



Document management system in the Compliance, Data Protection, Legal and Group Security Board Division of DB AG

- myCube for compliance, data protection, legal and group security
- DMS solution based on the DB AG's content management (BCM) platform
- Electronic archiving, eRecords and email integration

BEST PRACTICE Deutsche Bahn AG



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The Compliance, Data Protection, Legal and Group Security Board Division (C) of the Deutsche Bahn AG

By introducing an integrated compliance management system, Division C – which was established in 2009 – provides all employees, managers and bodies operating within the DB Group guidance concerning how they should proceed in any process that requires compliance with certain regulations.

The **Compliance** area is responsible for implementing the integrated compliance management system in the DB Group. The two main focuses of this task are, one, to introduce preventative measures intended to keep risks and weaknesses from damaging the Group's reputation and assets, and, two, to protect bodies, managers and employees from breaches of compliance and their consequences.

The **Data Protection** area ensures DB Group-wide compliance with the provisions of data protection legislation, particularly those arising from the German Federal Data Protection Act, the German Telemedia Act, the German Telecommunications Act, EU guidelines and international guidelines.

The **Legal** area handles all the legal affairs of the DB Group (except those relating to employment, civil service and tax legislation) and maintains a regional and international presence through its specialist teams.

The **Group Security** area, working in conjunction with the relevant security authorities and Group companies, ensures that a uniform, Group-wide security standard is maintained. It coordinates security-related tasks and enhances the perception of security functions in the DB Group.

The Board Division (C) employs approximately 380 staff members in total. While there are other staff members associated with the Division in each of the business fields and service centers of Deutsche Bahn AG, the Division only manages them on a functional level.

Management summary

Document management among the Board Division C

Before DMS was launched in Board Division C, data was retained in a redundant way in the shared drives, Lotus Notes databases and third-party applications. Documents were exchanged in emails. With the aim of improving collaboration and communication within the Division, myCube was brought in to provide an ECM system with a standardized concept across all areas, designed to file and search for documents in a structured, electronic format. myCube is based on the Bahn content management (BCM) platform, which uses Dosis4 software solutions from SER and, in 2011, became Deutsche Bahn's Group standard for enterprise content management. The system actively supports the work of all 380 managers and employees within Division C's four areas.

"Previously, we had to check all deadlines manually - it was a very complicated process that was prone to errors."

Jens-Uwe Gehrke, Project Manager in the Compliance, Data Protection, Legal and Group Security Division



Deutsche Bahn AG: Vision for 2020

"For people. For markets. For tomorrow." This is the motto of the DB2020 strategy under which the Deutsche Bahn AG aims to bring the aspects of economy, society and the environment into alignment. By pursuing this vision, the Group wants to achieve a sustainable level of success and create a profile that is accepted by society. To accomplish this, DB has set ambitious targets for 2020 in all three of its areas of focus, aiming to be a profitable market leader, a top employer and an eco-pioneer.

The Compliance, Data Protection, Legal and Group Security Board Division (C) is also committed to this goal and is fulfilling the requirements in its own operations. It aims to professionalize and optimize its work processes and to lower costs in order to improve the Division's profitability; to more sparingly use natural resources (environment); and to optimize and promote the way in which its areas collaborate and communicate with one another. To achieve this, it is relying on SER document management applications based on the Bahn content management (BCM) Group standard. The BCM platform used in the Deutsche Bahn Group is based on the Doxis4 iECM suite from SER.

Data Protection leads the way

"It was the Data Protection area that got the ball rolling," recalls Jens-Uwe Gehrke, Project Manager in the Compliance, Data Protection, Legal and Group Security Division. This area made the initial request for an up-to-date document management system (DMS) that would improve information management and eradicate the problem of redundant document filing. Like other areas in the Division, Data Protection was using an approach to document filing that spread across shared drives, Lotus Notes and Access databases, personal drives, and a range of third-party applications. Not only that, but there were also many local copies of documents being created, resulting in confusing redundancy. The different areas mostly exchanged documents in emails - and there was no central point at which all the areas had access to them. "Without a DMS, we had no support structure for the many working processes of the Division. We were performing searches and checking deadlines manually," says Gehrke, summarizing the Division's situation before

DMS. After some preliminary considerations, it quickly became clear that there was no sense in creating a DMS for the Data Protection area alone, and so the decision was made to equip the entirety of Board Division C with a uniform solution and conduct the pilot in Data Protection. The relevant DB committees – including the Group's works council and data committee – categorized the DMS launch as an IT portfolio project, thereby ensuring it received the necessary backing from the Group. The allocated budget was enough to cover the IT solution's implementation and Division-wide roll-out.

Explaining the DMS selection process, Gehrke says: "We were aware that the Bahn content management system was the Group's standard for DMS solutions, but we still researched the DMS market to get an idea of what was out there. However, we realized very quickly that the Group's BCM standard was in fact in the best position to meet our requirements." BCM allowed Board Division C to call on an ECM platform that had already been established – one that DB Systel, the Group's IT service provider, had worked with SER to implement on the basis of Dosis4 iECM software two years prior. The platform comes with a full range of basic functions, such as the content repository for retaining any information objects and performing electronic archiving; the DMS for editing live documents; the records management system for all electronic records; the workflow for standardizing and automating business processes; an email management system; plus incoming mail and invoice processing tools.

The project at a glance

AREA OF APPLICATION:	myCube DMS launch based on Group BCM standard (Bahn content management)
CUSTOMER:	Deutsche Bahn AG, Board Division C
INDUSTRY:	Mobility, logistics, networks
EMPLOYEES:	310,000 worldwide, around 380 in Board Division C
SOLUTIONS USED:	Dosis4 iECM suite, including archive, DMS, eRecords and email management features
DOCUMENT VOLUME:	664 GB
PROJECT PERIOD:	01/01/2013 to 30/06/2014
INTEGRATION:	Lotus Notes, specialist procedures
THE CHALLENGE:	Redundant data retention in shared drives, Lotus Notes databases and third-party applications, plus no uniform process for handling electronic documents within the Division
OBJECTIVES ACHIEVED:	<ul style="list-style-type: none"> ▪ Cross-area collaboration and communication optimized ▪ Fulfillment of legal specifications for documentation, deletion periods and data protection ▪ Redundancy-free filing of electronic documents

Group-wide information management with BCM

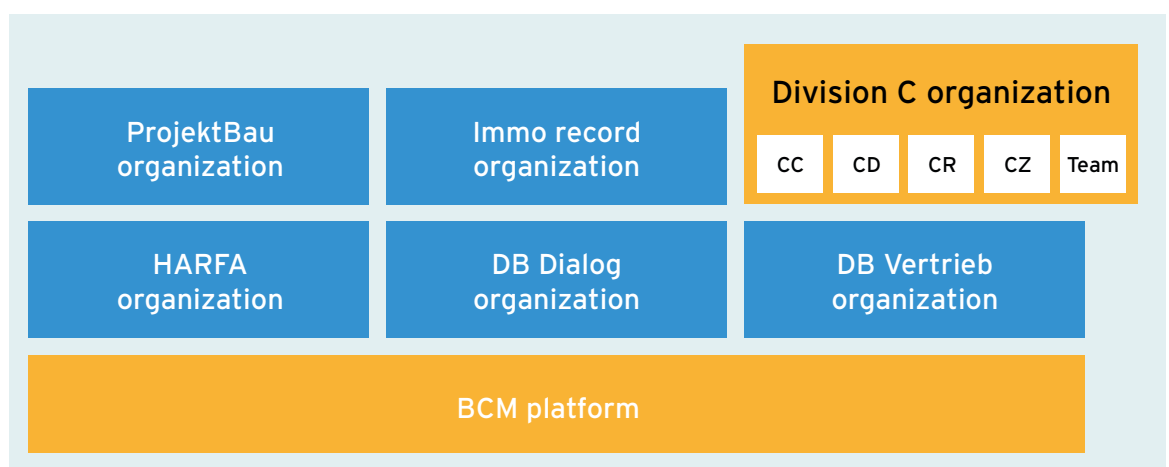
Together with a master template, the Doxis4 iECM suite provides the key basic functions for Deutsche Bahn AG's certified Bahn content management platform. These functions ensure a straight forward, quick and uninterrupted roll-out of archiving, DMS, records management, workflow and email archiving projects throughout DB companies. The Doxis4 system has made it possible to set up a uniform, electronic ECM infrastructure as a Group standard. DMS, archiving and records management projects that can otherwise take several months to implement can now often take place in just a few weeks using the BCM platform.

More and more, the heterogeneous system landscape of the past is now giving way to a modern, standardized method of information and business process management. All the ECM modules in use are based on a single technology platform (Doxis4 CSB), ensuring they work in perfect harmony with one another and allowing them to be combined in any way according to project requirements. Thanks to BCM, it is not always necessary to design and implement DMS or archiving projects from scratch. Stand-alone solutions are now a thing of the past, as all ECM applications are based on and use a service-oriented architecture (SOA) - which in turn facilitates cross-department information use.

The individual ECM components and solutions can be reused in all kinds of application cases and areas of DB companies, ensuring that installations retain the same level of quality. With the BCM platform, the DB companies have quick access to the latest ECM technologies. As a result, they are able to organize their business processes and procedures in a considerably improved, more up-to-date manner.



BCM projects in DB areas are set up as completely separate organizations with separate BCM platform archiving, which is both compliant with legislation and audit-proof. It is possible to create separate filing environments within an organization, although searches covering multiple filing environments in an organization can also be carried out depending on requirements and access rights.



Searches covering several filing environments in the Compliance (CC) and Data Protection (CD) areas, for instance, can be carried out in the Division C organization

myCube project – from digital to digital

"One of our main aims was to migrate our digital shared drives and Lotus Notes repositories to the BCM system's digital realm," says Jens-Uwe Gehrke, explaining the strategy that the Board Division pursued for the DMS project. "At some point, we are also going to initiate our own project for digitizing our paper archives." The pilot project was set up in the Data Protection area at the end of 2012, and its launch date came not long afterwards on February 1, 2013. With the other areas gradually following suit, the DMS – christened "myCube" – had been introduced throughout Division C by December 1, 2013. Its logo, tailor-made by the project team, speaks for itself: "myCube – everything you need. Our new teamwork format." The next six months of the project were spent migrating the electronic documents from the shared drives to myCube. Looking back on the process and clearly proud of what they accomplished, Project Manager Gehrke comments: "We were able to remove the shared drives, so we definitely achieved what we set out to do." An import tool for myCube, developed with DB Systel and SER specifically for the project, enabled the old documents to be transferred quickly from the file systems and made the data migration process much simpler. Now that myCube has been fully rolled out in Division C, there are now plans to help colleagues at international locations become more actively involved with it – a process which will entail providing myCube in English, too.

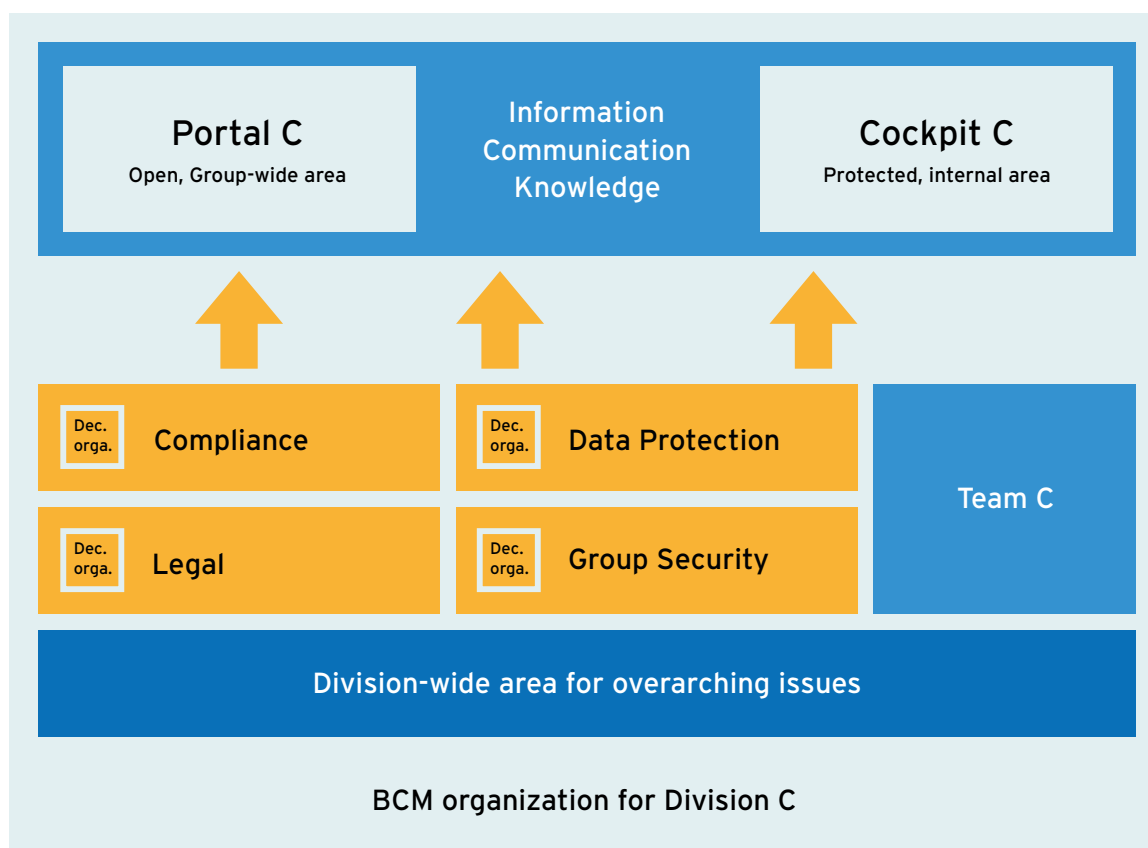
Customized working environments

myCube was adapted to each area's specific needs to gain acceptance from employees and to ensure that it would provide the very best support for the wide-ranging tasks that the various areas carry out. Those responsible for Data Protection, for instance, use a different record storage system than employees working in the Legal area. While Data Protection comprises five departments with 40 employees in total, there are 200 people working across 10 departments in the Legal area.

Gradual introduction of myCube

- January 2013: Designed and launched pilot of myCube in the Data Protection area
- February 2013: myCube went live in Data Protection
- Staggered, area-specific design adjustments; training; plus myCube launched in the other Division C areas
- myCube rolled out in Division C and linked with decentralized organization and business partners; myCube went live in Legal (August 2013), Group Security (October 2013), Compliance (November 2013), and Team C (December 2013)
- Next steps in 2015: Improve user friendliness





The Compliance, Data Protection, Legal and Group Security areas in myCube are each protected from access by the other areas and from access by other DB units

"It was a real challenge," recalls Gehrke. "Each department in the Legal area actually had its own records system. During the project, we therefore had to migrate ten different systems just from the Legal area into a single myCube storage system. But we did it!" For this reason, individual working environments were set up to accommodate the four areas and Team C.

The myCube-based BCM platform is operated by DB Systel, Deutsche Bahn's IT service provider. Division C also relies on DB Systel as a contractual partner for the design, implementation and development processes associated with myCube; in this context, DB Systel maintains the system and is responsible for its technical and functional management. As part of this collaborative approach, SER, DB Systel and the Division employees involved in the project have developed solutions that will benefit future users, too.

Closely integrated change and project management

Jens-Uwe Gehrke is convinced of one thing: "Above all, good project management means good communication." Right at the start of the myCube project, the team responsible for it – made up of Division C, DB Systel and SER – identified the routes through which information had to be exchanged within the project (who should inform whom about what?), defined the "rules of the game" (what the project work would involve), and decided on the team's identity (areas of responsibility, how the work was to be divided up, resource coordination, and so on). "Over the course of the project, we found that the time we took at the beginning to lay the foundations for our collaborative work really paid off," emphasizes Gehrke.



myCube wins C-Award 2013

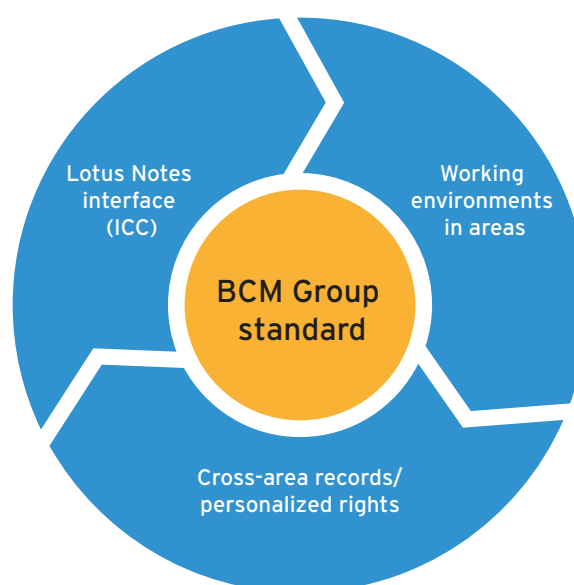
Each year, Division C of the Deutsche Bahn receives a C-Award from the Board in recognition of highly successful projects. In 2013, not long after the pilot project was concluded in Data Protection, myCube won the prize in the category "Wirtschaftlich" ("Efficiency") for launching a Bahn content management system in Division C.



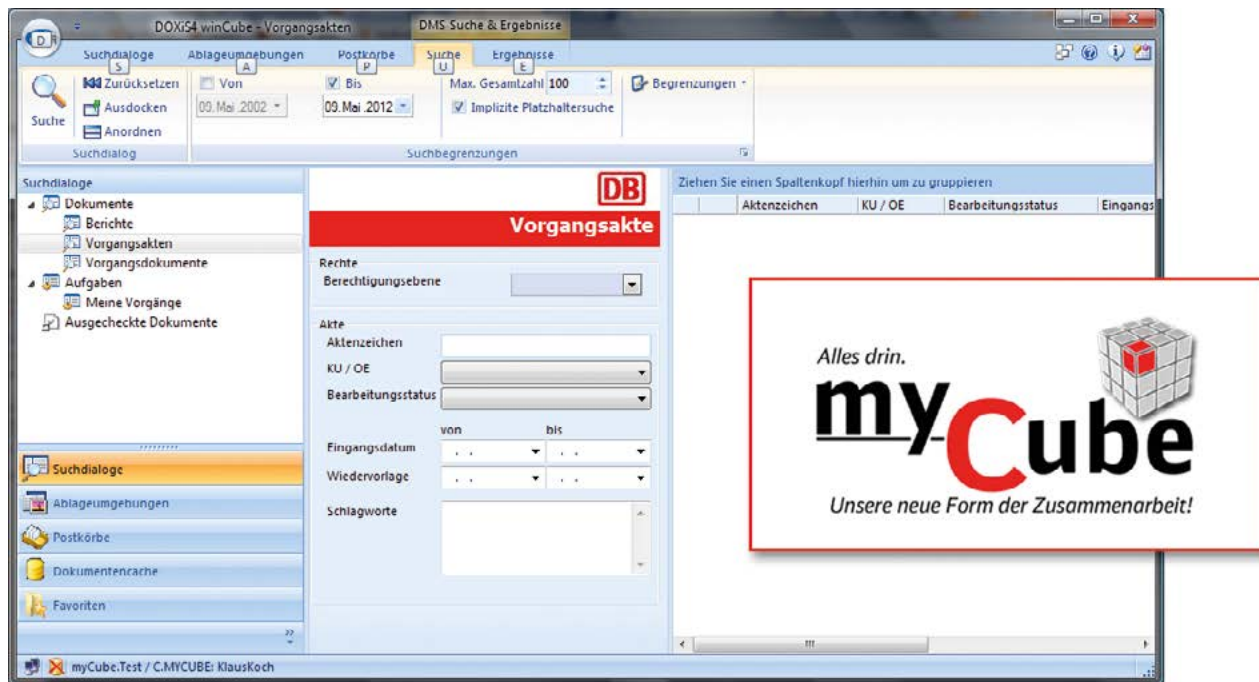
The change and project management processes were closely integrated into one another, something which helped advance the change process in the Division to a considerable degree. The impact of the myCube project on employees was considered right from the beginning, and a holistic change management concept was put in place to ensure successful implementation throughout the Division. The aims were to establish transparency and acceptance among all managers and employees, empower them to utilize myCube successfully in their everyday tasks, ensure that there was a clear understanding of what the various roles and tasks involved, and communicate this information. A fine-tuned training concept, tailored specifically to suit the needs of administrators, key users, area users and external employees, ensured that those involved were given the necessary tools to confidently work with the new solution. Cockpit C, a custom-designed web application that provides a knowledge, information and communication portal for Division C employees, offers ongoing support through resources such as online help, webcasts and the regularly published editions of myCube News.

myCube – everything you need!

myCube is comprised of three parts: the standard BCM system; a Lotus Notes integration with Doxis4 Intelligent Context Control (ICC) and individual working environments for the various areas; plus the cross-area electronic record system with personalized access rights.



To encourage intuitive handling, the design of the myCube client is based on the current range of Microsoft Office products. The basic file environment function allows new process records and documents to be set up in a specific record structure that is expandable and created according to the type of process selected. Each process record has a cover that describes the record and its access rights, and it is also possible to include further descriptive information of the documents inside it.



Searches for process records can take place based on access right levels, record references, Group companies, editing statuses, receipt dates, resume dates and keywords

Collaboration through cross-area records

Thanks to a special extension for Division C involving a cross-area record, it is possible for users to work with myCube across all areas. A cross-area record can be set up in relation to a specific project and allotted personalized access rights. For example, it would be possible to grant only Mr. Smith from Compliance plus Ms. Jones and Mr. Brown from Legal access to the record, blocking it for anyone else. This personalized approach is different from standard BCM, which always grants access to an entire department rather than individual people.

Integration into Lotus Notes

Currently, emails are the main mode of communication in the Board Divisions. Automatic processing of incoming emails by the Dosis4 Intelligent Context Control (ICC) module has therefore significantly improved the efficiency of the areas. In particular, the feature that automatically allocates emails to processes has made it much easier to maintain an overview of tasks.

Thanks to Dosis4 (ICC), emails can be transferred from Lotus Notes directly into a myCube record:

- An intelligent logic checks the subject and content of the email so that it can then suggest an existing record for it to be transferred to
- If the user accepts the suggestion, ICC archives the email and, if required, all its attachments in the relevant record
- Once the email has been transferred, the record can continue to be used and added to within the system

Progress for everyone

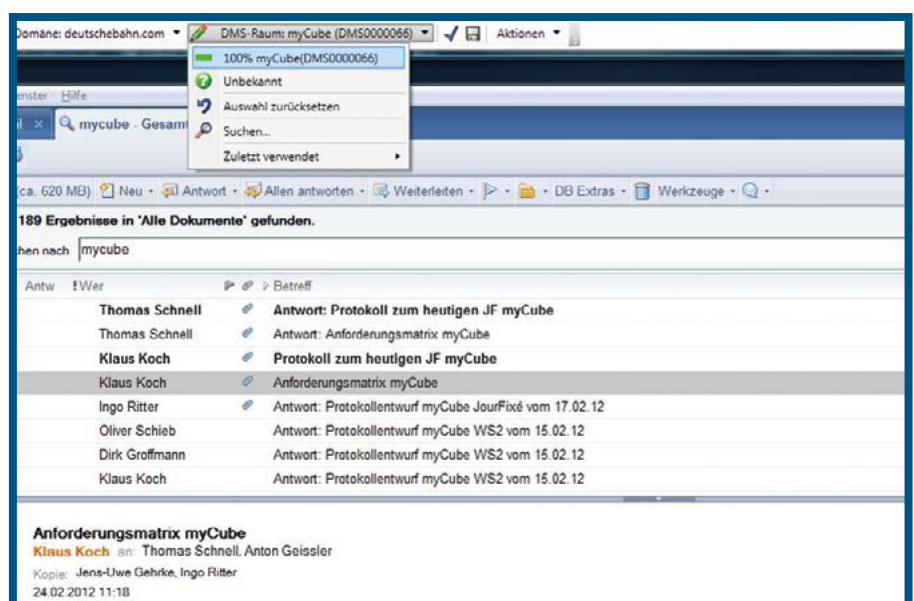
BCM actively supports the Deutsche Bahn in the Group's efforts to achieve the goals of its DB2020 strategy. With myCube's assistance, the Compliance area in particular benefits from document versioning and audit-proof archiving, processes that have evolved from consistently applying the Group's BCM standard. Data Protection greatly appreciates the system's ability to ensure adherence to deletion periods, as well as the comprehensive role and access right concept that conforms to legislative requirements. Those in the Legal area, meanwhile, trust in the system-based support they receive for adhering to retention periods and for exchanging documents securely with external law offices. For its part, Group Security especially values the compliance with confidentiality guidelines and the secure links with decentralized units.

Highlights of the application

"We are finding the system-based support for scheduling tasks as well as defining and monitoring deletion periods and retention periods particularly beneficial," states Gehrke emphatically. "Previously, we had to check all deadlines manually – it was a very complicated process that was prone to errors."

Versioning now ensures that the Division has a consistently structured collection of documents. Employees often used to save various document versions, especially if these were being edited in teams. In other words, it was not always clear which version was the most up to date. "myCube resolved this awful problem we had with duplicates," says Gehrke with satisfaction at the outcome.

Keyword or full-text search functions are now also available, enabling the necessary documents to be tracked down easily. Previously, this was a laborious process that required users to hunt through shared drives and Notes databases.



Doxis4 Intelligent Context Control (ICC) analyses the context of emails in Lotus Notes and suggests the appropriate record in myCube



Benefits for the organization

- Audit-proof document storage and archiving (including certification where necessary)
- Documents classified in accordance with RiL 135.2001 (confidential, DB internal, etc.)
- Consistent role and access right concept throughout all areas of Division C
- Decentralized organization well connected to business partners in highly sensitive projects
- Group BCM standard is multilingual: German, English, French and Italian
- Helpdesk support (ticketing)
- Existing digital documents migrated to BCM and supported on project basis

Benefits for users

- Quick, convenient search function for documents and emails
- Straightforward allocation of documents to processes/topics
- Traceability thanks to versioning (audit-proofing)
- Toolbox offers the option of adding notes, stamps or drawings to a document
- Multiple users can work on documents at the same time (check-in/check-out function)
- Intelligent email integration: Lotus Notes module (Doxis4 ICC) finds the correct record for incoming emails
- Documents can also be edited in offline mode and are omnipresent
- No more redundant data storage taking up lots of space (Lotus Notes, BKU shared drives, etc.)

Discover **SER!**

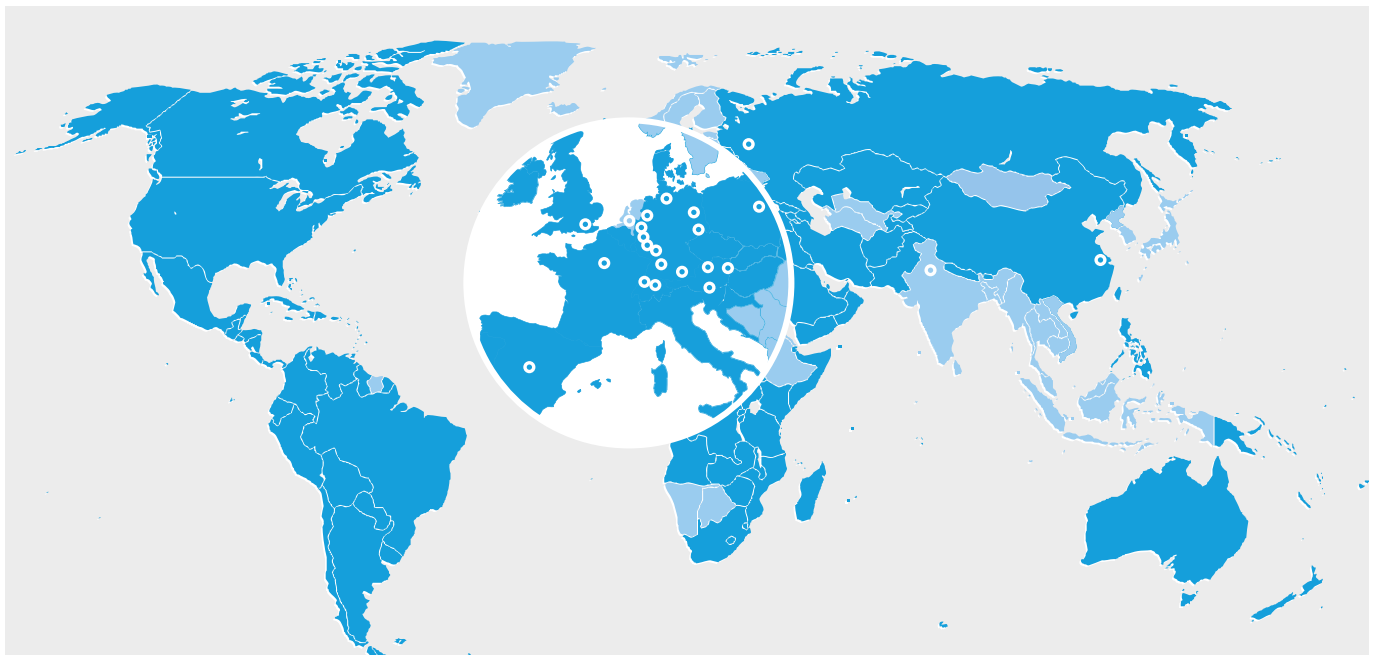
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- A "Visionary" in Gartner's Magic Quadrant for Content Services Platforms 2017
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■ The countries marked in dark blue have 1 of the 12 languages supported by Doxis4 as their official language.

*Measured by revenue according to the Market Share Analysis: Enterprise Content Management, worldwide, 2014 (Gartner)

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