|  |  |
| --- | --- |
|  | | Process Definition Document |

BANK CLIENT ONBOARDING PROCESS

Extracts the fields from the documents i.e Credit Card Applications and Bank Account Opening forms and generate the extracted results in Excel files.

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# Introduction

## I.1 Purpose of the document

The Process Definition Document outlines the business process chosen for automation using UiPath Robotic Process Automation (RPA) technology.

The document describes the sequence of actions performed as part of the business process, the conditions and rules of the process prior to automation and how they are envisioned to work after automating it, partly or entirely. This specifications document serves as a base for developers, providing them with the details required for applying robotic process automation to the selected business process.

## I.2 Objectives

The business objectives and benefits expected by the Business Process Owner after automation of the selected business process are:

* Reduce processing time per item by 80%
* Better Monitoring of the overall activity by using the logs provided by the robots.

## I.3 Process key contact

The specifications document includes concise and complete requirements of the business process and it is built based on the inputs provided by the **process** **Subject Matter Expert (SME)/ Process Owner.**

The **Process Owner** is expected **to review it and provide signoff for accuracy** and completion of the actions, context, impact and a set of process exceptions. The details are to be included in the table below.

|  |  |  |  |
| --- | --- | --- | --- |
| ****Role**** | ****Name**** | ****Contact details (email, phone number)**** | ****Notes**** |
|  | Shadab Baid |  |  |

## I.4 Minimum Pre-requisites for automation

1. A filled in Process Definition Document
2. Test Data to support development
3. User access and creation of user accounts (licenses, permissions, restrictions to create accounts for robots)

# As-Is process description

## II.1 Process Overview

General information about the process selected for RPA prior to automation.

|  |  |  |
| --- | --- | --- |
| **#** | **Item** | **Description** |
| 1 | **Process full name** | BANK CLIENT ONBOARDING PROCESS |
| 2 | **Process Area** |  |
| 3 | **Department** |  |
| 4 | **Process short description (operation, activity, outcome)** | Extracts the fields from the documents i.e Credit Card Applications and Bank Account Opening forms and generate the extracted results in Excel files. |
| 5 | **Role(s) required for performing the process** |  |
| 6 | **Process schedule and frequency** |  |
| 7 | **# of items processed /reference period** |  |
| 8 | **Process execution time** | 0.0 sec. |
| 9 | **Peak period (s)** |  |
| 10 | **Transaction Volume During Peak period** |  |
| 11 | **Total # of FTEs supporting this activity** |  |
| 12 | **Expected increase of volume in the next reference period** |  |
| 13 | **Level of exception rate** |  |
| 14 | **Input data** |  |
| 15 | **Output data** |  |

\*Add more rows to the table to include relevant data for the automation process. No fields should be left empty. Use “n/a” for the items that don`t apply to the selected business process.

## II.2. Applications used in the process­

The table includes a comprehensive list of all the applications that are used as part of the process to be automated to perform the given actions in the flow.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| # | Application name & version | System Language | Thin/Thick Client | Environment/ Access method | Comments |
|  |  |  |  |  |  |

\*Add more rows to the table to include the complete list of applications.

## II.3 As-Is Process map

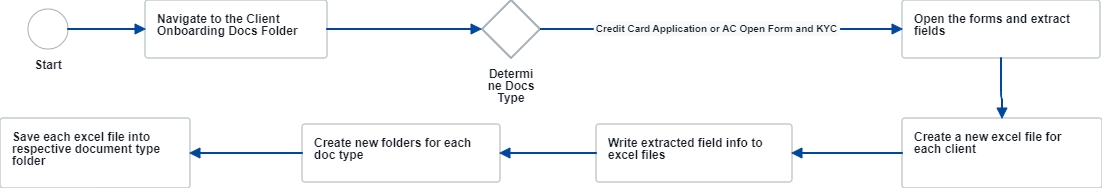
### High Level As-Is Process Map:

This chapter depicts the As-Is business process at a High Level to enable developers to have a high-level understanding of the current process.

A local bank is looking at automating some of their incoming documents to improve the efficiency of the process. The documents lined up for the automation include **Credit Card Applications** and**Bank Account Opening forms**.

The PDF document sent to the respective department includes either the credit card application form or the account opening form. Usually, the account opening form is followed by a Know Your Customer (KYC) form. The order in which these documents are attached in the PDF file may differ.

You need to extract the fields from the documents below and generate a Document Understanding workflow to process the documents by generating the extracted results in Excel files.



## II.4 Process statistics

### High level statistics

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Processes** | **Windows** | **Actions** | **Mouse clicks** | **Keys pressed** | **Text entries** | **Hotkeys used** | **Time** |
| 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0.0 sec. |

### Detailed statistics

|  |  |  |  |
| --- | --- | --- | --- |
| Window name | Mouse Clicks | Text entries | Keys pressed |

## II.5 Detailed As-Is Process Actions

#### Navigate to the Client Onboarding Docs Folder

|  |  |
| --- | --- |
| Get the client application from folder | **Est. time: 0.0 sec.** |

#### Determi neDetermine Docs Type

|  |  |
| --- | --- |
| Check the document type ie Credit card application or Account opening form  If 'Credit Card Application or AC Open Form and KYC' then go to '3. Open the forms and extract fields' | **Est. time: 0.0 sec.** |

#### Open the forms and extract fields

|  |  |
| --- | --- |
| Open the forms and extract fields | **Est. time: 0.0 sec.** |

#### Create a new excel file for each client

|  |  |
| --- | --- |
| create a new excel file for each client | **Est. time: 0.0 sec.** |

#### Write extracted field info to excel files

|  |  |
| --- | --- |
|  | **Est. time: 0.0 sec.** |

#### Create new folders for each doc type

|  |  |
| --- | --- |
| Create new folders for each document type | **Est. time: 0.0 sec.** |

#### Save each excel file into respective document type folder

|  |  |
| --- | --- |
|  | **Est. time: 0.0 sec.** |

#### Credit card application field to be extracted

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| All credit card applications follow a similar structure. It is the only document that you have in the PDF file. You need to extract the following fields from the **credit card application**:   |  |  |  |  | | --- | --- | --- | --- | | **Field name** | **Notes** | **Tips** | **Mandatory field** | | Card type | Domestic or international | Use checkbox detection | Yes | | Card variant | Platinum or Visa | Use checkbox detection | Yes | | First name |  |  | Yes | | Middle name |  |  | Yes | | Last name |  |  | Yes | | Name on card |  |  | Yes | | Mother's maiden name |  |  |  | | Age |  |  | Yes | | Gender |  | Use checkbox detection | Yes | | Date of birth |  |  |  | | Nationality |  |  | Yes | | Vehicle owned |  | Use checkbox detection |  | | Number of dependants |  | Use checkbox detection |  | | Married |  | Use checkbox detection |  | | Address | Full address, state, and city separately |  |  | | Employment status | Salaried/self-employed/retired | Use checkbox detection |  | | Name of the Company |  |  |  | | Designation |  |  |  | | Office address |  |  |  | | Credit cards held | Extract as a table and include all three columns (Card No., Issued Bank, and Credit Limit) | Tabular |  | | **Est. time: 0.0 sec.** |

#### Bank Account Opening form fields to be extracted

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| The Account opening form is followed by a Know Your Customer (KYC) form in the same PDF file. The extraction should be done for both document types separately.  You need to extract the following fields from the **account opening form**:   |  |  |  |  | | --- | --- | --- | --- | | **Field name** | **Notes** | **Tips** | **Mandatory field** | | Customer type | Public/staff | Use checkbox detection | Yes | | Salutation | Mr./Mrs./Ms./Other |  |  | | Full name | First, middle, and last name together |  | Yes | | Date of birth |  |  | Yes | | Gender | Male/Female | Use checkbox detection |  | | Nationality |  |  |  | | Marital status | Married/Unmarried/Other | Use checkbox detection |  | | Overseas address |  |  |  | | City |  |  |  | | Country |  |  |  | | Passport details | Extract passport details as a table that includes (passport No, Issue Date, Place of Issue, Nationality, and Date of Expiry) |  |  | | Applicant signature |  | Use signature detection to check whether the document is signed by the applicant | Yes | | **Est. time: 0.0 sec.** |

#### You need to extract the following fields from the KYC form:

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| |  |  |  |  | | --- | --- | --- | --- | | **Field name** | **Notes** | **Tips** | **Mandatory field** | | Application type | New/change request | Use checkbox detection | Yes | | Name of the applicant |  |  | Yes | | Gender | Male/Female | Use checkbox detection |  | | Marital status | Single/Married | Use checkbox detection |  | | Date of birth |  |  |  | | Nationality | Indian/Other | Extract the Nationality text if Other is selected |  | | Residential status | Resident Individual/ Non- Resident/ Foreign National | Use checkbox detection |  | | Address for correspondence |  |  |  | | Applicant signature |  | Use signature detection to check whether the document is signed by the applicant |  | | **Est. time: 0.0 sec.** |

## II.6 Exceptions Handling

# To-Be Process Description

This chapter highlights the expected design of the business process after automation.

## III.1 To-Be Detailed Process Map

Highlight Bot interventions/ To-Be automated actions with different legend/ icon (purple)

\*Mention below if process improvements were performed on the To-Be design and provide details.

|  |  |
| --- | --- |
| Legend | Description |
|  | Action number in the process. Referred to in details or Exceptions and Errors table |
|  | This process action is proposed for automation |
|  | This process action remains manual (to be performed by a human agent) |

## III.2 Parallel Initiatives/ Overlap (if applicable)

This chapter covers the proposed Business, Process & System changes to be made in the near future and their impact.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| S.No | Initiative Name | Process Acion(s) where it is identified | Impact on current automation request? How? | Expected Completion Date | Contact person for more details |
|  | n/a |  |  |  |  |

## III.3 In Scope of RPA

The activities **In scope of RPA**, are listed here:

1. Actions 1-10

## III.4 Out of Scope of RPA

The activities **Out of scope of RPA**, are listed here:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Sub-process (if applicable) | Activity (action) | Reasons for Out of scope\* | Impact on the To-Be | Possible measures to be taken into consideration for future automation |
| 1.1 | 1.1.1 | Input: handwritten form | After processing action 1.1.2, an email is sent to the user to perform action 1.1.3 in a csv file  In order to go to action 1.1.4, the robot will read the csv file | Collect the form in an editable pdf format and electronically signed |

\*Add more rows to the table to reflect the complete documentation provided to support the RPA process.

## III.5 Business Exceptions Handling

The Business Process Owner and Business Analysts are expected to document below all the business exceptions identified in the automation process. These can be classified as:

|  |  |
| --- | --- |
| Known | Unknown |
| Previously encountered. A scenario is defined with clear actions and workarounds for each case. | New situation never encountered before. It can be caused by external factors. Cannot be predicted with precision, however if it occurs, it must be communicated to an authorized person for evaluation. |

### Known Exceptions

The table below reflects all the business process exceptions encountered during the process evaluation and documentation. These are **known exceptions** that occurred before. For each of these exceptions, define a corresponding expected action that the robot should complete if it encounters the exception.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| BE # | Exception name | Action | Parameters | Action to be taken |
|  |  |  |  |  |

### Unknown Exceptions

For all other unanticipated or unknown business (process) exceptions, the robot should:

## III.6 Application Error and Exception Handling

A comprehensive list of all errors, warnings or notifications should be consolidated here with the description and action to be taken, for each, by the robot.

Errors identified in the automation process can be classified as:

|  |  |  |
| --- | --- | --- |
| Area | Known | Unknown |
| Technology/Applications | Experienced previously, an action plan or a workaround available. | Never encountered before, or may happen independently of the applications used in the process. |

### Known Errors or Exceptions

The table below reflects all the errors identified in the process evaluation and documentation.

For each of these errors or exceptions, define a corresponding expected action that the robot should complete if it is encountered.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| # | Error name | Action | Parameters | Action to be taken |
| 1 | Application Crash / Internal Server Error | Any action | Error message | Recover & retry for maximum 3 times. Close the applications and run the sequence again |

### Unknown Errors and Exceptions

For all the other unanticipated or unknown application exceptions/errors, the robot should:

## III.7 Reporting

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| # | Report type | Update frequency | Details | Monitoring Tool to visualise the data |
| 1 | Process logs | Daily | How many times was this process run since the beginning of the month and what was the average run duration? | Kibana |
| 2 | Process logs | Monthly | How many robots worked on this process per each month? | Csv file posted daily on share drive |
| 3 | Transaction logs | Daily | How many transactions were run by this process since the beginning of the month and what was the average transaction duration? | Kibana |
| 4 | Error logs | Daily | Average number of errors by type per day | Kibana |
| 5 | Error logs | Daily | All errors per month grouped by type | Csv file posted daily on drive |

\* For complex reporting requirements, include them into a separate document and attach it to the present documentation

# Other Observations

Include below any other relevant observations you consider needed to be documented here.

Example: Specific Business monitoring requirements (audit and reporting) etc.

# Additional sources of process documentation

If there is additional material created to support the process automation please mention it here, along with the supported documentation provided.

|  |  |  |
| --- | --- | --- |
| Additional Process Documentation | | |
| Video Recording of the process (Optional) | ACME-System1-Process-WI5-Manual-Walkthrough | Insert any relevant comments |
| Standard Operating Procedure (s) (Optional) |  | Insert any relevant comments |
| Business Rules Library (Optional) | Insert link to Business rules library | Insert any relevant comments |
| Other documentation (Optional) | Insert link to any other relevant process documentation (L4, L5 process description, fields mapping files etc.) | Insert any relevant comments |

\*Add more rows to the table to reflect the complete documentation provided to support the RPA process.