IMM eSign: Implementation Plan

Contents

Overview

This document discusses the IMM product implementation. It is a high level overview intended to provide an understanding of the tasks and requirements to complete this project.

The general project flow consists of these steps:
- Meetings (kick off and regular project meetings)
- Configuration
- Host Connectivity
- Imaging Testing
- Document Design Approval
- Product Training
- Customer Acceptance Testing Matrix
- Financial Instituion Trains Staff
- Go Live

Project Coordination

IMM's Project Manager will schedule and conduct regular project calls to ensure the project is on target by all applicable parties (Institution, Core/Host, Imaging, and IMM). If there are multiple products being implemented, the calls will typically be coordinated into a single project call.

The institution is to complete and provide all requested correspondence (if applicable):
- Install Survey(s)
- Initial Document List
    - Source documents (third party forms provider)
    - Document Questionnaire
- Logo Specifications:
    - Size: 200 pixels Width x 60 pixels Height – file must be a PNG.
- Samples of current Loan Coupons (if applicable)
- Samples of voided Starter Checks (if applicable)
    - Paper Stock – Loan Coupon or Starter Checks (if applicable)

During the project calls, the following topics will be discussed:
- Software requirements
- System requirements and preparation
- Document preparation
- In Person Signing devices
- Establishing project benchmarks
- Product Training
- Open items or concerns

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Documents

FI's Decision – Who will be designing documents – IMM or FI?

If IMM is designing the documents, source files and initial document list is required to be submitted to AdminOps within 10 days of the signed proposal.

IMM strongly recommends that FI contracts IMM forms designer to work on designing the first group of documents to go live with eSign. Thereafter, FI can maintain those documents in-house if they attend the Liquid Office Designer Training class. Note: FI is responsible to ensure the forms being designed are the latest compliant documents.

If IMM designs your forms, this is the procedure for your third party forms provider:
- The latest documents MUST be sent to us directly from the vendor to AdminOps@immonline.com. This is to ensure that the FI is licensed to use them.
- Email all proprietary documents to AdminOps@immonline.com.
- Preferable file formats - fillable PDF (recommended), Word Documents

If FI decides to design their own forms:
- FI must attend the Liquid Office Forms Designer Training and purchase the following:
- Training Class Registration Manual
- Liquid Office Forms Designer
- JS Code Generator – Utility that generates default JavaScript code for all eSign documents which allows you to add mandatory fields if desired
- IMM will provide the Host Data Dictionaries

Initial Document List

The documents inventory plays a huge role. The initial documents spreadsheet will help the FI and IMM in planning and grouping documents for the live date.

The Initial Document List MUST be filled out accurately which includes the following columns:
- Document Name, eSign PDF File Name, Form #, # of pages, Vendor Name or Proprietary....

Add-On Modules - Design Approval Process

IMM and the Financial Institution will finalize the template design which consist of the following:

Starter Checks - Design Approval Process
IMM and the FI will finalize the check template design which consist of the following:
- Project Manager confirms the FI printers set up for testing.
- Designer delivers Starter Check proof to financial FI
- FI approves proof
- Design will notify FI if any additional billable customizations have been added during the proofing stage. IMM will provide a proposal if needed.

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Loan Coupons - Design Approval Process
IMM and the FI will finalize the loan coupon template design which consist of the following:
- Project Manager confirms the financial institution has printers set up for testing.
- Designer delivers Loan Coupon proof to FI
- FI approves proof
- Design will notify FI if any additional billable customizations have been added during the proofing stage. IMM will provide a proposal if needed.

Project Installation Support

During the project implementation process and until Go Live, the FI will be working with an IMM Project Manager, Designer, Installer and Trainer.

Please do not contact the standard IMM Support line prior to being live on the product being implemented. Your IMM Project Manager informs the Support team about the implementation at the time of Go Live. Any concerns during the implementation should be discussed with the IMM Project Manager.

Pre-Installation

Installation is composed of several types of tasks:
- Project Manager to provide the OVA file to FI
- In-person signing devices
- Two non-essential test workstations
- The core/host representative or financial institution will configure the necessary settings to allow for data delivery to your IMM product solution.
- Remember that both Test and Live environments need to be configured (if applicable)

Once the OVA has been deployed, FI to notify the IMM Project Manager assigned to the project that the server is ready.

Installation

Installation is composed of several types of tasks:
- Core/Host System Installations and/or Configurations
- IMM Installation and Configuration

Installation is done via a base system image (a virtual appliance OVA file) that the Financial Institution will download and import into their Virtual Server system. Then, IMM will assist with the configuration and testing of that application to fit the Financial Institution's specific needs.

This model significantly reduces time that needed to prepare for the installation.

The IMM Project Manager will provide the Financial Institution with information and documentation regarding importing the virtual appliance.

The IMM Project Manager will send an Outlook meeting invite once the configuration date is selected. It is important that the meeting notice be reviewed carefully to understand the requirements to complete this task.

Configuration

Configuration will consist of the following:
- Server, Client and SQL configuration (IMM and Customer)
  - Installation on the client workstation that will be used for IMM 'Train-the-Trainer' training
- Configure eSign Settings (IMM and Customer)
- In person signing devices should be preinstalled and/or configured. (IMM to assist if needed)

Connectivity

Connectivity will consist of the following:
- Host Integration (Core/host representative)
- Data Passage testing
- Uploading of document (If document is available)
- In-person signing Devices (Customer)
- Core / Host representative will be on-call in the event data delivery is not successful

Imaging

Imaging will consist of the following:
- Imaging Indexes for Importing (IMM and Customer)
- Processing documents within eSign
- Capturing signatures (in-person and/or *remote signatures)
- Attaching supporting documents
- Saving and retrieving saved sessions
- Archiving both in person and remote documents
- Ensure documents import into the imaging system

Post-Installation

You will need to set both permissions and antivirus exclusions per the appropriate specification documents, which will be provided to you as part of the project

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Product Training

Training is provided and tailored as needed. Each class relies on the one(s) before it.
> *If additional training is needed IMM will provide a proposal for review and approval. This Additional Training will be billable.

Administration Training
Administrative training will cover support, maintenance and protection of the eSign system.

Who should attend?
- All parties responsible for managing Document Set Creations and implementing global settings
- A representative of the IT staff

Topics which will be discussed:
- A demo of the eSign process (including in person and/or *remote signature capturing)
- eSign screens/ eSign Settings
- Publishing documents and creating document sets
- Indexing parameters for importing into the optical/imaging system

Document Testing Training
The training will cover testing the mapped fields within the documents which were delivered by our design team.

Who should attend?
- All parties who will be responsible for document testing
- A representative of the IT staff

Topics which will be discussed:
- Preparing Test Loan Applications and Account products
- Difference between Host fields and Generic (fill from screen) fields
- Data carry over
- Custom fields support
- Implementation and Maintenance of Descriptions.txt
- Static data
- Duplicate Forms
- Forms processed for Guarantor
- Criteria for eSign form
- Smart Forms Features
- Print Preview vs. Process Documents
- Data Aware Signatures (Only applies to TeAWeb DE)
- Signed Documents when retrieved from DocQ
- How to Retrieve a Data File

(Add-on Modules):
* eSign Remote Administration Training (if applicable)
- A demo of remote signature capturing
- Adobe eSign Services portal account settings

- eSign Web settings
- Adobe eSign Services Web Hosted Documents (Widget)

* Loan Coupons Training (if applicable)
- Uploading the Loan Coupons zip file(s)
- A demo of the Loan Coupons process

*Starter Check Training (if applicable)
- Uploading the Starter Check zip file(s)
- A demo of the Starter Check process

Train the Trainer Training

Front office training will cover the use of eSign for the end-users of the software (loan officers and/or MSRs)

Who should attend?
- Representatives that will be training the remainder of the staff

Topics which will be discussed:
- The trainers that attend this training are required to train the remainder of your staff.
- A demo of the eSign process (including in person and/or *remote signature capturing).
- Explanation on all features and functionalities (Document processing, capturing signatures, attaching supporting pdfs and archiving documents)
- eSign screens for users
- Adobe eSign Services portal for managing eSign documents submitted for remote signatures (*if applicable)
- Adobe eSign Services Additional functions
- Login Settings

Training Staff

Based on the training that IMM provides, the Financial Institution will need to build the training plan/material for their staff.

If requested, IMM can provide training materials in Word format so that the Financial Institution can customize them for their specific needs. Requests for training materials in Word format should be made to the IMM Project Manager

It is highly recommended that the Financial Institution's training team be involved in Customer Acceptance Testing so they have hands on experience with the product and can fully understand the training needs.

Customer Acceptance Testing (CAT)

After training has been completed, the Financial Institution performs Customer Acceptance Testing (CAT) to ensure that all aspects of the system are:

- Working as designed
- Ready for the training of staff
- Ready for Go Live

This stage is critical to a smooth go live and should uncover anything that is not functioning as intended. Care needs to be taken to use the system in all ways that it will be used in the live environment in order to avoid live complications from undiscovered issues.

The Customer Acceptance Testing matrix will be provided to the Financial Institution by the IMM Project Manager. To complete this stage, the Financial Institution MUST go through the following steps:

eSign Testing Matrix
Upon completing administration training, financial institution MUST go through the following test matrix before deciding on a live date:
- Make necessary changes in your core system before going live.
- Generating an application from all applicable core/host platforms ensuring data delivery
- Verify all the document field mapping is populating correctly for all documents during document testing
- Process documents successfully with host XML
- Create an active session/ Preview documents
- Transfer the ownership of an active session
- Capture the in-person signature(s) with the different methods
    o Type/ Draw / Signature Pad / iPad
- Send for Remote Signatures
- Send blended authentication (both in-person and remote signing in 1 session)
- Attach supporting documents to an active session as needed
- Archive both in-person and remote documents
- Retrieve in-person and remote documents from the imaging system successfully
- Ensure all the indexes are correct in your imaging system
- Test the importing of the TeA-Audit and the TeAWeb-Audit into imaging system successfully
- Launch each URLs of your shortcut links to eSign
- Ensure client components, Reader and IE versions and post settings are rolled out to all workstations utilizing eSign

Note: If the financial institution has multiple models of signature pads and scanners then ensure each model is certified thoroughly through your testing cycle.

(Loan Coupons Testing Matrix)
Upon completing administration training, financial institution MUST go through the following test matrix before deciding a live date.

For Add-On reporting, IMM's standard check output supports the following fields. Any additional index field is considered a customization.
- Loan #, Member Name, Member Address, Amount Due, Last Payment Amount, Period, Date/Time
- Stating Number
- Coupons Printed

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(Starter Check Testing Matrix)

Upon completing administration training, financial institution MUST go through the following test matrix before deciding a live

For Add-On reporting, IMM's standard check output supports the following fields. Any additional index field is considered a customization.

- Member #, Member Name, Teller #, Date/Time,
- Check Number
- Number of checks printed
- Ensure you print the check.
- Check printers should be added a local printer.
- We do not support printing to a Citrix printer which hands off spool to local printer.
  Deposit it back to ensure that the MICR line will go through the electronic check clearing systems.

Go Live

Financial Institutions typically go Live on our products in a branch by branch model. As part of the project discussion, IMM will help the Financial Institution decide what model of Go Live will work best.

NOTE: IMM does not support Go Lives on Fridays or weekends/holidays unless it is scheduled in advance and a proposal is signed.

Financial Institution Support

It is important that the Financial Institution arrange for adequate support resources for Go Live day so that users are well supported. Please consider this when deciding how many people/locations to take live at one time and plan accordingly for support staff.

IMM Support

On live day, the Financial Institution will have a dedicated support session with the IMM installer to help ensure a smooth transition to Live. IMM will also provide the IMM Support contact information and guidelines should require assistance be required after GO Live.

The IMM Project Manager will also inform the IMM Support team the Financial Institution has gone live.

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