting, Time reporting tool	
TSS3	Main distribution selling tool for retail customers – Branch, Call centre	
WMT	Work management tool – business activity monitoring, work management tool for	

	mortgages	

The DMS solution will impact quite many of the existing KB applications. The paragraphs below summarize information about some of the key applications relevant within the DMS solution – the to-be-replaced applications or ("business-owned") applications that will not be needed anymore within the new digital documentary processes.

6.4.1.1 Escudo

<table>
<tr><td colspan="3">Escudo was designed to store/record all the client documentation (business transactions, contracts etc.) from passive transaction and active transactions. In Escudo it is possible to found the document placement in KB archive or in IM archive.</td></tr>
<tr><td>Used Technology</td><td colspan="2">• Escudo was developed in 2004 on Oracle DB (one schema - FAF DB).
• As GUI is used thick client to Oracle DB (must be installed)
• Reports are created directly in DB (manual select to DB)</td></tr>
<tr><td>Users Groups</td><td>Service units (in total ca. 9 units)
• CAP - active business - 5 units
• CCP - passive business - 2 units
• AVR department
• Audit department</td><td>Number of documents:
• Ca. 50mil documents in total db volume of 38GB</td></tr>
<tr><td>Key functionalities</td><td colspan="2">Escudo - active transaction
• Serves to record the original documentation of an active business transaction (according to clients' business entity) and search. This documentation is always linked to business case; permanent loan to the needs of the Department AVR, returns and loss of documents, including the printing of relevant reports
• Documents are registered in the program and stored in boxes by back office employees in local archive, the application enables to find a box and store the data entered by the document. It also provides support functions for the work and documents such as loans ("výpůjčka") and archiving system.
• In document work flow process, back office is creating a copy of original (create operation version). This version is sent to KB storage in Prague and Brno. Original is sent to Iron Mountain – outsourcer's storage.
• Record in Escudo system contains client case, which lists related documentation. Each case may have more than one documents e.g. Contract + supplements. Some documents metadata contains Print-ID (optional).</td></tr>
<tr><td></td><td colspan="2">Escudo - passive transaction
• New documents (client statements, contracts) are register according time creation on back office and stored in boxes by back office employee.
• Employee works with one box at one time, however in the Escudo it is possible, that one box is filled by more than one employee. Documents are stored in operation archives and after 90 days are sent to Iron Mountain – outsourcer's storage, ones the box is full.
• Record in Escudo system contains Client's ID KB, Bank Account, Print-ID (mandatory)
• In this case of transaction, Print-ID is generated by IGS component (generator of IDs) in TSS side during the document finalization.
• Document is identified to client entity by: ID KB client, Bank account's client</td></tr>
<tr><td></td><td colspan="2">Escudo supports shredding (destroy) process – system defines which box is possible to destroy.</td></tr>
</table>

6.4.1.2 Alfresco

The document management service component is a provider (implementer) of DM services for storing, searching and retrieving documents.	
Used	This service component is based on open source document management system - Alfresco.

Technology	Alfresco was customized to meet requirements for reporting service (metadata), security, database access and others. Meta data are stored in Oracle db as bank standard and files are stored in file system. The API of Alfresco as 3rd party product remained the same; the customization of Alfresco has taken place in authorization plug-in to be connected into User Management Service. Connection to DMS service API is WS based only for all consumers. The supported version of Alfresco is version 1.3.	
Users Groups	• For every system is the scope of users group different	Number of documents: • Today, ca. 1million documents are stored in Alfresco in db volume of ca. 12,5GB (metadata and files).
Key functionalities	Provided services: • to manage documents - store, retrieve, change and search documents • To create documents on basis of XML data from application and stored templates in Alfresco system • to manage spaces • to human users to search and view documents through the web interface • to DMS administrator creation of first level spaces through the web interface	
	Alfresco supports these functionalities in life cycle: • Shredding (Destroy) process (only for system CLDF) • Document versioning (only for system WMT)	

6.4.1.3 Eklid

E-klid (CLDF) – Elektronická klientská dokumentace		
System for storing of docs for corporate loans (folder creation, add docs, add and change metadata)		
Used Technology	• System is developed on FEP (GDF4F, FEAK) • Interfaces to ADS (Audit) and Alfresco (as data storage)	
Users Groups	• CAP • OM (managing e-docs)	Numbers (active/total):
Key functionalities	• E-Docs management In tree structure • Report of items for processing on CAP • Docs searching	

6.4.1.4 Eprdok

System for recording of operation documents, which are handed over inside company for active transactions.		
Used Technology	• Each CAP unit has separate db files because of performance problem and limitation of technology. Currently Eprdok is in 5 instances. • System was developed on Microsoft access platform (mdb. files).	
Users Groups	• CAP - active business - 5 units • Service units	Number of documents: • Today, in EPRDOK are ca. 0,75mil records of document in total db volume 0,1 GB.

Key functionalities	• Document booking process – records, where the document is (status is using – borrow, archive, booked) • Records of conditions - contracted penalties; this is manual process, where member of CAP is creating manually conditions in system and then Front office employee is able to validate and mark as completed condition. • Front office calls member from support unit. On basis of internal rules, employee is deciding if it is necessary to make a photo copy as an operation document. If yes, than employee of service units creates record for new doc in system.

6.4.1.5 Evydupp

System for recording of borrowing records inside in KB and recording of storage in boxes in back office (CPP).		
Used Technology	• System is using only for CPP units and support units; each CPP unit has separate db files because of performance problem and limitation of technology. Currently Eprdok is in 2 instances. • System was developed on Microsoft access platform (mdb files).	
Users Groups	• CPP - passive business - 2 units • Service units	Number of documents: • Today, in EVYDUPP are ca. 2000 records of document in total db volume 0, 01 GB.
Key functionalities	• System covers operation document booking process only. • Other attributes are the same as system Eprdok.	

6.4.1.6 Dejar

During the PD phase (RFP on system integration), the following decision regarding Dejar was taken:

- Due to the business case results it was decided that the Dejar application, its functionality and its data will be kept unchanged.

This paragraph regarding Dejar is kept to maintain overall consistency of this document.

Dejar is application for management of account related documents (written reminders, statements, etc.) in readable form (e.g. pdf files).		
Used Technology	Dejar application is developed on Oracle db with front end client on Java technology. Currently is running version 2.11 (official current valid version from development company (in New Zealand) is version 4).	
Users Groups	• Front office and CKB employee • DCS – internet banking • 9400 department – execution, debts; In this department exists small extension of Dejar (it is possible to export more than one statement in one request or in larger time period) • Application is configured for 100 parallel accesses.	Number of documents: • Today, ca. 520 millions documents are stored in Dejar in total db volume of 4TB.
Key functionalities	• OLMF ('obálkovací linka mainframe') system retrieves data from KBI (core banking system), TSS3, CMS, IRR, etc. Data are stored in 'depo' (temporary data store), where are waiting for pairing with statement from payment card. When docs are matched, system creates data for printing machine (TOL Xerox), setups metadata and defines type of transaction (print, print and electronic archive or only electronic archive). • Night batch process ensures that data are uploaded from TOL (Xerox) to Dejar system every morning thought MainFrame. • Data file is also sent to ASS component where is filtered. DCS gains electronic statements only from ASS. These electronic statements are stored in ASS splitter	

	for 90 days. • Older statements are from DCS requested directly from DEJAR. • Dejar GUI – is used for searching statements and docs for front office, central and 9400 departments.
	• All documents, which are managed by OLMF.
	• Records in Dejar system contains: ○ Index part (Docs ID (Docs ID is created by OLMF), scope of pages etc.) ○ Attachment in PDF (before 2006 it was files in AFP)

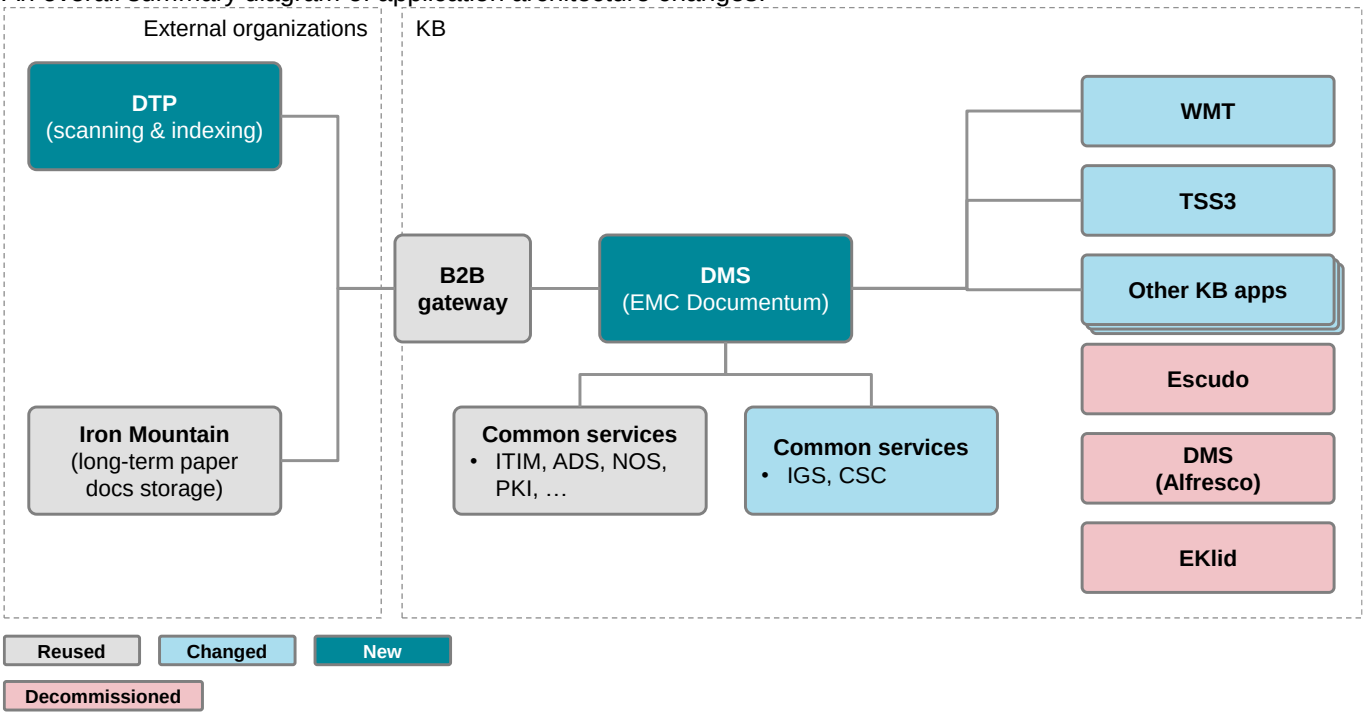
6.4.2 Application Architecture TO BE

Structure of this chapter:

- An overall diagram summarizing the changes in application architecture
- Overall table listing all impacted applications / components and mapping in which slots the impacts are made
- Basic description of the key applications impacted – the new DMS, TSS3, WMT

The solution will be delivered in 5 slots, PD phase covers all of the slots. More information on slotting can be found in chapter 8.

An overall summary diagram of application architecture changes:



The following applications are impacted in the given slots:

Component	Description	System UC	Slotting					
			0	1	2	3	4	5
External: DTP	External outsourcer / partner who will provide KB with scanning, indexing and short term storage services. Through B2B gateway will be exchanging data about documents with DMS.	06.02, 08.01, …	N	C	-	-	-	-

Component	Description	System UC	Slotting					
			0	1	2	3	4	5
External: Iron Mountain (IM)	External partner providing long-term storage / archiving services. It is assumed that communication between IM and DMS shall be setup through B2b gateway.	12.03, 12.04, …	N	C	-	-	-	-
B2B gateway	An "interface" through which all communication between DMS and all external parties will be tunneled.	All communication with DTP and IM	R	C	-	-	-	-
DMS (EMC Documentum)	The new DMS solution based on EMC Documentum technology replacing the existing Alfresco DMS solution.	(all)	N	C	C	C	C	C
ESB	ESB will be the primary layer through which all applications will be accessing target DMS solution. During SD it will be decided what services will be published through ESB.	n/a	N	C	R	R	R	C
WMT	WMT will play a key role governing all the documentary processes, especially in DIST between front-offices and back-offices (CAPs+CPPs) plus DMS will become the storage of documents for WMT. New documents created / inserted into DMS will trigger events in WMT to execute appropriate actions on the respective processes.	WMT-EVT, WMT-CASE, …	-	C	-	-	-	-
TSS3	TSS3 as the primary application for front-offices will be one of the key systems to input new documents into DMS.	DMS-INS, IGS-GEN, CONT01, DMS-UMS, LOV-APPS	-	C	-	-	-	-
MS Word templates	Similarly as TSS3, MS Word templates are another system to insert new documents into DMS.	01.01, DMS-INS	-	C	-	-	-	-
PrintScreen app	New application allowing the end-users to take a copy of the current window and store it into DMS with relevant metadata.	PRTSC01 DMS-INS	-	N	-	-	-	-
ITIM	Users and user accesses into DMS will be managed centrally through ITIM.	ITIM01	R	C	-	-	-	-
ADS	Auditing events and records will be logged into this common component.	ADS-EVT, ADS-REP	R	C	-	-	-	-
NOS	Reuse notification components to send notifications to end-users.	NOS01	R	C	-	-	-	-
IGS	Barcode generation will need to be modified to suit the needs of unique identification with DMS-TSS3-WMT - especially for documents that will be used in printed form throughout their lifecycle.	IGS-GEN	C	-	-	-	-	-
ROK-P	Signature specimens will not be scanned on local scanners but on the DTP and processed by ROK-P in digital form (as incoming files from DMS).	ROKP01	-	C	-	-	-	-
Eklid	Replace existing Eklid application with the target DMS solution	n/a	-	D	-	-	-	-
Bagman	Bagman will store the data/information and documents into DMS instead of Escudo.	LOV-APPS DMS-INS DMS-UMS INV02 IGS-GEN	-	C	-	-	C	-

Component	Description	System UC	Slotting					
			0	1	2	3	4	5
ACV	Storage of the respective documents into DMS and search / retrieve functionality.	LOV-APPS DMS-INS DMS-UMS IGS-GEN	-	-	-	-	C	-
Escudo	Escudo will be replaced by DMS functionality, its data will be migrated to DMS. Due to TCA being part of slot 3 (and also having data in Escudo), Escudo will be decommisioned after slot 3.	n/a	-	C	C	D	-	-
CSC	Reuse of existing lists-of-codes.	LOV-PUB LOV-APPS LOV-DMS	R	R	-	-	-	-
Debety	Insertion of documents and their metadata into DMS.	LOV-APPS DMS-INS DMS-UMS	-	C	-	-	-	-
OMS	Store and read documents and metadata to/from DMS	LOV-APPS DMS-INS DMS-UMS	-	C	-	-	-	-
MRT 18	Store and read documents and metadata to/from DMS (Probably to be covered by Commissioning project)	LOV-APPS DMS-INS DMS-UMS	-	C	-	-	-	-
IBSNet	Insertion of documents and their metadata into DMS.	LOV-APPS DMS-INS DMS-UMS	-	-	C	-	-	-
DCS - virtual prints	Insertion of documents and their metadata into DMS.	LOV-APPS DMS-INS DMS-UMS	-	-	C	-	-	-
CliView	Store and read documents and metadata to/from DMS	LOV-APPS DMS-INS DMS-UMS	-	-	-	C	-	-
eFile project	The future eFile application will use DMS as the primary storage for documents.	LOV-APPS DMS-INS DMS-UMS IGS-GEN	-	-	-	C	-	-
C4M-CAS	Store and read documents and metadata to/from DMS	LOV-APPS DMS-INS DMS-UMS	-	-	-	-	C	-
PeopleSoft	Store and read documents and metadata to/from DMS	LOV-APPS DMS-INS DMS-UMS	-	-	-	-	C	-
Stamper	New component (probably as a common service) that shall be responsible for timestamping digitally signed documents - either with an internal signatures or for external signatures.	STMP01 STMP02	-	-	-	-	-	N
PKI	To enable support for digital signatures, resp. their restamping using Stamper component.	STMP01 STMP02	-	-	-	-	-	R
Julie project / Databox	DMS will serve as archive storage of databox files.	DBOX01, DBOX02	-	-	-	-	-	C
TRT	Due to Alfresco replacement connection to the new DMS-ESB interface and migration of the respective data. Technical user connection should be realized with identity propagation.	DMS-INS DMS-UMS	-	-	-	-	-	C
RPS			-	-	-	-	-	C
Colco			-	-	-	-	-	C
DCS			-	-	-	-	-	C
NOS			-	-	-	-	-	C

Component	Description	System UC	Slotting					
			0	1	2	3	4	5
Tcard			-	-	-	-	-	C
DSDC/PRM			-	-	-	-	-	C
EFS			-	-	-	-	-	C
Alfresco	The existing DMS Alfresco will be replaced by the new EMC Documentum solution.	n/a	-	-	-	-	-	D

Legend:

- R = reused component with no planned changes in it
- N = new component that is added by this solution
- C = changed component, this solution modifies its functionality
- D = indicates a decommissioned application whose functionality is replaced by other component functionality (mostly DMS in this case).

6.4.2.1 DMS

More details on internal structure of DMS components to be taken from the winning proposal:

- Print screen
- Robot
- GUI
- Internal components / building blocks

6.4.2.2 TSS3

TSS3 will serve as the key primary application for entering, viewing and searching of documents in DMS (for front-offices). Interface into DMS will be created and used in the various use cases.
The changes planned on the TSS3 level are described in:

- On high-level in functional view, see chapter 6.3.4.10
- In detail in Annex_13_ECM_DMS_TSS_specifikace

6.4.2.3 WMT

To be described in more detail + in annex.

6.4.2.4 ROK-P

Due to the fact that signature specimens will not be processed in the paper form anymore, changes are planned for the ROK-P application.

- The key change is that ROK-P application will read the signature specimen images not from local scanner but from DMS using a defined interface (the images will be scanned on DTP).
- There are several open points to be resolved and agreed during the SD phase – esp. concerning security issues (e.g. increased security for signature specimen types of documents, increased detail of auditing the relevant records and operations) and processing issues (scanning resolution detailed enough to cover handstamp details, voiding validity of the original document when a new signature specimen becomes valid, etc.).

Details regarding the design of ROK-P relevant changes are documented in Annex_10_ECM_DMS_ROK-P_x_DTP_Vision_01-00.doc.

6.4.2.5 E-File

E-File project creates an application to support corporates / TCA in processes related to credit products. E-File is currently in SD phase with implementation phase start not fixed yet (in the time of writing this PD document).

The E-File Solution Design document assumes following dependencies of E-File on DMS:

- DMS services will be used by E-File to store documents; DMS will serve as storage for document content and relevant metadata.

- Standard services as document store, document metadata update and providing links to documents should be sufficient for E-File according to current knowledge – i.e. not specific services or handling is assumed to be provided by DMS to E-File.
- Currently, E-File has based the solution on existing Alfresco DMS; during SD phase of DMS project it should be validated whether Documentum DMS would have any impacts to E-File solution.

- Sizing estimates are prepared by E-File project for DMS additional content (approx. 360GB estimated for 2years operation).
- Part of E-File project (while being done within WMT team) will be the conversion of WMT GUI to FEAK platform.

6.4.3 Data migrations

This chapter was added to the PD document in order to capture data migrations that shall be performed within the individual slots to provide a consistent overview of the solution scope.

The following table provides basic information on the data migration requirements. Details need to be designed during the SD phase. During PD phase it was found that data migration is relevant for the following applications:

1. Alfresco – set of applications currently using DMS Alfresco
   - WMT
   - E-Klid
   - Bagman
   - C4M – CAS
   - Colco
   - DCS
   - DSDC/PRM
   - EFS
   - NOS
   - RPS
   - Tcard
   - TRT
2. Escudo (incl. applications storing data into Escudo)
   - Bagman
   - Debety
   - IBSNet
   - TSS3
   - Virtual prints (DCS)
3. PeopleSoft
4. D-Box (archived databox messages)

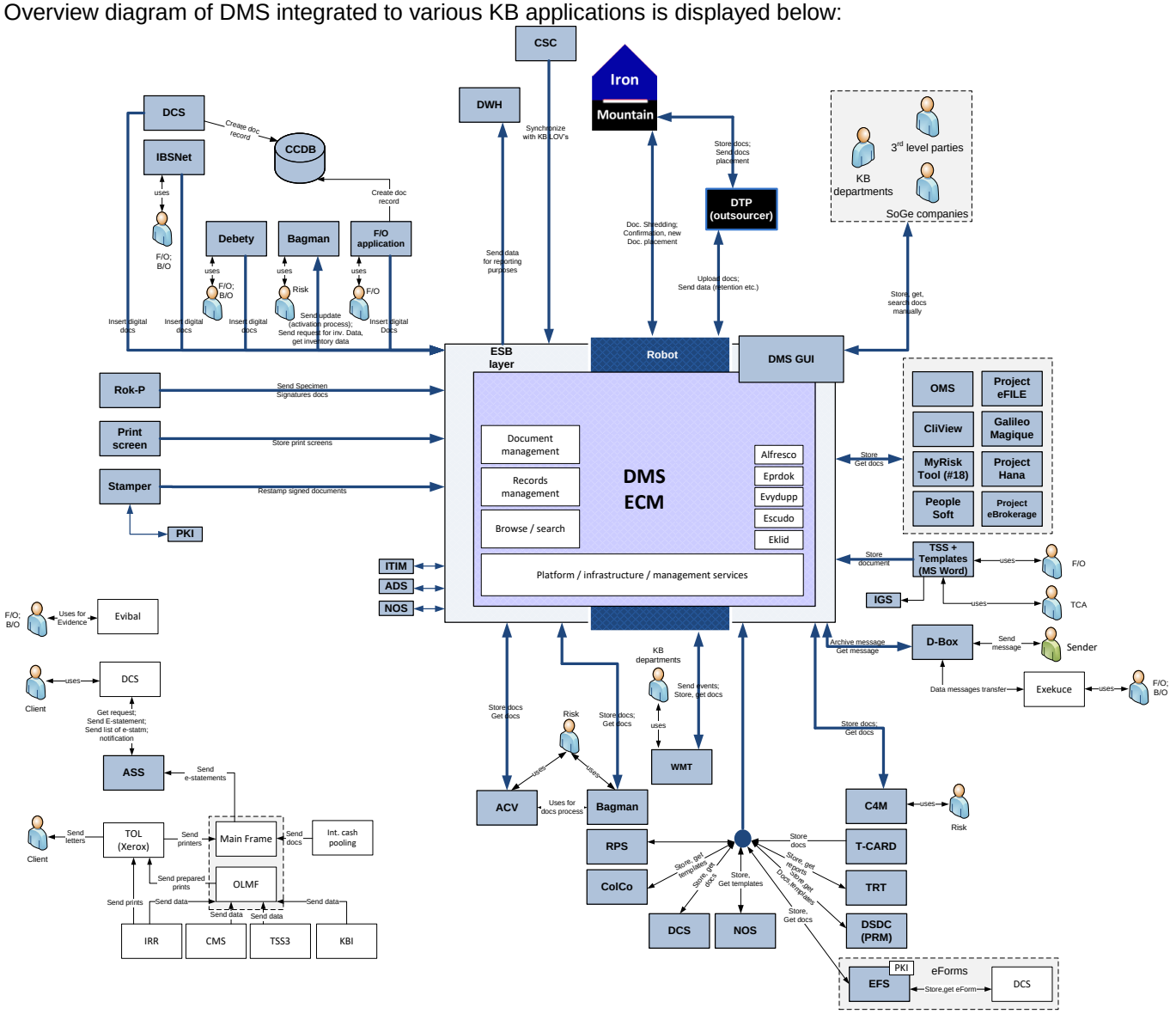
From	To	Description	Slot	Open points for SD
WMT (Alfresco)	DMS	DMS Documentum will replace existing WMT storage Alfresco. All documents for existing and running cases will be migrated to DMS. The following details (opent points) will have to be designed during the SD phase: - Set of obligatory metadata in DMS Documentum may differ from the existing DMS Alfresco; some form of enrichment of the existing data may be needed. - Potential replacement of document IDs in existing WMT (ID will most probably change from Alfresco to Documentum)	1	Obligatory metadata in DMS Documentum and potential enrichment of existing data Existing documents ID replacement
Eklid (Alfresco)	DMS	Existing EKlid data will be migrated from Alfresco to Documentum. The EKlid functionality will be replaced by the functionality brough by DMS. - Set of obligatory metadata in DMS Documentum may differ from the existing DMS Alfresco; some form of enrichment of the existing data may be needed.	1	Obligatory metadata in DMS Documentum and potential enrichment of existing data

From	To	Description	Slot	Open points for SD
Bagman (Escudo)	DMS	Scope of migration: records for inventory process in Bagman will be migrated from Escudo to DMS - only documents metadata without the real content of documents. - Set of obligatory metadata in DMS Documentum may differ from the existing DMS Alfresco; some form of enrichment of the existing data may be needed.	1	Obligatory metadata in DMS Documentum and potential enrichment of existing data
Escudo	DMS	As Escudo will be switched of and replaced by DMS, the remaining data will be migrated from Escudo. The migration process will be driven by the continous process of scanning of the existing documentation by the DTP outsourcer so that the data in DMS and Escudo reflects the reality where paper documentation is stored (DMS when papers are in DTP and Escudo when papers are still in KB). The data is relevant for the following applications: - TSS3 - Debety - IBSNet - Virtual prints (DCS) Data type: metadata records, no file content Expected volume in total: 50 mil. of document records	2	Obligatory metadata in DMS Documentum and potential enrichment of existing data Details for scanning process of the existing documentation
C4M - CAS Bagman (Alfresco)	DMS	Data from the C4M-CAS and Bagman applications from the existing Alfresco DMS will be migrated to the new Documentum DMS. - Set of obligatory metadata in DMS Documentum may differ from the existing DMS Alfresco; some form of enrichment of the existing data may be needed.	4	Obligatory metadata in DMS Documentum and potential enrichment of existing data
PeopleSoft	DMS	Migrate the existing PeopleSoft content to DMS (non-client contracts, invoices) - records including document content.. - Set of obligatory metadata in DMS Documentum may differ from the existing DMS Alfresco; some form of enrichment of the existing data may be needed.	4	Obligatory metadata in DMS Documentum and potential enrichment of existing data
D-BOX	DMS	Migrate existing archive messages storage onto DMS Approx. size: 350.000 messages (477GB), which are in status archive. Document type "archived D-Box message" shall have only a very limited set of metadata attributes (DMS will not provide any searching or individual message access for D-Box but rather only and indexed storage) so the migration should require no enrichment.	5	-
Alfresco	DMS	Migration of the rest of the content in existing Alfresco DMS. Relevant for the following document types: - Document templates, which are updated on basis of request from Operations (ColCo client) - Reports and document templates(DSDC client (potential replacement by PRM project) - Temporary reports for internal KB time reporting process (TRT client) - MS excel files, temporary logs and report (TCI client) - Document templates, which are using for notification service and reporting service (NOS, RPS clients) - Document templates and documents in non-structure form (DCS, eForm clients). The following details (opent points) will have to be designed during the SD phase: - Set of obligatory metadata in DMS Documentum may differ from the existing DMS Alfresco; some form of enrichment of the existing data may be needed. - Potential replacement of document IDs in existing	5	Obligatory metadata in DMS Documentum and potential enrichment of existing data Existing documents ID replacement

From	To	Description	Slot	Open points for SD
		applications or creation of a mapping table. Estimated overall content from the existing Alfresco - approx. 2.000.000 documents planned for migration		

6.5 Integration View

Overview diagram of DMS integrated to various KB applications is displayed below:



The following chapter provides high level descriptoin of the individual interfaces and their relevancy to individual Slots.

6.5.1 Integration Architecture

ESB
It is expected that DMS services should be provided to the rest of KB applications via ESB. However, at the time of writing PD document it was not finally agreed what scope of the services shall be published through ESB (all of them, some of them, none?). Details for ESB decision shall be made during SD phase of the project.

Iron Mountain integration – open point for SD
The PD document assumes that similar integration as planned with DTP will be realized with IM – i.e. through the B2B gateway. However there are some technical limitations that will have to be resolved:

- B2B gateway is currently designed in a way that it initiates all the data transfers and also a fixed IP address is required on the partner side.
- IM in CZ does not currently have infrastructure supporting fixed IP address where B2B could read the incoming data.

The above technical problems will have to be overcome with a reasonable solution.

Webservices interfaces
Quite a lot of interfaces shall be realized via webservices (as documented in the table below). It is assumed that following principles will be kept:

- Webservices are online means of interface.
- The webservices are secured – applications will call by the means of a technical user, assigned to the specific applications.
- End-user identity will be propagated to DMS so that DMS can verify end-user access rights for the requested operation.

6.5.1.1 Integration definition

The following table depicts interfaces that will be newly developed or changed within the DMS project:

From	To	Description	Interface type	Sizing	Slotting						Open points for SD
					0	1	2	3	4	5	
DTP (external)	DMS	Interface between DTP and DMS shall be realized through B2B gateway. The key data communicated through it will be: - results of processing on DTP (documents metadata, integrity check result, resulting scanned images) - responses for operations requested from DMS (paper docs borrowing, rescan requests, transport to IM requests, etc.). Basically, all of the flows are treated as responses for previous requests coming from DMS. Standard record format will be defined for the communication (shall be reused both for DTP and IM) It is expected that in Slot 0, the communication will be setup with rather dummy data to test the connection on both sides, and in Slot 1 all relevant record types will be implemented.	File transfer (B2B)	Sizing for 2012: around 30.000 documents per day expected (metadata), approx. 5.000 documents with scan; more details to be found in Solution Concept annex.	N	C	-	-	-	-	Design and agree the format with DTP and IM; XML is expected.
DMS	DTP (external)	Interface from DMS to DTP shall be realized through B2B gateway, keeping the same record format as DTP->DMS. The key communicated data will be requests sent to DTP to perform various types of operations: - paper documents have been sent to DTP a certain operation is requested from DTP (e.g. integrity check, scan last page with signature, scan the whole document) - borrrowing requests, scanning requests, transport documentation to IM requests, etc.	File transfer (B2B)	Same no. of requests as communication the other way; no content will be communicated, the data will only contain limited set of document attributes.	N	C	-	-	-	-	Design and agree the format with DTP and IM; XML is expected.
DMS	IM (external)	Interface between DMS and IM shall be realized using B2B, the communicated content will be mainly: - borrowing requests, scanning requests, list of documents coming from DTP, requests for disposal of documents	File transfer (B2B)	Approx. 50.000 borrowing requests expected per year, i.e. 200 per day.	N	C	-	-	-	-	Design and agree the format with DTP and IM; XML is expected. Technical solution of B2B communication with IM to be confirmed.

From	To	Description	Interface type	Sizing	Slotting						Open points for SD
					0	1	2	3	4	5	
IM (external)	DMS	IM will respond back to DMS using B2B. The data communicated will be mainly: - responses for borrowing requests, scanned results, documents received from DTP, disposed documents	File transfer (B2B)	Approx. 50.000 borrowing requests expected per year, i.e. 200 per day.	N	C	-	-	-	-	Design and agree the format with DTP and IM; XML is expected. Technical solution of B2B communication with IM to be confirmed.
ITIM	DMS	User information will be managed by ITIM.	Details to be defined in SD phase	Approx. 5100 users managed with their respective roles	N	-	-	-	-	-	
DMS	ADS	DMS will store audit records via. the standardized common service ADS. List of audited events may be extended in slot 1 compared to slot 0.	Webservice	To be estimated in SD phase	N	C	-	-	-	-	
DMS	NOS	DMS shall allow notification of end users for certain event types (e.g. for document scan request an email may be sent to the requesting user after DTP processes the scan and sends it to DMS).	Webservice / file transfer	To be estimated in SD phase	N	C	-	-	-	-	List of notified events
WMT	DMS	WMT will use DMS as the storage for its documents instead of existing Alfresco DMS. It will also use the common services offered by DMS (the services may be called for a single document as well as for a set of documents): - store document into DMS, incl. relevant metadata - update document metadata (change state, update acces rights, etc.) - return / display document content for the user - setup retention period for documents - delete documents in working folder (when a case is terminated)	Webservice	Please see sizing estimates in WMT part of PD document	-	N	-	-	-	-	
DMS	WMT	DMS will publish events to WMT when new documents are inserted into DMS (such as load of batch of documents from DTP) so that WMT can appropriately react and create a new case or update the status of an existing case.	Webservice	Related to no. of documents inserted to DMS, approx. 30.000 daily.	-	N	-	-	-	-	

From	To	Description	Interface type	Sizing	Slotting						Open points for SD
					0	1	2	3	4	5	
TSS3	DMS	Documents created in TSS3 will be stored into DMS, including the relevant (required) metadata. TSS3 users will also be allowed to view / open documents from DMS through native TSS3 interface (i.e. TSS3 opens a link directly leading to the document). Key services to be consumed by TSS3 based on the use cases: - store document, incl. metadata - update document metadata - open the document for the end-user (and let him/her edit it) - open DMS GUI to store a document, incl. metadata - open DMS GUI to search for relevant document(s) - request data/report about documents processed in DTP (for controlling process)	Webservice	To be estimated in SD phase	-	N	-	-	-	-	
MS Word templates	DMS	Existing MS Word templates shall be revised so that the user can directly store the resulting document into DMS, including the required metadata.	Webservice	To be estimated in SD phase	-	N	-	-	-	-	
TSS3	IGS	Applications storing documents into DMS may need to interface the IGS service because of responsibility for assigning proper barcode to documents. TSS3 shall extend / change how it uses IGS service for now.	Webservice / PLSQL	To be estimated in SD phase	-	C	-	-	-	-	
MS Word templates	IGS	Applications storing documents into DMS may need to interface the IGS service because of responsibility for assigning proper barcode to documents. MSWord templates will need to connect to IGS in order to assign a barcode to the created document.	Webservice / PLSQL	To be estimated in SD phase	-	N	-	-	-	-	
ROK-P	DMS	The existing ROK-P scans signature specimens directly from local scanners while in the target solution ROK-P will read the relevant documents from DMS - through standard DMS interface read unprocessed documents of type "signature specimen" and mark them as processed afterwards (change the respective attribute(s)).	Webservice / file transfer	Units of documents daily	-	N	-	-	-	-	Open points for SD are documented in separate document dedicated to ROK-P.
Bagman	DMS	Bagman will store the respective information about documents into DMS records instead into the Escudo application.	Webservice	To be estimated in SD phase	-	N	-	-	-	-	

From	To	Description	Interface type	Sizing	Slotting						Open points for SD
					0	1	2	3	4	5	
DMS	CSC	Exchange of LOVs (code lists) between DMS and CSC. DMS will process both jobs: - Publish relevant code lists into CSC in order to be available for other applications. - Retrieve / synchronize code lists from CSC that will be needed in DMS	PLSQL / Webservice	To be estimated in SD phase	-	N	-	-	-	-	Details on code lists 1) published to CSC 2) needed by DMS
Debety	DMS	The application will insert and store its documents into DMS - standard published DMS services shall be reused.	Webservice	To be estimated in SD phase	-	N	-	-	-	-	
Printscreen	DMS	This new narrowly focused application will allow the users to store screen copy directly into DMS including the required metadata.	Webservice / http	To be estimated in SD phase	-	N	-	-	-	-	
TSS3 MSWord temp. Debety	CSC	Read potentially new data / code lists from CSC - related to DMS.	PLSQL	To be estimated in SD phase	-	C	-	-	-	-	
IBSNet	DMS	The application will insert and store its documents into DMS - standard published DMS services shall be reused.	Webservice	To be estimated in SD phase	-	-	N	-	-	-	
DCS - virtual prints	DMS	The application will insert and store its documents into DMS - standard published DMS services shall be reused.	Webservice	To be estimated in SD phase	-	-	N	-	-	-	
IBSNet DCS	CSC	Read potentially new data / code lists from CSC - related to DMS.	PLSQL	To be estimated in SD phase	-	-	C	-	-	-	
OMS	DMS	The application will insert and store its documents into DMS - standard published DMS services shall be reused.	Webservice	To be estimated in SD phase	-	-	-	N	-	-	
CliView	DMS	The application will insert and store its documents into DMS - standard published DMS services shall be reused.	Webservice	To be estimated in SD phase	-	-	-	N	-	-	
(eFile project)	DMS	The application will insert and store its documents into DMS - standard published DMS services shall be reused.	Webservice	To be estimated in SD phase	-	-	-	N	-	-	
OMS CliView (eFile)	CSC	Read potentially new data / code lists from CSC - related to DMS.	PLSQL	To be estimated in SD phase	-	-	-	C	-	-	
ACV	DMS	The application will insert and store its documents into DMS - standard published DMS services shall be reused.	Webservice	To be estimated in SD phase	-	-	-	-	N	-	

From	To	Description	Interface type	Sizing	Slotting						Open points for SD
					0	1	2	3	4	5	
C4M-CAS	DMS	The application will insert and store its documents into DMS - standard published DMS services shall be reused.	Webservice	To be estimated in SD phase	-	-	-	-	N	-	
PeopleSoft	DMS	The application will insert and store its documents into DMS - standard published DMS services shall be reused.	Webservice	To be estimated in SD phase	-	-	-	-	N	-	
ACV C4M - CAS PeopleSoft	CSC	Read potentially new data / code lists from CSC - related to DMS.	PLSQL	To be estimated in SD phase	-	-	-	-	C	-	
Stamper	PKI	The Stamper component shall connect to PKI in order to be able to get relevant information needed to timestamp digitally signed documents where the signature is about to expire.	Webservice / http	n/a	-	-	-	-	-	N	
Julie project / Databox	DMS	The future Databox application shall use DMS as a storage for archived (zipped) messages. It will store the content in DMS and will also allow to retrieve it for later usage. Metadata relevant to the individual messages (i.e. not the archive as a whole) will be stored in Julie, not in DMS. Due to rather extensive volumes of data, a specific file transfer interface may need to be designed (possibility to reuse format designed for DTP and IM) - to be detailed in SD phase.	Webservice / file transfer	Approx. 1.400.000 databox messages are estimated for 2012, representing approx. 1.700GB of data content	-	-	-	-	-	N	Use file transfer interface because of large volumes?
TRT	DMS	The existing (remaining after the four slots) applications connected to Alfresco - their interfaces will be reconnected to DMS (through ESB). New guidelines will have to be followed which implies potential changes to the existing applications and their interfaces with DMS (e.g. technical user and identity propagation, guidelines on document types and their metadata/attributes, security / access rights settings, etc.).	Webservice	To be estimated in SD phase	-	-	-	-	-	N	
RPS					-	-	-	-	-	N	
Colco					-	-	-	-	-	N	
DCS - virtual prints					-	-	-	-	-	N	
NOS					-	-	-	-	-	N	
Tcard					-	-	-	-	-	N	
DSDC/PRM					-	-	-	-	-	N	
EFS					-	-	-	-	-	N	

From	To	Description	Interface type	Sizing	Slotting						Open points for SD
					0	1	2	3	4	5	
TRT RPS Colco NOS Tcard DSDC/PRM EFS	CSC	Read potentially new data / code lists from CSC - related to DMS.	PLSQL	To be estimated in SD phase	-	-	-	-	-	N/C	

6.6 Infrastructural View

6.6.1 Infrastructural Architecture AS IS

Content to be inserted after the winning proposal

Basic information about applications that are going to be replaced by the DMS solution:

	Architecture	Application server			Database server				Performance		
Application	Layers	Hardware (type, processors, memory (GB), Disk(GB))	Software (Operating system, Aplication server)	Cluster	Hardware (type, processors, memory (GB), disk (GB))	Software (operating system, db system)	Cluster	Database volume (GB)	Number of docs (in total)	Number of users	Availability (up-time %)
Escudo	2	N/A	N/A	N/A	DB001 / FAF.PROD.KB.CZ CPU count: 23	Oracle Platform: HP-UX IA (64-bit)	cn86a1 (cv86a4)	38	50.000.000	100	
Alfresco	Sticky Client Sessions with Simple Repository Clustering	Sun fire v890	WebSphere Application Server 6.1.0.23, Solaris,…	Yes	DB007	Oracle Database Enterprise Edition 10.2.0.4.0, Solaris[tm] OE (64-bit., ...	Yes	Shared. DB current size: 12432 MB	1 000 000		See Operations view
Eprdok	MDB file, Access forms	Share disks	MS Access 2002	N/A	Share disks	MS Access 2002	N/A	0,1	750 000	530	Non-IT application
Evydupp	MDB file, Access forms	Share disks	MS Access 2002	N/A	Share disks	MS Access 2002	N/A	0,05	2 000	50	Non-IT application
Evybal		Share disks	MS Access 2002	N/A	Share disks	MS Access 2002	N/A				Non-IT application
E-Klid		Sun fire v890	Websphere application server; Solaris		DB007	Oracle 10g; Platform: Sun Solaris10	Yes; cn15e2, cv15e1				
ArchivKB	ASP.NET application	Share web server Windows 2003	Oracle	N/A	Share DB server Windows 2003	Oracle	N/A	0,2	500 000		

6.7 Operations and Maintenance View

6.7.1 perations and Maintenance AS IS

Support model of the existing DMS Alfresco service is part of the support model for common services, sheet DMS. The participating teams are (only support teams are listed, the table does not contain solution groups of consumers' application support):

ITG Role	Solution group	Hours
IT 1st Level Support Solver (služba dispečinku)	HP Tier 1	PO – PÁ 7:00 – 19:00
IT 1st Level Support Solver (přístupová práva)	CAU Central User Administration	PO – PÁ 8:00 – 17:00
IT 1st Level Support Solver	Operators OVO&MF	7x24
IT 2nd Level Support Solver	AP Retail Application	PO – PÁ 9:00 – 17:00
IT 2nd Level Support Solver	Middleware Support Integration Services	7x24
IT 2nd Level Support Solver	DB DATA support level 2	PO – PÁ 9:00 – 17:00
IT 3rd Level Support Solver	AP J2EE Share Services	PO – PÁ 9:00 – 17:00

The common DMS service is used by the business application E-klid serving users from CAP (centers for active products) and OM (obchodních míst) handling documentation for corporate client loans. IT Process Procedure exists for the application. Participating support teams:

ITG Role	Solution group [SD CODE]	Hours
IT 1st Level Support Solver	HP Tier 1	Po - Pá 7:00-19:00
IT 1st Level Support Solver (přístupová práva)	CAU Central User Administration	Po - Pá 8:00-17:00
IT 1st Level Support Solver	Operators OVO&MF	7 x 24
IT 2nd Level Support Solver	AP Retail Application	Po-Pá 8:00-17:00
IT 2nd Level Support Solver	Middleware Support Integration Services	7 x 24
IT 2nd Level Support Solver (aplikační podpora FEAK)	AP DCS	Po-Pá 8:00 – 17:00
IT 3rd Level Support Solver	AP Support FEAK and LAPs	Po-Pá 8:00-17:00

Existing SLA / OLA
The following table summarizes the existing valid SLAs for IT services and standardized applications guaranteed to the client departments.

Aplikace / Systém	Garantovaný režim provozu	Dostupnost	Servisní okno	RPO	RTO	Maximální doba výpadku	Klienti
TSS3	Po, St 8-19 Út, Čt 8–18 Pá 8–18:30	So, Ne 9–17	mimo gar. a negar. Režim	?	?	63 min/měsíc	
WMT*	Po-Pá 8-19	Po-Pá 6-8 Po-Pá 19-22	mimo gar. a negar. režim	1den	1den	132 min/měsíc	
ROK-P	Po, St 8-18:30 Út, Čt 8–17:30 Pá 8–18	-	-	?	?	60 min/měsíc	
Dejar	Po-Pá 9:00 – 17:00	N/A	N/A	N/A	N/A	N/A	Operations
Escudo	Po-Pá 9:00 – 17:00	N/A	N/A	N/A	N/A	N/A	Operations
Alfresco	N/A	N/A	N/A	N/A	N/A	N/A	
E-klid	N/A	N/A	N/A	N/A	N/A	N/A	
Archiv KB	N/A	N/A	N/A	N/A	N/A	N/A	

There are several applications which are currently out of scope for IT operation, support and development.

- Application BO-EMAIL is to be completely replaced by functionality in WMT3 during February 2012 full rollout.
- Functionality of applications EPRDOK, EVIDUPP and EVIBAL shall be replaced by the new DMS system itself.

6.7.2 Operations and Maintenance TO BE

IT Process Procedure document will be created for the newly delivered components of the DMS platform solution (+robot). Depending on architectural solution, PrintScreen application model can be described on the level of CMDB configuration items.

IT Process Procedure documents will also be updated for the relevant changed applications and common services – creation of links to solution components and/or adjustment of the support for the application (if needed). Based on the existing knowledge, it is expected that following process procedures will need to be updated:

- ACV
- B2B Gateway
- Bagman
- C4M / CAS
- CliView
- Colco
- Common services (IGS, NOS, ADS, PKI)
- CSC
- DCS
- Debety
- DSDC / PRM
- EFS
- ESB
- IBSNet
- ITIM
- MS Word templates
- OMS
- ROK-P

- RPS
- Tcard
- TRT
- TSS3
- WMT.

The following will be delivered by other projects:

- D-BOX (project Julie)
- Peoplesoft (project PS9)

The above list may potentially be extended with other consumers. It is assumed that creation of process documentation for other connected applications, or for those where it does not exist yet, is out of scope of the DMS project.

Basic parameters for DMS environments

Environment	Parameters

Production environment	• Criticality: BU critical application
	• High-availability
	• CAIS: yes
	• Application support availability onsite: Mon–Fri 9:00-17:00
	• Monitoring will be ensured by the following tools
	  ○ HP OpenView (infrastructure)
	  ○ Quest (DB)
	  ○ HP SiteScope (applications, SLA reporting)
	• User administration: 5320
	• Access constrol for end-users: ITIM

Non-production environments (DEV, TEST, EDU, DEPLOY)	• Non-HA • Environments are not guaranteed\ • Application support availability onsite: not provided

Revision of operation and support will be performed for each of the changed applications in IT I&O 5320. The following impacts have beed identified during PD phase:

Summary of changes in operation/support for the relevant applications

Application	Changes in operation / support
DMS	24x7 operation / support – see details on support below
B2B Gateway	24x7 operation / support due to DTP file transfers Potential changes in support processes
ESB	24x7 operation / support For ESB this level of support shall be designed already by MyFace project
ACV	No changes expected.
Bagman	
C4M / CAS	
CliView	
Colco	
Common services (IGS, NOS, ADS, PKI)	
CSC	
DCS	
Debety	
DSDC / PRM	
EFS	
IBSNet	
ITIM	
MS Word templates	

Application	Changes in operation / support
OMS	
ROK-P	
RPS	
Tcard	
TRT	
TSS3	
WMT.	

Environments supported by I&O 5320 – relevant for the new DMS platform:

1. Production (PROD)
2. Deployment (DEPLOY)
3. Training / educational (EDU)
4. Test (TEST)
5. Development (DEV)

Processes

Process management will correspond to IT Governance processess:

- Incident management, Problem management
  Managed by the process „DS8 Manage service desk and incidents“.
- Change management
  Managed by the process „AI6 Manage changes“.
- Configuration management
  Managed by the process „DS9 Manage the configuration“.

Deliverables to Operations

Delivery of all the application layers into 5320:

- HW
- Operating system
- MiddleWare
- DB
- The resulting application on production environment (application support)
- The resulting application on EDU environment (EDU support) providing training data for business end-users training
- TestLab
- CAU
- ITIM
- EUS
- Operators

Esp. the following deliverables are part of the acceptance process from 5320:

- Identification of recurring FTEs (the condition is that the application requires only minimum manual support activities)
  - During the PD phase, the following activities were identified:
    - Activities related with „Run“ activities
      - Regular operation / administration of the infrastructure and environments (network, servers, DB, middleware, filesystems, etc.)
      - Handling incidents and error situations
    - Activities related with „Change“
      - Handling service requests
      - DMS administration / maintenance tasks for individual solution components – can be estimated after more detailed solution design, during SD phase:
        - Overall platform + database
        - Regular batch jobs

  - Robot
  - Content stores (tiers T1/T2/T3)
  - PrintScreen
- Final documentation
  - Installation, technical, configuration, operational documentation
  - Test documentation
- Application support training
- SLA and IT process documentation in conformance with deliverables defined within SD phase (including rules for management of access rights and potential additions to 20-006 manual)
- Registration of all configuration items in CMDB in conformance with the application model.
- Appointment of IT application and methodic gestors for the new components
- Relevant adjustments into HP OV SD (templates for service request types identified during the SD phase, creation of the IT/BU solution groups in conformance with the support model identified during the SD phase)
- BU acceptance of the solution

IT continuity plans for the new business critical solution will be part of the project (procedure for brining up to operation the production environment after crash situation).

The deliverables will be specified in more detail during the SD phase.

Deliverables to Maintenance

Representatives of the changed applications will receive the following:

- Documentation updated in conformance with the defined deliverables
- New versions of the applications
- List of known errors

Moreover, representatives new applications will receive the following:

- Identified FTEs for maintenance and small enhancement – employees with relevant knowhow from the project or accordingly trained
- Description of environments for development, testing and deployment plus necessary access rights

The deliverables will be specified in more detail during the SD phase.

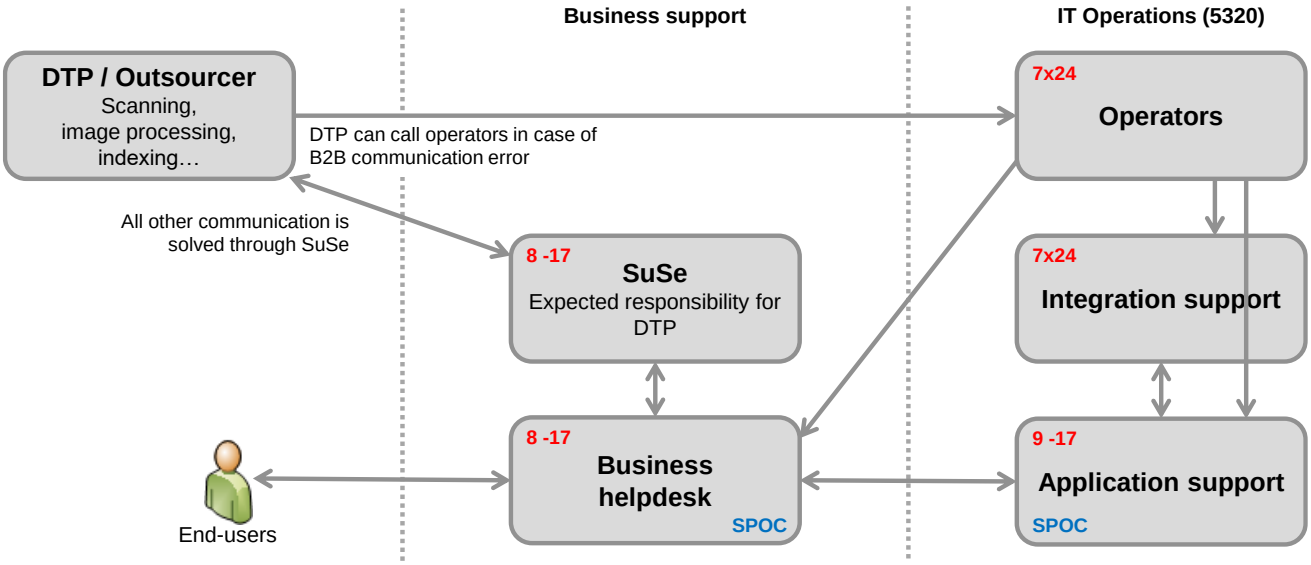
6.7.3 Application Support Model

Application / Component	Level of Support Services	Competency Centre	IT Application Guestor	Application Administrator	BU Application Guestor	Status
DMS (incl. robot)	Advanced	5316 Document Management System služby	5316 (R. Dvořák?)			N
ACV		5317 Risk Management	Michal Novák		Michal Krebs	
ASS		???				
Bagman		5317 Risk Management	Věra Šumová		Soňa Fialová	
CliView		5313 IB&TC	Imrich Živčák		Ing. Petr Horák	
C4M		5317 Risk Management	Dle modulů		Dle modulů	
D-BOX		5318 - Finance & Human	Tbd (in scope of Julie project)		Tbd (in scope of Julie project)	

Application / Component	Level of Support Services	Competency Centre	IT Application Guestor	Application Administrator	BU Application Guestor	Status
		Resource				
DCS		5316 – Distribution Channels	Josef Pecháček		Miroslav Hlaváč	
Debety		5315 - Payments	Martin Štefanka		Marie Valouchová	
IBSNET		5315 - Payments	Stanislav Pečený		Alena Uhrinová	
IGS		5319 - Referentials	Lucie Olivová		Josef Garčic	
NOS		5319 - Referentials	Lucie Olivová		N/A	
OMS		5313 IB&TC	Vladimír Tučan		Tomáš Plaček	
Peoplesoft		5318 - Finance & Human	Petr Schut			
Rok-P		5315 – Payments	Lenka Čecháková		Eva Urbanová	
Templates (Word)		5319 – Marketing	Markéta Baláková		N/A	
TSS3		5315 – Payments	Slavoímír Hora		Josef Garčic	
WMT		5316 – Distribution Channels	Simona Pejsarová		Josef Pomikálek	

Support model – production environment

The following schema summarizes the expected flows of communication:



1st level support

- Central business helpdesk (current support hours shall remain unchanged [depending on the stream on average Mon-Fri 8:00-17:00])
  - Analyze end-users requirements
  - Coordinate solution on BU side
  - Hand-over the requirements / service desks to appropriate solution groups based on the support model (details to be specified in SD phase)
  - For handing-over service desks between BU and IT, each of the sides will have only one single point of contact (SPOC) that will ensure further coordination. On IT side, this SPOC is represented by the application support group.
- DTP support
  - SuSe shall be responsible for coordination of all communication with DTP
  - DTP specific support for technical incidents during batch upload of scanned data (technical problems regarding B2B communication between KB and DTP)
    - DTP can call KB IT Operations operator to handle communication incident
    - Details will be designed in detail during the SD phase
- 5393 IS Security Operation (support hours Mon-Fri 8:00 – 17:00)
  - User maintenance
- 53272 Operation Services (support hours 7x24)
  - Escalation of critical alerts from monitoring to the defined support groups

2nd level support

- 53275 System Support (support hours 7x24)
  - OS support (incl. storages / filesystems)
  - HP EUS (depending on the solution)
- 53274 Integration Support (support hours 7x24)
  - WAS, ESB
  - DB, DAT
- Application
  - 53273 Application Support (support hours Mon-Fri 9-17)
    - If needed, application support can be extended to broader hours (even to 24x7) at additional running costs
  - Application support processes for B2B may need to be revised / changed (in ASIS there is no application support for B2B, it is rather realized by application support of the relevant applications participating on the data transfers)
  - Detailed list of activities incl. their complexity, timing demands, frequency, etc. will be specified during the SD phase after detailed solution design is known – for initial hints please see „activities related with Change“
- Activities out of scope IT
  - Communication with external suppliers managed outside of IT
    IT support teams, in case of need to cooperate with a non-IT managed supplier, communicate with a defined BU representative from Operations, Suse or POM (depending on the rules that will be defined in SD phase)
  - Management and administration of the DMS content
- Applications / consumers – common services, applications and integrations
  - Please see table „Summary of changes in operation/support for the relevant applications“ above

3rd level support (5310)

- Resolution of errors and incidents on the code level of internally developed solution components
- Communication with the external supplier on resolution of the errors and incidents of IT parts of the delivered solution

Concrete solution groups and procedures will be defined during the SD phase. HP OV SD.will serve as the communication tool for service requests handing-over among the individual solution groups.

SLA + OLA

Overall DMS governance and management model must be chosen during the SD phase – i.e. the department/subject responsible for overall management through KB. This subject will be responsible for negotiation of individual SLA parameters and for signing the final SLA to be guaranteed by IT.

Concrete changes to existing SLA parameters will be identified and agreed based on the requirements of client business departments and will be resolved during the SD phase of the project. The table below summarizes the standardized relevant applications for whic IT guarantees the operation – and the planned (currently known) changes:

Aplikace / Systém	Garantovaný režim provozu	Dostupnost	Servisní okno	RPO	RTO	Maximální doba výpadku	Klienti
DMS	New component – please see details in separate chapter 5.2.1.						
TSS3 – no changes expected.	Po, St 8-19 Út, Čt 8–18 Pá 8–18:30	So, Ne 9–17	mimo gar. a negar. Režim	?	?	63 min/měsíc	
WMT* – no changes expected (TBC)	Po-Pá 8-19	Po-Pá 6-8 Po-Pá 19-22	mimo gar. a negar. režim	1den	1den	132 min/měsíc	
ROK-P – no changes expected.	Po, St 8-18:30 Út, Čt 8–17:30 Pá 8–18	-	-	?	?	60 min/měsíc	
Escudo Alfresco E-klid	Applications will be decommissioned during the project.						
Other applications	Will remain unchanged.						

* WMT SLA has not been signed yet.

6.8 Testing View

Note: the term „DMS" in the context of this chapter and also this whole document denotes the target EMC Documentum DMS solution. The existing to-be-replaced DMS solution and its environment are denoted as „Alfresco".

The DMS project will setup the following environments for the target DMS solution:

Environment	Purpose, description
DEV	Development of the solution, internal unit testing
TEST	Testing of the solution, inter-connection with other applications' test environments
TRAIN	Training of end-users
DEPLOY	As much similar to production setup as possible • Before first rollout will serve as performance test environment • After first rollout will serve as hot-fix and deployment environment for testing of deployment of new releases
PROD	Production environment

The following tests will be executed for Slot 1:

Test type	Purpose, description	Applications	Environment
Assembly test	Purpose: to verify internal functionalities of the DMS system. Will be tested on TEST enviornment of DMS. External systems are not expected to be connected; interfaces will be simulated by mockups or artificial data inputs.	DMS	DMS - TEST

Test type	Purpose, description	Applications	Environment
System integration test	Purpose: to verify overall functionality of the solution as a whole. Will be tested on TEST environments of individual applications, interconnections are necessary.	DMS TSS3 WMT CCDB Other apps*	DMS – TEST TSS3 – TEST WMT – TEST
Performance / stress test	Purpose: to verify availability, capacity and performance requirements of the solution are covered. Will be tested on DEPLOY environment. WMT may potentially be part of the performance test (DMS will still send events to WMT during the perf test); budget for the WMT perf test must be planned within the relevant WMT project.	DMS (WMT)	DMS - DEPLOY*
Infra / DR test	Purpose: to verify infrastructure related functionality – clustering, disaster recovery, etc. Might be tested on production environment before first rollout (to be confirmed during SD).	DMS	DMS – DEPLOY/PROD
User acceptance test	Purpose: acceptance test by business end users to verify overall solution and final user test; will be executed partly as formal test (based on system integration tests) partly as free test.	DMS TSS3 WMT	DMS – TEST TSS3 – TEST WMT – TEST

*Notes:

- Development / unit tests are considered as part of the build activities and are not mentioned in the above table.
- Performance test before first rollout will be executed on DEPLOY environment.
- Applications to be part of system integration tests: TSS3, MS Word templates, WMT, ROK-P, Escudo, Bagman, CCDB, E-klid

Testing during further slots (slots 2-5) will be executed in the same manner; in order to allow potential effort reduction, scope of some tests may be decreased or the the test will not be done at all (e.g. DR tests after slot 2 will not be necessary as slot 2 does not change the infrastructure of the solution). Details on what extent of what tests to be executed during slots 2-5 will be specified in the individual SD phases related to the given slot.

The following table shows estimated efforts and durations for Slot 1 testing:

Indication	IT Tests	Business Tests		BI Tests	Pilot
		Business Part	IT Support		
Processes To Be Tested	See point 6.1.2.2 List of Processes				
Estimated Duration (Weeks) Data & Environment Preparation + Test Performing				n/a	3 weeks
Estimated Workload Needed for Test Performing (Testers´ MDs)				n/a	
Estimated Workload Needed for Data and Environment Preparation (MDs)				n/a	

Effort estimates for testing will be supplemented after DMS RFP is finished and winning system integrator is selected._

For Slots 2-5 more precise estimates will be defined during their respective SD phases.

6.9 Change Management View

6.9.1 Training

General approach to training for end-users will be to train the trainers first. The trainers will subsequently train the end-users. End users could be separated into 2 big groups as described below based on the activites they will mainly perform through DMS – fist group are users who will actively create, acces and edit documents in DMS (e.g. processing BO roles), the other group are users who will mainly deposit the documents into DMS and view documents through DMS. Both groups of the users shall be trained with respect to their specific roles changes and activities they will perform – i.e. the training is not just about the ECM/DMS functionalities and about the impact of ECM/DMS solution on other KB systems (WMT, TSS, etc.) but also about the training of frequent scenarios per roles that should help the trainees to perform their everyday tasks. Users will be trained depending on the slot of their involvement into ECM/DMS solution.
During the SD phase, the approach should be verified and developed.

Training Content ID	Training Content (What Should Be Trained)	Who Should Be Trained	Estimated Nr. of Trainees	Duration		External Suppl.	IT Support N/L/P	Stand Alone / Included Into	To Be Offered also after Proj.Closure
				For 1 Trainee (Days)	Total (Weeks)				
1	Mainly creating, accesing, editing documents in DMS – for end-users	Trainers	TBD	TBD	TBD	TBD	L	Together with ID 3	N/A
2	Mainly depositing and viewing documents in DMS, including indexing – for end-users	Trainers	TBD	TBD	TBD	TBD	L	Together with ID 3	N/A
3	WMT/workflow and impact on other KB systems – for end-users	Trainers	TBD	TBD	TBD	TBD	L	Included into ID 1 and 2	N/A
4	All activities mentioned in the ID 1-3	Testers	TBD	TBD	TBD	TBD	L	Stand alone	N/A
5	Mainly creating, accesing, editing documents in DMS	Users defined in the chapter 4.1 – ID 1,2,3,5	1500	TBD	TBD	N	L	Together with ID 6	Only for new staff
6	Mainly depositing and viewing documents in DMS, including indexing	Users defined in the chapter 4.1 – ID 4	3500	TBD	TBD	N	L	Together with ID 6	Only for new staff
7	WMT/workflow and impact on other KB systems	Users using workflow defined in the annex No. 14	5000	TBD	TBD	N	L	Included into ID 4 and 5	Only for new staff
8	Involvement in the ECM/DMS governance model	Users defined in the chapter 4.3 “DMS Governance” – particularly POM, IT, SuSe, Operations	TBD	TBD	TBD	TBD	L	Stand alone	Only updates
9	ECM/DMS implementation, integration and support	Selected members of IT infrastructure and operations	TBD	TBD	TBD	TBD	L	Stand alone	Only updates

6.9.2 Communication concerning Project Outputs

During the SD phase, the approach should be verified and developed.

Communicatin Content ID	Communication Content (What Should Be Communicated)	• Who Should Be Addressed • Estimated Nr. of Addresses	Communication Method	Timing		External Suppl.	Stand Alone / Integrated Into	To Be Offered also after Proj.Closure
				Start	End			
01	DTP related services and requirements	• DTP staff (external communication)	Presentation Support materilas	TBD	TBD	TBD	Stand Alone	Only updates
02	IM related services and requirements	• IM staff (external communication)	Presentation Support materilas	TBD	TBD	TBD	Stand Alone	Only updates
03	Ceska posta related services and requirements	• Responsible representative of Ceska posta (external communication)	Presentation	TBD	TBD	TBD	Stand Alone	Only updates
04	New application (storage, workflow)	• All end-users (internal communication)	Workshops	TBD	TBD	N	Integrated into trainings	No
05	Implementation of ECM/MDS solution	• Rest of the bank – not directly involved/trained (internal communication)	Off-line - presentation	TBD	TBD	TBD	Stand-Alone	No

6.9.3 Other Change Management Activities

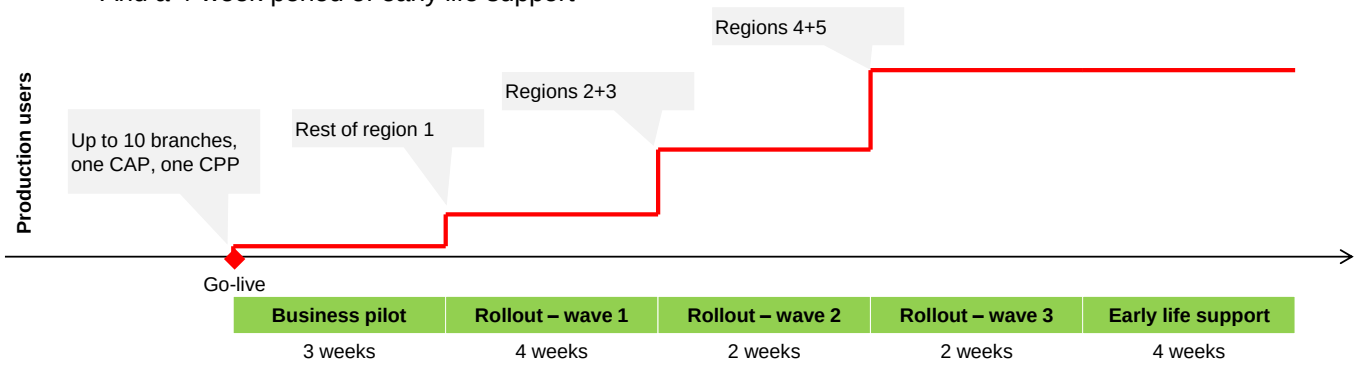
ID	Short Description	Time and Duration Estimates	Assumed Resource Needs (Finance, People, Tools,..)	Notes
01	Update of methodology and internal rules	TBD	TBD	
02	Organizational changes	TBD	TBD	Incl. layoffs, team reorganization, job descriptions modification, updating working contracts
03	Business roll-out	TBD	TBD	Incl. roll-out set up, deployment approach and plan, pilot, roll-out, roll-out and post roll-out support
04	Change monitoring and measurement	TBD	TBD	Continuous activity

ad 3) Business roll-out

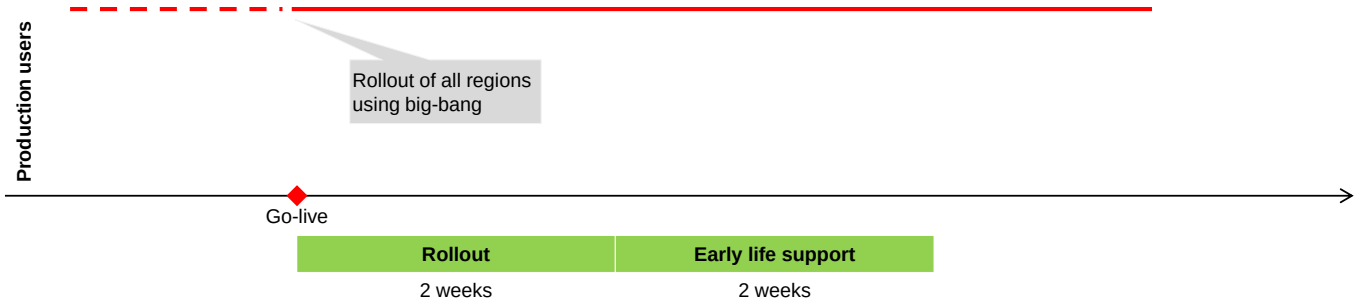
The business rollout of the DMS solution and related processes is planned according to the following schema:

For Slot 1:

- Business pilot limited to one CAP and CPP and a set of defined branches
- The pilot will last for 3 weeks
- Then there will be three rollout waves completing regions 1, 2+3 and 4+5 respectively
- And a 4-week period of early life support



For Slots 2-5 it is assumed that rollout will be done in one single wave:



7 PROJECT MANAGEMENT VIEW

7.1 Solution Slotting

High level description of scope of individual slots:

Slot ID	Slot Description	Related Project Objective(s) ID	Related Project Benefit(s) ID
1	**CORP & RETAIL segment - new documentation:** client documentation of retail and corporate segments (including private segment) – involvement of all departments cooperating on such documentation	1,2,3,4,7,8	1,2,4,5,6,7
2	**CORP & RETAIL segment - scanning of existing documentation** scanning of existing documentation from retail and corporate segments	1,2,3	1,2,3,4,5,6,7
3	**Top Corporations – new and existing documentation** client documentation of TCA segment – involvement of all departments cooperating on such documentation incl. scanning of existing documentation of TCA segment	1,2,3,4,7,8	5,6,7,13

Slot ID	Slot Description	Related Project Objective(s) ID	Related Project Benefit(s) ID
4	**RISK and LEGAL departments + non-client documentation** full involvement of RISK and LEGAL departments (partly already in the slot No. 1) as well as non-client documentation - involvement all departments cooperating on such documentation	1,7,8,9	10,11,12
5	**Databoxes + Alfresco decommissioning** Slot targetted for technical activities. DMS will serve as an archive storage of databox messages. And finally, the EMC Documentum platform will replace existing KB DMS solution based on Alfresco; the existing applications using Alfresco will be reconnected to Documentum and their data will be migrated.	1,6	3,4,9

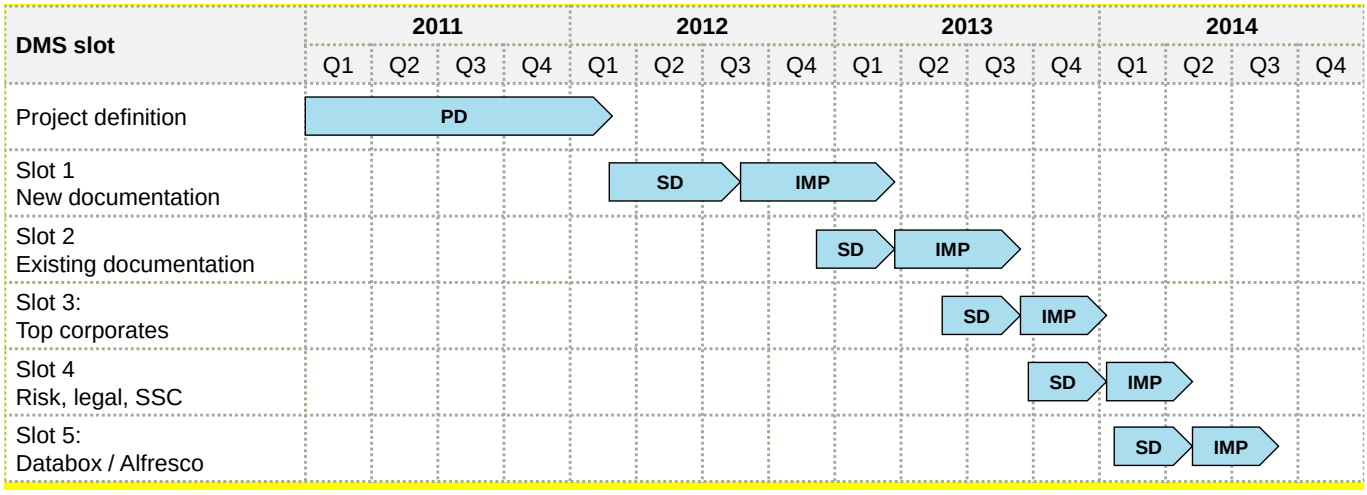
Please find the detail information about involvement of each department, including slotting, in the annex No. 14 “Annex_14_DMS_ECM_Utvary_v3.0”.

Workarounds resulting from the proposed involvement of different departments into ECM/DMS solution:

- New and existing documentation of corporate and retail segment (start in the slot No. 1, end in the slot No. 2): part of client documentation of retail and corporate segment will be in digital form (reflecting the new target operating model) and part of the documentation still in the paper form stored in current back-offices (existing documentation)
- Documentation logistics - TCA documentation transfer (start in the slot No. 1, end in the slot No. 3): documentation of corporate and retail will be sent to DTP (once the slot 1 is implemented), however till the full involvement of TCA segment, there will be still some paper documentation transferred from front-office into back-offices (CAP Brno, CPPs)
- Transfer of clients between TCA and corporate segment – (start in the slot No. 1, end in the slot No. 3): transfer of clients between corporate and TCA segments will involve different approach and work with documentation before the full involvement of TCA segment in the slot 3
- CUD – existing documentation transferred to DTP (start in the slot No. 2, end in the slot No. 3): regarding the storage of documentation, TCA segment uses CÚD for the storage of its originals that should be transferred into DTP in the slot 2 – however, the involvement of TCA segment will be in the slot 3
- Escudo – slot 2 versus slot 3 (start in the slot No. 2, end in the slot No. 3): in Escudo, there are records about retail and corporate segments as well as TCA segment, data from Escudo will be migrated in the slot 2 – however, TCA will be involved in the slot 3
- Links between Bagman and Escudo applications regarding the inventory taking of securities (start in the slot No. 1, end in the slot No. 3): after the slot 1, some of the documentation will be in DMS (the new documentation of retail and corporate segment), some documentation will be still in Escudo (existing documentation of retail and corporate segment and all TCA documentation) – therefore there will be double bound: Escudo x Bagman, vs. DMS x Bagman, after the slot 2, the links between Escudo and Bagman will be replaced by the links between DMS and Bagman, however TCA will be involved in slot 3

The above mentioned workarounds should be further analyzed in the SD phase of the corresponding slots.

The following diagram shows high level timing for individual slots (timing is illustrative only – will be update after detailed project plan is prepared):



7.2 Mandays estimates

Slot ID	Activity Description	Estimated MD #			Buss. Units incl.POM
		IT	BI	Buss	

7.3 Milestones and Deliverables

7.3.1 Milestones

Milestone ID	Date	Milestone Name	Milestone Specification	Slot ID	Responsible (in Project)
		SD phase start approval			
		Review and SD phase detailed planning and Deliverables			
		<further milestone>			
		IM phase start approval			
		<further milestone>			
		Project Production Date			
		Project Closure			

7.3.2 Deliverables

Deliverable ID	Deliverable Description	Related Milestone ID

7.4 Dependencies

The key dependencies are described in the subchapters below. Moreover, "smaller" dependencies are summarized in the table (the table below shall be checked once again before finalization of the PD):

ID	Related Project / Department / Release / Other	As (Su/Co)	Planned date	Dependency Description
1	Exua		10/2011 Expected PPD	• Access of external resources to internal KB systems
2	eForms		05/2011	• eForms (mojebanka, kb.cz) – new forms solution for DCS uses, as document storage will use Alfresco
3	DCS		02/2012	• Replacement of statement storage • Interface to DMS trough ASS component instead of Dejar
4	EPOZ			• Relation to IBSNet – replacement of PEZ • Implementation planned for 2012
5	PRM		SD finish 05/2011	• Potentially KBIID to be replaced by a PRM unique identifier • Potentially integration with DMS/ECM (Today, DMS/ECM will provide a standard API for integration; scope of integration is not define yet). • Re-use security principles for integration with daughter companies
6	Knowledge centers			• Touching areas especially of Web Content Management, Collaboration and Digital Asset Management
7	HANA			• Replacement of MyRiskTool (MRT#14, MRT#23, MRT#24) in relation to DMS/ECM
8	New ATM strategy			• Potentially impact to integration with DMS/ECM
9	MyFace			• Potentially impact to integration with DMS/ECM • Potential request to store templates.
10	IPMV			• Potentially impact to integration with DMS/ECM • Potential request to store documents
11	eCommisonning /COMA			• Potentially replacement of MyRiskTool (MRT#18) – storing of dealer contracts
12	MPSS KB LPR		2011	• MPSS KB Loan Process Redesign will introduce new flow of documents to CAP. This flow shall ultimately be ending in DMS
13	Archive Renewal			Project cancelled; not relevant anymore
14	Low Cost Storage			Project cancelled; not relevant anymore
15	UnixCon			• Project will select new database layer (the existing solution is ending its lifecycle)
16	MS Office migration			• Project selects new platform for office applications (candidates are MS Office 2007, MS Office 2010, OpenOffice) • The migration will probably be realized during 2012-2013 • The existing MS Word templates will need to be adjusted
17	Centralizace			Centralizace podpůrných procesů pro TCA a PRIV do útvarů CAP/CPP TCA

7.4.1 WMT

How DMS impacts WMT

- Change into process SLAs – inclusion of the scanning center (DTP) into the processes and their steps will introduce a change into SLAs
- DMS will generate events with new incoming documents to be processed by WMT
    - This assumes also the possible prerequisite, that other systems (e.g. TSS3) have to be adjusted so that all relevant processes are started before the document arrives into WMT (the processes can be started automatically or manually).
- A need on the on-line reporting (BAM) may arise because WMT will become the key tool for managing the work performed on back-offices (this shall be revised in SD phase as WMT3 has already created a form of online reporting).

How WMT impacts DMS

- Based on inputs from WMT project, WMT cannot be run in parallel on two DMS systems. Therefore it is necessary to migrate WMT from Alfresco to the new DMS platform within the Slot 1 (this is already covered in the designed slotting).

It is assumed that changes to WMT will be performed under the “header” of DMS project, being probably delivered on time and material basis. KB will be responsible for managing the “WMT sub-project”.

7.4.2 TSS3

TSS3 needs to implement changes in the application itself, new interface to DMS and change the interface (content-wise) to WMT. The relevant TSS3 release will be synchronized to the planned target DMS release.

7.4.3 Julie / DBox

Julie project overall solution design

- Databox (Julie project) will store archived messages into DMS (in the compressed form)
- Databox will hold the appropriate detailed metadata
- DMS will serve as archive storage and will allow resigning of messages using the “Stamper” component where DMS will provide a report of documents needing resigning (see Security section)
    - Legal department does not have final statement about necessity for document resigning

DMS impacts Julie project with following requirements

- Databox project will handle storing messages for archival into DMS
    - Searching / document retrieval will be done through Databox applications/system

Julie project impacts DMS as follows

- D-box will use DMS/ECM as storage of archived messages (received + sent). There is an impact to the sizing of DMS/ECM storage: according to current sizing estimates, databox messages will form approx. 65% of volume capacity in 5-year horizon

7.4.4 E-File

Review of synchronization of the projects DMS – WMT – E-File will be needed during the further phases of DMS project.

How E-File project impacts DMS

- E-File project will optimize (replace) the loan process for corporate and TCA.
    - If E-File project goes live before DMS project, DMS will need to include additional migration from Alfresco to Documentum due to E-File storage of documents into DMS.

  - E-File project scope may potentially also impact the scope and timing of integration between DMS and TCA, corporate application (esp. templates MS Word, CliView, OMS)
- E-File TOBE solution will most probably become DMS ASIS for Corporates & TCA due to projects timing.
- E-File project shall deliver new GUI for WMT, which has to be used by the DMS project. Due to timing of both projects, DMS might be in implementation phase while E-File goes live with the new GUI which may generate risk of developing new WMT functionality on a not fully tested WMT GUI.

7.4.5 Infrastructure

The original “New archiving solution” project was about to setup new basic parameters for a global archiving solution. However, the project has not been prioritized. Thus DMS project needs to resolve archiving solution on its own.

7.5 Project Risks

Risk ID	Risk Short Description	Slot(s) ID	%Probability (10-90)	Impact (1–3)	Priority (1–3)	BU/IT/ BI	Due Date

Risk ID			
Impact description			
Indicators			
	Action (What and When is to be done)		Responsible person
Prevention Actions			
Problem Solving			

7.6 Project Business Case Overview

INDICATOR Figures in [ths.CZK] or [MDs], if not stated otherwise; last available values at the moment	Prioritization	Passing IF→PD		Passing PD→SD	
	DATE	DATE		DATE	
Total Costs (1900 - 1905)	0	Limit		Est	0
Total Project Costs		Est	0	Est	0
Project Definition Phase Costs		Plan	0	Real	0
Solution Design Phase Costs				Plan	0
Implementation - Budget Costs		Est		Est	0
Implementation - Out of Budget Costs (Releases, ...)				Est	0
Total Recurring Costs (1900 - 1905)		Limit	0	Est	0
Total Benefits (1900 - 1905)	0	Est	0	Est	0
Project Workload - all phases (in MDs)			0		0
Solution Design Phase Workload			x		0
SD workload internal			x		0
SD workload external			x		0
Pay Back Period (in years)		Est	0	Est	0
Net Present Value Cash Flow (1900 - 1905)		Est	0	Est	0
Project Production Date	DATE	Est	DATE	Est	DATE

To Be Approved Budget for SD Phase	0
OPEX	0
CAPEX (incl. Personal Costs - Capitalised)	0
Personal Costs - Non-Capitalised	0

Note: For detailed figures see the Project Business Case

7.7 Solution Impact

Impact on	Assessment	Explanation
Capacities (Branch / Buss. Center / Call Center / Other)´	**No impact / Consumes / Saves**	
Client Satisfaction	**No impact / Supports / Threatens**	

7.8 References

The following table lists Annexes to this Project definition document:

ID	Document Name	Description
1	Annex_1_ECM_DMS_DIST & OPER_Target Design	Target documentation flow of corporate and retail segment and non-client documentation.
2	Annex_2_ECM_DMS_TCA_Target Design	Target documentation flow of TCA segment
3	Annex_3_ECM_DMS_Documentary Processes	Target documentary processes
4	Annex_4_ECM_DMS_Requirements	Description of requirements
5	Annex_5_ECM_DMS_RolesChanges	Description of changes to user roles
6	Annex_6_ECM_DMS_Katalog	Document catalogue for corporate and retail segment

ID	Document Name	Description
	dokumentu_DIST&OPER	
7	Annex_7_ECM_DMS_Katalog dokumentu_TCA	Document catalogue for TCA segment
8	Annex_8_ECM_DMS_RFP_DTP_Zpracování dokumentace_Overview	Description of documentation processing
9	Annex_9_ECM_DMS_Risk Analysis DTP services	Description of risk analysis of DTP services
10	Annex_10_ECM_DMS_ROK-P_x_DTP_Vision_01-00.doc	Description of changes planned in ROK-P
11	Annex_11_DMS_BOS_Steering_Committee_1_vFINAL	Sceering Committee No. 1 (BOS study)
12	Annex_12_ECM_DMS_Katalog dokumentu_Shrnuti	Summary of document catalogues and documentation covered by the Project
13	Annex_13_ECM_DMS_TSS_specifikace.doc	Description of changes planned in TSS3
14	Annex_14_DMS_ECM_Utvary	Description of involvement of KB departments into the ECM/DMS solution
15	Annex_15_ECM_DMS_PRIV_Operating Model	Operational model for Private segment

8 EXPLANATION OF ABBREVIATIONS AND ACRONYMS

The following table contains explanation of terminology used within the DMS solution project:

Term	Description
Alfresco	The existing KB DMS solution which is to be replaced by the target EMC Documentum DMS.
Archive content	Content belonging to the archive part of DMS solution; for precise definition please see chapter 5.1.1
Barcode	Label with unique id-number for each document (1-dimensional).
Box	Iron Mountain standardize card box for document storage
Business process	See chapter 6.2 Business entities for detailed description.
Case	See chapter 6.2 Business entities for detailed description.
Case type	See chapter 6.2 Business entities for detailed description.
Classification	Classification determines the place of a Record in a Fileplan.
Client	See chapter 6.2 Business entities for detailed description.
DMS	Document management system is an application; in the context of this project, always the new EMC Document DMS solution is meant, while the existing DMS solution is named as “Alfresco”.
Document	See chapter 6.2 Business entities for detailed description.
Document Type	See chapter 6.2 Business entities for detailed description.
File plan	Information on the retention periods defined for each folder and record.
Folder	See chapter 6.2 Business entities for detailed description.
Human Task	See chapter 6.2 Business entities for detailed description.
Integrity check	See process in chapter 6.1.2.10.
Metadata	See chapter 6.2 Business entities for detailed description.
Multidevice/Printers	Multidevice/Printers – local device for priting and scanning
Package	Envelope taged at branch office used for transportation of the physical documents to DTP.
Physical Document	Physical copy ofdocument, which is being printed, stored in archive.
Record	See chapter 6.2 Business entities for detailed description.
Rendition	Multiple digital representation of the physical document stored in DMS.
Retention & disposition scheduler	See chapter 6.2 Business entities for detailed description.
Retention period	Defines the time period for which KB has to keep document (physical and digital) in

Term	Description
	its systems/storage due to the legal requirements.
Scanners	Scanners used at DTP locations

Abbreviation, Acronym	Description
Active product	Products where bank is in active role and provides money to client, e.g. mortgages, consumer loans, business loans etc.
ACV	Automated Collateral Valuation application
ALD	ALD automotive - fleet management and leasing company
Alfresco	The document management service component is a provider (implementer) of DM services for storing, searching and retrieving documents.
API	Application Programming Interface
ArchivKB	System for searching document in Iron Mountain means If it necessary to gain document from IM storage, trough ASP application in intranet is possible to define document
AVR	Assets Valuation and Recovery
BaPo	relationship manager („bankovní poradce“)
Bagman	Collaterals management, off-balance sheet items management
BCP	Business Continuity Processes
BO, B/O	Back office (in case of Active Product Centers, BO specialists includes BO teams, support officers and MO teams)
BPM	Business Process Management
C4M	Central credit risk assessment tool – anti fraud system
CAP	ActiveProduct Center, Department responsible for processing active products
CAP Brno	Active Product Center - Brno
CC	Competence center - The EMC/DMS competence center that shall be established to govern the delivered solution.
CCDB	Customer Database part of Operational Data Store
CLDF	Corporate loans documentation front end – business application for document management in corporate loans.
CMIS	Content Management Interoperability Services
CMR	Credit Market RISK
ColCo	Collection cooperation application is providing selection of data for CRM Essox application.
COMA	Project name related with upgrading of PeopleSoft application
CP	Česká Pošta - Czech post, party responsible for shipping documents from FO to DTP
CPP	Passive Product Centre, Department responsible for processing passive products
CRA	Credit RISK Assessment
CSC	Management of central LOV’s (list of value)
CSR	Corporate Social Responsibility
CVAL	Credit Valuation
CUD	Centrální úložiště dokumentů'
D_Box	System is managing Data box agenda (Datové schránky)
DCS	Internet banking application
Debety	Register of unapproved overdrafts, unapproved overdrafts reporting, printing letters to customers
Dejar	Dejar is application for management of account related documents (written reminders, statements, etc.) in readable form (e.g. pdf files).
DIST	Distribution - Department in KB

Abbreviation, Acronym	Description
DMS	Document Management System
DMS Archive	Archived documents are part of the DMS, however they are having “archive” state
DMS1	Project to implement the first set of functionalities, specifically DIST + OPER, TCA, RISK, Legal, SSC
DS	Dceřiné společnosti, Daughter companies of KB
DSDC	Data sharing daughter company - Data-service component providing consolidated data related to KB group clients and their products and additional data-quality services like data cleansing.
DTP	Digitalizační a Třídící Pracoviště - Digitizing and sorting place. Receives documents from F/O, sorts, scan, verify them. Sends digital version to the EMC/DMS and paper version to IM. Also known as Outsourcers
DWH	Data ware house
ECM	Enterprise Content Management
ECM/DMS Platform	The packaged software (product) constituting the base of the Solution provided by the vendor.
E-klid	E-klid (elektronická klientská dokumentace); application is used for docs in CAP (in corporate loans area)
Eprdok/Evydupp	Eprdok - System for recording of operation documents, which are handed over inside company for active transactions. (Operation document = photocopy of original document version). Evydupp - System for recording of operation documents, which are handed over inside company for passive transactions (CPP).
ESB	Enterprise Service Buss
Escudo	Escudo was designed to store/record all the client documentation (business transactions, contracts etc.) from passive products and active products.
Exekuce	System for processing of execution. As a primary data source system is using D-box application.
F/O	Front office
FO	Front office
FTE	Full time employee
GUI	Graphical User Interface
HANA	Hard Collection Automation
HW	Hardware
IBO	Back office for porcessing of investment products
IBSNet	Complete processing of documentary payments - receipts, letters of credit and guarantees
IKS	Investiční Kapitálová Společnost KB
IM	Iron Mountain - Provider of physical document archiving services
IMP	Implementation phase - follows SD phase and delivers the solution design in the previous phase. (is part of delivery)
International cash pooling	Connection to SoGe system for client’s statements (client in SoGe and KB together)
IRR	Interest rate renewal
ISC	viz. SSC
ISDS	Informační systém datových schránek - Information system of Data boxes
IT PPD	IT Project production date - date when the delivery is delivered in a way that enables to start generating business benefits
KB	Komerční Banka, a.s.
KBI	Core system of KB
KB PMM	KB Project Management Methodology
Local departments storage	Each department can have logically separate document storage.
MAR	Mandatory Archive Renewal - project currently running with KB

Abbreviation, Acronym	Description
MD	Man day
MO	middle office
MPSS	Modrá pyramida Stavební Spořitelna - Building society - daughter company of KB
MPSS KB LPR	MPSS KB Loan Process Redesign
MS Templates	Templates for MS Office
MRT	My Risk Tool applications - non-IT supported application is using in RISK department
NOS	Service component is providing notification services (sending emails etc.)
Nonet	Together with VN one of the geolocations where KB has datacenter (located in the suburbs of Prague)
OCR	Optical Character Recognition
OLMF	OLMF – obálkovací linka main frame – application, where is collected data from KB systems for printing of statements and docs.
OM	Point of sale, KB Branch
OMS	Order and Portfolio management system for IKS clients and Securities branch clients
OPER	Operations - Department in KB
Outsourcer	See DTP
Passive product	Products where bank is in passive role and accept money from client, e.g. current account, saving account, term deposit etc.
PD	Project Definition - Initial phase in a lifecycle of project within KB (was responsible for preparation of RFP documentation - i.e. not part of delivery)
PDF	Portable Document Format
PEZ	“Poloautomatická evidence záruk”
PoC	Proof of Concept
POM	Project Organization and Management; KB department
PoS	Point of Sales (“obchodní místo”)
PoV	Point of View
POV	Podpora obchodního vymáhání - Support of collection
PP	Provozní podpora (operational support)
PRIV	Private banking
RAS	Frame agreement („rámcová smlouva“)
RFP	Request for Proposal
RFP DMS SI	RFP for DMS System Integration
RFP DTP	RFP for DTP
RISK/SAM	Supervision and Measurement
RM	Record Management
ROI	Return on Investment
ROK-K	Support application – application for searching of client‘s Unique identification
ROK-P	Support application - application for signature specimen processing
RPS	The main purpose of the Reporting service is filling a document template with user data and rendering the document in specified format.
SB	Small business
SCS	viz. SSC
SD	Solution Definition - Analytical and Design phase of project (is part of delivery)
SFTP	Secure File Transfer Protocol
SG	Société Générale

Abbreviation, Acronym	Description
SGEF	Société Générale Equipment Finance
SI	System Integrator
SKU	Správa klientských účtů (Client Accounts Admin.)
SLA	Service Level Agreement
Slot	Other expression for "release", used in KB methodology when project is deployed to production in multiple releases aka slots
Solution	The complete solution consisting of the ECM/DMS Platform any custom development, process and governance specification, etc. that is necessary to fulfil the requirements of KB.
SPU	Collection and transport centre
SSC	Shared Service Center
SW	Software
SZ	Správa zajištění (collaterals administration)
T-Card (T-Mobile)	Service component for co-branding credit cards between KB and T-Mobile
TC	Call center
TCA	Top Corporates and Affluents
TCA CPP	Passive Product Center for TCA
TCA CAP	Active Product Center for TCA
TCO	Total Cost of Ownership
TEF	Trade finance
TOL (Xerox)	TOL – tisková a obálkovací linka – Service is outsourced from Xerox company, Preparation of pdf files and print of docs.
TR	Transakce (transactions)
TRT	KB internal application – Time sheeting, Time reporting tool
TSS3	Main distribution selling tool for retail customers – Branch, Call centre
TVIS	Termínované vklady s indiv. Sazbou (savings - indiv. Rates)
Vendor	System Integrator submitting offer/delivering the Solution
VAT	Value added tax
VPN	Virtual Private network
VN	Václavské náměstí - together with Nonet one of the geolocations where KB has datacenter (located in the center of Prague)
WMT	Work management tool – business activity monitoring, work management tool for mortgages
WS	Web Service
ZK	Základní kontrola (basic check)

9 SIGN-OFF

Role / Org.Unit	Representative	Date	Sign-off
	<Name, Surname>	<dd.mm.yyyy>	