Overview

eSign *plus* is a tool used to automate business processes that integrate two components: electronic forms and automated workflows.
This document is a Quick Start Guide for eSign *plus* Workflow Building. Use this guide in conjunction with the eSign *plus* Workflow Building training you received. Detailed explanations and instructions are outlined in the eSign *plus* Administrator Guide.

Workflow Building Tips

Before getting started with building a Workflow, here are a few tips and recommendations to guide you along the way.

1. Document the business process for an ease of building the workflow.

2. Create the "Shared" inboxes based on departments, locations, or role specific (example: Accounting, Member Service, Loan Processing, Quality Review, Managers). (eSign menu: Administration / Workflow Permissions / Inbox Management)

3. If using Conditional Rules to route the case according to data validation, add the Workflow Field Mappings in the respective dictionary type. (eSign menu: Administration / Dictionaries / *Select the respective dictionary* / Workflow Field Mapping)

4. When creating the workflow, add the STEPS prior to adding STEP REPONSES. (eSign menu: Administration / Workflow Builder)

5. IMM recommends a Document Set is associated to a single Workflow. A workflow can be assigned to multiple Document Sets.

6. Create and/or add users to their respective Active Directory Security Groups (not a Distribution, nested or sub-groups). Ensure your employees are in their respective AD Security Groups (typically based on departments, branches and/or roles).

Workflow Permissions (eSign menu: Administration / Workflow Permissions)

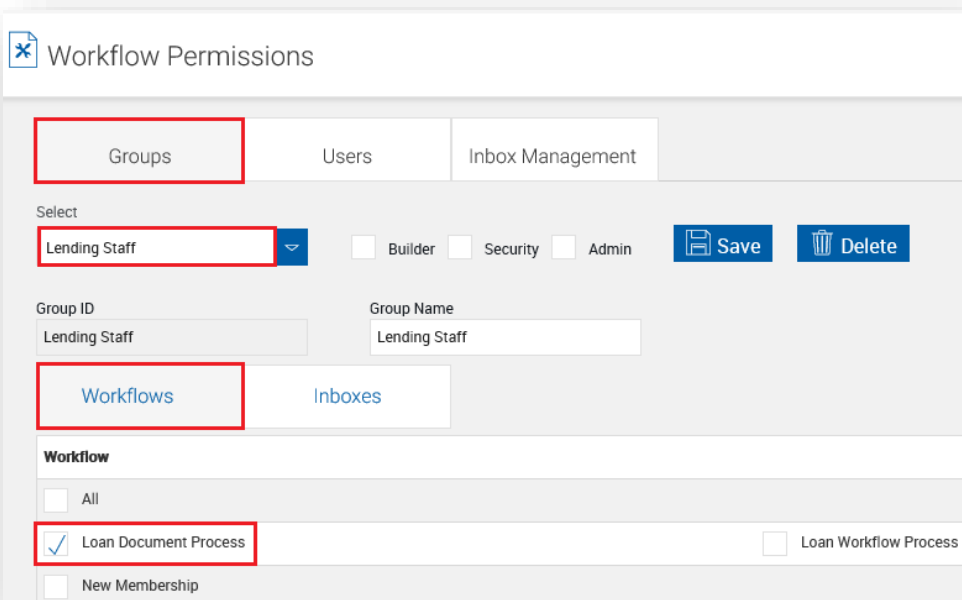
Groups *tab*: From the Select *dropdown*, enter the AD Security Group name exactly how it is defined within AD (case and character sensitive) within the Group ID and Group Name fields.

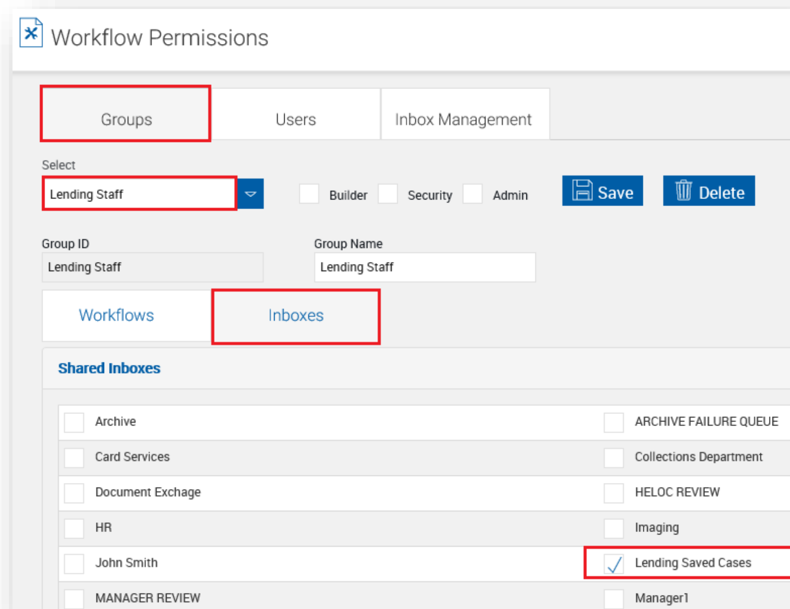
Note: Builder, Security and Admin checkbox options are for staff or AD groups that should have such permissions (i.e.: Information Technology, Operations, etc.)

Example of assigning Workflow Permissions from a Group level:

First, add employees to their applicable Active Directory Security groups with your Active Directory Manager. Then add the Active Directory groups in Workflow Permissions. Grant the AD groups with the sufficient permissions to Workflows and Inboxes.

Here we added the *Lending Staff* AD group to Workflow **GROUP** Permissions. The *Lending Staff* AD group has permissions to the 'Lending Document Process' workflow giving any user that is a part of the *Lending Staff* AD group the ability to route cases associated with the 'Lending Document Process' workflow. The *Lending Staff* AD group also has permission to view cases residing in the Lending Saved Cases "*shared*" inbox. Ensure you click Save after making permission selections on this screen.





Workflow Permissions *continued* (eSign menu: Administration / Workflow Permissions)

Using Active Directory sync

Users or Active Directory security groups can have routing permissions for specific Workflows and “Shared” Inboxes.

A “Shared” Inbox is a queue that multiple users have access to. Typically, the shared inbox is created based on departments or role specific (example: Accounting, Member Service, Loan Processing, Quality Review, Managers)

It’s recommended to configure eSign *plus* Permissions based on Active Directory Security Groups (not a Distribution, nested or sub-groups). Ensure your employees are in their respective AD Security Groups (typically based on departments, branches and/or roles)

eSign *plus* Administrators will have access and visibility to <u>all</u> workflow cases and inboxes.

Employees defined as a ‘Manager’ within Active Directory will have the ability to filter cases specific to their employees in addition to the ability to reroute a case to a specific step or inbox.

It is imperative that your Active Directory reflects <u>ALL</u> employees with their respective manager, email address and domain security groups accurately.

Non-Active Directory Manager sync

Without syncing the user’s Manager from the Active Directory, eSign plus Administrators can assign user managers within the console (eSign menu: Administration / Workflow Permissions / Users *(tab)*).

Select the user from the Select drop-down list. Then select the user’s Manager from the Manager drop-down list.

If using this method, you must first disable the **‘User AD Manager’** setting (eSign menu: Administration / General Settings / Use AD Manager).

Add applicable Active Directory Security groups in Workflow Permissions with respective rights to the Workflows and/or Inboxes

Workflow Permissions *continued* (eSign menu: Administration / Workflow Permissions)

Users *tab*: From the Select *dropdown*, select the user to apply Workflow and/or Inbox permissions.
If the user does not exist, instruct the user to access the eSign solution which will automatically create the user's account.
User Direct Access URL: http://*YourServerName*/teaasp/HostDispatch.aspx?hostid=*xxxx*&hsfiid=*xxxx*
Contact IMM Support for your custom URL parameters.

Note: Do Not manually create the user account within the eSign console as duplicate SQL records .

Inbox Management *tab*:

This tab is used to add, edit and disable "Shared" Inboxes *(queues)*. A "Shared" Inbox is a queue that multiple users will have access and monitor when cases are routed to the inbox. Typically, the shared inbox is created based on departments or role specific (example: Accounting, Member Service, Loan Processing, Quality Review, Managers)

Email addresses are optional and can be used to receive email notifications when a case is routed to the inbox. Only a single email address is supported.

Workflow License Usage (eSign menu: Administration / Workflow License Usage)

eSign plus will allow a subscribed number of users to access the application at a time. The Workflow License Usage screen will list the users that currently have active cases.

A user can utilize a single active license when logged into a Window device **and** an iPad.

IMM suggests that users log out of the application when cases are not being processed or researched.

There is a scheduled task, daily at 3am, which will end all active sessions. Additionally, IMM eSign plus Administrators can manually end a user's session.

Workflow Builder (eSign menu: Administration / Workflow Builder)

Drop-down list:

Create Workflow - Used to design a new workflow

Edit Workflow - Allows editing existing workflows. Double-clicking on a workflow row will open the workflow in edit mode. Editing a published workflow will create a copy of the workflow, increment the version number and open the workflow in development.

Publish Workflow - Moves the workflow into the Published Version screen. The published version will be incremented.

Copy Workflow - Creates a copy of an existing published workflow

Delete Workflow - Removes a workflow. Workflows cannot be deleted if there is history associated with the workflow.

Import Workflow – Imports a workflow that was exported from another eSign plus instance/server

Export Workflow – Exports the workflow into an .xml format.

Version Management – Retains previous versions of workflow that was published

Radio button

Published Version – Displays a list of published workflows used to generate active cases.

In Development – Displays unpublished workflows pending publishing. Workflows in this stage allows Administrators to edit published workflows while not impacting the business day.

Note: Active cases will continue to process against the workflow version in which it was started.

Workflow Builder *continued*

(eSign menu: Administration / Workflow Builder)

Features / Abilities

Allow Signing

Signing ability can be enable or disabled per step within the workflow process.

Conditional Routing

This is a rule-based feature for a more innovative way to route the case to the appropriate department, location or individual based on specific criteria. Conditional Routing allows the case to be routed in accordance the cases signature status, data obtained from the data file or the document, Step Responses and/or User Roles.

Email Notifications

Send Task Email: Sends an email to the RECIPIENT of the step in which the setting is enabled. The email contains a direct link to the case for ease of access. This feature is intended to alert RECIPIENT(s) to act on a case.

FYI Email: Sends an email informing selected RECIPIENTs of a response that was selected. The email does <u>not</u> contain a direct link to the case. This feature is intended to inform RECIPIENT(s) of an action performed.

Note: Your email server/system can potentially block the email in its filter.

Time-Based Alerts

Workflow has the ability to send email notifications as the case is routed and/or has been idle for a defined time duration.
Notifications can be emailed to individuals or shared inbox RECIPIENTs that has an email address defined in 'Workflow Permissions / Inbox Management'.

In addition, if a case has been idle for a defined time the case can automatically route to another step and/or inbox accompanied with an email notification.

Steps on Building a Workflow

Workflows are configured to link **Steps** to one another based on a **Step's Response** selected by the end-user. The **Step Response** selected is configured to route the case to another **Step** within the workflow process. A RECIPIENT inbox is also configured at the **Step Response** in which will move the case to the intended shared or personal workflow inbox *(queues)*

Step 1: Document the business process

Here we will outline a workflow for a typical loan application process. Reminder, your loan application process may differ however using these instructions should allow you to configure your process with efficiently.

Loan Application Process:

Lending Processer generates the data-filled documents, attach external supporting documents and capture the consumers signatures within eSign. Then routes the case for Processing/Review

Lending Review Team reviews all Loan Applications marked as Personal Loan if the Loan Amount is equal to or less than $5,000. If approved, the case is marked as Approved and archived. If denied, the case is routed back to the Loan Processer.

Manager reviews all Loan Applications marked Personal Loan if the Loan Amount is greater than $5,000. If approved, the case is marked as Approved and routed to the Lending Review department for review. If denied, the case is routed back to the Loan Processer for attention.

Title Department reviews Loan Applications marked as Auto Loan. The title task is performed and the case is routed for archive.

HELOC Review Team reviews all Loan Applications marked as HELOC Loan. If approved, the case is marked as Approved and archived. If denied, the case is routed back to the Loan Processer.

Steps on Building a Workflow *continued*

Step 2: Create the "*Shared*" Inboxes

eSign menu: Administration / Workflow Permissions

Click "Add New Inbox"
Enter the Inbox Name
If applicable the group email address accordingly *(only a single email address is supported)*

Example for the Lending Application Process:

Lending Review	LendingReview@YourCompany.org
Title Department	TitleDept@YourCompany.org
HELOC Review	HELOCReview@YourCompany.org

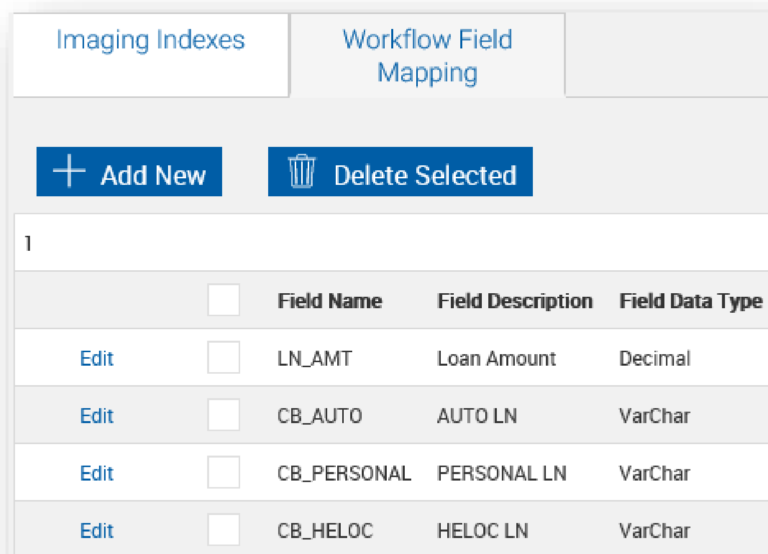
Note: Once an inbox is created, it cannot be deleted. However, the inbox can be disabled and will not appear as an option when building the workflow. To disable an inbox, check the checkbox next to the inbox and click "Edit Inbox". Then check the checkbox for Disable Inbox and Save.

Step 3: Add the fields for Conditional Routing

eSign menu: Administration / Dictionaries / *Select the respective dictionary* / Workflow Field Mapping)

In the Lending Application Process, the case routes to the Lending Review Team or the Lending Processer's Manager for review based on the loan amount.

First establish the Loan Amount field *(this information can be obtained from the host datafile)*
Then in the Workflow Field Mapping screen – click "Add New"
Enter the field name (case and character sensitive. Field Names should be entered in all capital letters)
Enter a Field Description
Select the appropriate Field Data Type (Date-Time, Decimal *or* VarChar)



Steps on Building a Workflow *continued*

Step 4a: Create a new workflow

eSign menu: Administration / Workflow Builder / *dropdown select* "Create Workflow"

GENERAL

Enter a Workflow Name (based on the business process, product or document set)
Description – enter a description of the business process

DOCUMENT SET

Select the applicable document set(s) that will utilize this workflow process. *Note: Document Sets will appear in this tab once the Document Set is created in eSign.*

Ad-hoc Document option allows users to select individual documents oppose to selecting a Document Set when generating a case.
If Ad-hoc Document Set is checked, the case will utilize the workflow process.

Note: IMM recommends a Document Set is associated to a single Workflow. If a document set is associated with multiple workflows, then the end-user will get prompted to select the applicable workflow when generating a case.
A workflow can be assigned to multiple Document Sets.

Steps on Building a Workflow *continued*

STEPS

Building a new workflow will begin with default steps (**Start, Download, Archive, Done**)

Start Step is utilized when the case is generated and routed for the initial time.
This step's RECIPIENT is considered the "Originator"
The Start step name cannot be renamed however the Step Instructions can be modified to your desire.
This step requires configuration (Example on configuring the Start Step is below)

Download Step is reserved for cases that are sent for remote signing. If the business process does not allow for remote signing, then the Download step can be deleted from the workflow. Typically, the Download Step is configured to route the case according to how in-person cases are handled.

Step Response	Next Step	Recipient	FYI	Rule
Signed	Lending Review	HELOC Review		
Expired	Cancel			
Aborted	Cancel			
Download Failure	Cancel			

Step Responses
Signed routes the case accordingly after the documents are completely signed via Adobe Document Signature and downloaded to the eSign *plus* server
Expired is typically set to Cancel the case if the transaction has expired within Adobe Document Signature
Aborted is typically set to Cancel the case if the transaction was aborted within Adobe Document Signature
Download Failure is reserved for future use. Set this Step Response to Cancel.

Archive Step is reserved when the case is routed based on a selected Step Response and/or Time-Based setting that advance the case to the Archive step. Configure this step as follow:

Step Response	Next Step	Recipient
Archived	Done	
Failed	Archive Failure	Archive Failure

Done Step is utilized when a case is marked as a successfully completed process. No configuration required on this step.

Steps on Building a Workflow *continued*

It is recommended to add these additional system steps to all workflows (**Archive Failure** *and* **Cancel Steps)**

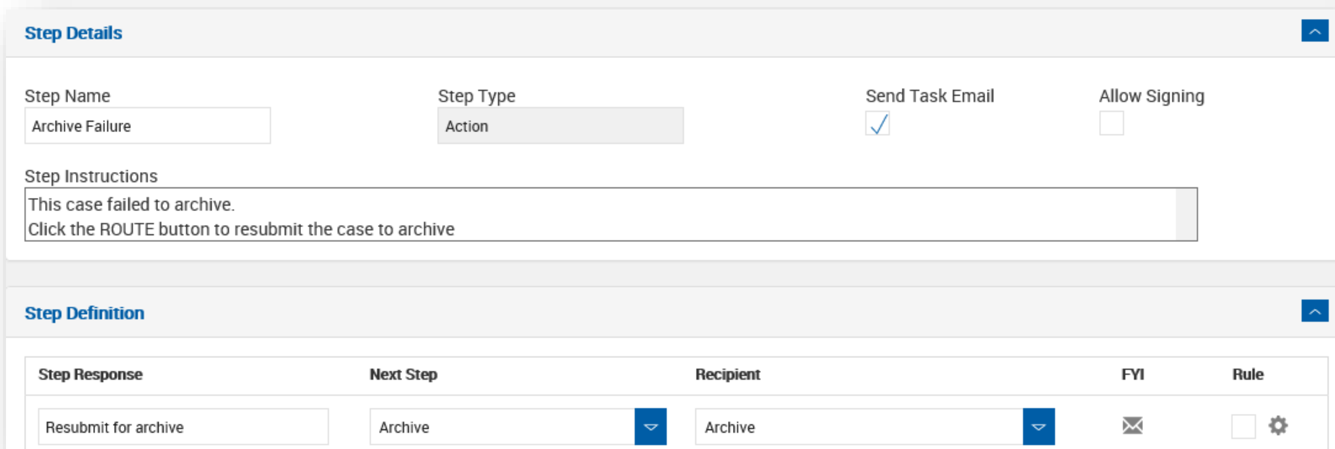
Click "Add"

Step Name is typically the department, role or process in which this case is taking action.

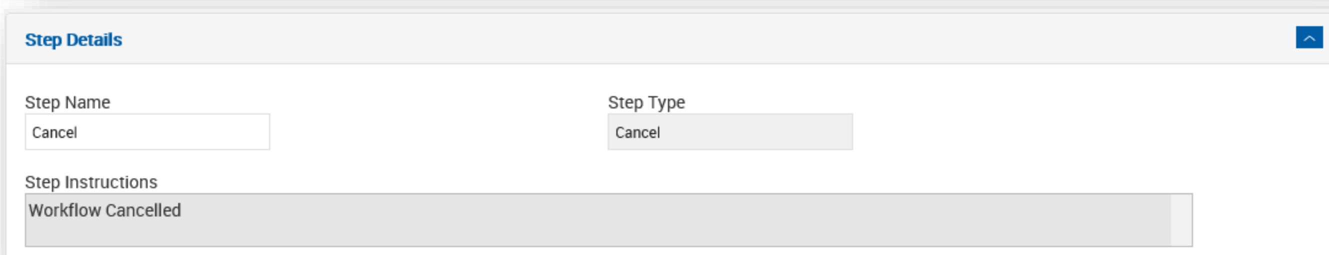
Step Type

- **Action** indicates the case should have action performed and routed to the next step
- **Cancel** cancels the case however a history of the case's details can be obtained within eSign for a maximum of 365 days
- **Ad-hoc Download** is reserved for IMM's Widget-To-Workflow product
- **Step Instructions** should detail instructions for the user that retrieved the case at this step

Archive Failure Step



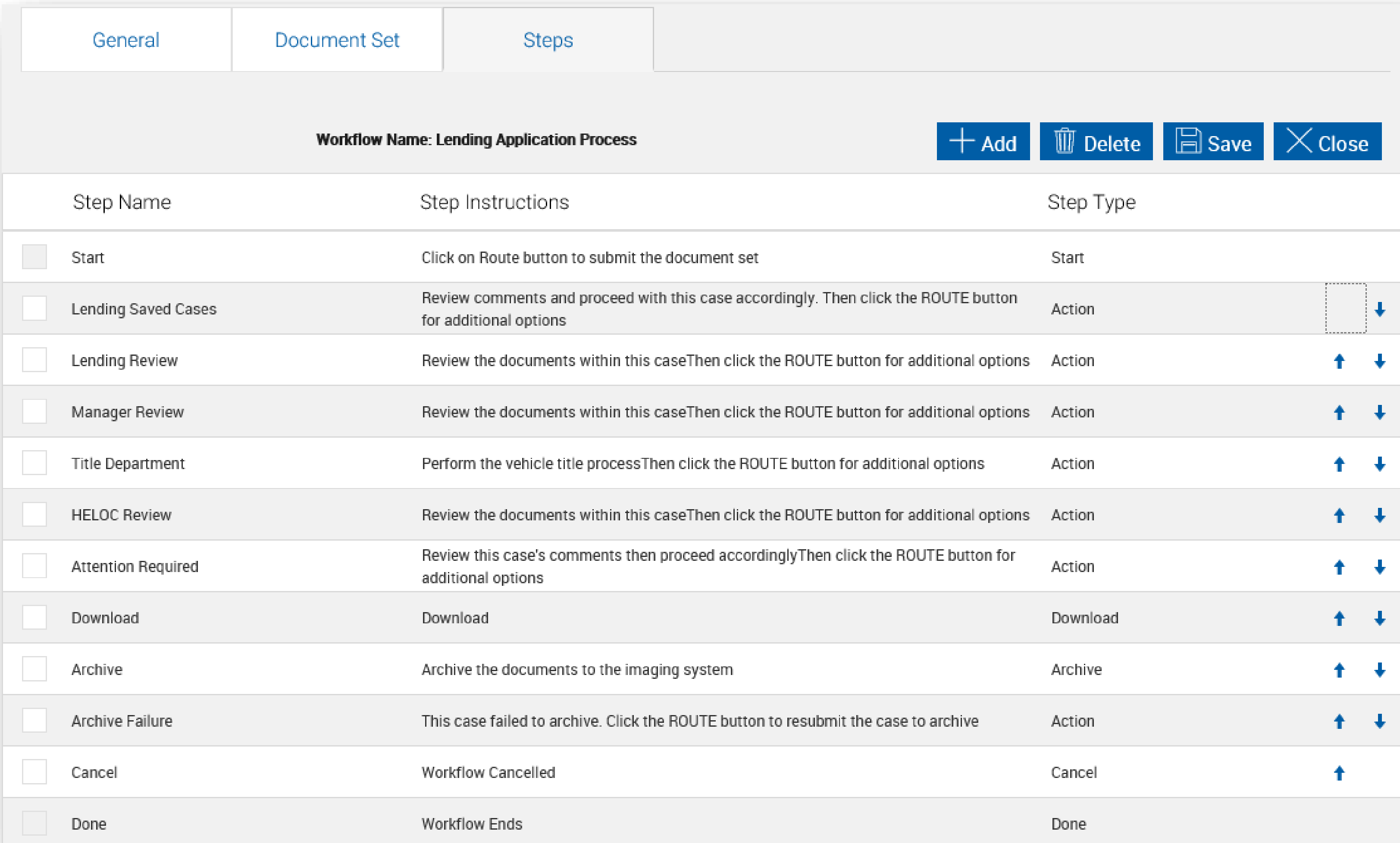
Cancel Step



Steps on Building a Workflow *continued*

Note: Adding steps will append to the bottom of the Steps tab. Given the steps are linked together based on the steps configuration, it is not necessary to sort the steps. However, to get an organized view of the workflow process it is suggested to sort the steps (using the up and down arrows adjacent to the steps) according to the business process.

Example of all the steps being added for the Lending Application Process:



Note: The Delete button allows for steps get deleted if the step is not linked to itself or another step.

Steps on Building a Workflow *continued*

Step 4b: Configuring the Steps

Now that the steps for the process are added, it's time to edit each Step with their respective actions.
Double clicking on the Step will launch the Step's edit mode.

Step Details

Send Task Email sends an email to the RECIPIENT once the case is routed to its STEP

Allow Signing allows for in-person and/or remote signing ability on this step

Step Definition

Step Response the verbiage and options shown to the user when routing the case. 7 Step Responses allowed per step

Next Step routes the case to this step based on the Step Response selected

Recipient routes the case to this workflow inbox based on the Step Response selected

FYI sends an email notification when this Step Response is selected

Rule allows for advanced routing based on data validation, signature status, user roles and/or step responses

Time Based Alerts

Alert sends an email to one or multiple recipients when a case has been idle in this step for a defined time-period (minutes, hours or calendar days)

Expire routes the case to another step and/or recipient when the case has been idle in this step for a defined time-period (minutes, hours or calendar days)

Steps on Building a Workflow *continued*

Step 4b: Configuring the Steps

Here is how the **START** Step was configured for the Lending Application Process

Step Definition / Step Response

Submit for review and approval is configured with Conditional Rule Routing (See Image 1A)

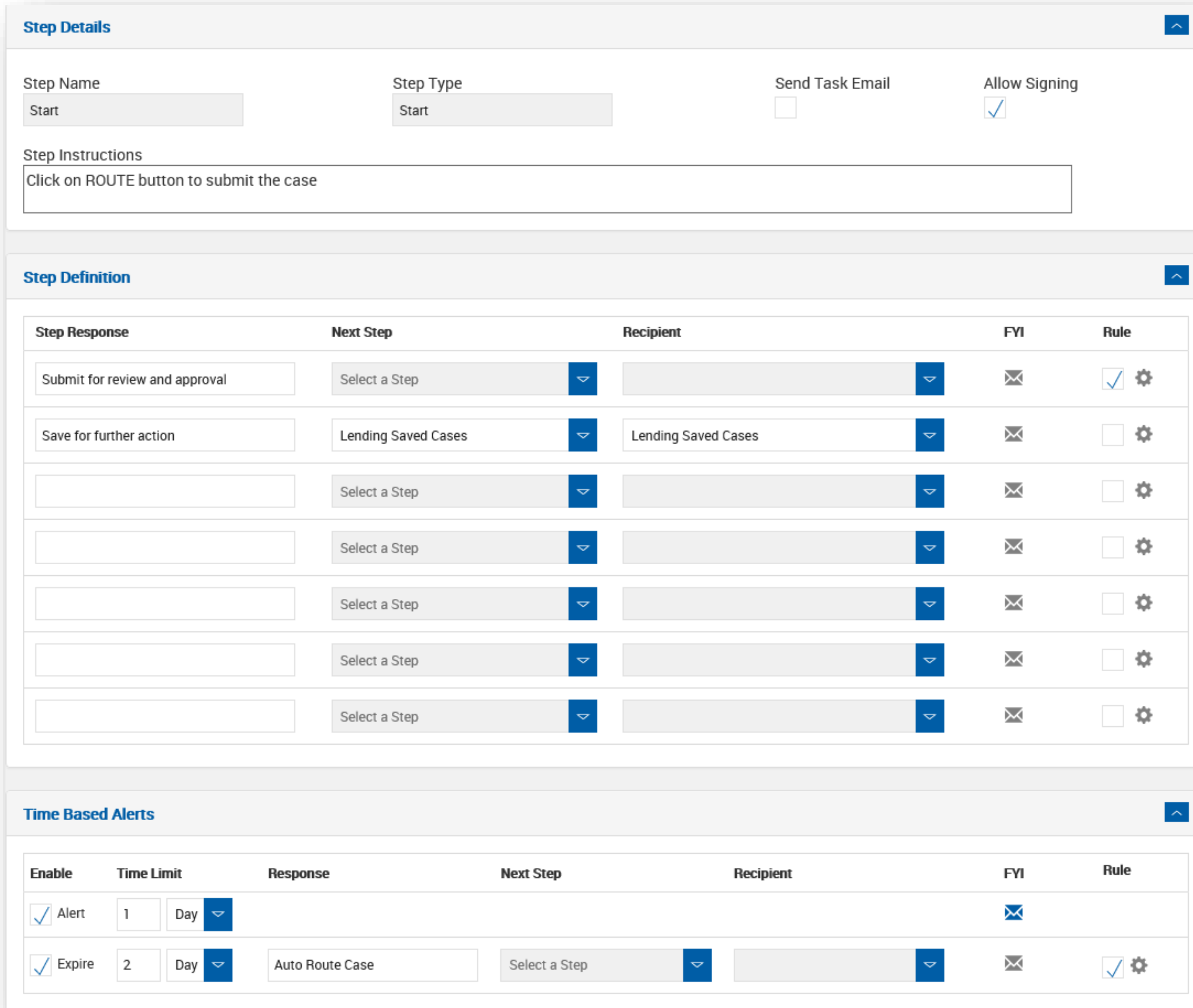
Save for further action is configured to move the case to the 'Lending Saved Cases' Step.

The case is also moved to the Recipient 'Lending Saved Cases' a *"shared"* inbox allowing employees with access to this inbox to retrieve the case.

Time Based Alerts

Alert is configured with an FYI email the originator that the case was not routed (See FYI 1A)

Expire is configured to auto route the case based on the same Conditional Rules configured in the Submit for review and approval Response

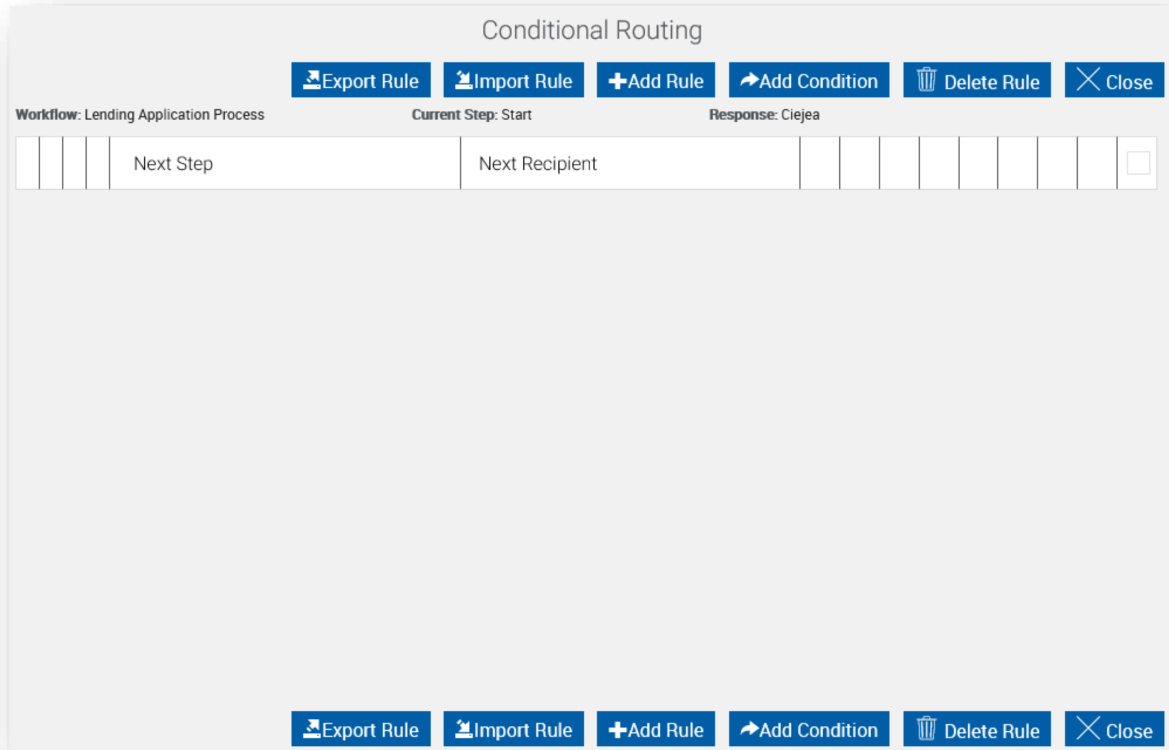


Steps on Building a Workflow *continued*

Step 4b: Configuring the Conditional Rules

This rule-based feature is a more innovative way to route the case to the appropriate department, location or individual based on specific criteria. Conditional Routing allows the case to be routed in accordance the cases signature status, data obtained from the data file or the document, Step Responses and/or User Roles.

After the Step is created, then add a Step Response. Next to the Step Response check the checkbox under the Rule column and click the sprocket wheel icon. The Conditional Routing configuration screen will launch as shown



Export Rule is can be utilized after the Rule and Conditions are added. All Rules can be exported and saved in a single process (check the checkbox above the first Rule then click Export. Create a library name to this rule.

Import Rule allows exported rules to be imported into other Steps and/or Step Responses

Add Rule creates the rule indicating the Next Step and Next Recipient Inbox and FYI email notification

Add Condition adds the condition to a selected rule

Delete Rule deletes a selected rule

Close will close the Conditional Routing configuration screen

Steps on Building a Workflow *continued*

Step 4b: Configuring the Conditional Rules

Here is how the Conditional Rules was configured for the START Step / Submit for review and approval Response

Rules are setup to behave as follow:

Rule 1

If the case is completely signed, AND
If the Loan Type is equal to Personal Loan, AND
If the Loan Amount is less or equal to 5000.00, THEN
Route the case to the Lending Review Step and Inbox

Rule 2

If the case is completely signed, AND
If the Loan Type is equal to Personal Loan, AND
If the Loan Amount is less or equal to 5000.00, THEN
Route the case to the Manager Review Step and the Originators Manager's Inbox

Rule 3

If the case is completely signed, AND
If the Loan Type is equal to Auto Loan, THEN
Route the case to the Title Department Step and Inbox

Rule 4

If the case is completely signed, AND
If the Loan Type is equal to HELOC Loan, THEN
Route the case to the HELOC Review Step and Inbox

Rule 5

If the case is Partially Signed, OR
If the case is Not Started with signatures, THEN
Route the case to the Attention Required Step and the Originator's Personal Inbox accompanying an FYI email to the originator. (See FYI 1B)

	Next Step	Next Recipient
1	Lending Review	Lending Review

	Level	Join	Condition Type	Condition
1	Level 0		Signature	Session = Completely Signed
2	Level 0	And	Data	XPLN - PERSONAL LN = 1
3	Level 0	And	Data	XPLN - Loan Amount <= 5000.00

	Next Step	Next Recipient
2	Manager Review	Originator's Manager

	Level	Join	Condition Type	Condition
1	Level 0		Signature	Session = Completely Signed
2	Level 0	And	Data	XPLN - PERSONAL LN = 1
3	Level 0	And	Data	XPLN - Loan Amount < 5000.00

	Next Step	Next Recipient
3	Title Department	Title Department

	Level	Join	Condition Type	Condition
1	Level 0		Signature	Session = Completely Signed
2	Level 0	And	Data	XPLN - AUTO LN = 1

	Next Step	Next Recipient
4	HELOC Review	HELOC Review

	Level	Join	Condition Type	Condition
1	Level 0		Signature	Session = Completely Signed
2	Level 0	And	Data	XPLN - HELOC LN = 1

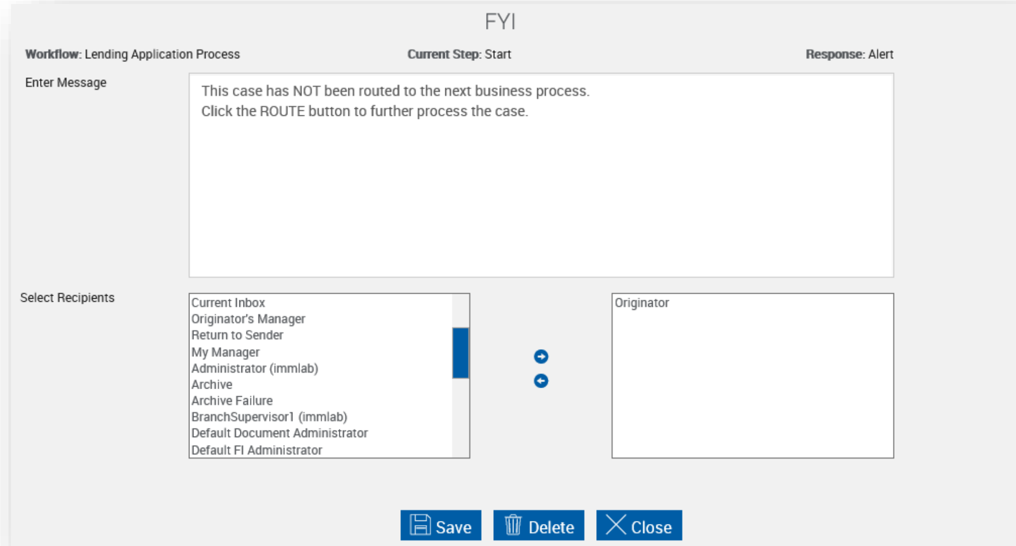
	Next Step	Next Recipient
5	Attention Required	Originator

	Level	Join	Condition Type	Condition
1	Level 0		Signature	Session = Partially Signed
2	Level 0	Or	Signature	Session = Not Started

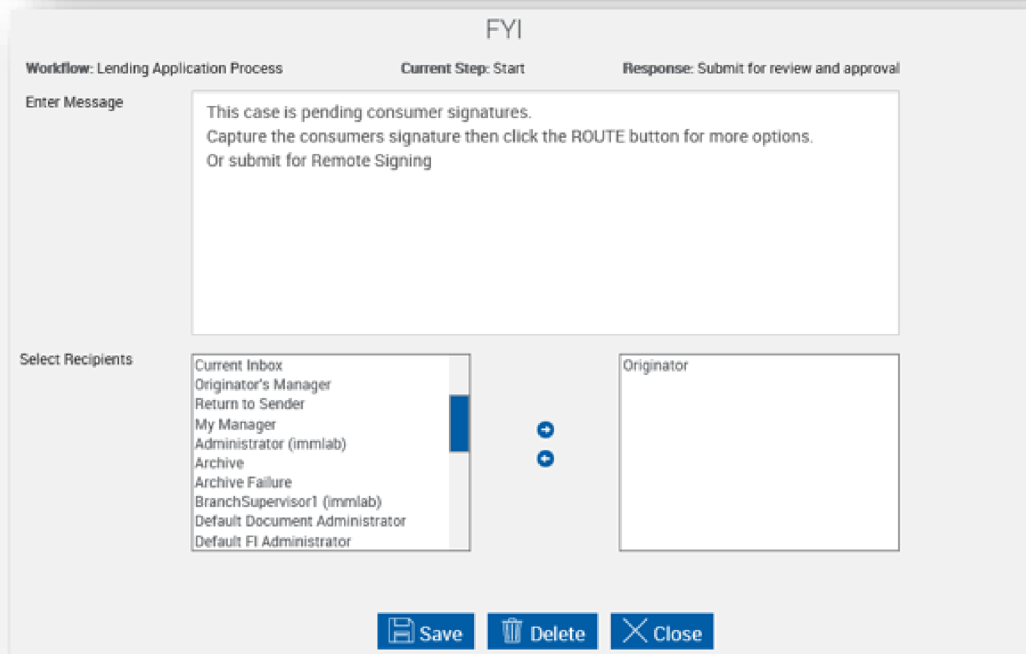
Steps on Building a Workflow *continued*

Step 4b: FYI Email Configuration

Start Step / Time Based Setting / Alert / FYI Email →



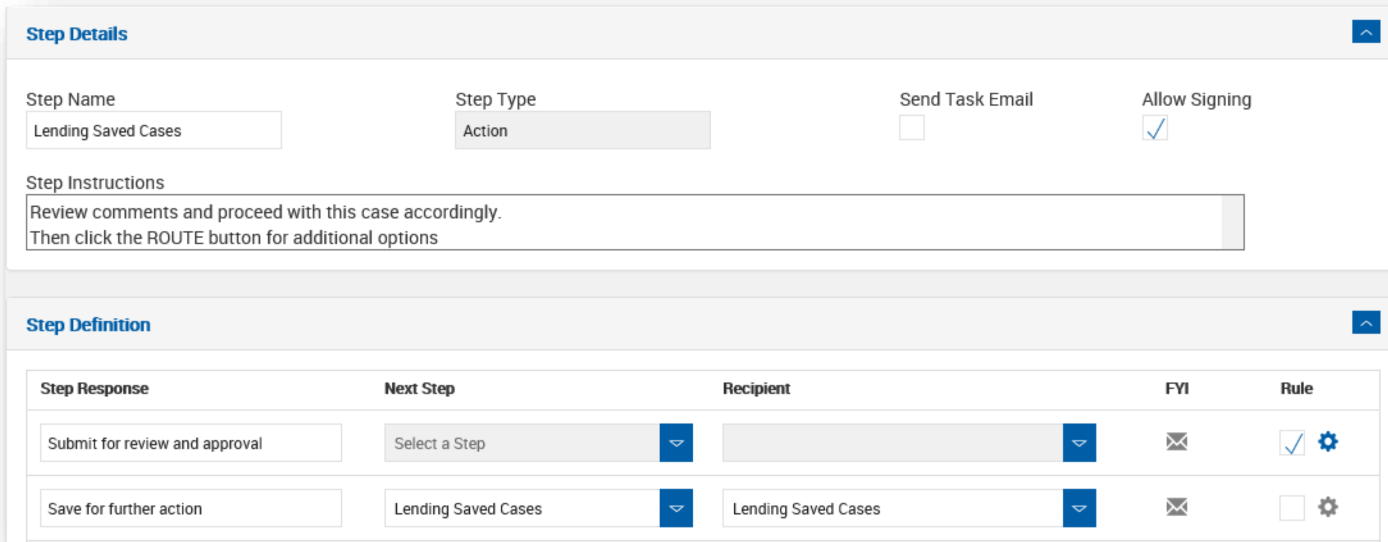
Start Step / Submit for review and approval Step Response / Attention Required (Rule 5) / FYI Email →



Steps on Building a Workflow *continued*

Step 4b: Configuration of remaining steps for the Lending Application Process

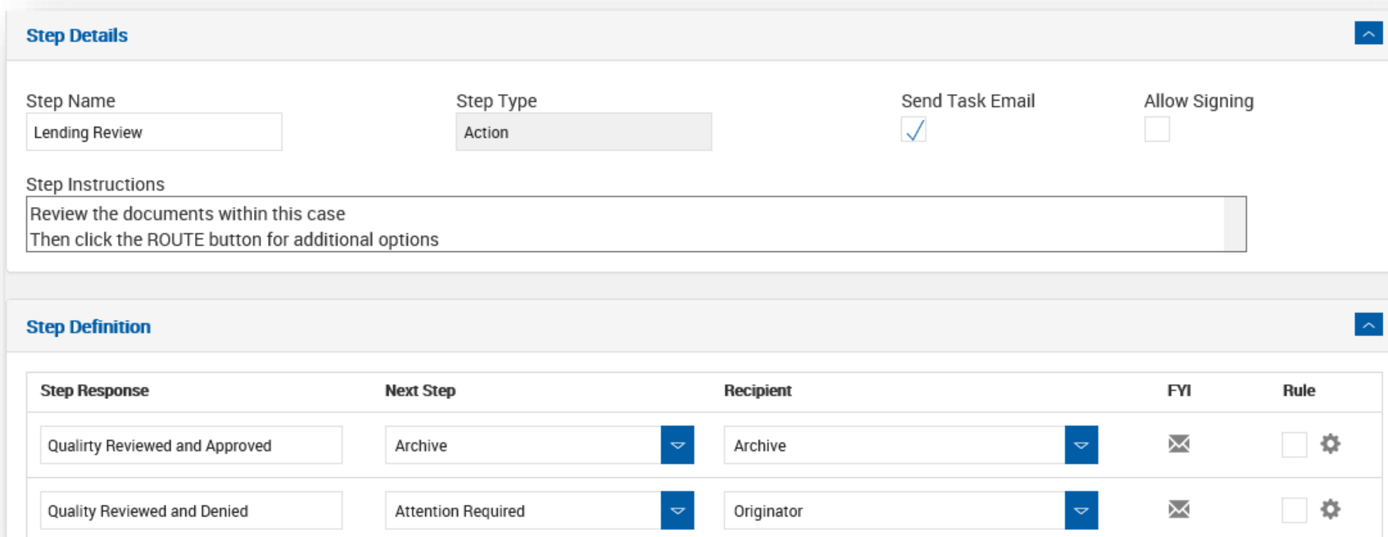
Lending Save Cases Step
Repeats the Step Definitions as the Start step given the case will be retrieved by an employee with the same role/access as the originator.



Lending Review Step
Note the "Send Task Email" is checked to email the Lending Review department of a case that was routed to their shared inbox

Note the Allow Signing is unchecked to prevent in-person and/or remote signature capturing.

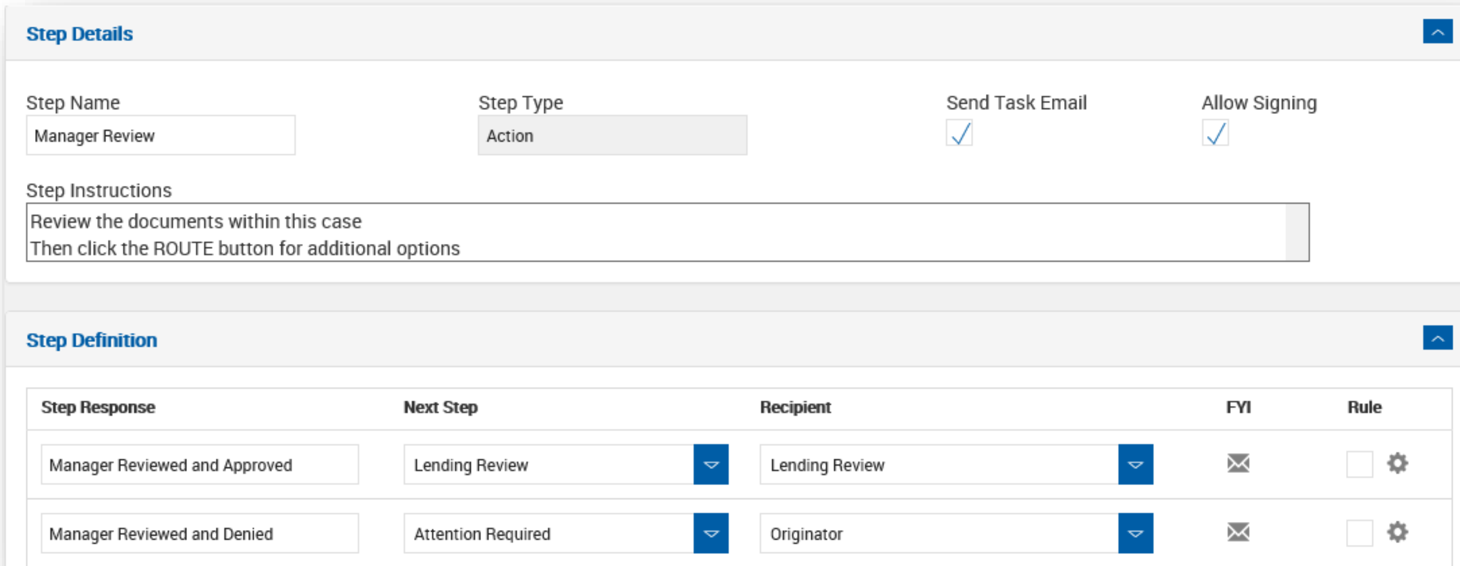
Note: To ensure cases and inboxes are acted on efficiently, it is recommended to configure the Time Bases Settings for Steps that are reserved for Saved/Pending or time-sensitive cases.



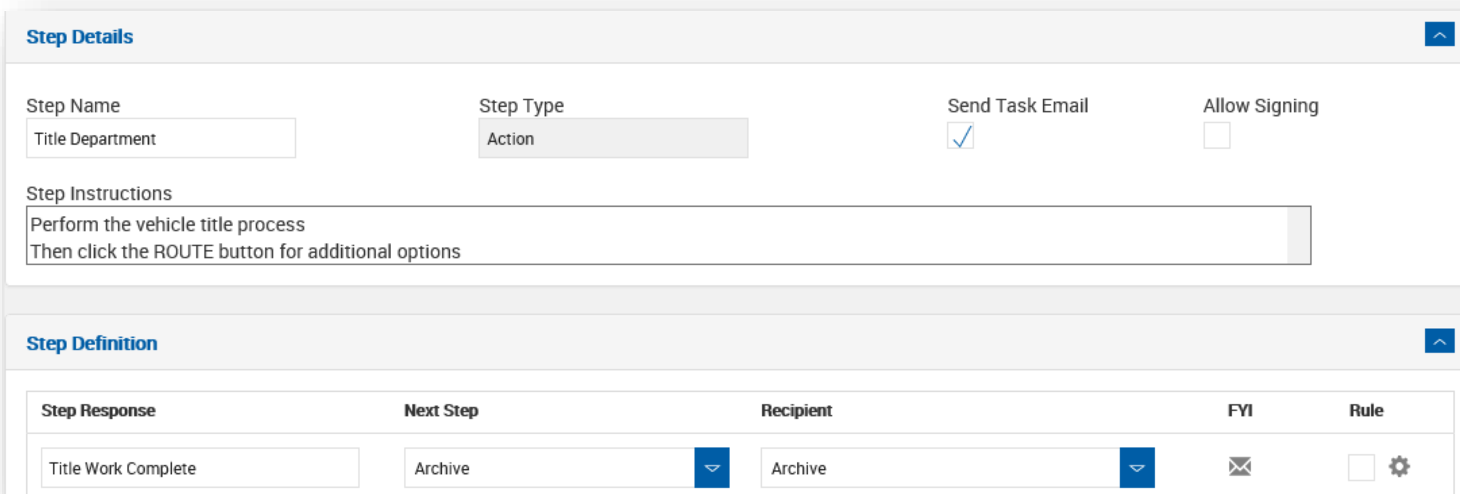
Steps on Building a Workflow *continued*

Step 4b: Configuration of remaining steps for the Lending Application Process

Manager Review Step



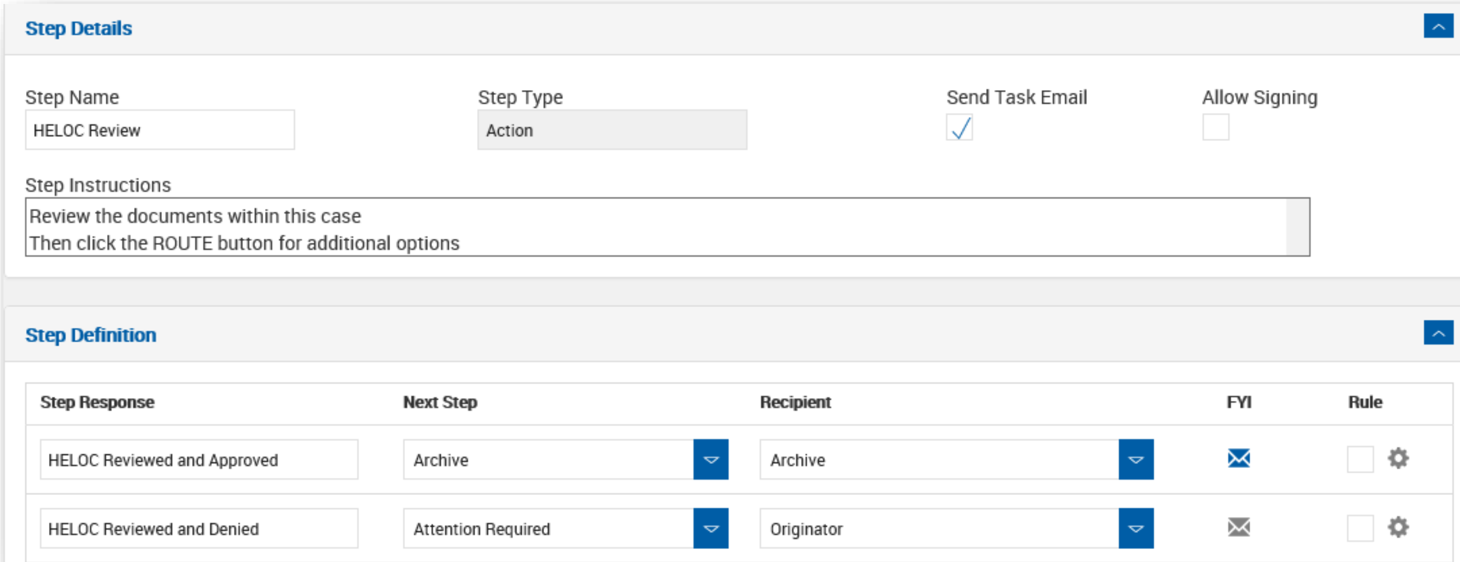
Title Department Step



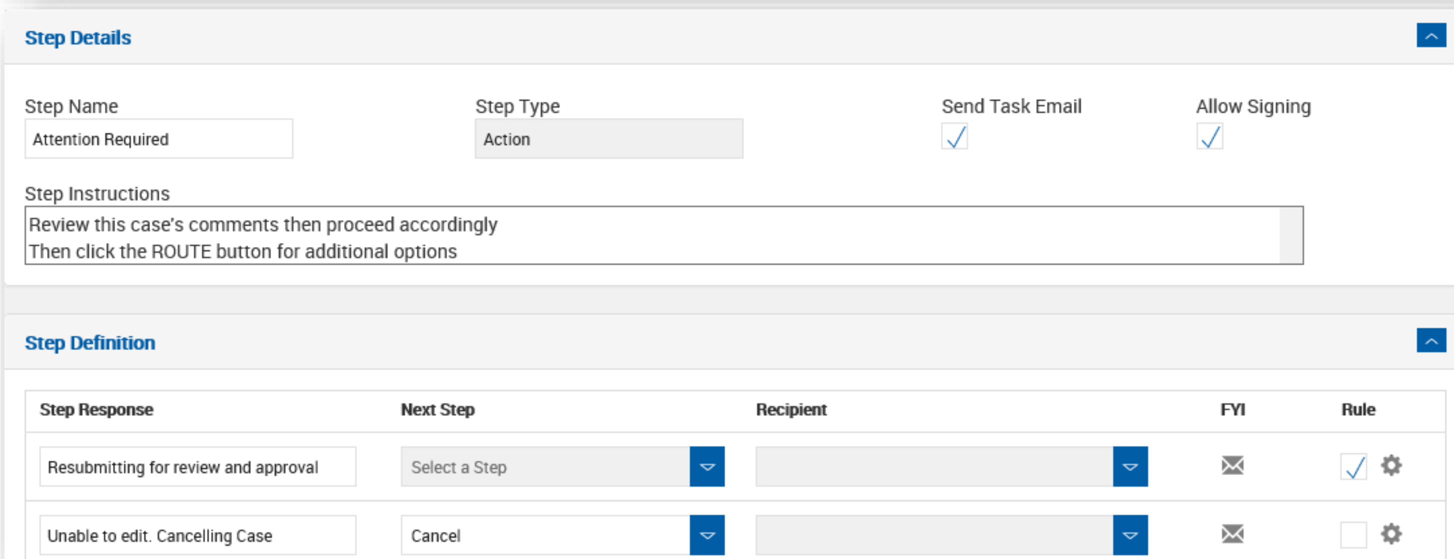
Steps on Building a Workflow *continued*

Step 4b: Configuration of remaining steps for the Lending Application Process

HELOC Review Step
Note: The Step Response "HELOC Reviewed and Approved" is configured with an FYI email. This shows the case is routing to the Archive Step and emailing internal recipients.



Attention Required Step
Note: The Step Response "Resubmitting for review and approval" is configured with the Start Step rule to route accordingly.

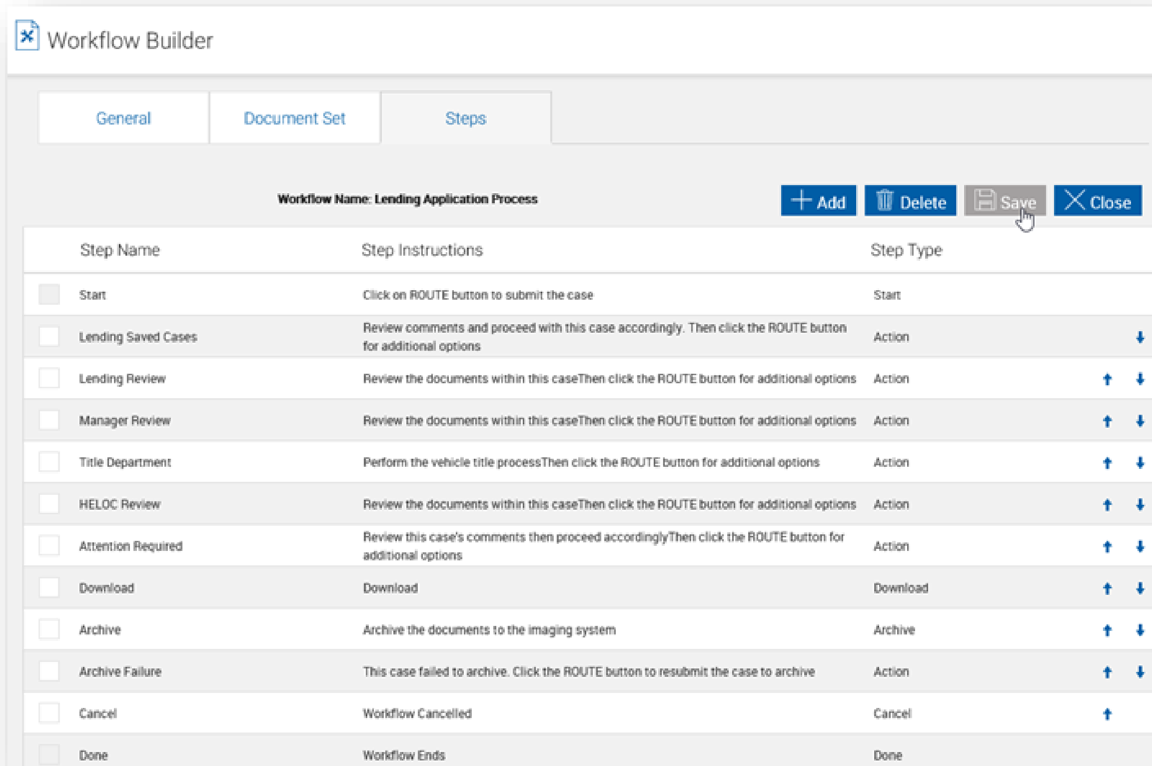


Steps on Building a Workflow *continued*

Step 5: Finalizing and Publishing the Workflow

Now that the Steps and Step Responses are configured, you are now ready to Publish and grant permissions to the workflow. *Ensure you have associated the applicable Document Sets.*

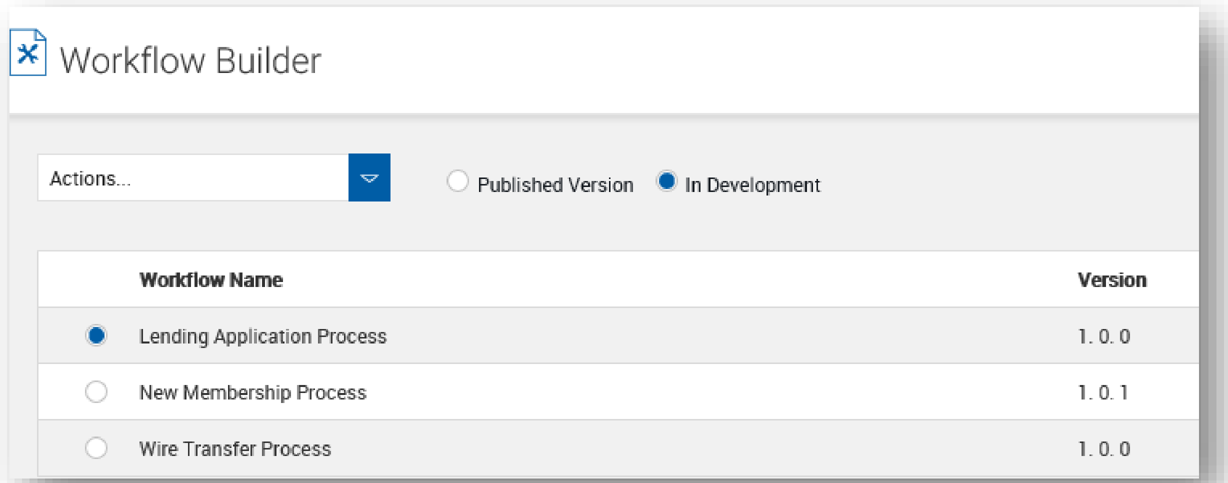
Save and Close the workflow



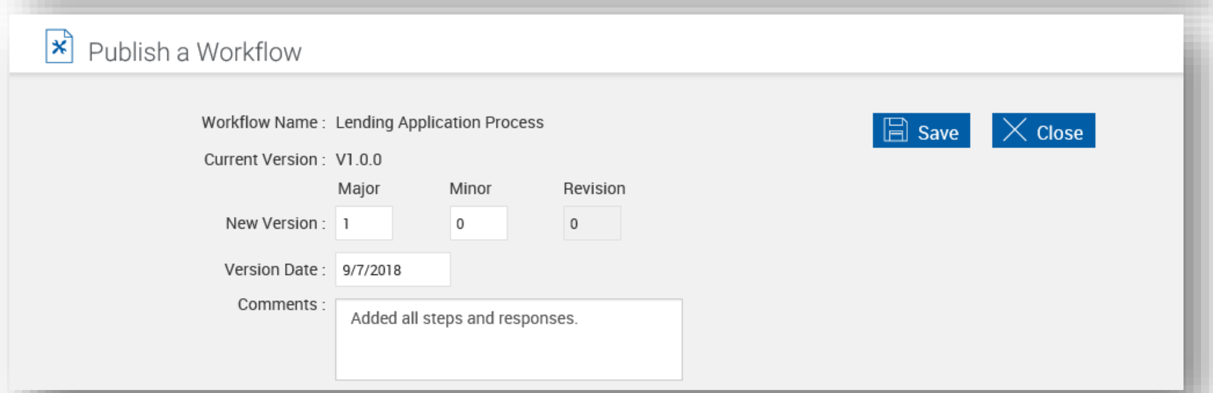
Steps on Building a Workflow *continued*

Step 5: Finalizing and Publishing the Workflow

Select the workflow to be published. Then from the Actions dropdown, select Published.



Enter Comments related to the configuration or updates to the workflow performed. Then Save and Close.



You are now ready to test the workflow ensuring the routing, rules, alerts and archive is as expected.

For assistance with Workflow Building, please contact IMM Support to schedule a remote session.
Visit: www.immonline.com/supportrequest / Email: Support@immonline.com / Call: 800-836-4750 option 3