



WHITE PAPER

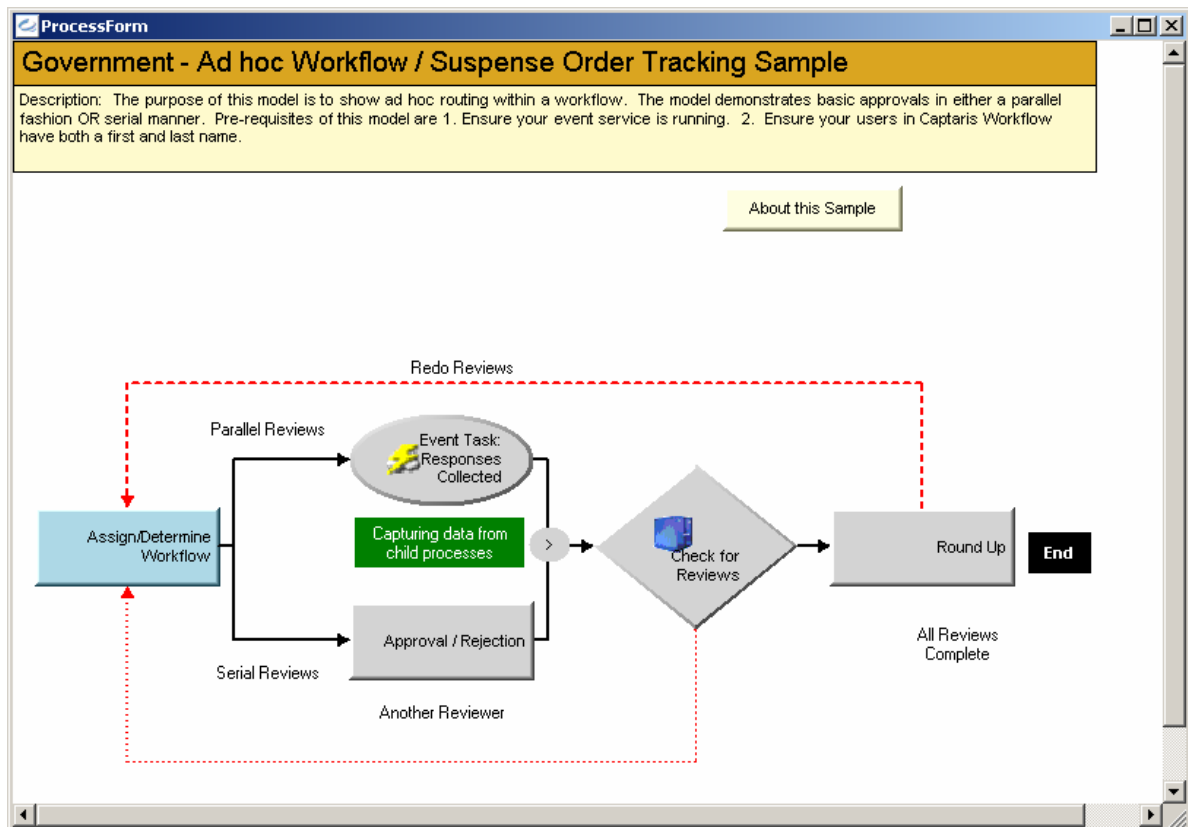
Industry and Functional Workflow Samples

December 2004

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AD HOC WORKFLOW ROUTING (SUSPENSE TRACKING)



This template provides organizations with a sample of how Ad Hoc workflow could be designed. In this model process, initiators can dynamically specify process participants as well as the routing style by choosing either sequential or parallel workflow routing. The workflow model provides the parameters for the routing, but each process initiator has the ability to choose the participants and routing method for each individual instance of the workflow.

This sample template may be used in Government organizations and agencies for Suspense Order Tracking. This involves delegating orders or instructions in a sequential (hierarchical) or parallel manner and tracking the progress in carrying out the orders. In a military setting, the orders would be issued by a senior officer and then routed to more junior officers by selecting them from a list within a workflow dialogue window. The senior officer can also track the progress of the orders to the designated ranks and confirm that the orders were received and acted upon.

Another use of this workflow would be to prepare a monthly departmental report. The first task is to choose the team members who need to provide input and then decide whether the sections of the report must be prepared sequentially or can be assembled in a parallel. A department manager selects the specific team members (Bob, Mary and Bill) and chooses sequential routing. A second manager, using the same basic workflow, would define entirely different participants and a perhaps a different routing option (Joe, Pete and Dave in a parallel manner).

This workflow is simple, graphically intuitive, and therefore is easy for users to adopt. It is flexible by design so it can be applied to various applications from those described above to other scenarios requiring the ability to dynamically decide upon the flow of the work, sequential or parallel, for each situation. Workflow provides the accountability and the means of tracking progress that is crucial to management.

Business Benefits

- **Easy-to-use** - graphical interface enables users to click on tasks to execute them and provides easy monitoring of progress
- **Flexible** - one workflow can be applied to a variety of situations
- **Ad hoc, dynamic** - can assign tasks within the workflow

COMMERCIAL LENDING

ProcessForm

Financial Services - Commercial Lending Sample

Description: The purpose of this sample is to manage the review and approval process for commercial loan applications made to a financial institution. It enables a loan application to take different "approval paths" based on the size of the loan.

[About this Sample](#) [Add \(Edit\) Clients](#)

Ref No: Client Name:

Date Submitted: Contact Name:

```
graph LR; A[Submit Loan Application] --> B{Approval}; B --> C[Prepare Loan Agreements]; C --> D[Client Executes Loan]; D --> E[End];
```

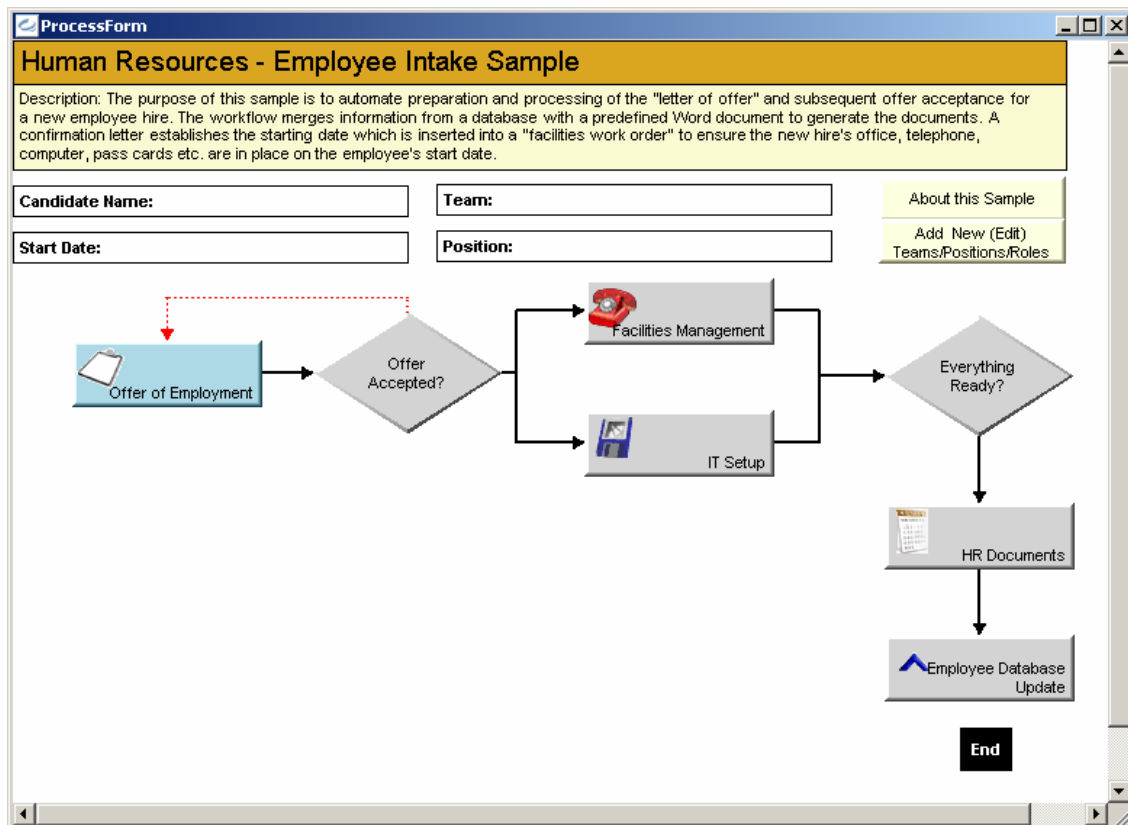
The purpose of this sample is to manage the review and approval process for commercial loan applications made to a financial institution. It enables a loan application to take different "approval paths" based on the size of the loan. The "Approval" decision task is directed to the position in the organization that has the required signing authority to deal with the size of the loan requested. The documentation related to the application is managed based on access permissions and tracked by workflow so the real-time status of the application is known.

The key benefits of using this workflow include: clear accountability, audit trail of review/approval steps, shorter review/approval cycle but using automated workflow to expedite the process instead of a paper-based system, using a database to pre-populate key information in digital correspondence to improve accuracy and eliminate re-entry of information.

Business Benefits

- **Easy-to-use** - graphical interface enables users to click on tasks to execute them
- **Efficient** - "single point entry of information" eliminates re-keying and resulting errors
- **Flexible** - the size of the loan application determines the review path
- **Accountability** - each task is assigned and the results captured
- **Integrated** - can utilize multiple Microsoft applications

EMPLOYEE INTAKE



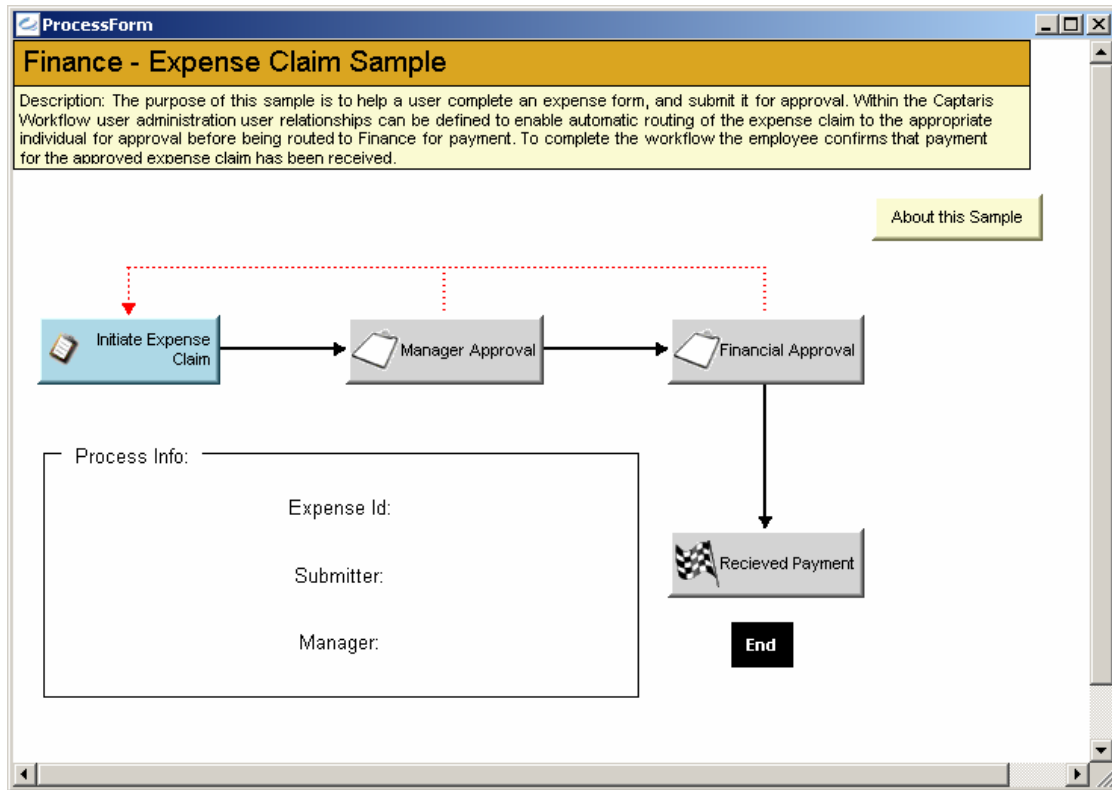
The purpose of this sample is to automate preparation and processing of the "letter of offer" and subsequent offer acceptance for a new employee hire. The workflow merges information from a database with a predefined Word document to generate the documents. A confirmation letter establishes the starting date which is inserted into a "facilities work order" to ensure the new hire's office, telephone, computer, pass cards etc. are already in place on the employees start date.

The basic benefit of this workflow is that it formalizes the process of bringing an employee into the organization, and enables pro-active planning of the employee's workspace and tools to enable them to become productive sooner. The creation of documents such as letters of offer can be managed and expedited by the workflow to shorten the overall cycle time. A check point imposes follow up and ensures that tasks have been executed. The workflow can be integrated with other systems such as HR information system and records archives.

Business Benefits

- **Easy-to-use** - graphical interface enables users to click on tasks to execute them
- **Early notice** - advance notice of requirements enables IT and facilities groups to more efficiently plan their work
- **Efficient** - enables new employees to be productive contributors sooner
- **Integrated** - employee information can be automatically submitted to HR information systems

EXPENSE CLAIM



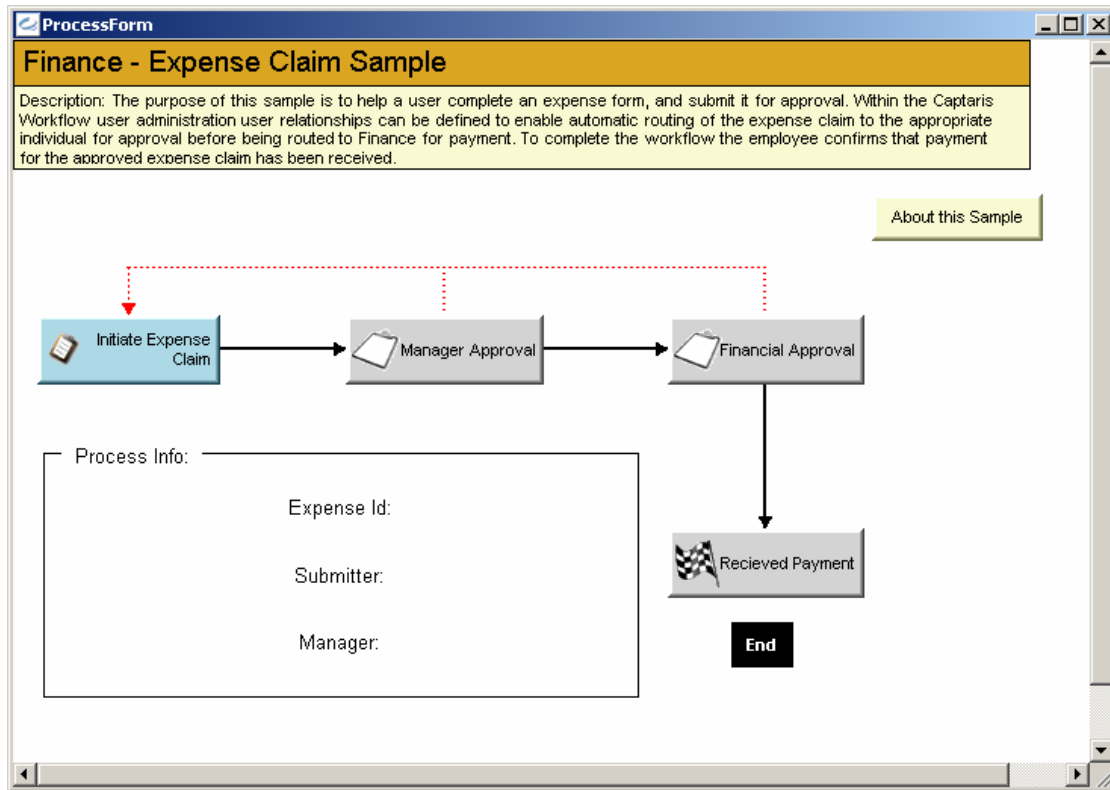
The purpose of this sample is to help a user complete an expense form and submit it for approval. Within the Captaris Workflow, user administration and user relationships can be defined to enable automatic routing of the expense claim to the appropriate individual for approval before being routed to Finance for payment. To complete the workflow, the employee confirms that payment for the approved expense claim has been received.

Using workflow with integral expense forms eliminates the need to email expense claims as attachments, which need to be managed as separate documents. Captaris Workflow manages the expense information in a database which can be connected to other applications such as accounts payable to streamline the reimbursement process. Employees, managers and the Finance group can easily check on the status of an expense claim using the graphical workflow interface and ensure that the employee acknowledges receipt of the payment to complete the process.

Business Benefits

- **Easy-to-use** - eliminates need to manage expense reports as separate documents
- **Efficient** - workflow streamlines the process since it can be integrated with accounts payable systems
- **Time saver** - graphical interface saves time in checking on the status of an expense claim without emailing or phone calls
- **Accountability** - workflow ensures completion of the expense claim process by requiring employee confirmation of payment

MANAGE MEDICAL RECORDS



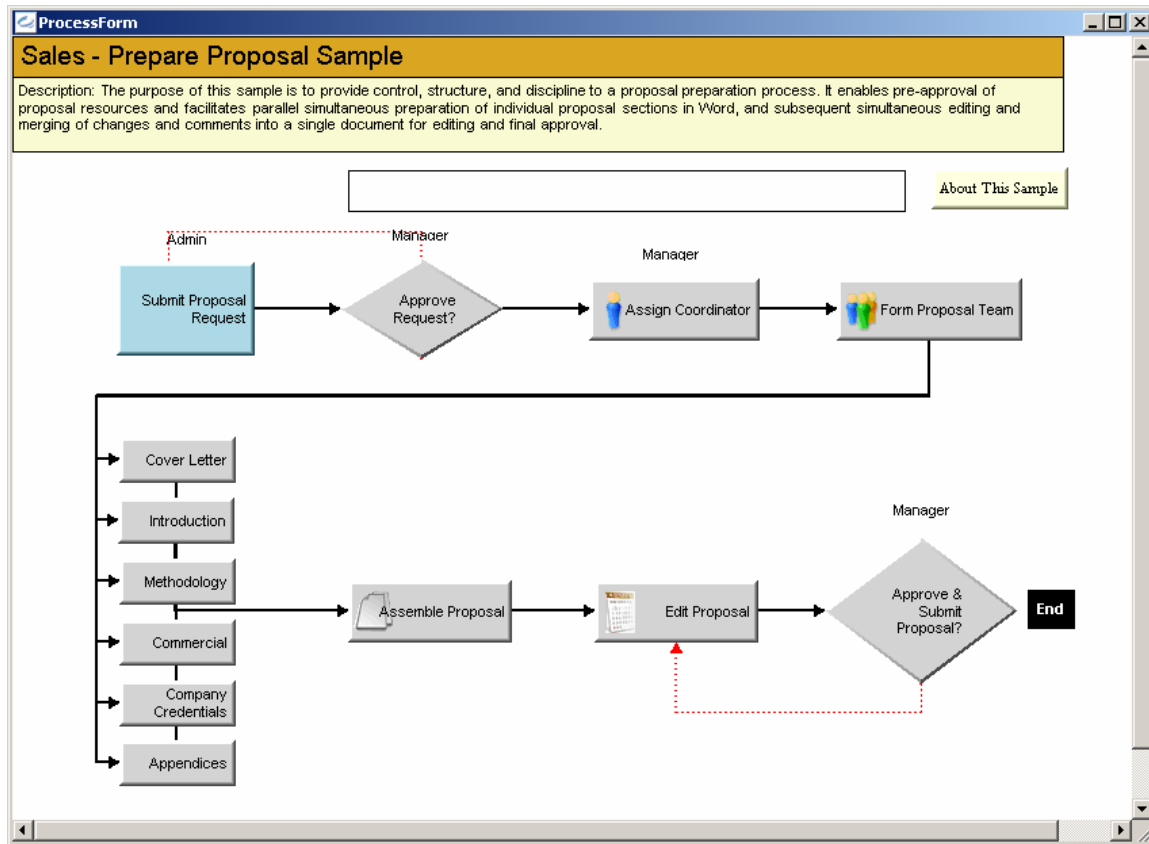
The purpose of this sample is to help healthcare administration gather and store in a permanent digital archive, the patient care documents and related information generated during the patient's hospital care. This would allow outpatient services to be included. It covers converting the patient's paper medical record into digital records, matching the records to a pre-existing patient file (or creating a new file), completing and verifying the codes necessary for patient procedures for billing purposes, producing the bill, and archiving all the patient records in an archive folder.

Using workflow expedites document processing and billing which leads to improved cash flow. Managing the tasks in workflow enables management and healthcare workers to better manage their work, leading to improved efficiency. The ability to integrate workflow with RightFax and Alchemy records management and archiving system results in consistent records accuracy, lowers costs by eliminating paper-based processing procedures and increases profitability. Digital records provide not only improved access to information for better decision-making, but also results in cost savings due to the elimination of paper storage of medical records archives.

Business Benefits

- **Short turnaround** - expedite document processing and billing to improve cash flow
- **Efficient** - improved efficiency through workflow task management
- **Flexible** - integrating workflow with other applications improves accuracy
- **Cost savings** - applying digital records archiving reduces costs by eliminating paper record storage

PREPARE PROPOSAL



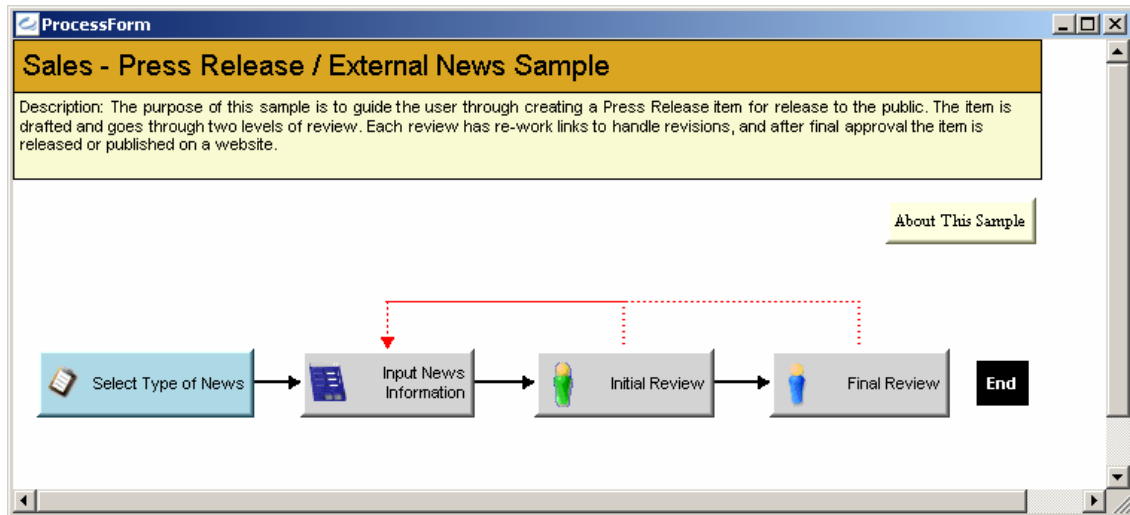
This workflow provides discipline to the proposal preparation process by requiring formal approval for proposal resources and the assignment of a project number from the accounting system to track the resources expended. Clear accountability is assigned for the various sections of the proposal, the status of tasks are tracked, reminders are automated and overdue task reports are developed to ensure the proposal bid deadline is met. This workflow leverages SharePoint to enable parallel preparation of the proposal sections from Word templates and then merges them into a single proposal document. Captaris Workflow then manages the simultaneous editing of the proposal by multiple stakeholders and merges the comments into a single document for final editing and approval. This approach shortens the overall proposal preparation time and is more efficient than an unstructured approach.

Since this workflow can be integrated with an accounting or ERP system, management can control the proposal costs. Leveraging the functionality of SharePoint enables the proposal team to efficiently collaborate on the proposal, eliminate errors due to multiple versions and shorten the proposal review and approval time by using workflow's parallel review and merging functionality. The overall benefit is producing a better proposal, in less time, and reducing the risk of errors or missing a bid deadline.

Business Benefits

- **Efficient** - workflow enables more efficient use of resources by providing a disciplined approach to proposal preparation
- **Accountability** - provides clear accountability for tasks and a tool to easily track the status
- **Easy-to-use** - leverage SharePoint to enable the proposal team to effectively collaborate on proposal documentation
- **Time savings** - reduce proposal preparation time by using workflow's ability to enable simultaneous review and merging of comments into a single document for final editing and approval

PRESS RELEASE/EXTERNAL



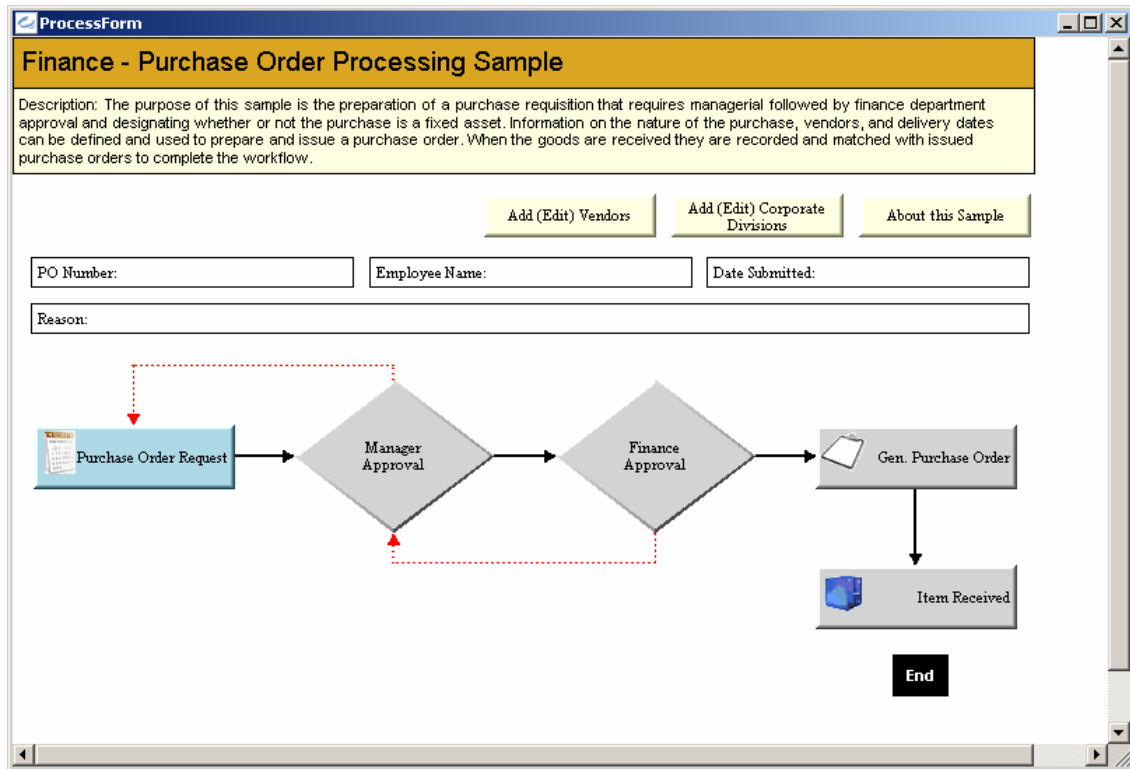
The purpose of this sample is to guide the user through the creation of a Press Release item for external release. The item is drafted and goes through two levels of review. Each review has re-work links to handle revisions and upon final approval the item is released or published on a Web site.

The value of this workflow is to formalize the release of press material to ensure it has been approved by the appropriate management team. Workflow expedites this process by using alerts to advance the workflow, assigns clear accountability and can be integrated with document management software such as SharePoint to foster collaboration and version control. Revisions to draft releases are managed in the workflow through re-work loops but the automated, tracking and follow-up functionality in workflow continues to be applied; email cannot easily provide this type of functionality.

Business Benefits

- **Accountability** - workflow applies accountability and tracking to ensure press releases receive appropriate approvals
- **Accuracy** - workflow can help prevent inadvertent release of unapproved, incorrect, or noncompliant information
- **Flexible** - integrating workflow with SharePoint enables efficient document collaboration, version control and offers functionality not available in email systems

PURCHASE ORDER PROCESSING



The purpose of this sample is to guide the user during the preparation of a purchase requisition that requires managerial/ finance department approval and designating whether or not the purchase is a fixed asset. Information on the nature of the purchase, vendors and delivery dates can be defined and used to prepare and issue a purchase order. When the goods are received they are recorded and matched with issued purchase orders to complete the workflow.

Automating the purchase order process is more efficient than manual processes since the tasks can be expedited using digital technology, managed more efficiently and tracked more effectively. There are discrete approval tasks which act as control points for compliance purposes. Since workflow records details such as who performed a task, the start and finish dates and the outcomes, detailed digital reports can be generated as a by-product without spending additional resources and demonstrates compliance of internal controls required by Sarbanes-Oxley or similar acts.

Business Benefits

- **Accountability** - supports regulatory compliance by implementing internal controls and clear accountability
- **Control** - provides evidence of effective controls by reports generated as a by-product of workflow
- **Efficient** - expedites the execution of the work through email alerts
- **Integrated** - leverages Microsoft applications

TIME OFF REQUEST

ProcessForm

Human Resources - Time Off Request Sample

Description: The purpose of this sample is to automate the process of an employee requesting "time off". When the employee completes a request form Captaris Workflow automatically routes the request to the applicable supervisor using the reporting relationships defined in the Captaris Workflow user administration. To complete the workflow the employee confirms that the "time off requested" was actually taken.

About this Sample | Time off Status | Conflicts | Display US Holidays

Employee Name: _____ From Date: _____

Reason: _____ To Date: _____

```
graph LR; A[Submit Time off Request] --> B{Approve / Reject Request}; B --> C["@ Confirmation of Leave"]; B --> D(E-mail Reminder (Team)); B --> E(E-mail Reminder (Requestor)); D -.-> A; E -.-> A;
```

This sample automates the process of an employee requesting "time off". When the employee completes a request form Captaris Workflow automatically routes the request to the applicable supervisor using the reporting relationships defined in the Captaris Workflow user administration. To complete the workflow, the employee confirms that the "time off requested" was actually taken and if the time was not taken then the supervisor can adjust the application to reflect the actual time taken.

The benefit of this workflow is that it more efficiently manages this activity compared to a paper-based system or use of emails which have no automated means of follow up. Business rules can be defined that automatically produce reminders if approval tasks are not completed within a specified time of receiving the request. Workflow expedites the process and ensures the employee's vacation records are accurate by requiring final confirmation by the employee of the time off actually taken and adjustments made if necessary. This eliminates the need for future reconciliation of the employee's records and the company's HR records.

Business Benefits

- **Efficient** - expedites the process and provides follow up not available with email
- **Accuracy** - ensures company HR records are accurate by requiring employee confirmation
- **Flexible** - can be integrated with HR information systems

TRAVEL ADVANCE

ProcessForm

Finance - Travel Advance Sample

Description: The purpose of this sample is to enable an employee to request a travel advance which is reviewed and approved by both the employee's supervisor and the Finance department. The workflow requires that the employee confirm receipt of the advance.

Travel Advance Request

Form fields:

- Text input field
- Text input field
- Text input field

[About this Sample](#)

Workflow Diagram:

```
graph LR; A[Request Advance] --> B[Manager Approval]; B --> C[Finance Approval]; C --> D[Recieve Payment]; D --> E[End];
```

The diagram shows a linear flow from 'Request Advance' to 'Manager Approval', 'Finance Approval', 'Recieve Payment', and finally 'End'. A red dashed line indicates a return path from the 'Recieve Payment' step back to the 'Request Advance' step.

The purpose of this sample is to guide a user when placing a travel advance request which is reviewed and approved by both the employee's supervisor and the Finance department. The workflow requires that the employee confirm receipt of the advance.

Using workflow with an integral travel advance form eliminates the need to email forms as attachments, which need to be managed as separate documents. Captaris Workflow manages the travel advance information in a database which can be connected to other applications such as accounting systems to track the advance. Employees, managers and the Finance group can easily check on the status of a travel advance request using the graphical workflow interface and ensure that the employee acknowledges receipt of the advance to complete the process

Business Benefits

- **Easy-to-use** - eliminates need to manage advance requests as separate documents
- **Efficient** - workflow streamlines the process since it can be integrated with accounting systems
- **Time saving** - graphical interface saves time in checking on the status of a request without emailing or phone calls
- **Accuracy** - workflow ensures completion of the process by requiring employee confirmation of the advance

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