IBM Customer

IBM Enterprise Records Fast Start Service Description

July 1, 2010

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1. Description of Services

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

> ➢ IBM Enterprise Records   (Enterprise Records) Fast Start Package[1]

This service provides the expert resources to assist <IBM Cust> in identifying the design specifications, prototyping, implementation planning, and the associated deployment of Enterprise Records for a pilot solution[2]. It also provides hands-on assistance to address questions, recap key issues covered in formal training classes, and to confirm that <IBM Cust>'s systems and resources are ready to begin applying the knowledge gained in class to <IBM Cust>'s business needs and operational requirements.

The Delivery Consultants will help guide <IBM Cust> on proven strategies and procedures that have been employed at other ECM implementations.

The scope of this package is limited to the design, implementation planning, and implementation aspects of Enterprise Records on one (1) environment[3]. The Enterprise Records product must have been previously installed and must be fully operational prior to the initiation of the Enterprise Records Fast Start Package.

This package includes a set of tasks that <IBM Cust> must complete to facilitate a product pilot in a non-production environment. The actual duration of each task varies from customer to customer, based upon their knowledge of the products and the complexity of the anticipated Enterprise Records environment.

The resources required for this project will include both the IBM and <IBM Cust> personnel necessary to design, configure, and implement the Enterprise Records software.

The Enterprise Records Fast Start Package will provide:

- Analysis & Requirements Discussion
    - Review existing records management
    - Review document and record inventories
    - Review of current taxonomies and/or file plans
    - Review of Enterprise Records user roles and responsibilities
    - Design of record file plans
    - Review of Enterprise Records workflows
    - Review of Record capture methods
    - Review Security proxy requirements
    - Review file plan security requirements
- System Design Requirements Gathering
    - Document and record store architecture
    - Document and record type analysis

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[1] This Package may be used to implement either the IBM Enterprise Records product or IBM InfoSphere Enterprise Records product.
[2] For user acceptance testing or support, or for production rollout assistance, contact your Software Services Sales Leader (SS SL) to scope the appropriate services to perform this effort.
[3] This service provides the design and limited configuration of an Enterprise Records environment. This service does not provide the effort to perform the install of the Enterprise Records software. Contact your SS SL for the appropriate services to perform the software install.

    -     Users, groups, roles

    -     Document and record classes

    -     Map existing document classes in the P8 repository to record classes[4]

    -     Records categorization, metadata, security and disposition

    -     Record retention requirements as they pertain to the implementation of the Enterprise Records system

    -     Events and triggers

    -     Disposition schedules, phases, alternate retentions

    -     Record Naming patterns

- Enterprise Records System Design Document

- Configure the environment based upon the Enterprise Records System Design Document

- System Administration Handoff

- Demonstrate Environment

- Deliver project management and coordination

At the completion of the Enterprise Records, <IBM Cust>'s system and resources will be ready for maintenance support and for continuing the process to further deploy the system for <IBM Cust>'s specific Records Management business requirements.

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 complete (or have previously completed) the following IBM training. The IBM education required for this consulting service is as follows:

- Course Code: F018 – IBM FileNet Records Manager Administration Add-On

- Course Code: F019 – IBM FileNet Records Manager for the RM Professional

Please note that IBM may offer an equivalent Instructor Led Online (ILO) or Self Paced Virtual Course (SPVC). Any of these courses will satisfy this package training requirement.

Please note that existing courses in the course catalog may still have previously used product names and that new versions of these courses may be available in the future with course numbers that are different from the ones listed above.

The cost for these training courses is not included in this Enterprise Records Fast Start. Please refer to the IBM Learning Services web site for detailed information regarding class cost, schedules, course descriptions, ordering options, registration instructions and 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.

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[4] Installation & configuration of a federated solution is outside the scope of this Fast Start Package.

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 Software Services 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 Software Services Team Resources

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

- Solution Implementation Manager (SIM) – Project Lead
- Software Services Consultant (Delivery 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 Software Services Project Lead.

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

- Project Lead
- IBM FileNet System Administrator
- Document or Records Manager
- Web Master or Web Designer
- System Operations Coordinator
- Client Desktop Coordinator
- LAN Administrator
- Database Administrator
- 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 some of these individuals. Please note that additional resources may be required at various phases of the project. Likewise, not all of the individuals may necessarily be involved in this project.

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

IBM FileNet System Administrator (1 to 3 people) - This individual manages the administration functions of IBM FileNet P8 (P8) and will learn the necessary functions to oversee the Enterprise Records system. Attending the Records Manager Administration Add-On class is required and should be completed prior to the delivery of this package. This individual will work closely with the Delivery Consultant during configuration of the Enterprise Records system.

Document or Records Manager (1 to 3 people) - This individual will assume responsibility for <IBM Cust>'s Enterprise Records File Plan configuration. The File Plan configuration includes but is not limited to the arrangement and organization of the records, the retention schedules for those records, and the user access to those records. Attending the Records Manager for the RM Professional class is required and should be completed prior to the delivery of this package.

5. Responsibilities

5.1 <IBM Cust> Responsibilities

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

a.) Project Prerequisites

- All prerequisites must be met before IBM can begin the installation of the product.
- All hardware, software, and network configurations must meet ECM requirements for system size and performance for the purchased software. This includes:
  - ➢ All prerequisite hardware and software installed onto <IBM Cust> designated ECM servers
  - ➢ Installation of the operating system
  - ➢ Installation of the customer-supplied database
- Installation or application of appropriate levels of patches to meet ECM's minimum requirements.
  - Have attended the required training prior to the installation of any ECM software.
  - Perform a network check (verify server connectivity to network, addressing, correct protocol).
- Enterprise Records software has been installed, configured, and verified as operating as expected

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.) Analysis and requirements gathering of business application rules, business application processes, and application security access as they pertain to the configuration of the Enterprise Records system.

d.) Local system administrator(s) trained on the administration of the ECM products to be configured at <IBM Cust>, specifically, completion of the Enterprise Records Administration Add-On course.

e.) After the <IBM Cust>System & Document or Records Manager Administrators have attended the proper training and have reinforced that training by observing the Delivery Consultant during configuration, <IBM Cust> System Administrator and Document or Records Manager will be responsible for completing the following items for future management and expansion of the system:

– Create and manage Enterprise Records system entities

– Define and manage record disposition schedules

– Generate and maintain system reports

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

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

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

i.) <IBM Cust> will make available all <IBM Cust> personnel required for this project based on the agreed-upon project schedule. 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 a chargeable PCR addressing additional or extended IBM personnel requirements and additional costs.

5.2 IBM Responsibilities

a.) Analysis and Requirements Discussion

- Review of existing records management procedures
- Review of document and record inventories
- Review of current taxonomies and/or file plans
- Review of Enterprise Records user roles and responsibilities
- Design of record file plans, including:
    – Record folder structures
    – Record metadata
    – Record security
    – Record disposition schedules as they pertain to the implementation of the Enterprise Records system

b.) System Design Requirements Gathering

- Document and record store architecture
- Document and record type analysis
- Users, groups, roles
- Document and record classes
- Map existing document classes in the P8 repository to record classes[5]
- Records categorization, metadata, security and disposition
- Record retention requirements as they pertain to the implementation of the Enterprise Records system

c.) Enterprise Records System Design Document

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[5] Installation & configuration of a federated solution is outside the scope of this Fast Start Package.

- Identify up to ten initial user and/or group profiles

- Identify up to twenty initial custom properties

- Identify up to ten sample document or folder classes

- Identify up to two hundred (200) folders (categories and record folders)

- Identify up to fifty (50) disposition schedules

d.) Perform System Administration Handoff

    – Transfer of Information

    – Problem Reporting

e.) Demonstrate Environment to <IBM Cust> Project Team

f.) Provide <IBM Cust> a completed Enterprise Records Checklist

6. Assumptions & Limitations

6.1 Assumptions

a.) <IBM Cust> has an established records management program. <IBM Cust> has an established file plan (records retention plan).

b.) <IBM Cust> has the appropriate internal managerial support for records management and implementing a records management program.

c.) <IBM Cust> has a Records Management Officer(s) who has the authority to map file plans, conduct inventories, review destruction, and establish records management policy and procedures for <IBM Cust>.

d.) IBM is not responsible for performing a compliance investigation or a records inventory but may provide guidelines for performing these tasks.

e.) Additional resources and time for the development of custom applications, customization of reports, or customization of workflows are not included in this Package.

f.) Installation and configuration of a federated solution is not included in this Package. Mapping of federated data from other repositories is not included in this Package.

g.) Additional resources and time for user acceptance testing or support, or production rollout assistance are not included in this service[6].

6.2 Service Limitations

The Enterprise Records 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 Software Services 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.

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[6] Contact your SS SL to scope the appropriate services to perform this effort.

6.2.1 Travel & Living Expenses

This Package does not include travel and living expenses incurred by IBM resources traveling to <IBM Cust>'s site in order to fulfill IBM's tasks and responsibilities pertinent to delivering this service.

The Delivery Consultant may travel to <IBM Cust>'s site for **four (4)** visit for tasks associated in delivering this service.   <IBM Cust> will be billed actual travel and living costs.

IBM will invoice <IBM Cust> for travel and living expenses and other reasonable expenses incurred in connection with the Package delivery. Amounts are due upon receipt of invoice and payable within 30 days. <IBM Cust> agrees to pay accordingly, including any late payment fee. <IBM Cust> does not have to pay any amount disputed in good faith while it is being investigated, but <IBM Cust> remains obligated to pay any amount not in dispute.

Additional on-site assistance requested by <IBM Cust> beyond the number of visits indicated above will be billable subject to the execution of a PCR. A visit is four or fewer days at your site by an IBM or IBM subcontract employee. 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 Software Services team for the Enterprise Records Project. Topics of discussion will include <IBM Cust>'s requirements, expectations, prerequisites, and schedules.

7.1.1   Review Project Services Description

The SIM will review the Enterprise Records Service Description, the tasks, and roles and responsibilities with <IBM Cust>'s Project Team.

7.1.2   Define and Review Project Plan

Once selected, the joint <IBM Cust> and IBM Project Team customizes the sample project plan defining mutually agreed-upon dates for delivery (see Sample Project Plan). 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 SIM 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: Infrastructure Review

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

will encompass the items indicated in the Platform/Architecture Configuration Document that was delivered to <IBM Cust> following the P8 installation.

7.3   Task 3: Analysis and Requirements Gathering

ECM systems can be configured in a variety of ways in order to meet the requirements of a given business. An adequate configuration that meets <IBM Cust>'s records management needs begins with valid business assumptions. The Delivery Consultant discusses various business requirements with <IBM Cust> and develops a set of assumptions that the team employs during the implementation. Prior to acceptance by the Project Team, <IBM Cust> reviews these assumptions for accuracy. Should these business assumptions change, the configuration may require changes, as well, to reflect the new assumptions.

This portion of the package is designed to ask the necessary questions and guide <IBM Cust> through the design and implementation process of the Enterprise Records system. The Delivery Consultant will perform an analysis of the documents and/or records that are to be stored and managed in the Enterprise Records system. Tasks include defining records life cycle, object classes, custom properties, and security. The Delivery Consultant will create a System Design Document based on the information gathered during this analysis. This document will be used to communicate with <IBM Cust> personnel for additional information and clarification.

7.3.1   Records Life Cycle

The Delivery Consultant will assist <IBM Cust> in defining the Records Management solution by specifically discussing how to capture, declare, classify, store, and dispose of both electronic and physical records according to defined <IBM Cust> requirements. The outcome of these discussions will include identifying:

- File Plan
- Record folders
- Records Retention Rules & Schedules
- How to manage physical boxes, folders, and records
- How to manage Record Disposition

7.3.2   Object Classes

From the life cycle discussions, the Project Team determines the types of objects or documents to be managed within the Enterprise Records System. The Delivery Consultant assists <IBM Cust> in collecting and recording the following information:

- Types of documents or objects specific to <IBM Cust>'s business
- Document lifecycles
- Object Stores
- Default instance security
- Object Class & Document property criteria
- Map existing document classes in the P8 repository to record classes[7]

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[7] Installation & configuration of a federated solution is outside the scope of this Fast Start Package.

7.3.3 Properties

Properties are the individual values that describe an object. Property Templates are assigned to object classes where they become properties of that class. The Delivery Consultant discusses properties and property templates with <IBM Cust>'s System Administrator to begin defining the storage, retrieval, and routing of objects.

7.3.4 Security Strategies and Security Access

The Delivery Consultant will discuss the security tools and strategies available to <IBM Cust> so that the System Administrator can begin to formulate and implement an evolving security scheme and procedure.

Areas of discussion include:

- The various security strategies (or methods of implementation) that the system can accommodate and which of these are best suited to <IBM Cust>'s requirements.
- How to organize users into different security or access groups.
- Determining the types of functions (system capabilities) that are appropriate for, or required by, users.
- Determining the security roles required by the business needs.
- Determining which functions should be restricted to different classes of users or groups.

7.3.5 System Design Document

Armed with information gathered in the prior tasks, the Delivery Consultant will create a System Design Document. This document describes the system components, installation parameters, configuration settings, users, groups, object stores, document classes, properties, security profiles, and all other pertinent data for a complete system configuration. The Delivery Consultant will provide <IBM Cust> with a copy of the System Design Document. This document is the guidebook for subsequent software installation, configuration, and testing by IBM ECM and <IBM Cust>.

7.4 Task 4: Implement the Specified Enterprise Records Configuration

Once the System Design Document has been reviewed and accepted, the Delivery Consultant will assist the <IBM Cust> team in implementing the configuration on the designated Enterprise Records system. This implementation task will involve both the <IBM Cust> System Administrator and the Document or Records Manager and will be an opportunity for knowledge transfer while the Delivery Consultant assists the team.

These definitions and configurations will be completed on one (1) Enterprise Records environment. The Delivery Consultant will validate the completed configuration according to the Enterprise Records Lifecycle testing outlined in the System Design Document.

7.4.1 Security Setup

<IBM Cust>'s System Administrator and the Delivery Consultant will define up to ten (10) user or group profiles based upon the System Design Document.

7.4.2 Property and Document Class Setup

The Delivery Consultant will assist <IBM Cust> IBM FileNet System Administrator with the configuration of up to ten (10) document classes and twenty (20) properties as defined in the System Design Document.

7.4.3 Record Categories, Record Folders and Disposition Schedules

The Delivery Consultant will assist <IBM Cust> with the configuration of Record Categories, Folders, and Disposition Schedules as defined in the System Design Document in accordance with the limitations listed in Section 5.2.

7.5 Task 5: System Administration Handoff

7.5.1 Transfer of Information

The Delivery Consultant will review the main features of the Enterprise Records configuration with the <IBM Cust> System Administrator to better prepare <IBM Cust> for further expansion of the system. The Delivery Consultant will reinforce topics covered in the Learning Services courses required for this Package. Topics to be reviewed:

- Adding categories to the file plan

- Assigning security permissions to record categories

- Configuration of disposition schedules and assigning disposition schedules to entities in the file plan

- Configuration of class definitions and property templates

- P8 Platform Documentation and Records Manager Documentation

7.5.2 Problem Reporting

Before calling IBM Product Support, full documentation of the problem at hand always expedites resolution and helps maintain internal system up-time records. The Delivery 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 1-800-426-7378 or 1-800-IBM-SERV.

7.6 Task 6: Demonstrate System to <IBM Cust> Project Team

After the configuration has been validated, the Delivery Consultant will demonstrate the Enterprise Records system to the <IBM Cust> Project Team. The demonstration is an opportunity to share ideas on how to best configure the system going forward, 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.

7.7 Task 7: Project Completion Checklist

Upon demonstration of the product the Delivery Consultant will deliver to <IBM Cust> a completed Checklist which constitutes completion of this project. Please refer to the *IBM Enterprise Records Fast Start Checklist.*

If issues arise after delivery of the Project Completion Checklist, <IBM Cust> should contact IBM Customer Support by using the IBM toll free Customer Service telephone number 1-800-426-7378 or 1-800-IBM-SERV.