

DocuNECT Capture

Technical Product Overview

This guide provides an overview of the DocuNECT v5.0 Product, a solution for Electronic Document Capture.

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www.portfordsolutions.com

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DocuNECT Overview

DocuNECT is an electronic document capture, indexing and distribution software platform which provides a central hub for electronic document capture. DocuNECT allows content to be captured, processed to retrieve index values, and then distributed into the target *Enterprise Document Management (EDM) system* or business application.

This document provides a complete overview of the product and is broken down into the following sections:

-  **The DocuNECT Document Lifecycle**
-  **Capturing Documents from the Desktop**
-  **Capturing Documents from Other Sources**
-  **Indexing Documents from the Desktop**
-  **Automating Document Indexing**
-  **Distributing Documents and Data**
-  **Homepages and Dashboards**

The DocuNECT Document Lifecycle

At the heart of the DocuNECT capture technology is the *Document Capture Lifecycle* that contains the business rules for capturing, indexing and distributing documents.

The following diagram provides a summary of the three basic stages of the *Document Lifecycle* that define how and where the documents are captured from, how the index data is extracted, and where they are finally distributed to:



Capture and organize content from:

- ✓ Electronic Forms
- ✓ Multi-Function Scanner/Copier Devices
- ✓ Fax Servers
- ✓ Email (POP3 and Microsoft Exchange)
- ✓ File Folders or Network Locations
- ✓ FTP and Secure FTP Sites
- ✓ Web Sites (Dropbox)
- ✓ Business Reports
- ✓ Document Management Systems
- ✓ DocuNECT Virtual Print Driver
- ✓ DocuNECT Desktop Capture
- ✓ DocuNECT Microsoft Windows Explorer and Outlook integration



Extract business information by:

- ✓ Automatically using Business Rules to extract information from the content of documents (Text, PDF text documents, TIFF/PDF images, XML and Microsoft Office)
- ✓ Barcodes on either TIFF or PDF image documents
- ✓ Databases or External Business Applications
- ✓ Distributed indexing by routing documents within batches to specific users or groups



Release to a document management repository for storage, access and distribution:

- ✓ Document Management such as Documentum's ApplicationXtender or D6 or Capture Systems such as Kofax's Ascent Capture
- ✓ Microsoft SharePoint
- ✓ DocuNECT Lifecycle Edition
- ✓ FTP or Secure FTP Site
- ✓ Folder or Network Location
- ✓ Email
- ✓ Web Services

Document lifecycles are created using an editor through which business rules can be applied to the capture process. The editor allows an administrator to easily create capture lifecycles, and includes a high-level scripting language called DocScript to accommodate complex capture processes and business rules.

DocuNECT looks for data the same way we do. When we look at documents for reference data we search for particular keywords. For example, if we pick up an invoice we search for the word *Invoice No.* and then look at the associated value. The Document Lifecycle works exactly the same way. Using this method, the rules can work with any type of document whether it is an image that has been scanned, a PDF document, a Microsoft Office document, an email or text document.

While this search technology works well with unstructured textual documents, DocuNECT can also work with specific document structures. Microsoft Excel spreadsheets can reference data by columns and rows, PDF forms have form field names that can be referenced, and XML files have tags that can be read. The editor also allows document templates to be created that describe a particular document type. Template rules can be applied to automatically separate documents and extract data. A typical application for capture lifecycle templates is invoice processing as the vendor information can be added as a template for high-volume invoices to reduce the time it takes to index documents.

Frequently Asked Questions

Q – Can I mix document formats in a batch?

A – *Yes, the rules can be trained to detect different document formats and apply different rules accordingly. This is useful if you are capturing emails where the attachments often range in format.*

Q – Can I mix document types in a batch?

A – *Yes, in v4.7 you can change the indexing schema during the indexing process, allowing multiple document types to be captured in one batch.*

Q – Can I ignore documents in a batch?

A – *Yes, again the rules can be defined to ignore certain types of documents based on their format or content. A typical application for this feature would be to ignore emails being sent to a central email inbox that do meet specific criteria.*

Q – Can the rules send different documents to different users or groups for indexing?

A – *Yes, there may be a batch of documents that require different expertise and rules can be created to send documents to those users who have the expertise based on the type.*

Q – What if the rules fail?

A – *If the rules fail then an email notification is sent out and the batch goes into an error status for the error to be resolved.*

Q – You mentioned scripting, do I need to be a developer?

A – *No, the script is very high-level and is there to provide a high-degree of flexibility to manage different capture scenarios.*

Capturing Documents

This section provides an overview of the different methods of capturing documents using DocuNECT.



DocuNECT provides the following methods for capturing documents from the desktop:

- DocuNECT Virtual Print Driver
- DocuNECT Desktop Capture
- DocuNECT Microsoft Windows and Outlook Integration
- Capturing Documents from Other Sources

DocuNECT Virtual Print Driver

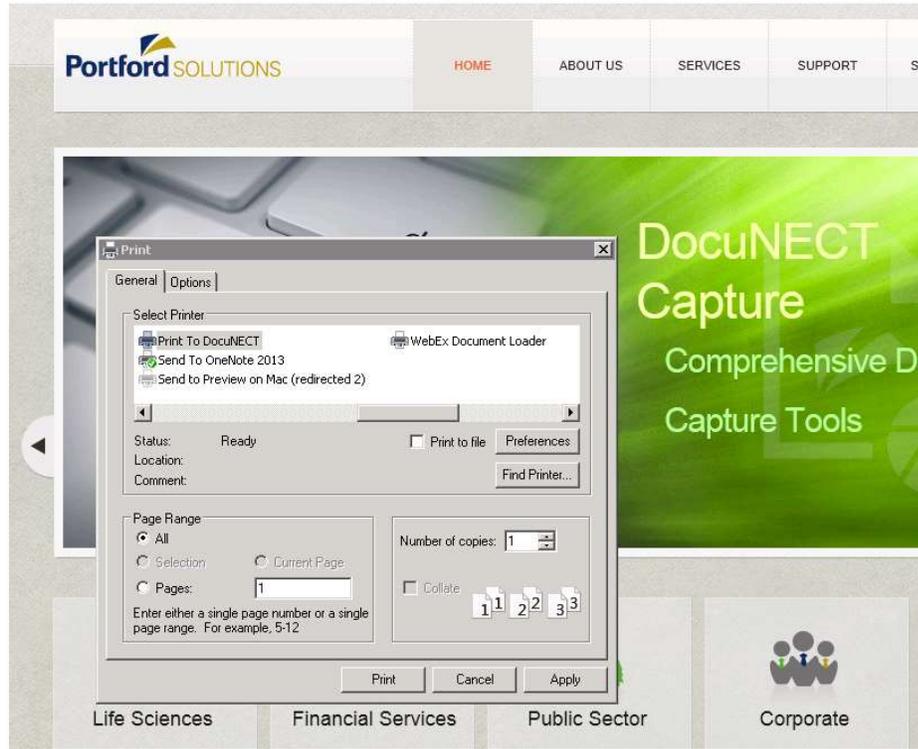
The DocuNECT Virtual Print Driver (VPD) is a great way to capture content from business applications. The VPD works the same way as a regular print driver, except the document is directed to the DocuNECT system.

Depending on the business rules defined in the Document *Lifecycle* definition, the user either indexes the document from the desktop or the document is sent to the DocuNECT server for automatic indexing.

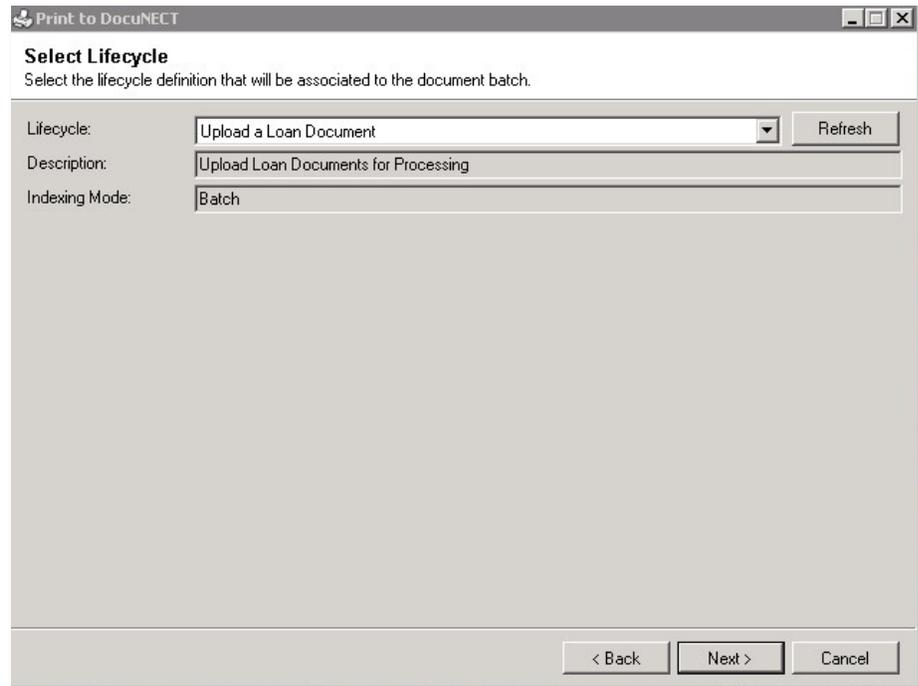
As shown in the screenshot below the VPD is listed as a Microsoft Windows printer. Any application that has the ability to print can use the VPD.



The following screenshot shows a Microsoft Internet Explorer web page being printed into DocuNECT.



Once print is selected, the VPD wizard is displayed prompting for a definition to print to:



Depending on how the definition is setup the user will be prompted for the associated index values.

Print to DocuNECT

Index Document
Enter the index values for this document.

Cabinet: Loan Files
Version Number: 1.0

Loan Number: 12345
 Borrower Last Name: Bolton
 Borrower SSN: 123-33-2394
 Property Address: 7 Freddy Street
 Doc Type: ORIGINATION FILE
 Sub-Doc Type: APPLICATION

< Back Next > Cancel

“Headless” Printing

The VPD support “headless” printing, which makes the print driver available without any user input. A configuration file is used to provide information about the target capture lifecycle so indexing rules can be applied. This allows the VPD to be used in a server-side printing environment to capture document print-streams directly into the DocuNECT repository.

Frequently Asked Questions

Q - Once printed, what format is the document when it appears in the Document Management System?

A - Capture definitions can be configured to create either Adobe PDF or TIFF files. If index values match an existing record in the system, VPD can replace or append that record with the additional printed page(s).

Q - Do I have to enter the index values manually?

A - Again this depends on the how the capture definition is setup, but each definition can be setup to index from within the VPD wizard or automatically on the server using business rules. If business rules have been defined to extract information automatically, then documents can be printed directly into this process.

Q - Can I suppress the VPD wizard from appearing?

A - Yes, in some situations you may want to automate the printing and suppress the wizard. This may be applicable if printing business reports on a server directly into DocuNECT.

Q - What if documents are being printed external to my firewall?

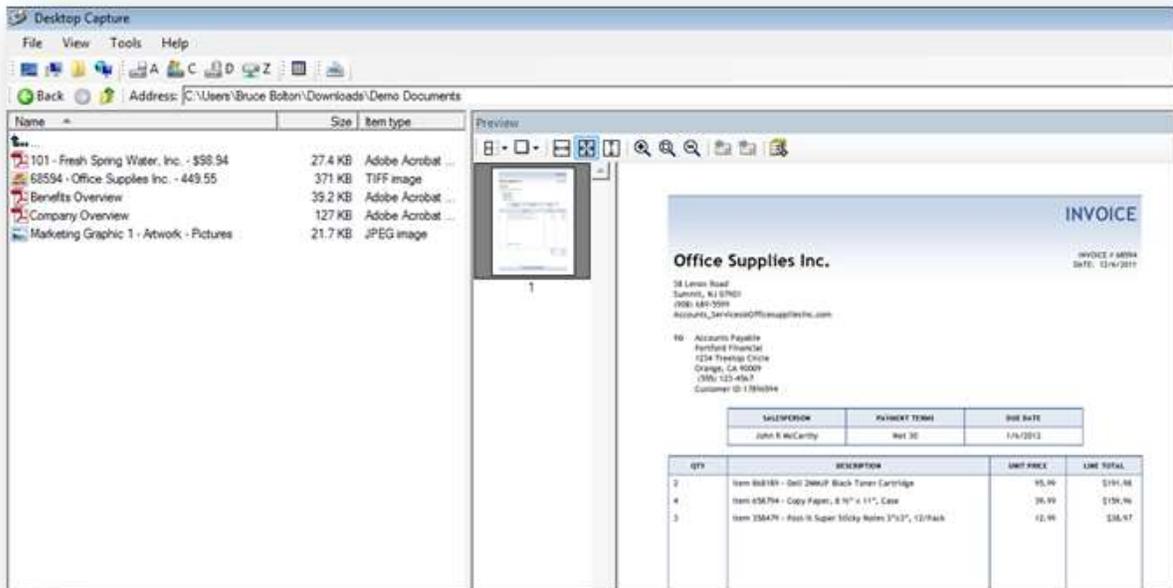
A - All DocuNECT Desktop software use web services over HTTP or HTTPS, which makes it easier to facilitate document uploads outside the firewall.

Q - Can I use the VPD in a Citrix (www.citrix.com)?

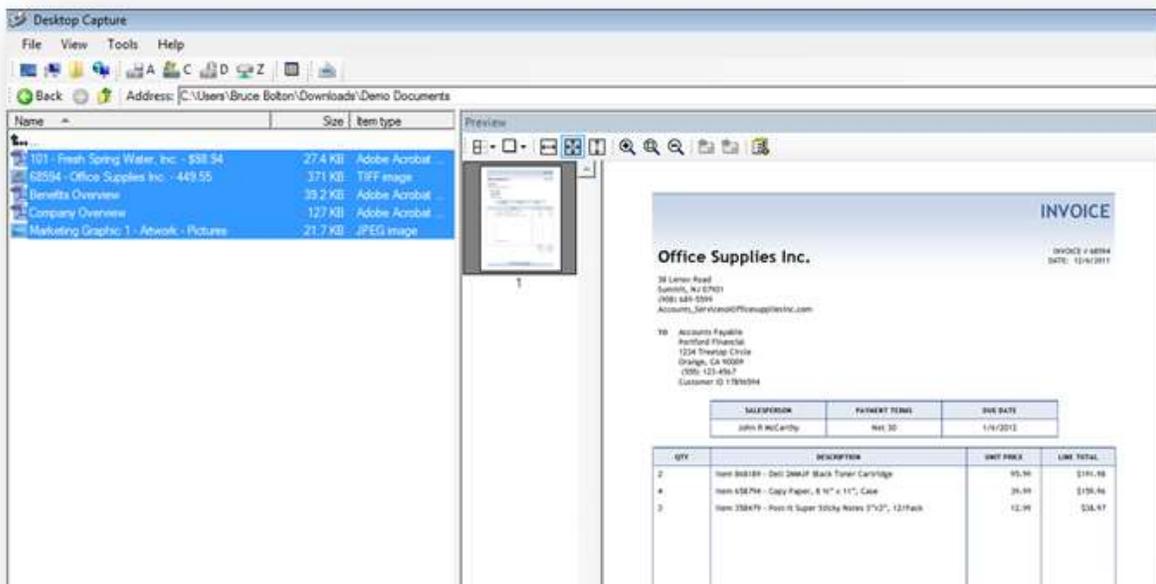
A - Yes, the VPD is compatible with both environments.

DocuNECT Desktop Capture

The DocuNECT Desktop Capture application allows for electronic documents to be uploaded for batch processing. The application has a built-in file browser and image viewer to make it easier to search the desktop for documents to upload:



Multiple documents can be selected and uploaded in a batch and indexed before being uploaded to DocuNECT.



Frequently Asked Questions

Q – Can I upload any document using the Desktop Capture?

A – Yes, the browser views image formats (TIFF, BMP, PNG, JPEG, and GIF), Adobe PDF and Microsoft Office, however, any document can be uploaded and stored in its native format.

Q – What if I have an image file that I want to break up into separate documents for indexing?

A – The application can break up one TIFF document into separate documents.

Capturing Documents from a Desktop Scanner

Many desktop scanners are typically bundled with scanning software. Desktop Capture now has the ability to point to scanning software and the associated folder. Pressing the scanning button in Desktop Capture starts the scanning software. Once scanning is complete and the scanning application is closed, Desktop Capture imports the documents and splits them by a patch code if one is found. The documents can then be indexed and distributed to DocuNECT.

Frequently Asked Questions

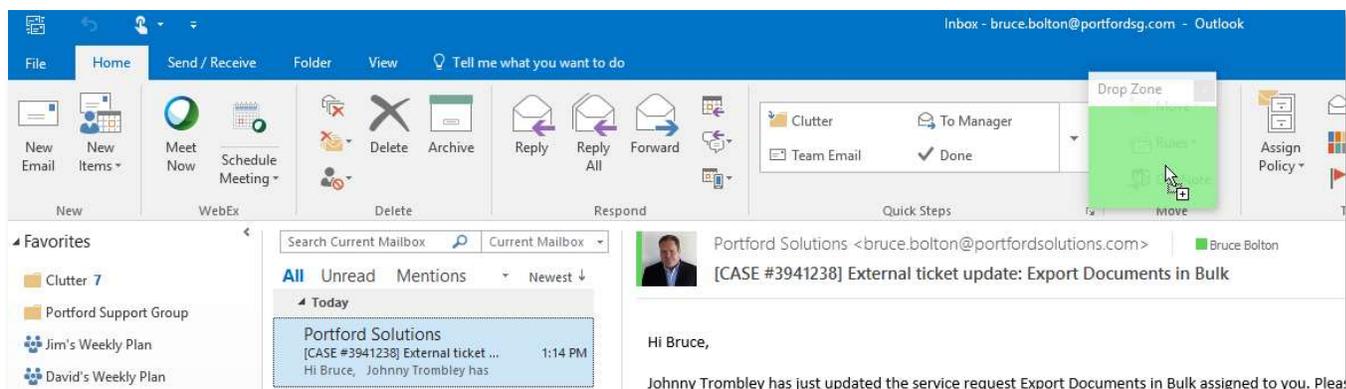
Q – Does this work with any third party scanning software?

A – We have tested many scanners and bundled software from Kodak, Fujitsu and Canon. We have also tested standalone scanning applications such as VueScan (<http://www.hamrick.com/>), ccScan (<http://www.capturecomponents.com/>), and IrfanView (<http://www.irfanview.com/>). We will continue to test scanning software and provide feedback via our web site.

DocuNECT Microsoft Windows and Outlook Integration

Documents can be captured directly from Microsoft Windows Explorer or Microsoft Outlook. This functionality is part of the Desktop Capture application. When installed the Desktop Capture application becomes part of the *Send To* option. Either single or multiple documents can be selected and then sent to DocuNECT.

The Drop Zone is an opaque green window that hovers above all other applications and allows you to drag and drop documents from Windows Explorer as well as email and associated attachments from Microsoft Outlook.



Frequently Asked Questions

Q – Can you drag and drop more than one document at a time?

A – Yes, you can select multiple files from the desktop and then drag the files to the drop zone.

Q – Can you drag and drop emails and attachments?

A – Yes, you can drag and drop emails and associated attachments.

Capturing Documents from Email

This functionality allows for a central email inbox being setup as an input to a business process. For example, an email address such as invoices@company.com can be setup to allow vendors to automatically email documents directly into the document management system, or into an indexing queue depending on the business rules that have been setup.

The rules allow for the email body and/or attachments to be captured along with the email metadata such as the *From, To, Cc*, etc.

Frequently Asked Questions

Q – What if I have Lotus Notes or Groupwise email?

A – *Although DocuNECT has native integration with Microsoft Exchange it can also work by using the POP3 or IMAP protocols which make this functionality accessible to other email systems such as Lotus Notes or Groupwise.*

Q – Can I send back an email confirmation?

A – *Yes, an email confirmation can be sent back to the originator confirming receipt.*

Q – Can I process the attachments and the body of the email?

A – *Yes, this is configurable to capture the body of the email, the attachments, or both.*

Migrating Documents from Local or Network File Locations

This feature monitors a folder structure and will import the documents it finds. Business rules such as folder and file naming can be applied to automatically assign index data. This process is often used for document migrations as it can apply business rules to an entire network share and import the documents into a document management system.

Frequently Asked Questions

Q – Can I determine what documents are processed?

A – *Yes, the rules can determine which file types to include or ignore.*

FTP, sFTP or SSH

Documents can be captured from an FTP site, or a Secure FTP site. SSH can also be used via a product called Bitvise (www.bitvise.com). By using the SSH and sFTP protocols it makes it an ideal process for secure transfer of documents between organizations.

Frequently Asked Questions

Q – Can I apply the same rules as the network share?

A – *Yes, the system sees an FTP site and essentially another drive so the same business rules can be applied.*

Multi-Function Device Integration

Organizations are utilizing their existing copiers as scanning devices. These devices allow documents to be scanned and, in some cases, basic indexing to be applied. Typically, the interface on a multi-function device allows users to select a document type and enter an index value.

DocuNECT can import images scanned on a multi-function device and process them. DocuNECT has the following image processing features:

- Process either TIFF or PDF image documents
- Document separation by using a patch code, barcode or contextual value
- Image cleanup including despeckle and deskew
- Blank page removal
- Automatic rotation
- Barcode reading, including: Patch Code, Code 11, Code 39, Code 128, CodaBar, Inter2of5, EAN13, EAN8, UPCE, PDF417, Data Matrix, QR Code
- Image compression, using page analysis to determine the most appropriate compression algorithm for both PDF and TIFF images
- Supported PDF image compression: JBIG, JPEG, and PNG
- Supported TIFF image compression: Group 3, Group 4, JPEG, JPEG Type 7, CCITT RLE, LZW, Pack Bits, and Deflate
- OCR engine for text extraction. This works for both PDF and TIFF images that can produce Microsoft Word, HTML, Text, Rich Text Format (RTF) and PDF image plus text with text underlay

If the multi-function device does not have the ability to identify the user then DocuNECT has a barcode generation utility that generates the barcode based on the user's current Active Directory login. This can be used to separate scanned documents and lookup the user's email so a notification can be sent with a URL link to the batch to be indexed.

Document Classification

The classification module provides the ability for operators to review/modify the document separation:

Batch Classification
This page allows you to review and manipulate captured documents.

Batch Id: 153000 Doc Count: 5 Accepted: 0/5

Cabinet: Loan Files Classification: [Dropdown]

4 Pages

Application for Employment

Equal Opportunity Employer, M/F/V/H

Please Read The Following Before Filling Out This Application Form

Portford Financial, Inc. is an equal opportunity employer and does not discriminate in recruitment, hiring, training, promotion or other employment practices for reasons of race, color, religion, national origin, ancestry, pregnancy, age, marital status, veteran status, medical condition, or physical handicap.

This application will be given every consideration, but its receipt does not imply that the applicant will be employed.

| Last Name (Print) | First Name | Middle Name | Telephone No. (Home) |
|-------------------|------------|-------------|----------------------|
| MacSwell | Allyson | W.A. | 513.337.1410 |

| Address | City | State | Zip Code |
|-----------------|--------------|-------|----------|
| 1415 S. 2nd St. | Portford, IA | IA | 51333 |

Professional Title: Administrator

Annual Salary: \$15,000

Social Security No: 611-144-6459

Marital Status: Single

Are you eligible for employment in the United States? Yes No

Are you over eighteen (18) years of age? Yes No

Have you ever been convicted of a felony? Yes No If yes, give details and date

Are there any days or hours you cannot work? Yes No If yes, explain:

Do you have any obligations that would prevent you from working Full Time? Yes No

Overseas? Yes No

| School Name & Location | Last Class Completed | Major | Graduate |
|------------------------|----------------------|-------|----------|
| Portford High | 9 10 11 12 | AD | Yes |
| Cal State SB | | | No |

Other Postsecondary Education: Bachelor's, Business Administration

Other Skills:

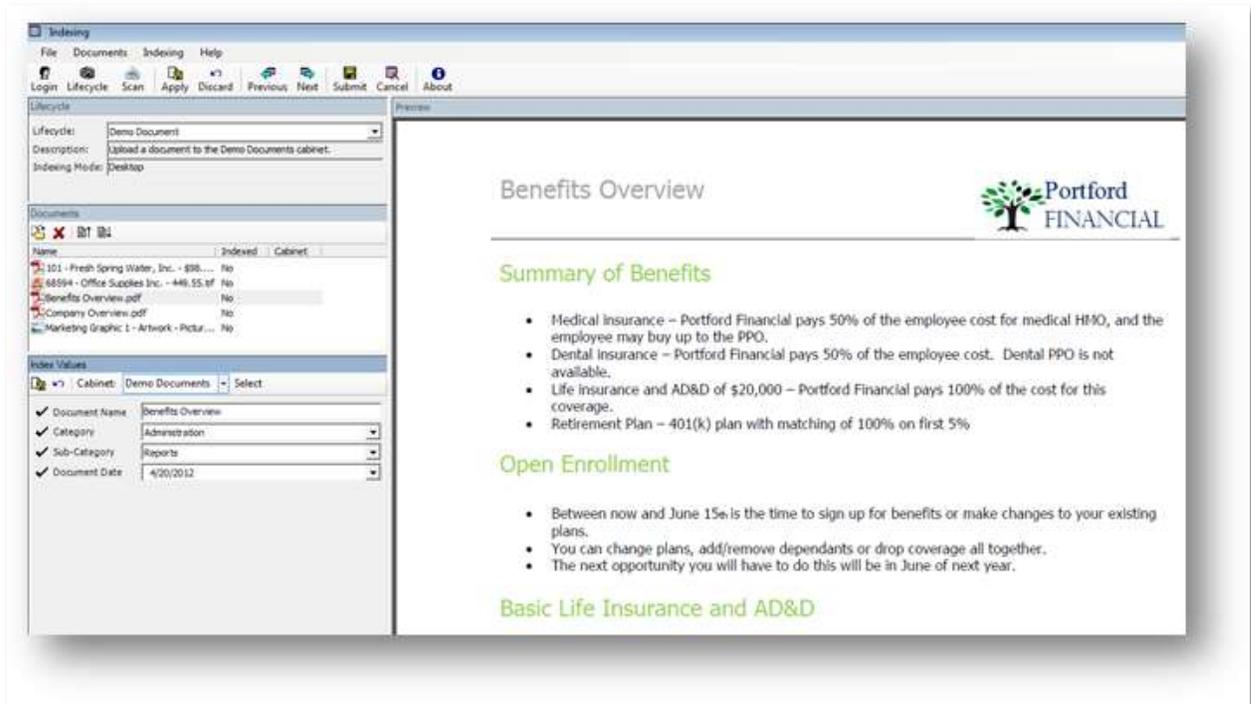
Indexing Documents

Once documents have been captured then index data needs to be assigned or extracted using business rules so the documents can be classified for the target document management system.



Indexing Documents from the Desktop

In a capture lifecycle, documents can either be indexed at the desktop (point of capture), in a batch through a web application, or automatically by applying business rules. The screenshot below shows indexing from the Desktop Capture application:



Indexing Documents on the Web

The web based batch indexing has a more powerful interface as it is designed for high-volume indexing and data verification.

This page displays the cabinets that you are allowed to access documents from.

| ID | Cabinet | Description | My Batches | All Batches |
|-------|--------------------------------------|--|------------|-------------|
| 00001 | Accounts Payable | This administration cabinet manages the Accounts Payable documents. | 2 | 2 |
| 00002 | Corporate Documents | This administration cabinet manages all the Corporate documents, which are accessible to everyone. | 2 | 2 |
| 00003 | Business Development | This administration cabinet manages documents that are of the Business Development process. | 1 | 1 |
| 00004 | Human Resources | This administration cabinet manages all the Human Resources documents. | 1 | 1 |
| 00008 | Contracts | This administration cabinet manages all the Contract documents. | 1 | 1 |
| 00009 | Customer Services | This cabinet manages the departmental documents for Product Services. | 0 | 0 |
| 00010 | System Templates | This cabinet manages templates for different connectors and processes. | 4 | 4 |
| 00011 | Demo Documents | This cabinet manages reference documents for the demonstration and DocuNECT. | 8 | 8 |
| 00014 | Loan Files | This cabinet manages the Loan File document. | 3 | 3 |

The following screenshot shows the DocuNECT batch management feature which summarizes the different batches going through the *Document Lifecycle* process.

This page allows you to access the work tasks.

Work

Search

Results

This section displays the batches matching the above filter.

| Batch ID | Label | Status | Lifecycle definition | All Docs | Created At | |
|----------|-------|--------------------|--|----------|-----------------------|--|
| 00129 | | Indexing | Upload an Accounts Payable Document (Auto) | 0 / 1 | 8/28/2017 6:53:04 PM | Index Verify Edit Delete Process Print Custom Report |
| 00128 | | Partially Indexed | Upload an Accounts Payable Document (Auto) | 0 / 1 | 8/28/2017 5:08:32 PM | Index Verify Edit Delete Process Print Custom Report |
| 00127 | | Partially Indexed | Upload an Accounts Payable Document (Auto) | 0 / 1 | 8/28/2017 5:02:52 PM | Index Verify Edit Delete Process Print Custom Report |
| 00126 | | Partially Indexed | Upload an Accounts Payable Document (Auto) | 0 / 1 | 8/28/2017 4:59:48 PM | Index Verify Edit Delete Process Print Custom Report |
| 00125 | | Partially Indexed | Upload an Accounts Payable Document (Auto) | 1 / 2 | 8/28/2017 1:44:26 PM | Index Verify Edit Delete Process Print Custom Report |
| 00124 | | Partially Indexed | Upload an Accounts Payable Document (Auto) | 1 / 2 | 8/28/2017 10:59:36 AM | Index Verify Edit Delete Process Print Custom Report |
| 00123 | | Ready for Indexing | Upload an Accounts Payable Document (Auto) | 0 / 2 | 8/16/2017 8:57:18 AM | Index Verify Edit Delete Process Print Custom Report |
| 00122 | | Partially Indexed | Upload an Accounts Payable Document (Auto) | 2 / 4 | 8/15/2017 12:54:01 PM | Index Verify Edit Delete Process Print Custom Report |
| 00120 | | Partially Indexed | Upload an Accounts Payable Document (Auto) | 0 / 1 | 8/10/2017 8:27:43 AM | Index Verify Edit Delete Process Print Custom Report |
| 00119 | | Partially Indexed | Upload an Accounts Payable Document (Auto) | 0 / 1 | 8/10/2017 8:25:58 AM | Index Verify Edit Delete Process Print Custom Report |
| 00118 | | Partially Indexed | Upload an Accounts Payable Document (Auto) | 0 / 1 | 8/9/2017 8:53:52 AM | Index Verify Edit Delete Process Print Custom Report |
| 00117 | | Partially Indexed | Upload an Accounts Payable Document (Auto) | 0 / 2 | 8/9/2017 8:04:08 AM | Index Verify Edit Delete Process Print Custom Report |

The batch summary displays a tabular view of the document and data in the batch.

View Batch: 00007

The page displays the batch properties and depending documents.

Batch Properties
 This section displays the batch properties.

- Batch ID: 00007
- Batch Label:
- Default Batch Cabinet: Accounts Payable
- Batch Status: Ready for Indexing
- Current Cabinet: Accounts Payable
- Lifecycle Definition: Upload an Accounts Payable document
- Author: cmsadmin
- Storage: General Storage
- Date Created: 3/1/2012 2:12:16 PM
- Docs Count: 10
- Total Size: 161.30 KB
- Locked By: -

Documents
 This section displays the documents assigned to you or not assigned.

Page Size: 20 | First | Back | 1-10 of 10 | Next | Last

| Document ID | Cabinet | Public Indexes | Indexed | Verified | Status | Type | File Path or URL | File Size |
|-------------|------------------|--|---------|----------|--------------------|------|------------------|-----------|
| 00024 | Accounts Payable | Invoice No: 5869356 Invoice Amount: \$35.00 Invoice Date: 11/30/2011 Vendor Code: V011 Vendor Name: Pest Removal, Inc. Status: Paid Category: Invoice Sub-Category: Invoice Image Document Date: 11/30/2011 Invoice Received: Invoice Paid: | No | No | Ready for Indexing | File | 0\26.pdf | 8.71 KB |
| 00025 | Accounts Payable | Invoice No: 5869364 Invoice Amount: \$35.00 Invoice Date: 12/30/2011 Vendor Code: V011 Vendor Name: Pest Removal, Inc. Status: In Approval Category: Invoice Sub-Category: Invoice Image Document Date: 12/30/2011 Invoice Received: Invoice Paid: | No | No | Ready for Indexing | File | 0\27.pdf | 3.45 KB |

DocuNECT now allows a batch report to be produced for each batch.

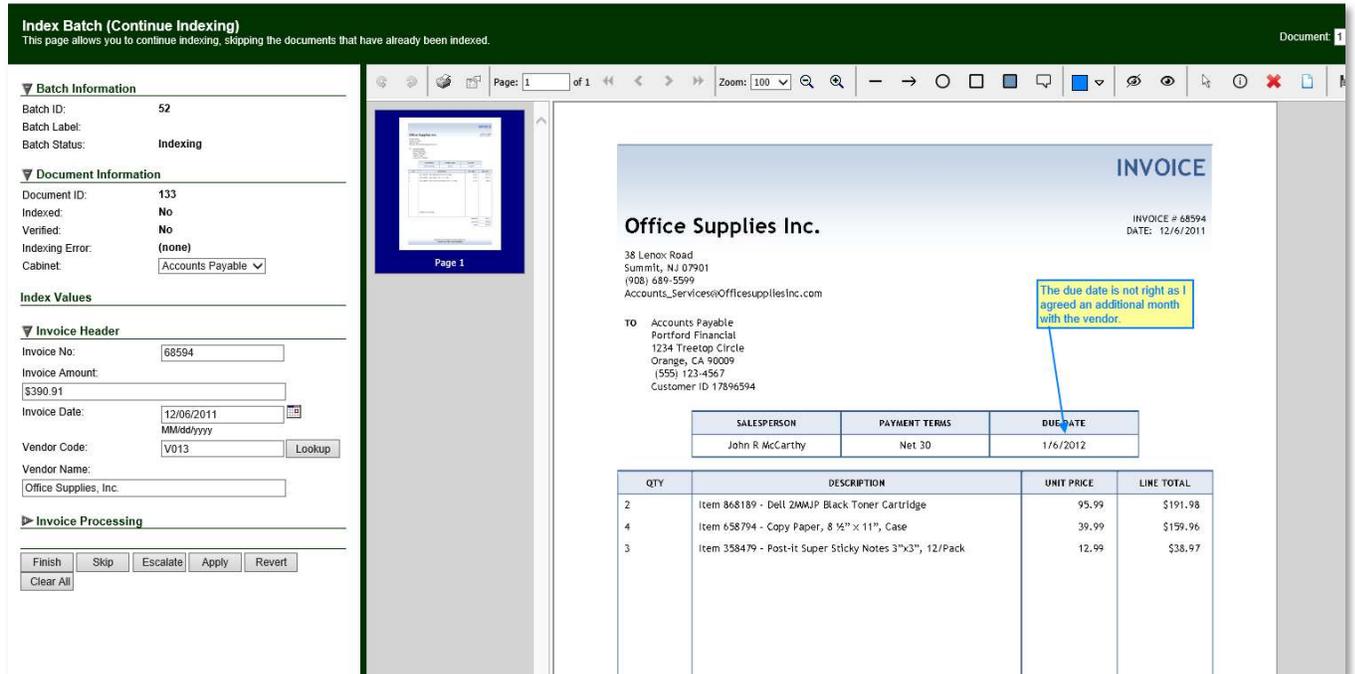
printCustomReport.aspx 1 / 2

Custom Batch Report
 1/10/2017 Batch Id: 7 Label:

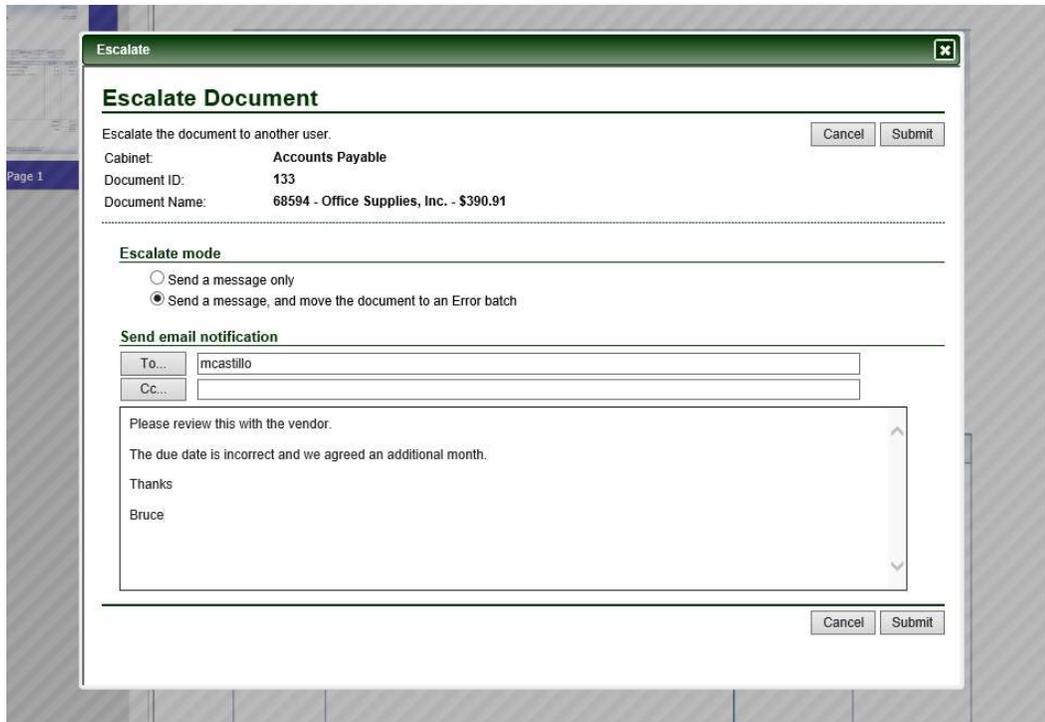
Cabinet: Accounts Payable

| Invoice No | Invoice Amount | Invoice Date | Vendor Name | Status | | | | | |
|------------|----------------|--------------|--------------------------|---------------|--|--|--|--|--|
| 5869356 | \$35.00 | 11/30/2011 | Pest Removal, Inc. | Paid | | | | | |
| 5869364 | \$35.00 | 12/30/2011 | Pest Removal, Inc. | In Approval | | | | | |
| 5869375 | \$35.00 | 01/30/2012 | Pest Removal, Inc. | In Accounting | | | | | |
| 5869381 | \$35.00 | 02/29/2012 | Pest Removal, Inc. | Received | | | | | |
| 101 | \$98.94 | 12/27/2011 | Fresh Spring Water, Inc. | In Approval | | | | | |
| 104 | \$63.75 | 02/27/2012 | Fresh Spring Water, Inc. | Received | | | | | |
| 103 | \$116.55 | 01/27/2012 | Fresh Spring Water, Inc. | In Accounting | | | | | |
| 101 | \$98.94 | 11/27/2011 | Fresh Spring Water, Inc. | Paid | | | | | |
| 68594 | \$449.55 | 12/06/2011 | Office Supplies, Inc. | Paid | | | | | |
| 95864 | \$504.68 | 03/01/2012 | Office Supplies, Inc. | Received | | | | | |

The indexing module allows quick data entry and verification of the document. Annotations to the document can be made to provide additional notes or information.



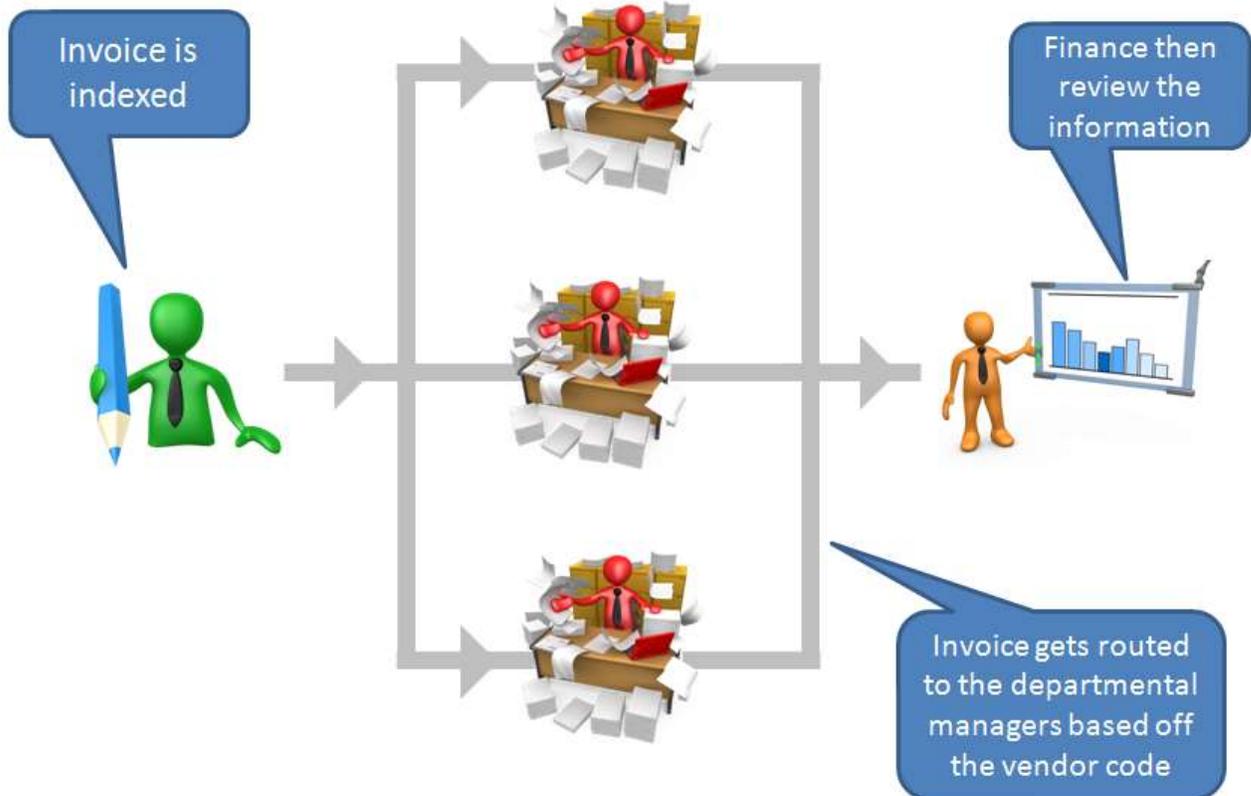
The indexers can escalate the document to another user, or move the document into an error batch for processing later.



The recipients of the escalation will receive an email with a link to the batch and the actual document. By clicking on the link, they will be able to review the error and resolve the escalation.

Business Rule Document Routing

In a distributed capture environment, the process of gathering index information may be more complicated than just one user. It may require business rules to drive the document to the right people. For example, if you consider an invoice that needs to be assigned with a GL code.



The DocuNECT Workflow can map these rules to make the indexing more distributed. Features of the workflow include:

- Supports parallel or serial processing of tasks
- Tasks can be setup as notifications, approve/reject, or an electronic signature
- Tasks can be user based, role based or system based
- User tasks go directly to the users inbox
- Role based tasks allow the user to select the task when they are ready to work on it
- System tasks are not related to a user, but follow logic to help determine the next stage in the process. For example, a condition such as test whether an invoice amount is over a certain value.
- Waiting tasks can be setup to wait for an event to happen before the workflow continues
- Comments can be added to the workflow packet, or document during the workflow
- Email notifications can be configured to notify users of a task they have received

The following screenshot shows as Human Resources workflow:

Work

This page allows you to access the work tasks.

Tasks

My Tasks | Role Tasks | Tasks History | Manage Tasks

This section displays the tasks assigned to me.

Refresh | Page Size: 20 | First | Back | 1-1 of 1 | Next | Last

| ID | Action | Description | Type | Priority | Receive Date | Received From |
|-------|--|--|--------------|----------|-----------------------|---------------|
| 10247 | Invoice INV001: Cost Center Level 2 Review | This task allows the invoice Cost Center Level 2 approval. | Notification | Medium | 8/31/2017 12:49:41 PM | cmsadmin |

Page Size: 20 | First | Back | 1-1 of 1 | Next | Last

The workflow packet contains information about the task and allows the user to add comments, view attached documents.

Task: Invoice INV001: Cost Center Level 2 Review

This page allows you to process this task.

Task Details

This Task ID: 10247
 Priority: Medium
 Main Link: [INV001 - Microsoft Corporation - \\$12.23 | Indexes](#)
 Description: This task allows the invoice Cost Center Level 2 approval.
 Received From: cmsadmin
 Receive Date: 8/31/2017 12:49:41 PM

Comments (1)

New Comment:
 Message:

Process History (2)

| ID | Action | Description | Type | Priority | Ass |
|-------|--|--|---------|----------|------|
| 10246 | Invoice INV001: Cost Center Level 1 Review | This task allows the invoice Cost Center Level 1 approval. | Routing | Medium | nbol |
| 10245 | Workflow Start | Workflow Started - OUTCOME: The workflow has started! - OUTCOME: The workflow has started! | None | Low | cms |

Office Supplies Inc.

38 Lenox Road
 Summit, NJ 07901
 (908) 689-5599
 Accounts_Services@Officesuppliesinc.com

TO: Accounts Payable
 Hartford Financial
 1234 Treetop Circle
 Orange, CA 90009
 (909) 123-4567
 Customer ID 17896594

| SALESPERSON | PAYMENT TERMS | DUE DATE |
|------------------|---------------|----------|
| John R. McCarthy | Net 30 | 1/6/2012 |

| QTY | DESCRIPTION | UNIT PRICE | LI |
|-----|---|------------|----|
| 2 | Item 868189 - Dell 2140 Black Toner Cartridge | 95.99 | |
| 4 | Item 658794 - Copy Paper, 8 1/2" x 11", Case | 39.99 | |
| 3 | Item 358479 - Post-it Super Sticky Notes 3"x3", 12/Pack | 12.99 | |

Automating Document Indexing

There may be situations where documents can be automatically indexed to reduce the labor involved in processing documents. DocuNECT supports the following automated indexing features:

- Extract the content of a PDF or TIFF image by using the DocuNECT OCR server
- Extract the content of PDF text documents, Microsoft Word, HTML, XML and Text documents using business rules. The rules can use search tags or regular expressions to extract specific data from documents and assign them index values
- Extract content from Microsoft Excel documents by referencing rows and columns
- Extract content from PDF forms by referencing form fields
- Read the following barcode formats Patch Code, Code 11, Code 39, Code 128, CodaBar, Inter2of5, EAN13, EAN8, UPCE, PDF417, Data Matrix, QR Code
- Database lookup and processing functionality to retrieve data from external databases
- Converts PostScript, TIFF and Microsoft Office to PDF
- Converts PDF to TIFF
- Indexes from an external reference file. If you receive documents with index data in a text or XML file for example then rules can be defined to import this format
- Documents can be split by rules. For example, a text or PDF business report can be split based on the occurrence or change in value such as a department or project code

These supported features combine traditional report management and image processing into electronic document capture.

Classification Rules

Rules can be configured to automatically search for tags in documents. A confidence is assigned to each rule, and an overall confidence threshold is set in the lifecycle. If the overall threshold is not met, then an operator will need to review the results.

The screenshot displays the 'Loan Classification Rules' table in the DocuNECT web application. The table contains the following data:

| Rule Name | Index Name | Index Value | Phrase | Occurrences | Location - Pages | Location - Characters | Confidence Percent |
|-----------|-------------|---------------------------------------|---|-------------|------------------|-----------------------|--------------------|
| Rule1 | sys_doctype | Terms of Use | USER AGREEMENT | 1 | | | 25 |
| Rule10 | sys_doctype | Borrower Registration Agreement | Registration as a Prosper Borrower | 1 | | | 50 |
| Rule11 | sys_doctype | Listing Truth in Lending Disclosure | Truth in Lending Disclosure Statement | 1 | | | 80 |
| Rule12 | sys_doctype | Loan Truth in Lending Disclosure | Truth in Lending Disclosure Statement | 1 | | | 80 |
| Rule13 | sys_doctype | Listing Truth in Lending Disclosure | initial | 1 | | 300 | 20 |
| Rule14 | sys_doctype | Loan Truth in Lending Disclosure | final | 1 | | 300 | 20 |
| Rule2 | sys_doctype | Terms of Use | LIMITATIONS OF USE | 1 | | | 25 |
| Rule3 | sys_doctype | Terms of Use | CONTENT AND USE RESTRICTIONS | 1 | | | 25 |
| Rule4 | sys_doctype | Terms of Use | LINKS TO THIRD-PARTY SITES | 1 | | | 25 |
| Rule5 | sys_doctype | Authorization to Debit Account | THE AMOUNT DEBITED FROM THE ACCOUNT EACH MONTH WILL BE THE MONTHLY PAYMENT. AS DESCRIBED IN THE PROMISSORY NOTE EVIDENCING THE LOAN, THE MONTHLY PAYMENT WILL BE DEBITED EACH MONTH ON THE DUE DATE OF THE MONTHLY PAYMENT, HOWEVER, IF THE PAYMENT DATE OCCURS ON A WEEKEND OR HOLIDAY, THE ACCOUNT WILL BE DEBITED THE NEXT BUSINESS DAY. | 1 | | | 100 |
| Rule6 | sys_doctype | Authorization to Obtain Credit Report | I understand that by checking the checkbox immediately following this notice, I am providing | 1 | | | 100 |
| Rule7 | sys_doctype | Borrower Promissory Note | Promissory Note | 1 | | 300 | 100 |
| Rule8 | sys_doctype | Borrower Registration Agreement | Your Prosper Rating, which is calculated by us but based | 1 | | | 100 |
| Rule9 | sys_doctype | Consent to Electronic Disclosures | Consenting to Do Business Electronically | 1 | | | 100 |

Home Administration Data Inbox Batches Documents Upload

Data > Loan Classification Rules

Edit Record

This page allows you to edit a CDT table record.

 This table allows document classification rules to be configured. Classification identifies what type of loan document we are dealing with. The rules defined in this table are found for the document title, then the accumulative confidence value it set.

Rule Name:
(Enter the name of the rule for reference purposes.)

Index Name:
(Enter the associated Index Name from the Cabinet.)

Index Value:
(Enter the Value Assigned to the Index if the Rule is applied.)

Phrase:
(Enter a search phrase. Note, this is a Regular Expression.)

Occurrences:
(Enter the number of times the Phrase has to occur before the Rule Percentage is applied.)

Location - Pages:
(A comma separated list of pages the Phrase Regular Expression needs to be searched in. If this is left blank, then all pages in the document are searched.)

Location - Characters:
(The rule can be focused on an initial set of characters in the page.)

Confidence Percent:
(A percent confidence to be assigned if the rule is true.)

Indexing Rules

Once a document has been classified then the associated indexing rules can be applied to extract the values.

Home Administration Data Inbox Batches Documents Upload Global Search... Welcome: DocuNECT Admin

Data

Loan Indexing Rules

This table manages the rules for the different index value extraction for Market Place Lending Loan Documents.

Your Permission: Read, Edit, Delete

Records Columns History

Import Data Export Data (CSV) Export Data (PDF)

Search

Results

The following records match the search criteria:

| Rule Name | Classification | Index Name | Snippet Name | DocScript | Confidence | Sequence |
|--------------------------------------|----------------------------------|------------------------------|--------------|---|------------|----------|
| <input type="checkbox"/> Edit Rule1 | Loan Truth in Lending Disclosure | Name of Borrower | | {DocuNECT.Log}{FindBetween}Data From: ' & {sys_docTitle} {borrowssegment} = {String FindBetween}{docText}, '& '& {b}Borrower '& '& {b} {DocuNECT.Log}{Segment: ' & {borrowssegment} {Name of Borrower} = {String FindBetween}{borrowssegment}, '& '& {b} {DocuNECT.Log}{Name of Borrower: ' & {Name of Borrower} {indexing result} = {Name of Borrower} | 70 | 1 |
| <input type="checkbox"/> Edit Rule1a | Loan Truth in Lending Disclosure | Interest Rate | | {DocuNECT.Log}{Extracting Data From: ' & {sys_docTitle} {interestsegment} = {String FindBetween}{docText}, '& '& {b}ANNUAL PERCENTAGE RATE, '& '& {b} {DocuNECT.Log}{Interestsegment} {Interest Rate} = {String FindBetween}{interestsegment}, '& '& {b} {DocuNECT.Log}{Interestsegment} {Interest Rate} = {String FindBetween}{interestsegment}, '& '& {b} {DocuNECT.Log}{Interest Rate: ' & {Interest Rate} {indexing result} = {Interest Rate} | 70 | 1 |
| <input type="checkbox"/> Edit Rule1b | Loan Truth in Lending Disclosure | Lender | | {DocuNECT.Log}{Extracting Data From: ' & {sys_docTitle} {lendersegment} = {String FindBetween}{docText}, '& '& {b}Lender '& '& {b} {DocuNECT.Log}{Segment: ' & {lendersegment} {Lender} = {String FindBetween}{lendersegment}, '& '& {b} {DocuNECT.Log}{Original Principal Balance: ' & {Original Principal Balance} {indexing result} = {Original Principal Balance} | 70 | 1 |
| <input type="checkbox"/> Edit Rule2 | Borrower Promissory Note | Original Principal Balance | | {DocuNECT.Log}{Interest Rate: ' & {Interest Rate} {indexing result} = {Interest Rate} | 70 | 1 |
| <input type="checkbox"/> Edit Rule3 | Borrower Promissory Note | Interest Rate | | {DocuNECT.Log}{Interest Rate: ' & {Interest Rate} {indexing result} = {Interest Rate} | 70 | 1 |
| <input type="checkbox"/> Edit Rule4 | Borrower Promissory Note | Loan Term (number of months) | | {DocuNECT.Log}{Interest Rate: ' & {Interest Rate} {indexing result} = {Interest Rate} | 70 | 1 |
| <input type="checkbox"/> Edit Rule5 | Borrower Promissory Note | Monthly Payment | | {DocuNECT.Log}{Interest Rate: ' & {Interest Rate} {indexing result} = {Interest Rate} | 70 | 1 |
| <input type="checkbox"/> Edit Rule6 | Borrower Promissory Note | 1st Payment Date | | {DocuNECT.Log}{Interest Rate: ' & {Interest Rate} {indexing result} = {Interest Rate} | 70 | 1 |
| <input type="checkbox"/> Edit Rule7 | Borrower Promissory Note | Maturity Date | | {DocuNECT.Log}{Interest Rate: ' & {Interest Rate} {indexing result} = {Interest Rate} | 70 | 1 |

Delete Records New Record

Page Size 50 First Back 1-9 of 9 Next Last

Edit Table Export Schema Delete Table

Home Administration Data Inbox Batches Documents Upload

Data > Loan Indexing Rules

Edit Record

This page allows you to edit a CDT table record.

 This table allows document auto-indexing rules to be configured. Indexing uses the classification to apply extraction rules to different types of documents.

Rule Name: ✕
(Enter the name of the rule for reference purposes.)

Classification: ⌵

Index Name:
(Enter the name of Cabinet Index Name for the rule.)

Snippet Name:
(A DocScript snippet name from the library.)

DocScript:
(Rather than using the library, DocScript can be entered directly into the field.)

Confidence:
(The confidence assigned if there is a value returned by the DocScript.)

Sequence:
(The sequence no. the rules are executed.)

The indexing also works on a threshold and will flag indexes to the operator to confirm the values before continuing.

Distributing Documents and Data

Now that the documents have been classified during the indexing stage they can be released to the target business application. The documents and/or data can be distributed to different business applications.



Once the documents have been processed and the data extracted they can be distributed to an external source. The following external sources are supported:

- ❑ EMC Documentum ApplicationXtender. Maps the documents and indexes to an ApplicationXtender application. DocuNECT can add pages to an existing document by checking whether the combination of index values already exists; create a new document, or new version
- ❑ EMC Documentum D6. Maps the documents and indexes to D6 document types and attributes. Custom permission sets (ACLs) can be applied, custom DQL can be executed to update registered tables, and folders can be created dynamically from index values
- ❑ Microsoft SharePoint. Maps the documents and indexes to Microsoft SharePoint document libraries and columns. Custom permission sets (ACLs) can be applied and folders can be created dynamically from index values
- ❑ File Location or Network Share. The documents can be published to a file share with the index data being exported as a text file or an external database
- ❑ FTP or Secure FTP site. The documents can be published to a FTP/sFTP site with the index data being exported as a text file or an external database
- ❑ Email. Documents and data can be emailed out to a specific target audience
- ❑ Web Service Upload. If the documents and/or data is to be uploaded to a third party business application then a web service can be called with an XML structure

Frequently Asked Questions

Q – What output formats does DocuNECT support for the data?

A – *DocuNECT can write the data out into a number of different formats, from text/CSV files, to XML files and external databases.*

Homepages and Dashboards

Homepages are static documents or HTML pages that can present information to users, whereas dashboards extend the homepage to become more dynamic.

Homepages

To give the users a more intuitive experience dashboard can be added at the system level, for each role, or for each user.

As soon as one of the homepages is setup the Home link becomes available on the user's menu bar when they log in as shown below:



Dashboards

Dashboard allows *DocScript* to be added that dynamically populate information. For example, you may want to create a homepage that contains a link to all the error batches, or a list of document searches. You can dynamically add the following information to your dashboard:

- Admin Information:
 - Storage space monitoring
 - Connectors that have an execution error
 - Link to Application Logs
 - Links to the different part of the *Administration* sub-menu
- User
 - Batch status information
 - Cabinet list with descriptions

My Batches

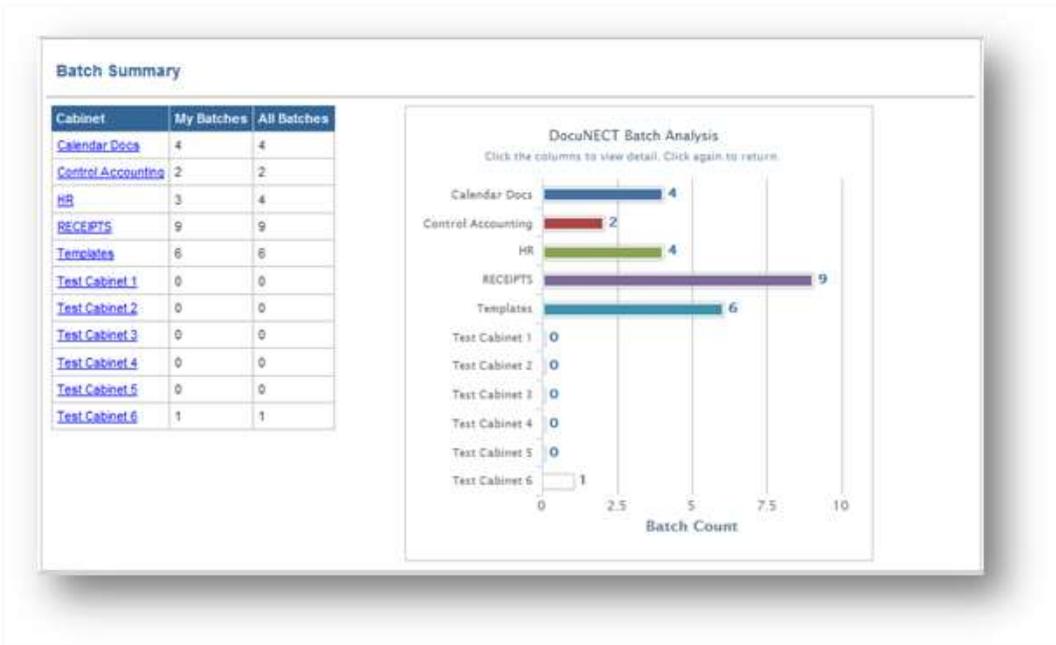
My Batches provides an overview of all the batches that you need to index

My Batches by Cabinet

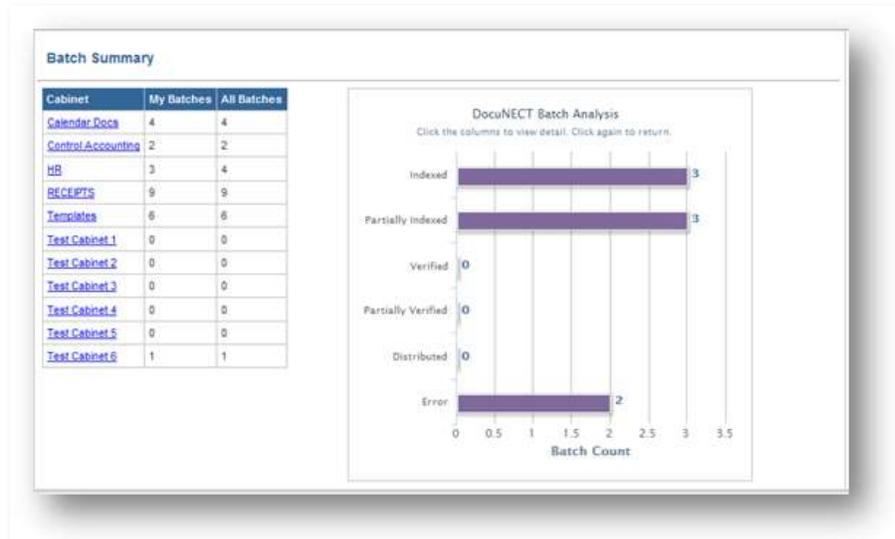
| Cabinet | Needs Indexing | Needs Verification | Indexed | Verified | Distributed | Error | All |
|----------------------|----------------|--------------------|---------|----------|-------------|-------|-----|
| Accounts Payable | 0 | 0 | 1 | 0 | 0 | 0 | 2 |
| Business Development | 0 | 0 | 1 | 0 | 0 | 0 | 1 |
| Contracts | 0 | 0 | 1 | 0 | 0 | 0 | 1 |
| Corporate Documents | 0 | 0 | 3 | 0 | 0 | 0 | 3 |
| Customer Services | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| Demo Documents | 0 | 0 | 1 | 0 | 0 | 0 | 1 |
| Human Resources | 0 | 0 | 1 | 0 | 0 | 0 | 1 |
| Loan Files | 0 | 0 | 0 | 0 | 0 | 0 | 3 |
| System Templates | 0 | 0 | 3 | 0 | 0 | 0 | 4 |
| TOTALS | 0 | 0 | 11 | 0 | 0 | 0 | 16 |

Batch Summary

This section summarizes the batch activity by cabinet:



This section summarizes the batch activity by status:



Taking It a Step Further

As dashboards use HTML, they can also be extended to provide powerful functionality and can be made more interactive with the use of JavaScript, JQuery, and AJAX coupled with DocuNECT's web services. A good example of this is the *My Documents* dashboard that uses these technologies to present graphs and real-time information.