IBM Customer

IBM FileNet Capture Advance Document Recognition Fixed Form Fast Start Package Service Description

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Table of Contents

1. Description of Services

IBM Enterprise Content Management ("ECM") is pleased to submit this Service Description to IBM Customer ("<IBM Cust>"). <IBM Cust> has requested the following services from IBM:

> ➢ IBM FileNet Capture Advance Document Recognition Fixed Form ("Capture ADR") Fast Start Package

This service provides the expert resources to implement the Capture ADR software at your site. It also provides hands-on assistance to address any questions, recap key issues, and to verify that <IBM Cust>'s systems and resources are ready to begin applying the knowledge gained to <IBM Cust>'s business needs and operational requirements. The ECM Consultant will help guide <IBM Cust> on proven strategies and procedures that have been employed by other successful ECM implementations.

The scope of this Fast Start Package is limited to the configuration of Capture ADR – Fixed Form Fast Start[1].

- Review current IBM FileNet Capture Professional ("Capture Professional") Installation[2]

- Perform Document Review & Assessment for 2 forms

- Create two (2) Fixed Forms (up to 8 fields per form - machine print data only), designed remotely

- Implement Database Lookup for two (2) Fields (1 per form), designed remotely

- Implement & Test the forms, on-site

- System Administration Handoff

- Demonstrate environment

- Provide ECM Resource Project Management and Coordination

This Fast Start Package includes a set of tasks that <IBM Cust> must complete to facilitate a successful product implementation. The actual duration of each task varies from customer to customer, based upon their knowledge of the products and the complexity of the anticipated Capture environment.

The resources required for this project will include both the IBM and <IBM Cust> personnel that are required to successfully configure the Capture ADR software.

Any change in the scope of work defined in this Services Description requested by <IBM Cust> may result in additional costs and must be documented in a Project Change Request ("PCR").

2. Required Product Training

As part of the delivery, <IBM Cust> is required to have at least one person successfully complete (or have successfully completed) the following IBM training. The IBM education required for this installation is as follows:

- Course Code: F177 – IBM FileNet Capture Professional Administration

Please note that IBM may offer an equivalent Instructor Led Online ("ILO") or self paced eLab course. Any of these courses will satisfy this installation package training requirement.

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[1] The Capture ADR Fast Start Package does not include installation of the product. Installation of Capture ADR is considered an additional option. Pricing for any respective installation services contact your local Lab Services Sales Manager ("LS SM").
[2] Installation of prerequisite products (hardware and software) required for the Capture Professional Platform is <IBM Cust>'s responsibility. Please see the **Hardware/Software Requirements for FileNet Products** document found on http://www-01.ibm.com/software/sw-atoz/indexF.html.

The cost for these training courses is not included in this Capture ADR Fixed Form Fast Start Package. Please refer to the IBM Learning Services Web site for detailed information regarding class cost, schedules, course descriptions, ordering options, registration instructions and other relevant IBM Web site locations.

While the training defined in this service provides a good foundation for administering the system in a pre-production status, <IBM Cust> should not consider this the total set of training that their resources will need to manage their production system. The ECM Education team can assist <IBM Cust> in obtaining a recommended training plan specific to <IBM Cust>'s requirements.

For individual training recommendations, please reference the ECM Training Paths.

For training recommendations for your entire organization, please request an Enterprise Training Plan or contact the ECM Education Team at ecmeduna@us.ibm.com or 800-455-7468.

IBM Learning Services Web Site:
> www.ibm.com/software/data/content-management/training.html

In the interests of quality education, IBM reserves the right to update training courses at any time.

3.   Resources

The <IBM Cust> Project Team will consist of the resources from the ECM Account Team, the <IBM Cust> technical staff and, when applicable, an IBM Business Partner. Examples of Project Team members are listed below.

3.1   ECM Team Resources

The ECM Project Lead coordinates the appropriate ECM resources as required. The ECM Team typically includes the following members:

- Implementation Project Manager ("IPM") –Project Lead
- Lab Services IT Specialist ("ECM Consultant")
- Field Delivery Consultant ("FDC")
- Software Sales Representative ("SSR")
- Sales IT Specialist ("Sales ITS")

3.2   <IBM Cust> Team Resources

<IBM Cust> will need to identify internal personnel to fill the roles of the <IBM Cust> Project Team. <IBM Cust> is responsible for selecting a Project Lead to share lead responsibilities with the ECM Project Lead.

Depending upon, the project the <IBM Cust> Project Team may include any of the following roles:

- Project Lead
- FileNet System Administrator
- Capture Administrator
- System Operations Coordinator
- Client Desktop Coordinator

- Database Administrator

- Document/Records Manager

- Document Entry Supervisor

- End-User Manager

4. Role Definitions

<IBM Cust> will need to identify internal personnel to fill the roles as listed in Section 3, Resources. The following outlines the general roles for each of these individuals. Please note that additional resources may be required at various phases of the installation. Likewise, not all of the individuals may necessarily be involved in this install service.

Project Lead - This individual will represent <IBM Cust> resources and provide project coordination in conjunction with the ECM Project Lead.

FileNet System Administrator (1 to 3 people) - This individual will learn the administration functions necessary to oversee the IBM FileNet system and will serve as the on-going administrator for the system. IBM strongly recommends that this individual become familiar with the IBM FileNet products by attending the required training prior to project initiation.

FileNet Capture Supervisor (1 to 2 people) - The IBM FileNet Capture Supervisor will assume responsibility for all Document Entry and Capture ADR functions. Additionally, this person will identify and manage subordinates who will perform the document entry functions. At least one (1) Document Entry Specialist will be required at the onset of the project. Additional specialists may be required as the application is defined and final configuration is completed.

DBA (1 person) - This individual will assume responsibility for <IBM Cust>'s database. This individual will also provide proper passwords to allow ECM Consultants to perform their functions in the course of the installation when access to the database is required.

5. Responsibilities

5.1 <IBM Cust> Responsibilities

In order to facilitate a successful delivery, <IBM Cust> has the responsibility to provide the following:

a.) Project Prerequisites

- All prerequisites must be met before IBM can begin the configuration of the product.
- Completed installation of IBM FileNet Capture Professional working as expected.
- Completed installation of IBM FileNet Capture ADR working as expected.
- Perform a network check (verify server connectivity to network, addressing, correct protocol).
- Ensure Content Engine, IS, or CS has been fully implemented and is operational.
- Ensure the installation and validation of scanner hardware and scanner controller hardware.
- Ensure Capture Professional 5.0 SP1 or later is installed and working as expected.
- Ensure IBM FileNet Capture ADR Fixed Form Fast Start software has been installed on at least one (1) Capture Professional workstation and validated to be operating as expected prior to the ECM Consultant arriving at <IBM Cust>'s facility.
- Have attended the required training prior to the installation of any ECM software.

b.) A Project Lead with sufficient authority to:

- Represent <IBM Cust>'s interests
- Serve as the focal point for all decisions and communications
- Coordinate activities assigned to <IBM Cust> resources
- Sign project-related documents

c.) Sample forms - the ECM Consultant will work with <IBM Cust> to select two appropriate sample forms from <IBM Cust>'s existing forms inventory. Guidelines for these forms are: two (2) high-use, single-page forms consisting of approximately eight (8) fields. The selected forms should take no longer than five (5) days for the ECM Consultant to develop and test offsite. If the customer does not provide sample forms for testing, IBM will utilize two (2) existing sample forms to test the Fast Start. The sample provided by ECM may or may not be relevant to the <IBM Cust>'s business requirements.

d.) Analysis/requirements gathering of business application rules, business application processes, and application security access as they pertain to the implementation of the Capture ADR software for the selected two (2) forms. <IBM Cust> to provide the queries for the two database lookups as well as provide a database extract for each lookup.

e.) Validation of scanner hardware and scanner controller hardware/software, if utilizing scanning to acquire images.

f.) Local system administrator(s) trained on the administration of the ECM products previously installed.

g.) After the <IBM Cust> System Administrator has attended the proper training and has reinforced that training by observing the ECM Consultant during the installation, he or she will be responsible for completing the following items.

- Expansion of Security Schema related to Capture users

- Creation of Additional Capture Paths, Settings Collection, and Templates

- Ensuring data connection between the Capture workstations and IBM FileNet Content Engine ("Content Engine"), IBM FileNet Image Services ("IS"), or IBM FileNet Content Services ("CS") is working as designed

h.) Local help desk personnel trained on the ECM client products installed at <IBM Cust>.

i.) Adequate facilities for the ECM resources; including cubicles, desks, and telephone, hardware and Internet access service.

j.) Product Subscription and Support Agreement in place through IBM.

k.) <IBM Cust> will make available all <IBM Cust> personnel required for this project in a timely manner. Any significant delays caused by <IBM Cust> personnel not being available or project prerequisites not being met may result in schedule delays, which can impact the project sufficiently to require PCR addressing additional or extended IBM personnel requirements and additional costs.

5.2   IBM Responsibilities

a.) Review Capture Professional software

b.) Document Review & Assessment

- Capture ADR Design Document

c.) Create two (2) Forms (up to eight (8) fields per form - machine print data only)

- Definer

- Template Editor

- Recognition Engine Configuration

- Correction
    - Character Correction
- Completion
    - Database Lookup
    - Validation Rules
    - Validation Violations

d.) Implement Database Lookup via ODBC for two (2) Fields (One (1) field per form)

e.) Implement & Test forms in <IBM Cust>'s environment

f.) Perform System Administration Handoff

- Transfer of Information
- Routine Maintenance
- Backup Methodology
- Problem Reporting

g.) Demonstrate Capture ADR to <IBM Cust>'s Project Team

h.) Deliver Capture ADR Package Delivery Notes

i.) Provide <IBM Cust> a completed Capture ADR Fixed Form Fast Start Checklist

6. Assumptions & Limitations

6.1 Assumptions

a.) All forms must be scanned as originals at 300DPI, no faxes or copies.

b.) At least one <IBM Cust> project resource should have previously attended Capture Professional Administration training.

c.) Additional resources and time for the development of "custom applications" are not included in this service.

6.2 Service Limitations

The Capture ADR Fixed Form Fast Start Package does not include repairs, corrections or troubleshooting of performance degradation, data corruption, errors and faults that are discovered during the process due to hardware failures, or non-qualified hardware or operating systems. Repairs, corrections or troubleshooting of such errors and faults will be <IBM Cust>'s responsibility; any IBM involvement will be charged on a Time and Materials ("T&M") basis.

ECM resources will be provided Monday through Friday from 8:00 a.m. to 5:00 p.m., excluding holidays and vacation time. Specific details regarding schedules will be mutually agreed-upon prior to the project start-date.

6.2.1 Travel & Living Expenses

This service includes domestic travel and living expenses incurred by ECM resources traveling to <IBM Cust>'s site in order to fulfill IBM's tasks and responsibilities pertinent to delivering this Fast Start Package.

The IPM will initiate the project with a kickoff conference call. Any additional status meetings required will be held via conference calls as well. The ECM Consultant will travel to <IBM Cust>'s site for **one (1)** visit (up to three (3) days) for tasks associated in delivering this implementation service.

Additional onsite assistance requested by <IBM Cust> beyond the amount specified in the above paragraphs may be billable subject to the execution of a PCR. IBM also reserves the right to bill <IBM Cust> for any additional trips that are the direct result of <IBM Cust>'s failure to meet or perform its obligations outlined herein.

7.   Project Tasks & Deliverables

The Project Team will perform the following tasks. Deliverables for each task are detailed within the task descriptions.

7.1   Task 1: Kickoff Meeting

The purpose of this meeting is to prepare both the <IBM Cust> team and the ECM team for the Capture ADR Fixed Form Fast Start Project. Topics of discussion will include <IBM Cust>'s requirements, expectations, prerequisites, and schedules.

7.1.1   Review Project Services Description

The ECM Project Lead will review the Fast Start Package Service Description, the tasks, and roles and responsibilities with <IBM Cust>'s Project Team.

7.1.2   Define/Review Project Plan

Once selected, the Project Team customizes the sample project plan that best fits <IBM Cust>'s installation needs (see Sample Project Plan). The plan is designed to complete the Fast Start in the shortest possible timeframe. Each task is assigned a resource and a time window based on the effort required to complete the task. IBM strongly encourages the practice of joint task assignments as an excellent means of training and knowledge transfer for the team members.

7.1.3   Project Status

The IPM will track all issues and document their resolution in an Issues Log. Any issue whose resolution requires a change will be documented in a PCR.

7.2   Task 2: Platform/Architecture Configuration Document & Review

The IPM will review the ECM software purchased, <IBM Cust>'s server configuration (hardware, operating system and site specific software), ECM-specific network configuration, and <IBM Cust>'s System Diagram.

7.3   Task 3: Document Review & Assessment

In conjunction with the <IBM Cust>, remotely, the project team will perform a detailed analysis and review of the two selected forms that will be used in the configuration. This includes gathering all form types, registration, and index information. This step will define specific database lookups and detailed form processing. The deliverable from this step is the Capture ADR Fast Start Configuration Document.

The Capture ADR Fast Start Configuration Document describes the specific Capture ADR Fast Start parameters and settings to create the two sample form templates and configure correction and completion. This document is

the initial guidebook for providing valuable input to subsequent Capture ADR configurations and testing by <IBM Cust>.

Upon acceptance of the Capture ADR Fast Start Configuration Document, the Project Leads will schedule the on-site activities.

7.4   Task 4: Forms Creation

Using the Configuration Document, the ECM Consultant will remotely create the two (2) forms (8-fields per form - machine print only) defined in the previous task. This implementation includes:

- Definer
- Template editor
- Recognition Engine
- Correction
  - Character Correction
- Completion
  - Database Lookup
  - Validation Rules
  - Validation Violations

7.5   Task 5: Database Lookup

Once the forms are created, the ECM Consultant will begin to define and implement a database lookup on one field within each form. This lookup is implemented in script and may access any ODBC database. <IBM Cust> must provide the query to be used and a database extract for the ECM Consultant to develop the lookup. These will be simple data lookups and cannot contain complex business rules (i.e. If/Then statements).

The database lookup can be used to:

- Validate data
- Populate up to three (3) additional index fields

7.6   Task 6: On-site Testing & Demonstration

Upon arriving on site, the ECM Consultant will work with the Capture Administrator to implement and configure the designed forms and lookups for your site.

7.6.1   Test Capture ADR Functionality

After the Capture ADR product has been configured, the ECM Consultant and <IBM Cust> Project Team members perform functional testing using 20 sample documents. This will verify that all components have been correctly configured and are operating as expected.

<IBM Cust> is expected to provide appropriate resources and sample documents in order to execute the functionality tests.

The Project Team will identify any modifications at this time and make the appropriate changes to the software configuration and reflect this modification in the Capture ADR Fast Start Configuration Document.

7.7 Task 7: System Administration Handoff

7.7.1 Transfer of Information

The ECM Consultant will review the Capture ADR configuration, scripts, verification, and forms. This time is used to answer any additional questions of how different features may be implemented.

7.7.2 Routine Maintenance

Routine maintenance involves reviewing the daily duties of <IBM Cust>'s System Administrator. These are tasks that should be performed routinely and will be specific to <IBM Cust>'s usage of the system and its configuration. IBM recommends that the System Administrator develop a schedule of "housekeeping" procedures and tasks to be performed.

7.7.3 Review Backup Methodologies

The ECM Consultant will review possible backup strategies with the <IBM Cust> System Administrator. This Capture ADR Fast Start Package does not provide for the ECM Consultant to analyze <IBM Cust>'s backup objectives nor does it develop the plan to meet those objectives.

7.7.4 Problem Reporting

Before calling IBM Customer Support, full documentation of the problem at hand always expedites resolution and helps maintain internal system up-time records. The ECM Consultant will review troubleshooting and problem reporting procedures and provide a trouble report template to <IBM Cust>. Over time the <IBM Cust> System Administrator will learn to determine the nature of problems that arise and will be able to resolve or report them as necessary.

For integrity issues, IBM requests that <IBM Cust> contact IBM Customer Support by using the IBM toll free Customer Service telephone number (1-800-429-7378).

7.8 Task 8: Demonstrate System to <IBM Cust> Project Team

After the initial samples have been tested, IBM will demonstrate the Capture ADR system to the <IBM Cust> Project Team. The demonstration is an opportunity to share ideas on how to best configure the system, gather immediate feedback on issues that may have been overlooked, and solicit suggestions for system improvements. Other uses for the system are often identified in such meetings, giving impetus for follow-on projects.

7.9 Task 9: Project Completion

Upon demonstration of the product, the ECM Consultants will deliver to <IBM Cust> a completed Fast Start Checklist which constitutes completion of this project. Please refer to *IBM FileNet Capture Advance Document Recognition Fixed Form Checklist*.

If issues arise after completion of the project, <IBM Cust> Project Team will attempt to resolve these problems independently or with the assistance of the IBM Product Support Center.