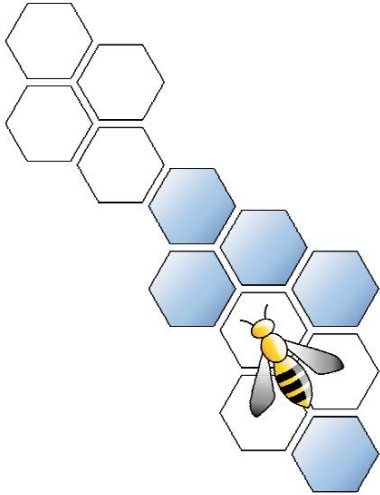DEUTSCHE BUNDESBANK
EUROSYSTEM

Digital document management at the Bundesbank

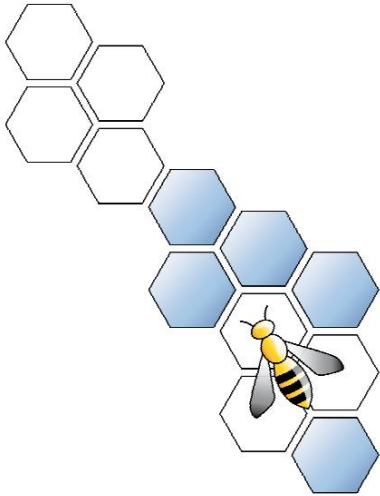**2nd november - 4th november 2022 -**
The document and archive management in central banks seminar by CEMLA

Agenda

1. General overview

2. Highlights and live demo
   - File plan and access management
   - Workflows
   - Records management

3. Discussion

Agenda

1. General overview

2. Highlights and live demo
   - File plan and access management
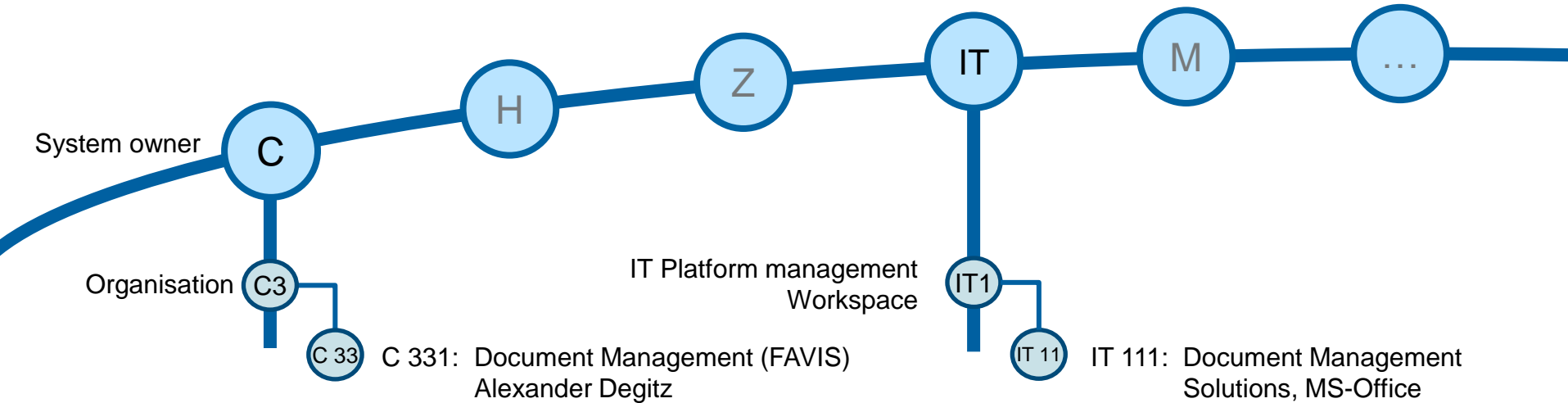   - Workflows
   - Records management

3. Discussion

Greetings from „Mainhatten"

Greetings from „Mainhatten"

Overview: Classification of FAVIS in the structural organisation

System owner

C — H — Z — IT — M — ...

Organisation

C3

C 33   C 331: Document Management (FAVIS)
                Alexander Degitz

IT Platform management Workspace

IT1

IT 11   IT 111: Document Management
                 Solutions, MS-Office

| Requirements management
| Release management
| Test management
| Service / operation (consulting and support)
| Projects
| Training courses

Overview: Deutsche Bundesbank

Central bank of the Federal Republic of Germany; established in 1957

- 1 central office: Frankfurt am Main
- 9 regional offices
- 31 branches

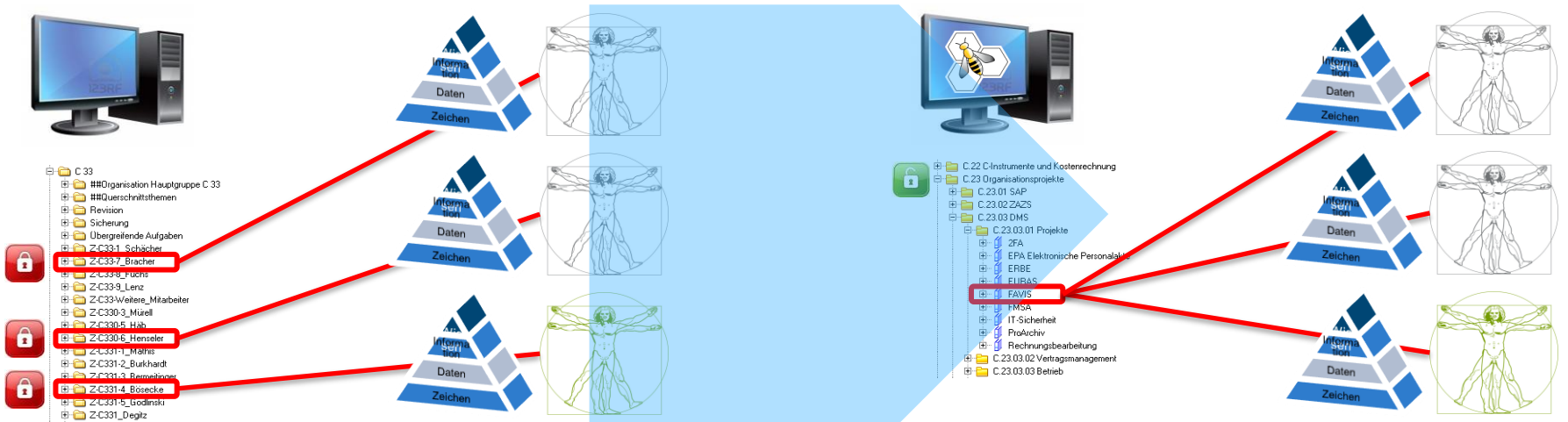| FAVIS users	~ 12,000
daily log ins	~ 7,000

Daily usage:	~ 21 Gb new data
	~ 22,000 documents
	~ 2,000 E-Mails
	~ 850 scanned documents

Overview : Mission and objectives

Improvement of knowledge management

Cushion the impact of demographical changes

Meet the requirements of the german law

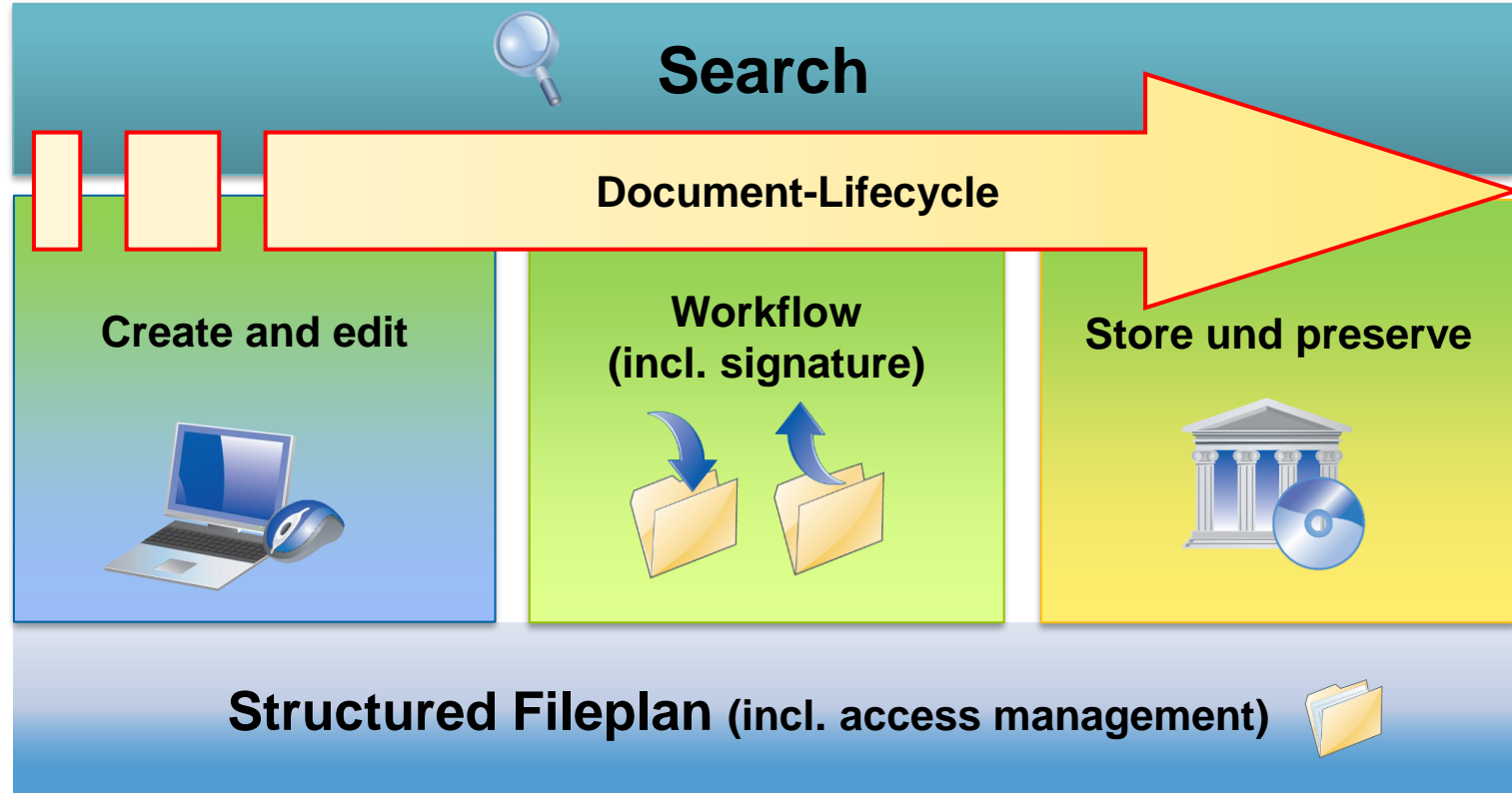From people oriented,

redundant filing …   **to**   …task-oriented working
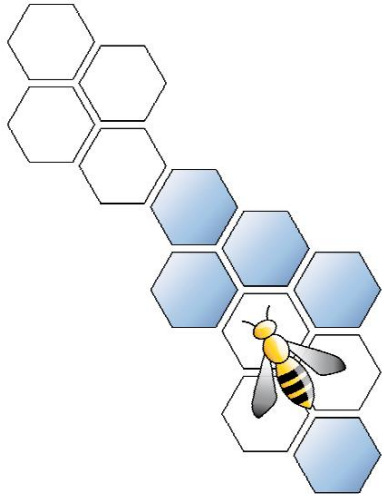
Overview : Mission and objectives

- All relevant content in *one* repository
- Managing the flow of unstructured information
- According to relevant regulations

Overview : Key components of the FAVIS-system

Search

Document-Lifecycle

Create and edit

Workflow (incl. signature)

Store und preserve

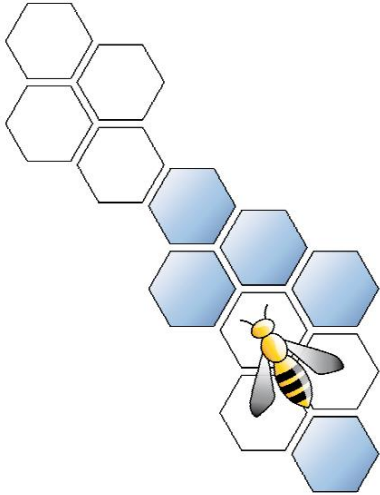**Structured Fileplan** (incl. access management)

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Filing plan: Implementation framework
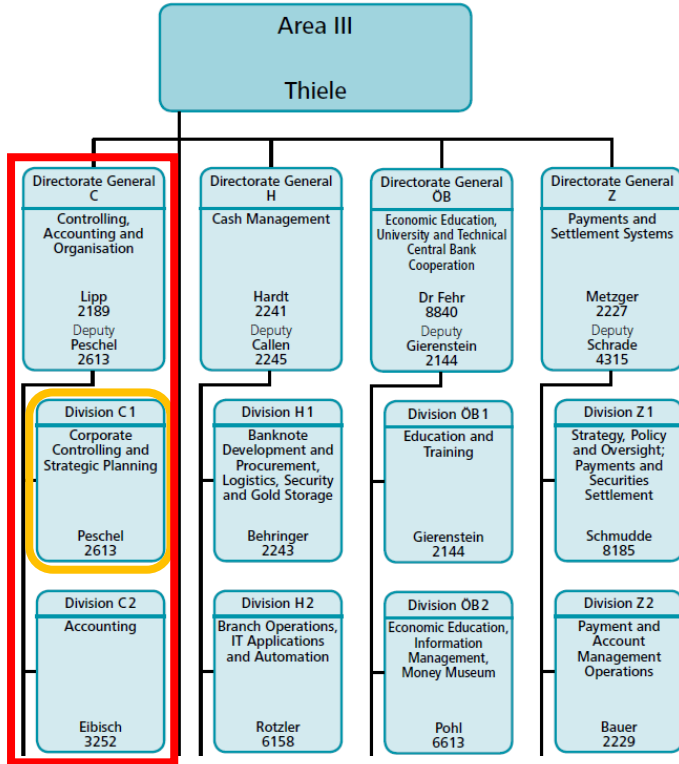
Directorate as owner of information

▍ Self-organisation of the directorates, divisions and sections

▍ Organisational hierarchy as a reflection of different tasks indicates structure of repository

▍ Organisational hierarchy changes regulary

Filing plan: Implementation framework
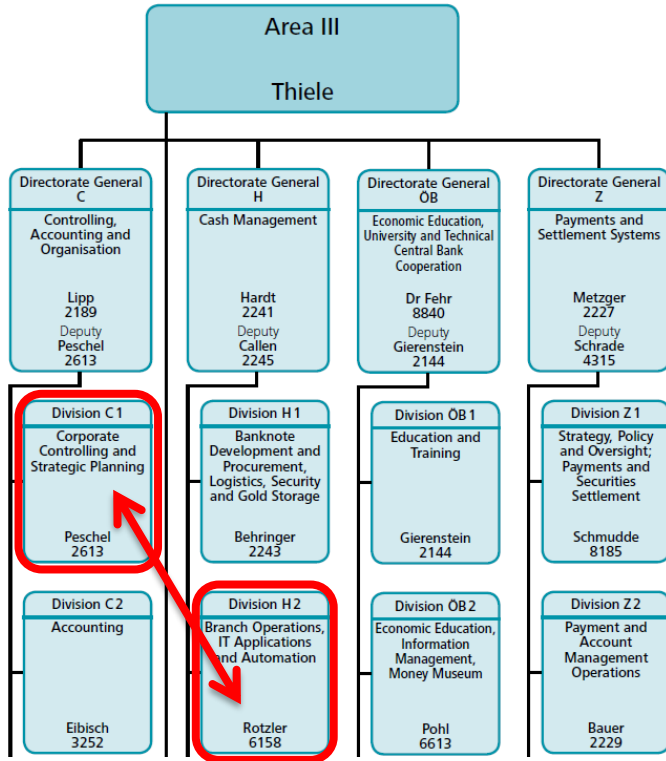
Interaction between entities

▌ Several entities collaborate on different tasks or projects

▌ Task-oriented structure supports inter entity working

▌ Advantages of task orientation

  ▌ Single source of truth / once only

  ▌ Easy care

  ▌ timeless

Filing plan: Functionality

File plan

- C.21 Betreuung der FB
- C.22 C-Instrumente und Kostenrechnung
- C.23 Organisationsprojekte
  - C.23.01 SAP
  - C.23.02 ZAZS
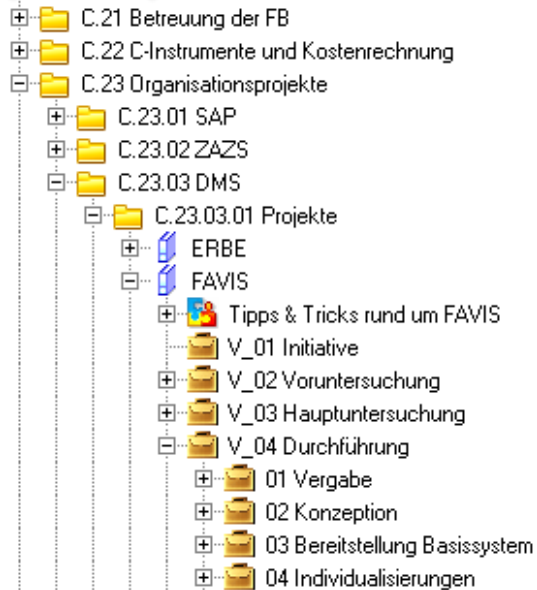 - C.23.03 DMS
    - C.23.03.01 Projekte
      - ERBE
      - FAVIS
        - Tipps & Tricks rund um FAVIS
        - V_01 Initiative
        - V_02 Voruntersuchung
        - V_03 Hauptuntersuchung
        - V_04 Durchführung
          - 01 Vergabe
          - 02 Konzeption
          - 03 Bereitstellung Basissystem
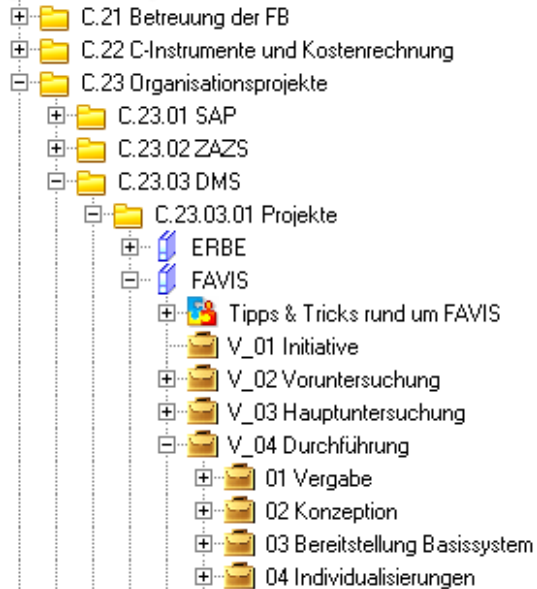   - 04 Individualisierungen

Files and separators/acts

Positions in the file plan

- For **long term** tasks

- Applying inheritance **rules for retention** period regime and **access rights**

- Storage of files („filing positions")

- Same tasks = same access rights = same position in file plan

- Created and maintained by local administrators (business side)

Filing plan: Functionality

File plan

```
C.21 Betreuung der FB
C.22 C-Instrumente und Kostenrechnung
C.23 Organisationsprojekte
    C.23.01 SAP
    C.23.02 ZAZS
    C.23.03 DMS
        C.23.03.01 Projekte
            ERBE
            FAVIS
                Tipps & Tricks rund um FAVIS
                V_01 Initiative
                V_02 Voruntersuchung
                V_03 Hauptuntersuchung
                V_04 Durchführung
                    01 Vergabe
                    02 Konzeption
                    03 Bereitstellung Basissystem
                    04 Individualisierungen
```

Files and separators/acts
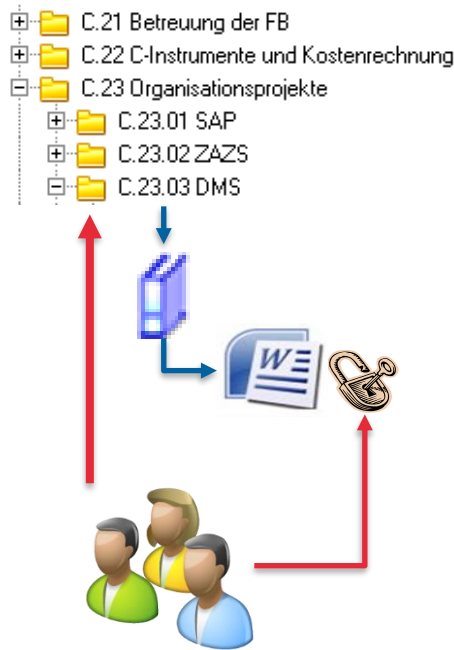
Files („Akten")

- For **temporary** tasks
- To be declared as record (read only)
- Documents and separators are stored in cases

Separator („Vorgang")

- For clear structure (hierarchical)
- "Declare record" on this level
- Documents and separators are stored in files

Filing plan: Access management

**To access a document, the user has to have**

▍ Access rights at the file plan position AND

▍ Same or higher security clearance as the document AND
("internal use", "confidential", "strictly confidential")

▍ If necessary: special supplemental marking
("sensible personal data")

▍ Access rights only for groups not persons

▍ These rules apply everywhere in the system
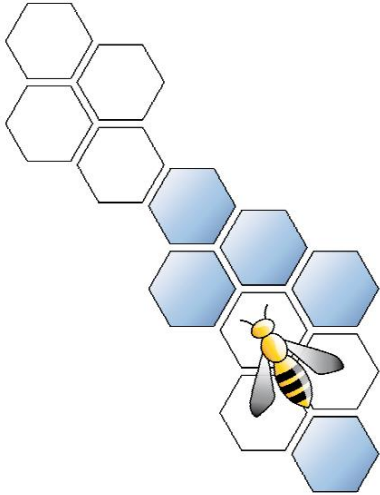(filing, workflows, search)

Filing plan: Access management
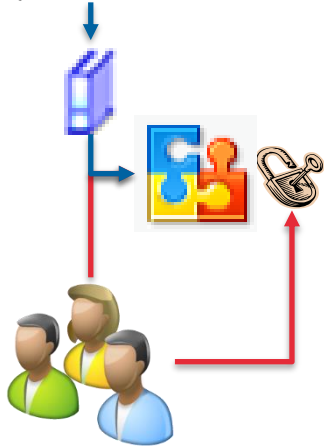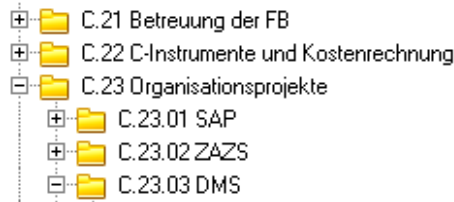
Projects for short/medium term interaction between directorates

▌ Access rights for external persons set at the project-container

▌ Same rules for security clearance supplemental marking

▌ Access can be assigned to groups and/or persons

▌ One department is responsible for the filing (once only)

Filing plan: Access management

Audit

▍ Extended logging on each object

▍ Activity of every administrator can be evaluated (local administrators on a voluntary basis; system administrators on a monthly basis)

CIC - Digital document management at central banks (FAVIS) - Arbeitsversion.pptx

| | | Edit | Open | Download |

| General | Specific | **Audit** | Categories | Category Audit | Classifications | Follow U |

Event	Language Code	Date ▼	User
Reserve		25.10.2022 10:53	Degitz (C 331), Alexander
Unreserve		24.10.2022 16:26	Degitz (C 331), Alexander
Version Added		24.10.2022 16:26	Degitz (C 331), Alexander

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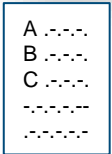3. Discussion

Support of business processes

Scan-workflow for paperbased inbox
(allows automatised administration of paperbased documents)

Ad hoc workflow for unstructered processes
(flexible routing; obligatory for signatures; document archived by sender)

(pre-)structured workflow for form based processes
(predefined but changeable routing; document archived by receiver)

Security clearance for convidential documents
(two-step-workflow: application & approval)

Scan-workflow for paperbased inbox
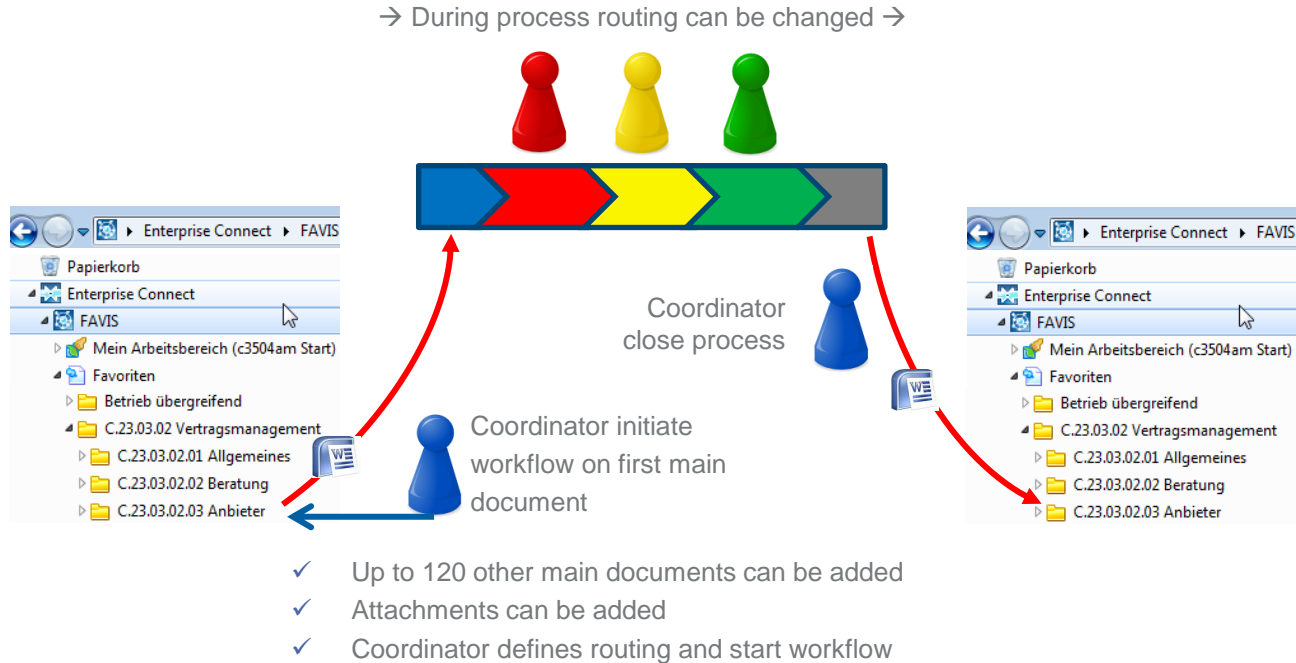
Post room

- High performance scanner in post room
- Special interface to scan and deliever
- Transfer via electronic workflow
- Barcodes used to scan stacks and to document date of receive
- Original documents remain in post office for at least 90 days; certificates are kept as long as the electronic version of the document

Scan on personal workspace

- Using multi-functional-printer
- Scan to e-mail functionality
- No barcodes used
- Tranfer to FAVIS via e-mail-widget

BBK-2014-02-24-504-01-0001

Ad hoc workflow for unstructured processes

→ During process routing can be changed →

Coordinator
close process

Coordinator initiate
workflow on first main
document

✓ Up to 120 other main documents can be added
✓ Attachments can be added
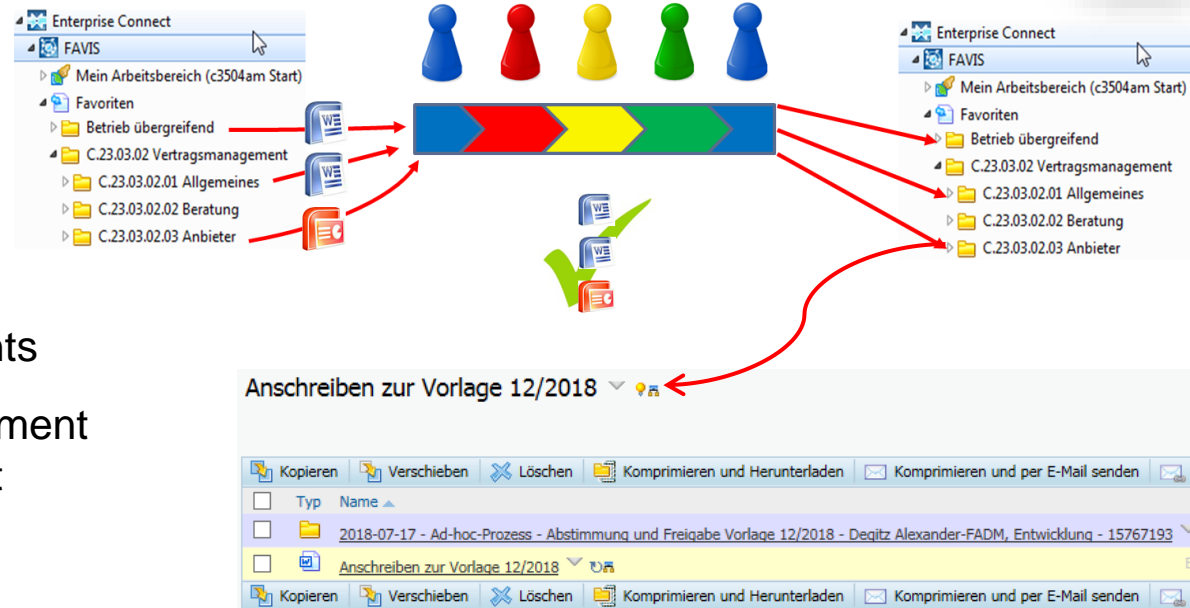✓ Coordinator defines routing and start workflow

Ad hoc workflow for unstructured processes

- Documents from several locations can be added to the workflow

- After closure all related informations of the workflow are stored at the original positions of all main documents

- The audit of every main document contains an information about the other documents of the collection during the workflow

Ad hoc workflow for unstructered processes

More than one main document

Hauptdokument:					Ordner öffnen
⊙ ○ 🔒		Anschreiben	Bearbeiten	Öffnen	Herunterladen
⊙ ○ 🔒		Entscheidungsvorlage Urlaub 2019	Bearbeiten	Öffnen	Herunterladen

Anlagen:				Anlagenbereich öffnen
Angebot Rundreise Nordamerika	Bearbeiten	Öffnen	Herunterladen
Angebot Rundreise Südamerika	Bearbeiten	Öffnen	Herunterladen

Weitere Anlagen hinzufügen

Decissions can be made for each main document but the workflow does not split up

Routing continues even if several documents are beeing declined during approval-step

To reject the whole workflow, all documents have to be declined or „not responsible" has to be choosed

Ad hoc workflow for unstructured processes

| Ad hoc workflows can be started directly on the document

Organisationshandbuch DMS - Version 02.doc

- Alle Web-Seite anzeigen
- Herunterladen
- Öffnen
- Bearbeiten
- Umbenennen
- Version hinzufügen
- Fassung erstellen
- Kopieren
- Verknüpfung erstellen
- Verschieben

. . .

- Komprimieren und per E-Mail senden
- Überblick
- **Workflow initiieren**

Organisationshand

Besitzer: DocumentPipeline, Funktio

- Geändert am 14.07.2014 1
- Admin haben die neueste Ve

Pre-structured workflows for form based processes

FAVIS forms area

→ During process routing can be changed →

Antrag auf Hitzefrei

Applicant

Aktenplan des Servicegebers

archived by receiver

Enterprise Connect ▸ FAVIS
- Papierkorb
- Enterprise Connect
  - FAVIS
    - Mein Arbeitsbereich (c3504am Start)
    - Favoriten
      - Betrieb übergreifend
      - C.23.03.02 Vertragsmanagement
        - C.23.03.02.01 Allgemeines
        - C.23.03.02.02 Beratung
        - C.23.03.02.03 Anbieter

✓ Initiate workflow
✓ Complete form
✓ Complete/change predefined routing
✓ Copy of application form can be saved

Pre-structured workflows for form based processes

FAVIS

| Unternehmensweit ⌄ | Persönlich ⌄ | Extras ⌄ | Mein Konto ⌄ | ❓ ⌄ |

Unternehmensarbeitsbereich ⌄

Available on landing page →

Strukturierter Prozess ⌄ ↻

Zur Information/Kenntnis Prozess ⌄
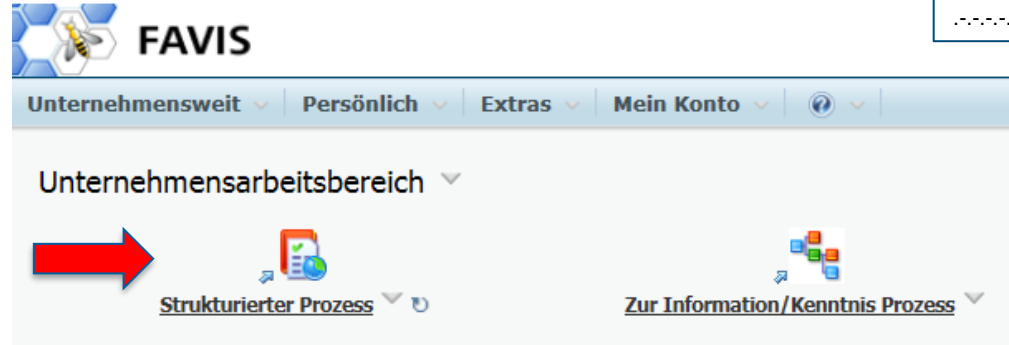
WebReport ausführen: Auswahl

Aufwärts

Beschaffung
Erlebnis
RVT
Rollenverwaltungstool
Rufbereitschaft
Sonderurlaub
Test
Urlaub
Vorlage
Web-Anwendung

Suche [ ]

| Name ▲	Beschreibung
Antrag zur Einrichtung/Änderung/Löschung einer Web-Anwendung im Active Directory durch die RVT-Administration (IT 521)	Test-Vorlagedokument für das Rollenverwaltungstool von
Beantragung Sonderurlaub	Test-Vorlagedokument für Sonderurlaub mit strukturierter
einfacher Beschaffungsauftrag FAVIS3-D	Test-Vorlagedokument für Beschaffungsaufträge mit struk
Einrichtung Rufbereitschaft FAVIS3-D	Test-Vorlagedokument für Rufbereitschaften mit strukturie
SI-TEST FAVIS3-D	Test-Vorlagedokument für den SI-Test des strukturierten
Titel - Titel - Mein schönstes Urlaubserlebnis - Titel - Titel	Was war Dein schönstes Urlaubserlebnis. Schreibe es auf,

Auswahl aufheben
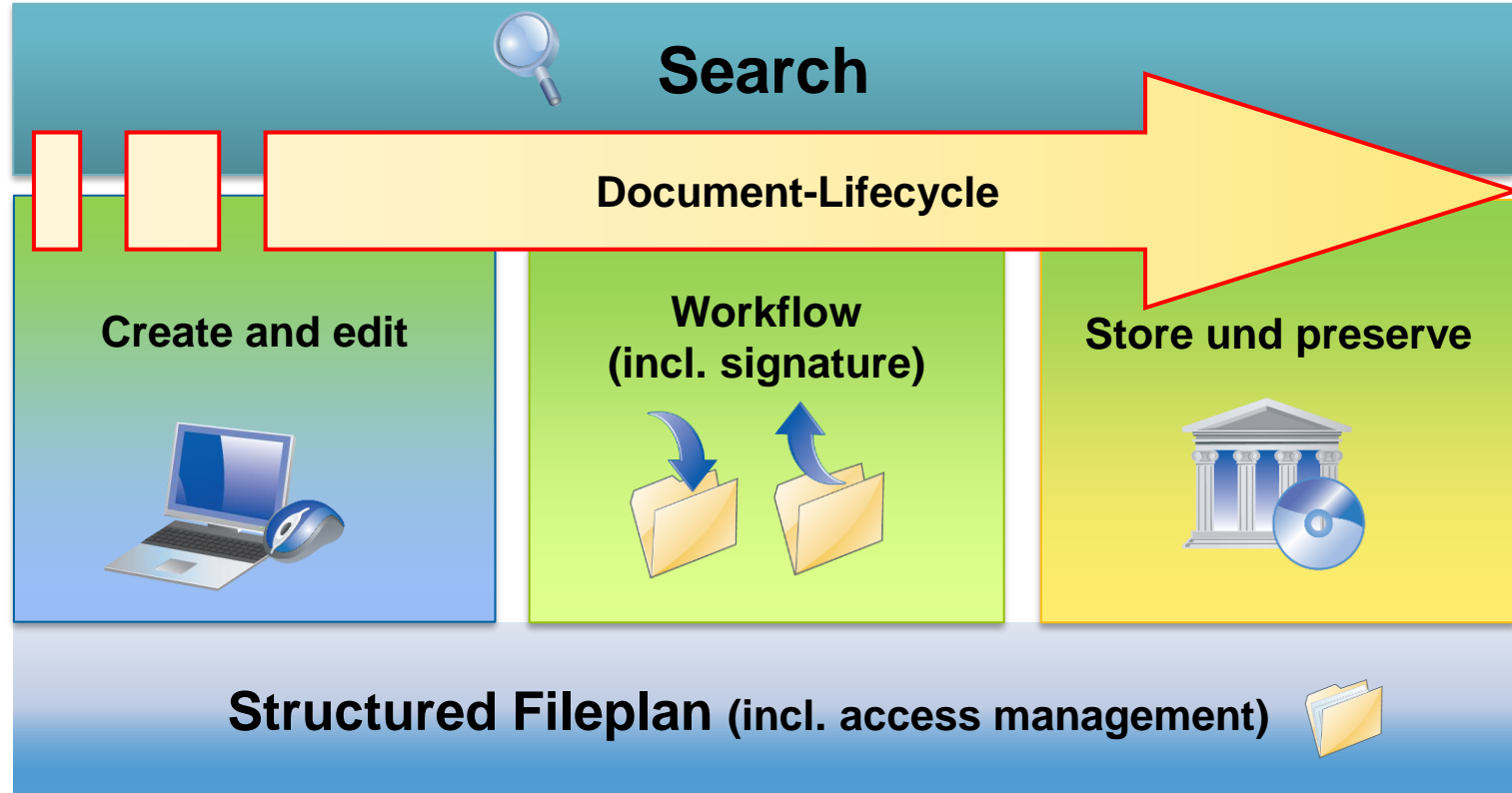
Workflow automation
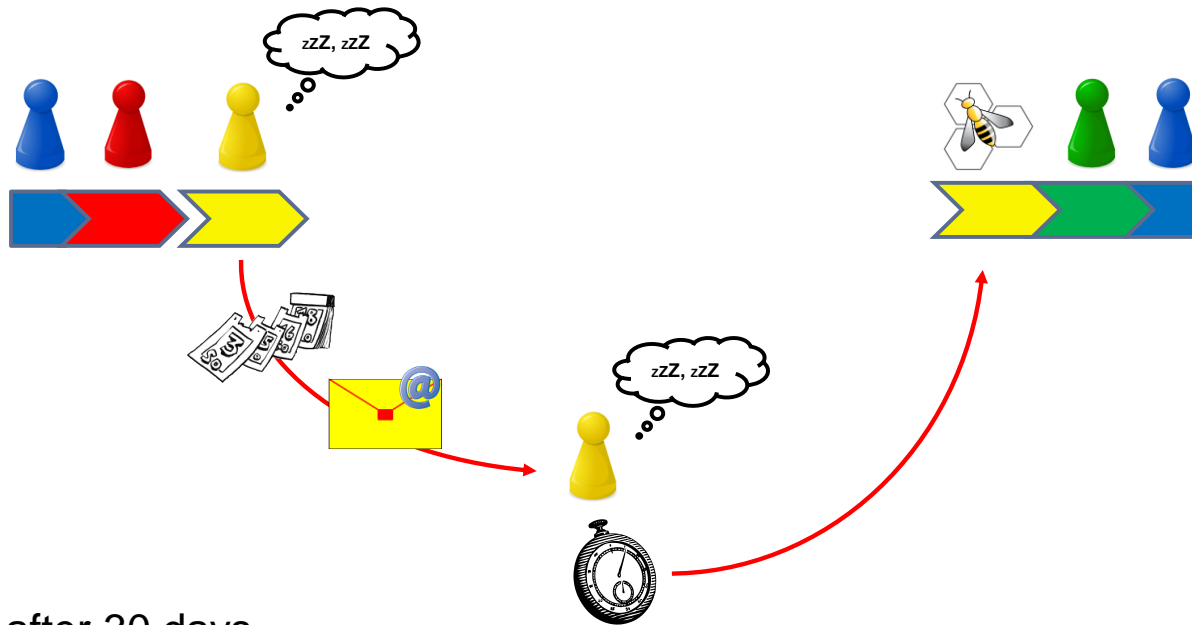
Notification after 30 days

15 additional days later workflow step will be processed automatically (depending on task, task will be marked as closed or send back to initiator)

Agenda
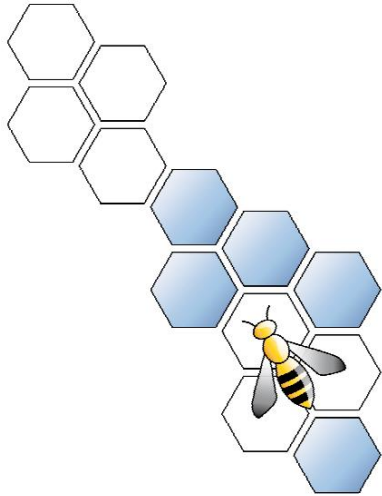
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Overview : Key components of the FAVIS-system

Search

Document-Lifecycle

Create and edit

Workflow (incl. signature)

Store und preserve

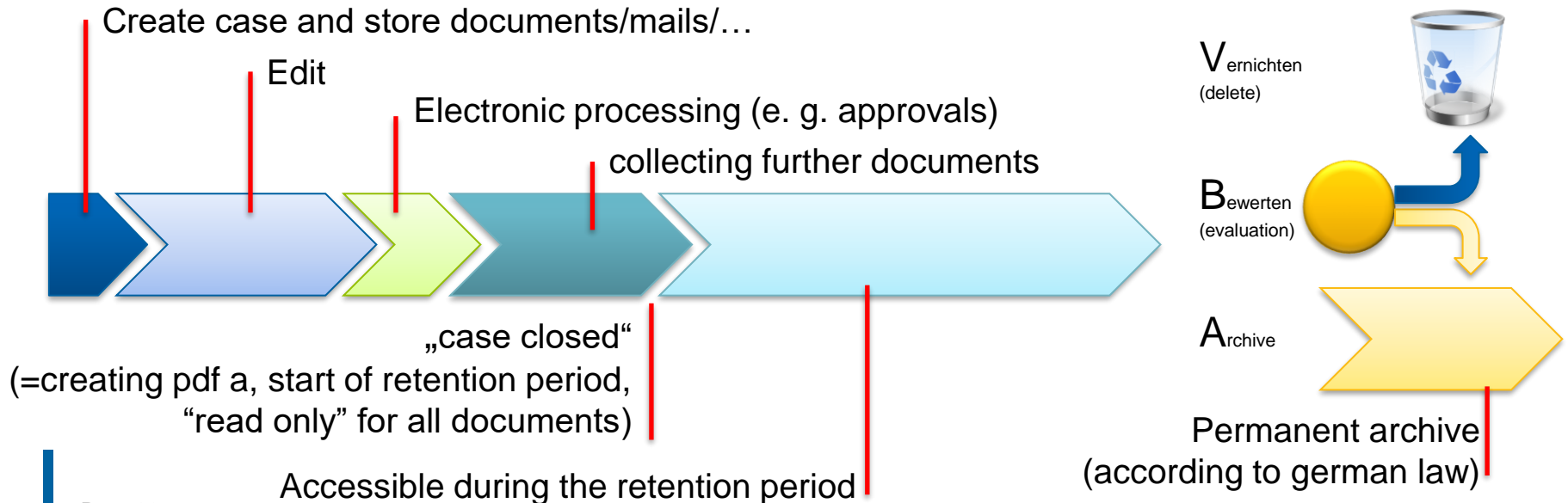**Structured Fileplan** (incl. access management)

Records management: Live cycle of documents
Combining workflows and document life cycle

The status of a document is part of the FAVIS records management

The status of a document may override the access right settings in the filing plan

Create case and store documents/mails/…

Edit

Electronic processing (e. g. approvals)

collecting further documents

$V_{ernichten}$
(delete)

$B_{ewerten}$
(evaluation)

A_{rchive}

„case closed"

(=creating pdf a, start of retention period,
"read only" for all documents)

Accessible during the retention period

Permanent archive
(according to german law)

Records management : Live cycle of documents
Combining workflows and document life cycle

Lifecycle is administered in the file plan

Vernichten
(delete)

Bewerten
(Evaluation)

Archivieren

Records-Verantwortlicher:	<Kein(e)n>	Records-Manager-Gruppe:	<Kein(e)n>
Datensatzdatum: ⚠	15.03.2012	Autor oder Ersteller:	
Datensatztyp:		Empfänger:	
Status: ⚠	GEN		
Statusdatum: ⚠	15.03.2012		
Empfangsdatum:	Kein(e)s	Andere(r) Empfänger:	
Notwendig: ⚠	V		
Zu den Akten verfügt:	☐	Ursprungsorganisation:	
Speichermedium:	EM	Aktualisierungszyklus:	
Zuweisung:		Nächstes Prüfungsdatum:	Kein(e)s
Betreff:		Letztes Prüfungsdatum:	Kein(e)s
RM-Klassifikation:	Zentralbereich C > Organisationsprojekte > DMS > **Projekte**		
Dateinummer:	C.23.03.01		
RSI:	10 JAHRE	Details anzeigen	

Abbrechen

Records Management: Live cycle of documents
Combining workflows and document life cycle
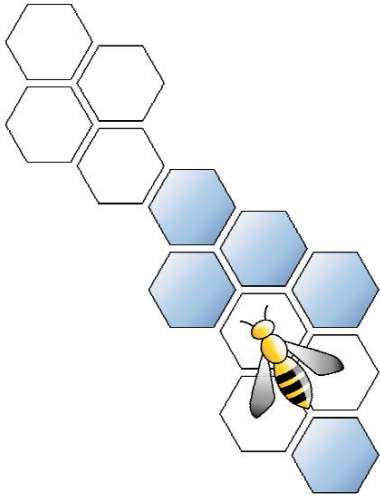
Want more ..?

Centre for International Central Bank Dialogue (CIC)

- Lectures
- Development of practical solutions
- Specialist seminars
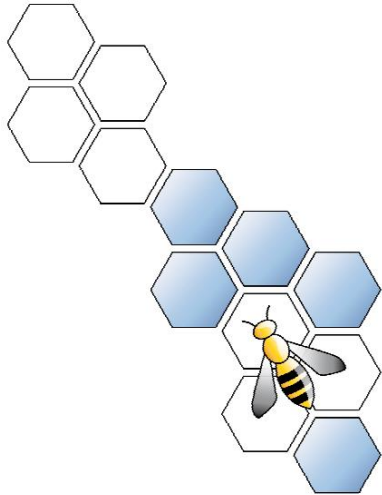- Workshops
- Project consultancy

www.bundesbank.de/cic

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Further information

Alexander Degitz

C 331   Integration Enterprise-Content-Management (ECM) /
         Dokumentenmanagement (FAVIS)

Phone: +49 69 95663 - 4570

Mail: Alexander.Degitz@Bundesbank.de