Process for Electronic Rights Management via Intranet (PERMIT)
Helaba Landesbank Hessen – Thueringen

Challenges
- Complex and confusing paper forms
- Long processing time
- Duplication of efforts

Solutions
- Automate forms and optimize process into six steps
- Implement seamless forms approval process
- Visibility and tracking capabilities

Successes
- Decrease in processing time from 4 weeks to less than 1 day
- Transparency of processes organization wide
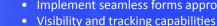- Greater control over systems authorization and reduced risk exposure

Background

Helaba is one of Germany's leading Landesbanks and a premier global financial center. With a workforce of 5,900 employees and a balance sheet of $309 billion USD, the bank maintains two headquarters, multiple regional and representative offices, and affiliates throughout Europe.

Goal: Automate processes and improve internal controls

Institutions such as Helaba must protect the integrity and privacy of their financial data and ensure approval authorizations are granted to only those individuals who meet the necessary criteria. Improper approval authority in the hands of the wrong employee can result in devastating financial losses for a bank.

At Helaba, every system authorization request, whether for access or a change in status, needs to be approved by a member of the executive management team and the individual responsible for the application. There were over 70 different types of paper forms to choose from and thousands of requests generated per year, and each step needed written documentation. Due to the complexity of the application process and volume of requests, it was difficult for the executives in the approval chain to keep up with the paper flow and properly validate each request.

- **Complex paper forms.** With over 70 different types of system access forms, it was difficult to know which one to select.

- **Long processing time.** Due to the number of authorizations necessary, the processing time could take four weeks from submission to access. A portion of this lengthy processing time came from the mailing delay of the paper form.

- **Risk for error.** A single request would change from paper to email to phone to copy to fax throughout its journey, creating duplication of effort in rekeying data and increasing the risk for error.

- **Low visibility into the process.** It was virtually impossible to know who was working on the request or the identity of the originator, which was a source of dissatisfaction for employees and management.

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15000 Weston Parkway Cary, North Carolina 27513
T (919) 678 0900   F (919) 678 0901

www.ultimus.com

Key Benefits

- Optimized a completely manual process into six main steps.
- Fewer human errors – information flows electronically without need for re-entering data.
- Minimized duration of requests by improving information flow, eliminating bottlenecks and reducing mailing periods. More than 50% of all requests are processed in less than one day and close to 70% are processed within two days – even though the request volume has doubled.
- Greater control over the process and reduced exposure to fraudulent activities.
- Automated tracking of incidents to ensure compliance with auditing requirements.
- Increased transparency of process for requestor and executives who are authorizing access, thus reducing exposure to risk.

"We were able to increase our process efficiency by 97%."

Ultimus' Approach

Helaba chose Ultimus' Adaptive BPM Suite due to its high usability, easy-to-define processes, and customizable forms which integrated seamlessly into the existing Helaba system. This formerly cumbersome process was not only automated, but optimized into only six steps.

Today, the entire process is done completely by email and executives receive only one request per authorization. Bottlenecks have been eliminated as every step escalates after a set period of time and is terminated or reassigned as appropriate. The requests are automatically assigned an Ultimus incident number when they are initiated and the PERMIT process begins.

Implementation

The implementation process for Ultimus' BPM Suite was smooth and efficient. The process was tested over the entire bank before going "live" and rolled out one department at a time, giving Helaba a chance to address any issues before the next department came on board.

The Ultimus solution integrated seamlessly with the Helaba system and is so user-friendly that official training was not necessary, even though the process is used by thousands of employees.

Based on the success of the PERMIT project, Helaba is looking to automate and optimize more processes within their organization.

About Ultimus

Ultimus has automated more business processes than any other Business Process Management (BPM) vendor worldwide. Ultimus Adaptive BPM Suite has enabled companies to accelerate their performance goals at every stage of corporate growth. Ultimus' award-winning technology seamlessly adapts to people, systems and change.

Utilized by more than 1,900 customers worldwide, Ultimus provides solutions to organizations such as Pfizer, ProHealth, Bausch & Lomb, Northrup Grumman, DHL, Microsoft, Daimler, Perdue Farms, Chevron, and Tulane University.