



DAB BANK AG - THE DIRECT INVESTMENT BANK

ALFRESCO GOLD PARTNER CENIT LAYS THE FOUNDATION FOR DOCUMENT MANAGEMENT, COLLABORATION AND FULLY-ELECTRONIC PROCESSES WITH ALFRESCO

DAB bank AG, which has its registered office in Munich, is Germany's first discount broker. As a direct bank it provides its customers with a comprehensive range of services on all matters involving asset accumulation and asset protection with securities. By way of its products, it provides solutions for savers, investors and traders. In the corporate customer business, DAB Bank is a partner for asset managers, fund brokers, investment consultants as well as banks and savings banks.

THE CHALLENGE

To flexibly position itself with a view to coming challenges to secure the future, DAB wanted to introduce an SOA-BPM platform as a new basic technology within the company. This comprised using it to display future complex processes on a central platform. The documents involved in the processes were to be administered via a powerful document management system.

A business process with B2B customers was the first project implemented with the new environment: telephone trade processing with brokers and other business partners. All data in the files need to be recorded in a type of ticket. Thereafter, the DAB employee further directs them and additional documents

– such as the order confirmation of the trade centres – for processing. Key for the financial institution is the fact that all documents are to be filed such that they are audit-proof. The process to date was largely based on paper form – all documents were printed and filed in folders. Although DAB bank already has an electronic archive at its disposal (IBM FileNet Image Services), it was not used for the respective process for architecture reasons.

The new system needed to meet exacting demands:

- Efficient implementation of new applications/processes
- Agility in the terms of altering existing processes
- Robustness, scalability, performance, cluster capability and good administering capability
- Agility in terms of system support (implementing amendments, test, deployment)
- Low operating costs in the case of an overall consideration of the cost of licenses, support and ongoing assistance
- Integration capability in the existing system landscape
- Capability of further developing the architecture
- Controlling and monitoring via a central process engine

In addition, those with responsibility at DAB attached importance to permanently paving the way for the future via the new technology. Furthermore, the project organisation was, where possible, to guarantee efficient collaboration in the long-term between the specialist area and IT as well as serving as a model for future projects.

THE SOLUTION

To select a suitable document management system (DMS) or Enterprise Content Management (ECM) System, DAB enlisted the support of an experienced partner in the Enterprise Information Management environment, CENIT AG. It initially supported the following solutions for ideal application as part of the specified requirements: IBM FileNet Image Services, IBM FileNet P8 Content Manager, Alfresco and Microsoft Sharepoint.

Alfresco quickly distinguished itself thanks to its good integration capability, in particular the CMIS standard interface. The Alfresco platform, which was integrated via the CMIS interface, is ideally suited to the standard DAB technology stack (Linux, Tomcat, Java). Thanks to its modular design, the application boasts excellent scaling options and is easy to install. A further plus point for DAB and CENIT was the simple configuration of the required features. In view of implementing the B2B process, an additional factor supports the open source solution.

Activiti as a stand-alone version currently forms the basis for the SOA-BPM platform. Activiti is simultaneously the integrated Alfresco component via which document-based workflows such as release processes are subsequently realised.

Following the decision in favour of Alfresco as an ECM platform, CENIT supported DAB in the case of customizing the new Alfresco system. The technical integration of Alfresco in the SOA platform was implemented with little effort thanks to the use of the CMIS interface. DAB's specialist requirements were largely already covered by way of Alfresco's standard functionality such that little customizing effort was required. Therefore, CENIT Alfresco Enterprise 4 was capable of being adjusted, in particular in line with company-specific security requirements, and provided assistance in putting in place the rights for the site set-up. The Alfresco Share user interface was also geared precisely towards the DAB bank, for example by way of a specific search interface.

The ECM experts from CENIT made swift progress on the project. In that respect the fact that the existing system needed to be replaced, and no documents were to be migrated, proved a factor in favour of the project. Designing and configuring the Alfresco system passed off without a hitch. Therefore, the document management system was launched after just two months.

[AT A GLANCE]

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Solution

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Benefit

- Thanks to its modular design, the application boasts excellent scaling options and is easy to install.

THE RESULT

The Alfresco ECM platform has been used for productive operations at DAB since June 2012. The workflow is now controlled via the new SOA-BPM platform based on Activiti for the selected process in securities brokerage trading. At present ten persons use the electronic documents in the new system. For research involving ongoing — or also completed — transactions they use the specially designed search interface in Alfresco Share. Documents can be identified by metadata or full text.

This gives rise to significant advantages for DAB. For example, the transaction including all documents can be fully electronically processed — and therefore supersedes the paper-based workflow. Employees save time thanks to the swift and comprehensive research in filed documents. At the same time it provides greater transparency and control of all completed and ongoing transactions.

NEXT STEPS

CENIT AG and DAB bank AG are already working on the next common challenges. They want to evaluate the collaboration features of the Alfresco platform for the project collaboration and run a pilot project. If everything goes according to plan, Alfresco will replace the network drives used to date for this purpose. In addition, plans have been made to further expand Alfresco as a document repository. It is the natural choice for the system-wide business processes that are supported via the SOA-BPM platform.



Die DirektAnlage Bank