



engage. empower. **evolve.**<sup>™</sup>

**OnBase**<sup>®</sup>

*a Hyland Software solution*



“GRC platforms are specifically aimed at managing risk and compliance across the business — creating a centralized hub of risk and compliance documentation, assessment, analysis, and loss information from every part of the business. Providing the functionality in these four areas requires that solutions in this product category have excellent content management and workflow capabilities.”

- Michael Rasmussen,  
Forrester Research<sup>1</sup>

## **BECAUSE GOVERNANCE, RISK AND COMPLIANCE IS EVERYONE’S RESPONSIBILITY**

Governance, risk and compliance (GRC) responsibilities permeate every layer of an organization. That’s why OnBase®, the award-winning enterprise content management (ECM) software suite from Hyland Software, is not simply a compliance point solution; it is an enterprise solution for quickly and cost effectively building a flexible and reliable GRC framework from the ground up.

OnBase is a fully integrated ECM suite that includes core capabilities in document imaging and management, COL/ERM, workflow and records management as well as specialized solutions for Sarbanes-Oxley, ISO, HIPAA and other regulatory compliance and risk mitigation initiatives. Hyland also offers database validation and recovery services to ensure integrity of an OnBase system and support disaster recovery/business continuity.

## BUILDING YOUR GRC FRAMEWORK WITH ONBASE

Using OnBase to improve segregation, auditing and disclosure of corporate information assets, organizations of all sizes can create secure frameworks for protecting accountability of documents, processes and human interactions ranging from granular departmental activities to an enterprise-wide view of the policies, controls and testing.

OnBase delivers the tactical functionality to meet immediate day-to-day business needs as well as the strategic vision for building holistic business solutions

that can be readily adapted to changing requirements. Recognized for its ease of use, OnBase will meet the technology requirements of the most exacting IT departments, as well as the functionality needs of the business user.

Unlike many point solutions, the OnBase GRC framework helps organizations meet multiple regulatory and procedural demands. As a front-end compliance management solution, OnBase offers views of procedures, activities and controls, including human interactions. Business

process improvement and automation capabilities verify that these policies are enforced while consistency and accountability are protected. At the back end, OnBase provides a centralized repository and core capabilities in document and content management to ensure the security, integrity and availability of information assets from virtually any source, including scanned images, desktop documents, e-mail, text-based reports and even physical assets.

## BENEFITS OF A SINGLE-PLATFORM SOLUTION

**Low Total Cost of Ownership:** Because a single instance of OnBase can be quickly configured to manage multiple business processes and provide an enterprise view of all identified risks and compliance efforts, the need to acquire, integrate and support multiple point solutions is eliminated. Deployment usually requires little or no custom programming even when OnBase is integrated with complementary software. OnBase doesn't require the high professional services costs or lengthy implementation periods of some competing solutions. Its ease of use minimizes training costs and business disruption.

**Ease of Integration:** OnBase is designed to enhance existing infrastructure investments, not displace them, so it provides multiple options for interacting with other systems such as ERP or accounting applications. The point-and-click configurable OnBase Application Enabler™ rapidly integrates OnBase with text-based, Java™, Windows®, Web-based and host applications without the need for custom coding, providing agile content management functionality to integral line-of-business applications.

For more complex integrations, OnBase uses Visual Basic® scripting and robust application programming interfaces (APIs). In addition, OnBase provides

certified interfaces for complementary third-party applications such as forms processing software, report mining applications, geospatial information systems and compliant storage solutions. An integration particularly useful for compliance-monitoring efforts is OnBase Web Parts for Microsoft SharePoint®, which allows SharePoint administrators and users to quickly configure personalized views of OnBase content and processes.

**Centralized Management of Data and Processes:** In addition to creating a single repository for content from virtually any source, organizations can define relationships between various documents and automate processes to ensure consistency with corporate policy. For instance, users can move from a requisition to a PO to an invoice with a few mouse clicks. These documents can be moved through a review and approval process according to business rules using automated workflow, regardless of whether they entered the system as EDI, a scanned image, e-mail, fax, e-form or word processed document. OnBase provides a single interface from which to search and retrieve all content and view business processes as well as to apply complex security rights and centrally manage control steps.

**Process Efficiency:** While most organizations are struggling to control the cost of risk and compliance solutions, OnBase supports process improvements that deliver ROI. Not only do organizations using OnBase have better insight into potential areas for improvements, they also drive down labor requirements, improve accuracy and reduce cycle times.

**User Acceptance:** Because it is so configurable and easy to use, OnBase helps organizations avoid change management and training issues. What an employee sees when s/he logs on to OnBase can be determined by the administrator or the user and adapted to the task at hand. In fact, a user may not need to use the OnBase interface at all. OnBase integrates with line-of-business applications, ranging from tier one software from SAP®, Oracle® or Lawson™ to boutique vertical solutions and common e-mail programs, such as Outlook®, Lotus Notes® and GroupWise®. Because of the seamless integration, users can access documents in the OnBase repository directly from within the familiar applications they currently use. The point-and-click configurability of OnBase also allows business users with no programming expertise to create solutions that are molded to their needs.



**ONBASE ADDRESSES COMPLIANCE REQUIREMENTS RELATED TO:**

- Sarbanes-Oxley Act
- Bill 198
- HIPAA
- ISO
- NASD
- SEC 17a-4
- Check 21
- Bank Secrecy Act
- OMB Circular A-123
- Gramm-Leach-Bliley Act
- Basel II
- USA PATRIOT Act
- FDICIA
- OHS A
- NAIC
- Internal Policy Management

## A HOLISTIC VIEW OF DOCUMENTS, PEOPLE AND PROCESSES

Providing a consolidated view of documents, people and processes helps mitigate risk and foster accountability. However, monitoring and recording critical activity often excludes human interactions on which decisions are based.

OnBase WorkView is used to build applications for managing a wide range of interactions whether they are case based (all interactions based on a person's case file), project based (all interactions related to a group of people working to complete a common task) or process based (all interactions related to a group of people participating in a process).

For example, a company may receive a control-related telephone call regarding a high-value invoice. The user can create a WorkView case record and enter summary information about the call. The user may then attach associated documents to that case record (e.g., estimates or requisitions related to the purchase).

Because OnBase WorkView can be used to track issues, it is particularly valuable for organizations facing rigorous scrutiny from initiatives such as internal auditing, implementing ISO-compliant corrective actions or documenting internal controls as required by Section 404 of the Sarbanes-Oxley Act.

OnBase Collaboration enables users to create virtual workspaces for sharing documents, ideas, conversations and even WorkView objects. By centralizing resources and generating threaded conversation strings, groups divided by geography or other factors can work in a disconnected environment. Collaboration also can be preserved as a record of the decision-making process. Integration with the Citrix® GoToMeeting™ online conferencing service allows designated users to extend Collaboration workspaces not only to OnBase users outside the office but also to non-system users, such as customers and suppliers.

OnBase Document Knowledge Transfer (DKT) provides a way to broadcast decisions and related documents to groups of employees. For instance, an administrative team may use Collaboration to define a new policy. DKT can then be used to publish the policy to users assigned to various reading groups. Users can be required to acknowledge that they have read and understand the assigned item and may be asked to digitally sign it.

Another tool for monitoring performance is OnBase Report Services, a Microsoft® Smart Client application. Preconfigured reports covering both business and system activity are included with Report Services so that organizations can immediately gain valuable statistics about processes driven by OnBase.

## IMPOSE BUSINESS PROCESS INTEGRITY

The benefits of business process automation are twofold. As part of a GRC framework, it can verify that content is complete and handled in accordance with prescribed policies. From a business perspective, process automation often means accomplishing more work in less time with fewer employees. Faster processing leads to competitive advantages in securing new business, collecting early pay vendor discounts, signing the most qualified applicants and ensuring customer satisfaction.

OnBase Workflow is often used by administrators to facilitate business process automation. Because administrators can view both work in progress and the audit trail of past actions, Workflow also can serve as a record of corporate accountability when documenting controls for compliance purposes. For example, a document requiring approval by a specific individual can be forwarded via OnBase

Workflow and supplemented with an e-mail or pager notification.

Depending on the requirements, an approver may be able to indicate an approve/reject action simply by completing an ad hoc task from the Workflow interface. The approver may also be required to affix a digital signature. This additional level of approval uses third-party validation to identify which documents have been signed and verify that no changes were made after the signing.

OnBase Workflow also can reduce manual intervention and the potential for human error. For example, PO-driven invoices that match the designated amount can be automatically posted to an accounting system. Automation frees employees to focus only on exceptions that might negatively impact operations. Using Workflow to handle tedious tasks, such as auditing files to verify that all required

documents have been received, also frees employees to focus on higher value tasks. In the processing of permit applications, for instance, Workflow can be relied on to ensure that all necessary reports have been filed.

Not only does OnBase Workflow ensure that even the most complex sets of business rules are followed, it also supports the sharing of information among departments. For instance, Workflow can be configured to manage the hiring process for new employees. Once an employee has been hired, Workflow can send notifications to activate payroll, set up e-mail accounts, issue proximity cards and deliver employee welcome packages. Conversely, Workflow can be used to rescind rights when an employee is terminated. OnBase Document Retention can automate the event-driven retention plan associated with this kind of file.



## AUTOMATE POLICIES AND PROCEDURES

OnBase enhances accountability by making it less likely an employee will be able to act outside of a prescribed process. For instance, OnBase E-Forms provide a standard means of initiating requests, notifications and other business processes by allowing users to complete and submit HTML forms that become available for retrieval and routing. E-Forms can play a central role in workflows, allowing users to create electronic documents that initiate, supplement, forward or complete a business process, whether the task is automated, performed ad hoc or launched from a line-of-business application.

By using interactive e-forms that guide users through a process and automatically gather data, organizations increase user productivity, while enhancing data accuracy and process integrity. Fields within the e-form can be validated against or automatically populated from data hubs or other databases. Forms can be configured to provide feedback, set parameters and generate complementary processes based on users' responses.

Additional automation can be applied to the document purging process, an important element of a risk mitigation strategy. OnBase supports both static document retention based on a stated period and event-driven retention based on another action being taken first (e.g. an employee resigns or a mortgage is paid off). Document purging can be set to run automatically or with human verification and can accommodate legal holds that prevent destruction of documents because of factors such as pending litigation.



## A SECURE CONTENT REPOSITORY: THE IDEAL FOUNDATION FOR GRC

Even the most complex and sophisticated GRC framework is only as reliable as the content on which it is built. OnBase provides sophisticated mechanisms for the production, capture, indexing, storage and retrieval of virtually any type of document, whether originating on paper, in electronic form or even as a physical asset such as an original deed. Once those documents are in OnBase, their integrity and security are protected and verifiable.

OnBase provides numerous options for converting paper documents to a variety of standard electronic image formats and for assigning keyword values with speed, accuracy and minimal user intervention. OnBase Document Imaging includes options for virtually any document imaging scenario, from high-volume centralized scanning operations to ad hoc remote scanning at a disconnected site using a multifunction peripheral. A single enterprise-wide OnBase solution can also accommodate a hybrid approach to imaging and indexing, supporting organizations in which scanning operations include low volume as well as production environments.

Additionally, through an open and configurable Document Import Processor (for high-volume, batch input) and OnBase Archival API (for real-time input), OnBase stores documents and indexes generated by third-party imaging and forms processing applications. Images may also be imported from fax servers.

Using OnBase OCR, images can be converted to text files. Both the original image and the text rendition can be saved for different uses. This conversion allows the resulting text rendition to be internally searched and edited, with revisions tracked and stored in OnBase. The document also can be made available for full-text indexing, which allows users to search entire document collections for the occurrence of a word or phrase.

The increasing volume of documents originating in electronic format, such as e-mails, Web pages, PDFs and HTML

forms, also can be managed in a manner consistent with other content. For example, individual users may use the OnBase e-mail integration solutions for Outlook, GroupWise or Lotus Notes to import e-mails and/or their attachments into OnBase. Working from within the familiar e-mail interface, users simply drag and drop the desired document into OnBase, which prompts them to select the document type and enter the appropriate keywords.

OnBase is equally adept at processing internally produced documents, including those from desktop applications such as Microsoft Word® or Excel®. OnBase COLD/ERM captures and preserves text-based records such as invoices, purchase orders, statements and reports by processing print streams generated by transactional mainframe or client/server applications. OnBase COLD/ERM offers optional multi-threaded processing for high performance, add-on modules for natively handling PCL, AFP and DJDE data streams and built-in support for report mining.

When working with OnBase documents, users decide how to display the search results list and what descriptive information is provided. Once a document has been retrieved and opened, OnBase provides an array of options for viewing (forms overlay, thumbnails, zoom), annotating (markup, redaction, notes, digital signatures), revising and distributing (e-mail, fax, remote or local printing, CD/DVD creation) the document according to a worker's defined rights.

To protect the integrity of OnBase documents, OnBase EDM Services provides document management and library services (e.g., long-term/persistent checkout, check-in) for application documents such as spreadsheets and word processed documents. It also allows users to reference or revise documents when they are disconnected from OnBase.

Despite the fact that OnBase can support better decision making by allowing multiple users to access documents simultaneously, regardless of their locations, it also gives administrators

the ability to easily configure strict user privileges. An employee can be completely unaware of documents not relevant to completing his/her work. Alternately, a user may be able to view only a redacted document or may not have rights to print or e-mail a document to anyone else.

For organizations facing more stringent compliance and retention requirements, OnBase Records Management allows organizations to manage the retention policies at a folder level once a set of documents has been designated as a record. Both active and closed records can be searched through the same interface as other OnBase content. Records can be checked in/out, and an audit trail can be maintained to document that policies or regulations were followed.

Complementing records management initiatives, the OnBase E-Mail Archive works in conjunction with Microsoft® Exchange Journaling to create a searchable collection of all e-mails. OnBase Subscription Server automatically indexes and stores e-mails and corresponding attachments into the OnBase repository, based upon characteristics such as sender, recipient, subject, date, message ID and return path.

The same records management policies assigned to digital content also can be applied to physical assets using OnBase Physical Records Management, which tracks the actual location of items that simply can't be exclusively stored electronically such as signed contracts, equipment or evidence. Like electronic records, physical records also can be tied to retention policies.

As long as documents exist in OnBase, they also can be managed and stored using industry-standard mass storage hardware and software applications that support compliance initiatives. Proven integration solutions are available for WORM (write once, read many), content-addressed devices and other options.

## THE ONBASE DIFFERENCE

OnBase combines the specialized functionality of niche solutions with the flexibility, scalability and power of an enterprise application built on a unified code base. Customers from organizations of all sizes across numerous industries have been equally successful deploying OnBase on an enterprise-wide basis for thousands of users or within a department to address a specific business need, depending on their unique goals. Each OnBase customer, often in consultation with an OnBase Authorized Solution Provider, decides how, when and where to deploy OnBase to realize the maximum return on investment in the near term while preserving the flexibility to evolve as needs change or new OnBase solutions are added.

These benefits set OnBase software apart from other applications marketed as complete GRC platforms:

**Configurability:** OnBase utilizes a single relational database, configuration utility and customizable user interface for all processing and retrieval. This enables OnBase to provide extensive, out-of-the-box functionality to support sophisticated content management and workflow solutions. Organizations can configure OnBase using point-and-click functionality, giving business users, not just trained programmers, the ability to easily design, deploy and modify sophisticated compliance, workflow or other solutions without being locked into a rigidly coded solution.

**Secure, Scalable and Reliable Architecture:** The OnBase security model allows organizations to manage user access to specific OnBase product functions. OnBase attains this high level of security by creating a custom set of product rights and privileges for each user group. The OnBase architecture provides scalable and reliable access to OnBase content repositories, and it offers backward compatibility with existing OnBase content, security, user group, database and file storage configurations.

**Comprehensive, Modular Solution:** By supporting incremental deployment, OnBase's scalable architecture addresses the budgetary and change management challenges organizations face and lets them implement solutions at their own pace. Though its organically developed code base makes OnBase easier, faster and less expensive to deploy on an enterprise basis than many solutions, numerous organizations do not have the upfront funding or mindshare for such a comprehensive undertaking. OnBase accommodates the need such organizations have for making gradual changes to processes.

**Rapid Deployment:** OnBase was designed to be deployed in less time and require fewer resources than other ECM software. Because OnBase automates the configuration of data models to the unique structure of the customers' existing content repositories, many OnBase customers deploy the software with little or no custom programming. This rapid deployment allows organizations to realize a return on their investments sooner than would be possible with ECM software requiring lengthy, labor-intensive implementation cycles.

**Outstanding Customer Service and Support:** Hyland Software consciously fosters a corporate culture in which a commitment to the needs of OnBase customers is the highest priority. From creating new functionality based on feedback from customers to providing educational services, events and user forums, Hyland Software provides professional, timely and appropriate service. Also providing outstanding customer service and support are the many OnBase Authorized Solution Providers.

**Vertical and Application Expertise:** Whether calling for technical support or asking a question about how OnBase can be used for a particular business process, OnBase customers deal with trained employees who know the specific business application. Dedicated subject matter

experts with experience and education in the vertical markets OnBase serves and in common business needs (e.g., Accounts Payable, Accounts Receivable and Human Resources) work with customers on a daily basis.

**Backup and Recovery Services:** Hyland Software offers an additional level of peace of mind through BackStop Database Verification and Recovery Services. Organizations can submit their OnBase databases and backup media for testing and validation, receiving immediate notification of database flaws or non-recoverable backups, as well as a statistical report that can identify potential problems and suggest methods for optimizing performance. Business continuity can be supported with recovery services including media storage and hosted hot sites.

## ABOUT HYLAND SOFTWARE

Established in 1991, Hyland Software Inc. is the developer of OnBase, a rapidly deployable suite of enterprise content management (ECM) software applications. OnBase is a modular suite of ECM applications that includes document imaging, workflow, electronic document management, COL/ERM and records management. OnBase allows organizations to manage all digital content, including scanned paper documents, e-mails, faxes, print streams, application files, e-forms, Web content and multimedia files. OnBase is used by businesses and government agencies around the world to reduce the time and cost of performing important business functions and address the need for regulatory compliance through the management, control and sharing of digital content with employees, business partners, customers and other constituencies. For more information about OnBase, please contact an OnBase Authorized Solution Provider or visit [www.onbase.com](http://www.onbase.com).





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