



**IBM SOFTWARE SUPPORT  
FOR FILENET ENTERPRISE CONTENT  
MANAGEMENT  
Support Handbook**

**July 27, 2007**

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## Welcome to IBM Software Support for FileNet

This document is supplemental to the [IBM Software Support Handbook](#). Its purpose is to provide guidelines and reference materials that customers may need when they require IBM service and support for FileNet Enterprise Content Management (ECM) software. This support handbook, designed primarily for FileNet-heritage customers, explains how you can use your FileNet support entitlements to maximum advantage. When applicable, this handbook refers you to additional sources of information.

The IBM Software Support Handbook is available via the following website: <http://techsupport.services.ibm.com/guides/handbook.html>

## FileNet Software Support

The FileNet Technical Support team is focused on delivering customer satisfaction without compromise, and that commitment will continue as we integrate with the IBM Enterprise Content Management division. You will continue to receive independently-audited, world-class FileNet support from deeply-skilled and experienced staff. Moving forward there will be new opportunities to provide more comprehensive support, particularly for customers who have multiple IBM products.

Current FileNet customers retain the ability to:

- Receive entitlements under existing FileNet Support Agreements;
- Access FileNet Support through existing support phone numbers;
- Access on-line support via <http://css.filenet.com>. Your existing FileNet user name and password are still valid;
- Download hot fixes and patches from our FTP site;
- Access FileNet Support via IBM Support phone numbers worldwide;
- Work with your field-based FileNet ECM Support representative to learn more about our support services and make changes to the support you receive.

## Client Relations Group (CRG) for General Assistance

We anticipate you and your organization will experience a smooth transition to IBM software support. During this process, our Client Relations Group (CRG) is available to answer your support-related questions of a non-technical nature. These customer service representatives can provide information, guide you to the best resource to answer your questions, and identify your field-based ECM Support representative.

The Client Relations Group is available from 8:00 A.M. to 6:00 P.M. Pacific Standard Time. Every attempt is made to respond to all inquiries as soon as possible, but all messages should receive a response within 24 hours.

Email – [crgfn@us.ibm.com](mailto:crgfn@us.ibm.com)

Phone – 714.327.7680, option 6

Fax – 714.327.5121

CSS Web site address – <http://www.css.filenet.com/>

## FileNet Technical Support Organization

Our follow-the sun model provides a network of people, systems and services available 24 x 7 to ensure you consistently receive the highest quality service and technical support assistance. The FileNet Response Center is your single point of contact for all forms of technical assistance with locations worldwide and support delivered by one unified team.

### FileNet Response Center Locations

Region	North America Costa Mesa, CA	Europe Dublin, Ireland	Asia Pacific Beijing, China
Address	FileNet - IBM 3565 Harbor Blvd. Costa Mesa, CA 92626-1420	FileNet - IBM Eastpoint Business Park Fairview, Dublin 3 Ireland	FileNet - IBM IBM China Haohai Building, 4/F No.7 Haidian District, Beijing 100085, P.R.China
Hours of Operation	06:00 to 17:00 Pacific Standard Time	07:00 to 19:00 Greenwich Mean Time	08:00 to 18:00 Singapore Local Time 08:00 to 18:00 Beijing Local Time
Days of Operation	Monday through Friday	Monday through Friday	Monday through Friday
Languages Spoken	English, Spanish and others (as needed)	English, French and German	English, Chinese, Japanese and Korean

## Support Center Practices Certification

FileNet Response Centers have earned Support Center Practices (SCP) Certification annually since 1999. Our ongoing quality initiatives ensure we deliver the highest levels of service and support by following industry best practices. The SCP performance standards include more than 100 business elements that define world-class performance levels, and certification requires comprehensive audits and annual recertification. For more information, visit <http://www.spcertification.com/>.





## FileNet Response Centers Join IBM's Global Network of Centers

FileNet customers may now access standard IBM Software support for technical support, and the call will be routed to the FileNet support team to assess the problem, work it to resolution, and deliver the answer to the customer. For a complete list of IBM support phone numbers, please refer to the following website: <http://techsupport.services.ibm.com/guides/contacts.html>.

### FileNet and IBM Phone Numbers for Technical Support

For real-time phone response, customers and partners should continue to call FileNet support.

Country	FileNet Support	IBM Support
Americas		
United States	1-800-624-4877	800-IBM-SERV (800-426-7378) 770-955-6016
Canada	1-800-624-4877	800-IBM-SERV 506-646-4000
Latin America	1-714-327-3981	See individual countries
Europe, Middle East and Africa		
United Kingdom	084-530-98012	0870 0101952
Germany	01800-200-0013	0180-5001242
France	0800-906-427	+33 (0) 810 63 10 20 +33 (0) 810 63 10 20
Other Locations	00-353-1-819-0200	See individual countries
Asia Pacific		
Australia	800-02-0502	131-426
Peoples Republic of China	800-810-5122	800-810-1818
India	0008006501333	1800-425-6666 (Toll Free) or +91 080-26788970
Hong Kong	800-96-3522	852-8205-8288 852-2825-6222
Japan	001-010-800-0880-8800 (For KDD telecom provider) 0061-010-800-0880-8800 (For JT-IDC telecom provider) 0041-010-800-0880-8800 (For JT telecom provider) 0033-010-800-0880-8800 (For NTT telecom provider)	0120-557-971 (Prime Shift) 0120-557-985 (Off Shift with Severity 1)

Country	FileNet Support	IBM Support
Malaysia	800-80-1632	1800 88 8558
New Zealand	800-02-0502	0800 733 222
Singapore	65-6418-1999	1 800 3172 888
Korea	001-800-0880-8800 (For KT telecom provider) 002-800-0880-8800 (For Dacom telecom provider)	1588-5801
Taiwan	00801-861-035	0800-016-888 #23
Thailand	800-65-6263	1800-299229
Indonesia	803-65-7415	8001403555
Philippines	800-1651-0224	1800-1888-1426

## Local FileNet Support Manager Directory for Account Support

Your local field-based FileNet Support manager is available to discuss details of your support agreement and any value-added support services you may require. FileNet Support managers can assist you in planning and purchasing support services to meet your specific needs. Contacts are listed below, based on the worldwide locations they serve.

<b>Contacts</b>	<b>Region: Americas</b>	<b>Phone</b>	<b>Email</b>
Ron Benson	United States, Canada, and Latin America	1-650-218-8052	<a href="mailto:ronbenson@us.ibm.com">ronbenson@us.ibm.com</a>
John Foley	Southeast and Mid-Atlantic	1-770-407-1796	<a href="mailto:jofoley@us.ibm.com">jofoley@us.ibm.com</a>
Joe Kuderer	South Central, Pacific Southwest and Latin America	1-817-766-4454	<a href="mailto:jkuderer@us.ibm.com">jkuderer@us.ibm.com</a>
Todd Edwards	New York/New Jersey Metro and Wall Street	1-732-842-3925	<a href="mailto:edwardst@us.ibm.com">edwardst@us.ibm.com</a>
Terry Frolio	Midwest and Latin America (partners)	1-402-350-7357	<a href="mailto:tfrolio@us.ibm.com">tfrolio@us.ibm.com</a>
Jeff Thompson	Northeast	1-724-894-2045	<a href="mailto:jefft2@us.ibm.com">jefft2@us.ibm.com</a>
Scott Lucus	Pacific Northwest and Western Canada	1-916-303-4783	<a href="mailto:slucus@us.ibm.com">slucus@us.ibm.com</a>
Don Bemiss	Great Lakes and Canada	1-248-782-4089	<a href="mailto:dbemiss@us.ibm.com">dbemiss@us.ibm.com</a>
<b>Contacts</b>	<b>Region: Europe, Middle East and Africa</b>	<b>Phone</b>	<b>Email</b>
Dr. Olaf Schwalb	Central and Eastern Europe (including Germany, Austria and Switzerland)	069-6645 x1784	<a href="mailto:Olaf.Schwalb@de.ibm.com">Olaf.Schwalb@de.ibm.com</a>
Detlef Ensink	Central and Eastern Europe (including Germany, Austria and Switzerland)	069-6645 x1761	<a href="mailto:detlef.ensink@de.ibm.com">detlef.ensink@de.ibm.com</a>
Jeanenne Titchener	Nordic Countries, United Kingdom, Ireland and South Africa, Belgium, Netherlands and Luxembourg	44-07710-612-533	<a href="mailto:jtitchener@uk.ibm.com">jtitchener@uk.ibm.com</a>
Giorgio Anselmi	Italy, Spain, Portugal, Greece, Israel, Turkey, France and Northwest Africa, Middle East	39-06-6509-3923	<a href="mailto:g.anselmi@it.ibm.com">g.anselmi@it.ibm.com</a>
<b>Contacts</b>	<b>Region: Asia Pacific</b>	<b>Phone</b>	<b>Email</b>
Michael Cowans	Asia and Pakistan	65-6418-9447	<a href="mailto:mikec@sg.ibm.com">mikec@sg.ibm.com</a>
June Spittle	Australia and New Zealand	61-2-8224-9911	<a href="mailto:jspittle@au1.ibm.com">jspittle@au1.ibm.com</a>



## FileNet Software Maintenance and Support at a Glance

As a supported FileNet ECM customer, you purchased a basic support plan and possibly an entitlement for extended coverage. Your FileNet Support Agreement provides a foundation of essential maintenance and support deliverables which may be enhanced with premium-level value-added support offerings, as summarized in the following charts.

### Basic Support for FileNet at a Glance

<i>Basic Support for FileNet</i>	<i>Description of Coverage</i>
<b>Hours and Days of Coverage</b>	08:00 to 18:00, customer local time, Monday – Friday
<b>New Software Releases</b>	Right to New Versions (RTNV), when and if available
<b>Case logging by phone or Web</b>	Unlimited
<b>Real time phone support</b>	Unlimited
<b>Support contacts</b>	Unlimited; Authorized to open cases and access FileNet Support Web services FileNet training is highly recommended
<b>FileNet Support Web services</b>	Unlimited; Case management, knowledge base, download fixes/patches via FTP site, and product documentation
<b>Response time</b>	Phone: Targets based on case priority; Web: 24 hours

### Premium Value-Added Support Offerings at a Glance

<i>FileNet Name</i>	<i>Description</i>	<i>IBM ECM Premium Support Offering Name</i>
<b>Technical Account Management</b>	An assigned liaison in the response center manages all aspects of your support issues, provides detailed technical advice, and shares ECM product knowledge and expertise	<b>Premium Support Manager (PSM)</b>
<b>Technical Consulting (non-emergency on-site support)</b>	Supplemental on-site support, beyond the scope of basic support entitlements, to help you implement integrity fixes or perform a range of technical maintenance tasks	<b>Operations Support</b>
<b>Technical Consulting/WTA (emergency)</b>	On-site expertise to ensure help at mission-critical times	<b>Emergency On-Site Support</b>
<b>Upgrade and Installation Support</b>	Upgrade, install or migration support with a focus on your unique environment, includes site-specific planning and access to a dedicated team of specialists	<b>Operations Support</b>
<b>Developer Support (SDK)</b>	Consulting support and access to a repository of on-line resources specifically for application developers; includes code review, analysis and resolution	<b>Developer Support</b>
<b>Custom Application Support</b>	Remote support from a specialized team that is familiar with your custom application delivered by IBM Lab Services, includes consulting and enhancement services	<b>Application Support</b>

## Contacting FileNet Technical Support

There are a few things you can do to prepare before logging a case. Following these guidelines will help you make the most effective use of FileNet Support and ensure your issues are resolved as quickly as possible.

For additional detail on these topics, you may also reference Appendix C: FileNet Call Handling and Case Escalation Policies and Procedures.

### Gather the Facts

To accelerate the case handling process, please have the following information readily available when contacting FileNet for technical support:

1. Your FileNet Site Number and/or FileNet Site Name
2. Your installed product information
3. FileNet product and version, product patch level, and operating system/platform
4. A description of the problem and your configuration
  - Provide error or tuple messages, if any received
  - Indicate how many users are affected (to help establish a priority level)
  - Note when the error message first occurred
  - Can it be reproduced? Describe the scenario (including steps and frequency) leading to the occurrence of the problem
5. Any steps you have taken to attempt to solve the problem

Callers will be required to provide an email address and a direct telephone number. While a case is being resolved, your system administrators or developers must be available to provide information to the FileNet Support engineer and to implement solutions when necessary.

### Site Number, Site Name, and Customer Numbers

You will receive a new IBM Customer Number (ICN) and a confirmation of your entitlement to support. Please keep this new information for future reference when contacting IBM for support.

*In the meanwhile, use your FileNet customer and system identification numbers.* Your company is assigned one or more FileNet Site Names with corresponding Site Numbers and System ID numbers (formerly known as CIDs). This information will be requested when you open a FileNet Support Web account and each time a case is opened. This process creates an accurate history of support activity that can be maintained for each of your sites or systems.

Any questions about your system information may be directed to the Client Relations Group at [crgfn@us.ibm.com](mailto:crgfn@us.ibm.com).

FileNet Example for ABC Company, Inc.

<i>Site Names</i>	<i>Site Numbers</i>	<i>System ID</i>
ABC_DEV	10003675	610614
ABC_PROD	10003030	613617
ABC_INATL	10003608	615757
ABC_INATL2	10003399	615757

## Determine the Business Impact

All cases logged with FileNet Support are assigned a priority from 1 to 3 based on the severity of the issue and its impact on your business. There are three main levels of case priority: 1-High, 2-Medium, and 3-Low. These are based on defined system functionality guidelines. The ECM Support team is dedicated to responding to your case within the appropriate time frame, based on case priority. Calls are handled on a priority basis and high priority (P1) calls are targeted to be handled on a real time basis, whenever possible. All lower priority calls will be handled accordingly based on entitlement and call time, but those will generally be handled via a call back by a Response Center engineer.

### Priority Levels and Response Time Goals

<i>Case Priority</i>	<i>Priority Level</i>	<i>Description and Examples</i>	<i>Response Time Target</i>
P1	High Production System Down	The customer production system is not operational. The problem affects more than 90% of the users and a solution is not available.  Examples: Application server is down or system does not respond to commands.	Real time, But No More Than 2 Hours
P2	Medium Serious Impact on System Operation	The customer production system is operational but has a major feature that is not operational or performance is very slow. The problem affects a significant number of users and a solution is not available.  Examples: Performance issues or backup problems.	8 Business Hours
P3 All Web-initiated cases are assigned P3	Low Subsystem or Device Failure and Electronic Support Cases	The system is generally available and functional for a significant number of users. An interim solution is available to keep the system operational.  Examples: A minor system feature is not operational or one of several stations is not operational.	24 Business Hours

## Reporting a FileNet Software Problem

When you contact the response center, either by phone or via the FileNet Support Web site, your call is logged into a database and a case number is created. The case is assigned a priority level, and it will stay open until the problem is resolved. A global call-management system links the response centers together, tracking all your reported activities worldwide. All detailed information, updates and actions regarding the case are maintained in the database for future reference. The system automatically escalates your issue when targeted response times are exceeded, and FileNet Support management can access the details of your case.

Each assigned case number is a unique identifier that enables you and the response center staff to track the case until the issue is resolved. It is important to record this number for reference in the event you want to request an update on the status of the case, or check on it using the FileNet Support Web site. If you need to call the response center regarding an ongoing case, you will be asked for the case number.

Tip: Establish a logbook and make an entry for each case, noting the case number and the time the call was opened. Use this case number in any related telephone calls, emails or faxes.

Note: If your call is outside your contract entitlements and will result in additional support charges to your company, the response center staff will advise you of this prior to proceeding with the case, in order to prevent any misunderstanding.

For example:

- If you do not have after-hours coverage and the situation is not critical, you may wish to log the case the next morning instead of incurring the extra support charges.
- If you decide to open a case after hours, and your support agreement does not have an after-hours support entitlement, you will be charged after-hours Time and Material Rates. We will respond to the call in a best efforts manner, and targeted response times will not apply.

## Accessing Web-based Support

The FileNet Support Web site is password protected. To access the supported customers' area, contacts must create a Web account.

The portal at <http://www.css.filenet.com/> provides 24 x 7 access to technical support information, including product documentation and the extensive resources of our knowledge base. Authorized contacts can open low-priority cases, manage cases, download patches, and access a wealth of technical information. Most of the FileNet Support Web site is available only to our supported customers.

Home Page for FileNet Support Web Site



## Working Together to Resolve Your Case

It is important to understand that resolving your case is a two-way process. FileNet's ECM Support staff counts on your continuing involvement to solve problems. We need your help in order for us to help you realize the fastest path to resolution of your problem.

Here are some examples of ways you can assist FileNet Support:

- Involve the number and level of your staff needed to work on the case effectively
- Be willing to gather information, test, and apply fixes
- Remain available so we can contact you as required

Again, cases cannot be opened or transferred to someone who is not a registered contact.

## Enabling Remote Support

FileNet ECM server systems provide comprehensive detection of software problems. Error logs and performance data are generated on your FileNet ECM servers and logged into message log files. If a system problem occurs that is related to the server hardware or an attached peripheral hardware device, the server(s) running the FileNet software will have a message or event log that may contain detailed information regarding the problem.

We recommend a modem or a VPN connectivity arrangement for remote support. All customer systems must provide an approved modem or secured network communications link for file transfer support and remote diagnostic capability.

When a case is opened with the response center and the system engineer determines it will be necessary to personally examine or review the hardware or software message logs, this will be performed via a customer provided dial-in procedure or through secured network access. We do not impose any restrictions on the type or format of this procedure. You may provide procedures ranging from a direct dial-in modem or network access with only password security to more sophisticated dial-in or network access (VPN) techniques that may require multiple passwords and on-site operator assistance. We urge you to be security conscious when providing dial-in access. Should your security require licensed software packages for which we do not hold licenses, you are required to provide a copy of the product and/or proof of licensing.

Note: Inability to access (both remote and on-site) the system may impact our ability to resolve cases in a timely manner and jeopardize your ability to maintain internal business uptime requirements.

## Using Collaborative Work Capabilities

FileNet Support provides collaborative work capabilities through the licensing of WebEx Support Center. The capabilities extended through this product provide response center and field engineers the ability to work in a global real time collaborative environment with you for the analysis and resolution of product integrity issues. This Internet-based technology allows on-demand bi-directional access to remote systems and diagnostic tools to reduce time to resolution of customer issues and enhance information sharing capabilities. It enables desktop application sharing and remote system control for virtually any environment supporting standard Internet browsers, such as Internet Explorer and Netscape.

Tip: Upon request, a case report can be generated, describing the actions taken to resolve the problem.

## Case Resolution Stages

After a case has been opened, the diagnosis and resolution process begins. In this process, three important stages are defined. Most cases proceed through these stages in an efficient and timely manner.

- **Diagnosis** – The initial stage involves the determination of the cause of the problem and the method needed to resolve the issue and bring the system or feature to an operational status.
- **System or Feature Operational** – This stage is reached when the necessary procedures have been executed in such a way that the system can be used in production.
- **System Stable** – The last stage is reached when the issue causing the problem no longer recurs. A case is resolved once the appropriate action has been taken to bring the system or feature to an operational state, and it is verified that the system is stable. This may include reconfiguration of the system, installation of software defect corrections for known problems, or upgrading the system to a more current software release level.

Note: If you are uncertain that the problem is a FileNet software issue, the response center engineer will help you. If, for example, your problem is due to your hardware, operating system (OS), or third-party software, we may recommend contacting another vendor or maintenance provider.

## Software Defect Corrections

Your FileNet support team follows detailed case handling procedures. As the resolution process evolves, the support engineer is guided by protocol. If the problem is found to be the result of a software defect, FileNet Support reports the defect along with the severity and customer impact to the Engineering department for a response.

If the problem is found to be of a non-critical nature (for example, if production is not impacted or an acceptable workaround can be implemented), the response center engineer reports the defect, enters it into the case information, and provides you with the defect tracking number. This becomes known as a Software Trouble Report (STR) or Failure Report (FR). Your case will be closed, and the issue can still be monitored using the FR or STR search via the FileNet Support Web site.

If the problem is found to be of a critical nature, the response center engineer reports the defect and establishes a showstopper status. Our Engineering department will respond to a showstopper request within 24 hours. This response may be a request for additional technical information, a suggested workaround or alternative approach, or an expected milestone date. Until the problem is resolved the case remains open in the response center. The response center engineer keeps you informed of the progress of the defect. You also have the option of reviewing the status of the showstopper request from the FileNet Support Web site.

Upgrades, Patches and Service Releases: Customers and partners should continue to download hot fixes and patches from the FileNet FTP site, until further notice. Customers should continue requesting upgrades through their FileNet Technical Consultant (TC). Partners should follow pre-existing processes.

## Closing a Case

Cases will not be closed without your approval. Following are examples of situations when a case may be closed:

- One of your support contacts requests that the case be closed.
- The case is resolved after your support contact and the response center mutually agree on a solution to the issue.
- The issue is found not to be due to any deficiency of the FileNet software.
- The issue is found to be a multi-vendor issue, and you agree to transfer the problem to the third-party vendor for resolution.
- A resolution can be provided only by an enhancement to FileNet software, and the enhancement has been identified as a candidate for future releases.

## Escalation Procedures

Problems occasionally occur for which the resolution process is more complex and requires more extensive research and resources. In order to address such issues, we have implemented a time-driven procedure of resource allocation and escalation.

This process is automatic and does not need to be requested by the customer. The length of time after which this process is triggered depends on the severity of the problem and the stage of the resolution process when the escalation occurs. The following table details automatic time-driven escalation times.

Time-Driven Escalation Times

<i>Priority Level</i>	<i>Problem Diagnosis</i>	<i>System/Feature Operational</i>	<i>System Stable</i>
<b>High - P1</b>	4 hours	8 hours	48 hours
<b>Medium - P2</b>	1 day	3 days	5 days
<b>Low - P3</b>	3 days	10 days	15 days

Note: The times defined in this table represent the time spent working on the case. A case may be suspended while waiting for a customer's response, such as providing information, installing a patch, etc. When this happens, the automatic time-driven escalation process will also be deferred.

## Involvement of Additional Resources

FileNet Support engineers with specialized training and experience will diagnose and resolve the most common issues when initially reported to the response center, and the engineer may need to have access to the affected system via a customer-supplied remote dial-in link, secured network access or WebEx Support session.

When an issue is complex and requires additional expertise, FileNet Support will engage additional resources with more specialized knowledge and skills to work with the primary engineer and you to resolve the issue as quickly as possible.

In the unlikely event that the problem cannot be fixed remotely, a FileNet Technical Consultant (TC) may be contacted by the response center to assist on site. The local TC will arrange a time and date for on-site coverage with you and will work with the response center engineer to further isolate and resolve the issue.

In the event that a problem cannot be rectified by remote diagnostics or the on-site TC within agreed-upon timeframes, procedures to engage FileNet Support's escalation team will be initiated. This team may include (but is not limited to):

- Customer technical and management representatives
- FileNet Support response center management and technical staff
- Field management and TC
- Lab Services
- Engineering



Note: Generally, any on-site activity performed by a TC is a chargeable service, however, if the problem is isolated as a FileNet software defect, there will be no charges associated with the on-site visit unless it is performed after hours or upon special request by the customer.

If the problem is determined to be a non-FileNet software related issue (such as a database partition full or an OS bug), diagnostic and/or on-site support charges may apply.

If the issue requires escalation to Engineering, you will be kept informed as progress is made toward a resolution. The involvement of Engineering follows several steps, as described here.

1. The FileNet Technical Support team writes a defect tracking report based on the information collected while troubleshooting the problem. A defect number is assigned and relayed to you for future reference and tracking purposes. At this time, the problem may also be escalated to field or corporate management. The problem is assigned a priority level based on its mutually-determined criticality.
2. The response center and third-level engineering staff work together to try and reproduce the problem in one of our support labs on a system similar in configuration to the one reporting the problem.
3. Once the problem has been isolated to a FileNet software, the appropriate engineering developers will be assigned to repair the software or create a workaround that will be acceptable to the customer.
4. If the software is modified to correct the problem, it will first be tested to ensure the problem is resolved on the lab system.
5. The engineering developer issues a Software Change Report (SCR), and the software may then be tested in our Quality Assurance (QA) lab before formal release to you.
6. The SCR is formally released from Engineering and installed at your site by a qualified support person. (This may be your system administrator or a software developer, or a TC or the response center.)

Upon successful verification of the SCR, the case is closed. If the problem is not resolved at the customer site, it becomes necessary to collect more data about the problem and resubmit this information to Engineering where it will be reprocessed until a new solution is reached.

### Exceptions to the Usual Escalation Process

FileNet Support's automatic processes are in place to assure all support cases are worked and resolved in a timely manner. While the majority of cases are resolved using those processes, there are occasions when either the FileNet Technical Support team or the customer decides an escalation is needed to expedite a solution.

There may be customer circumstances, such as urgent business requirements, where the standard process may not be sufficient to address the issue in such a way that the requirements can be met. Therefore, we have implemented an exceptions-based management escalation procedure that specifically addresses such cases.

The goal of this escalation process is to allow you to satisfy specific business requirements. The escalation process is considered complete once these requirements can be met. While this most frequently implies that a permanent solution to the problem has been implemented and verified, it may mean an alternate solution or workaround is put into place until a permanent resolution is available.

**Tip:** The exceptions-based escalation process is designed to handle situations that are *not* caused by a failure in the normal call handling process. Escalations about process-related failures should be submitted to and handled by the appropriate FileNet Support group manager, who may transfer the case to the escalation manager if needed.

This process assumes that a case has been opened as outlined in this document. If this is not the situation, the case must be opened prior to the escalation.

## Completion of an Escalation

The escalation process is complete once the problem has been resolved or an acceptable alternate solution allowing you to meet business requirements has been implemented. The original case remains open to completion and follows normal FileNet Support case handling procedures. For additional visibility, every Monday morning a worldwide conference call is attended by senior executives from all strategic areas. The purpose of this conference call is to review escalating accounts, focusing on rapid resolution and tactical efforts associated with the successful completion of the case.

## What Can You Do if You are Not Satisfied with the Support You Receive?

When a case is opened, you are informed of the normal process steps that will be taken to resolve the problem. It may become apparent at this point that the normal process may not allow you to satisfy specific business requirements and may have a significant impact on your operations. When faced with this situation, you may contact the appropriate response center manager. Additionally, we have both response center and field escalation managers available 24 x 7. If at any time you feel a need to speak to a manager or escalate a situation, phone the response center with your request. The appropriate escalation manager on duty will be contacted and will contact you to discuss the situation.

The contacted FileNet Support manager will validate the escalation request and ensure the required information is available to report the case. Since the goal of the escalation is to allow you to meet specific business requirements, the information provided must include details on these requirements and what is minimally needed to meet them.

Should the situation become seriously critical or require extended escalated actions to resolve, we have full-time escalation managers within each response center to monitor progress, discuss current actions via conference call, and update senior management. The escalation manager evaluates the available information and determines the course of action to resolve the issue. Steps taken in the escalation process may include (but are not limited to):

- Assigning the case immediately to an escalation team support engineer
- Requesting the immediate assistance of a level 3 engineer and/or development engineer in the diagnostic process
- Requesting local TC involvement for on-site intervention

As soon as an action plan is defined, the escalation manager communicates this plan to you. Throughout the execution of the plan, the escalation manager will ensure you are regularly informed of the progress made through e-mail, conference calls, and direct communication.

## New FileNet Software Releases

As a supported FileNet ECM customer, you are entitled to all software upgrades for supported products that become available during the life of your support agreement. This entitlement is often referred to as Right to New Versions (RTNV) of software.

There are several types of releases that may be delivered during the life of the product, as described below:

- Major releases deliver major new features, support new technologies, and provide all levels of software defect corrections. They may be compatible with previous release families, but may also require database conversions. Each major release is the parent of a new software family of minor releases.
- Minor releases deliver low-risk corrections for field reported problems and introduce low-risk new functionality. Minor releases are cumulative in nature, so production for a particular family is discontinued once the next software family is launched.
- Maintenance releases are collections of critical software defect corrections with few or no functionality changes. Maintenance releases are defined as those client or server releases that include maintenance fixes, plus *minor* functional changes or enhancements.
- Software defect corrections, commonly called bug fixes, are made immediately available through our FTP site as part of an open case. Software defect corrections or "fix" files are provided via two means: electronic delivery or with Service Packs. Individual hot fixes are provided as part of the case resolution process and are made available for downloading electronically as needed.
- Service Packs are produced periodically to make sets of software defect corrections and low-risk features available to customers. They may also include support for low-risk third party vendor software releases, hardware devices, and system configurations "post-qualified" with an existing major or minor release. A new Service Pack will contain all fixes released in an earlier Service Pack or Hot Fix Pack for a specific product. For some products, Service Packs may also contain the recompiled base release.
- Hot Fix Packs are cumulative sets of "showstopper" software defect corrections for an associated release. They do not normally contain the base release of the product, and must be installed on top of the release to which they apply. Hot Fix Packs are made available via the FTP site.

## Upgrades, Patches and Service Releases

Customers and partners should continue to download hot fixes and patches from the FileNet FTP site, until further notice. Customers should continue requesting upgrades through their FileNet Technical Consultant (TC). Partners should follow pre-existing processes.

## End of Support Life

End of Support Life (EOSL) is periodically announced for FileNet software. Your support contacts are notified by electronic mail a minimum of 180 days prior to the EOSL. Following EOSL, FileNet Support will continue to accept inquiries from supported customers and will make a best effort to resolve technical problems, answer questions, and provide support on other issues that do not require software engineering support. No revisions, software defect corrections or other changes will be made to a product version that is greater than one revision prior to current. Phone or Web-based support after EOSL is limited to current available fixes and will be available on a commercially reasonable efforts basis at prevailing rates.

Note: Once a new release is available, there is a well-defined policy to support the older releases. It has been our policy to support the current release and the immediate prior release. The length of time that a prior release is maintained varies, depending how frequently new major releases become available.

## Upgrade and Install Support

When you decide it's time to upgrade, install or migrate the base infrastructure of a FileNet ECM system to a new, major release, we have an expert staff of dedicated engineers to fully support your upgrade and installation activity. The Upgrade/Installation (U/I) team supports the installation, upgrade, and same-platform migration of the following server products:

- IBM FileNet P8 product suites
- IBM FileNet Image Services
- IBM FileNet eProcess
- IBM FileNet Content Services

Working remotely along with you and your on-site Technical Consultant (TC), our U/I team uses only proven and validated methodologies to help you mitigate risk and minimize project effort. The U/I team helps you understand and plan for potential changes and impacts related to upgrades. Based on a comprehensive review of your configuration, the U/I team shares any known issues or workarounds and delivers a written project review.

Support from our U/I specialists helps you

- before the project starts—with checklists for thorough preparation and a plan that carefully combines product knowledge, technical expertise, and insight into your unique environment and business;
- during the actual upgrade or installation—with phone support and guidance provided on a real time basis; and
- after the activity is completed—with contributions to post-project support, valuable for isolating problems that may be related to the installation, upgrade, or migration.

U/I Support services may be purchased in advance either with a purchase order or a prepaid block of hours. U/I Support can be ordered through your local FileNet Support manager who can work with you to come up with the best and most economical method to allocate for value-added services.

Tip: Contact your local FileNet Support manager to trigger the process to engage a TC in a system upgrade or add-on installation. Plan ahead! Upgrades must be scheduled with FileNet's Install/Upgrade team at least four (4) weeks in advance.

Tip: Customers are encouraged to take advantage of discounted blocks of on-site technical support hours to reduce the cost for upgrade services, as well as other value-added services. An order form can be found on the FileNet Support Web site.

## OnSite Technical Support Services

The standard service deliverables included in a FileNet Support Agreement meets the needs of the majority of our customers. There are times, however, when you may require more from the support program you have selected, so we offer additional value-added support. Onsite technical support is offered through our Field Delivery organization, and these services:

- Complement and extend the deliverables included with your support plan
- Provide on-site services delivered by FileNet Certified technicians
- May be pre-purchased in blocks of hours, available at reduced rates for easier budget planning and faster response to unplanned services
- Are flexible and can be pre-arranged for to ensure a convenient time and date for your services

The needs for optional technical support services often arise due to system growth (rather than a FileNet software defect or malfunction) or system changes rendered on non-FileNet products. Common usage examples of technical support services include the following:

- Customer requests for on-site integrity support for FileNet software
- On-site integrity support for systems without remote access
- IBM FileNet P8 installation or upgrades (see Note 1 below)
- Database expansion
- On-site assistance for non-FileNet software integrity issues or problems
- System re-configuration due to network changes, movement of equipment, system growth, custom or non-standard environment or disk mirroring
- On-site FileNet client software installation and/or upgrade assistance
- Print, Capture & Capture Fax installation and/or upgrade assistance (see Note 2 below)
- Custom scripts to perform required system administrator functions such as backup and restore, background jobs, etc.
- Application or system testing
- Troubleshooting assistance with third-party applications, software, or hardware or extended system troubleshooting that results in problem isolation to a third-party product
- Customer requested remote or on-site support resolution assistance for any non-FileNet manufactured software products (examples: AIX, HP-UX, SUN OS, NT, Customer Supplied Oracle)

This is only a sampling of the many onsite technical services available. Please contact your local FileNet Support manager to discuss, schedule and coordinate these services. We can work with you to come up with the best and most economical method to allocate for value-added services.

Note 1: Services to install software upgrades or updates are considered a chargeable, value-added service and are not covered under your support plan unless otherwise specified.

Note 2: Implementation and/or integration of FileNet ECM products have an associated implementation or integration charge, separate from the product purchase price, based on the activity to be done during the Principal Period of Support (PPS). If this activity is requested outside PPS, an additional charge will be applied.

## Professional Services Practices Certification

In 2006 FileNet became the first company to achieve Professional Service Practices (PSP) Certification, the definitive standard for service quality in the technology industry. Our Field Delivery Organization, which provides onsite installation and upgrade services as part of a collection of technical service offerings, met more than 100 business elements that define practices necessary to consistently deliver the highest quality field services. PSP is part of a suite of service capability and performance standards designed to improve the quality and effectiveness of technology support and service operations. These internationally recognized standards define best practices, quantify performance levels and provide a foundation to build on existing quality processes. Certification requires comprehensive audits and annual recertification to confirm that we continue to meet the requirements of the program that define world-class professional service performance levels.



## Your Feedback Promotes Process Improvement

At FileNet, we view the relationship with our supported customers as a partnership. We work together to solve problems, and we invite your input to let us know what we are doing right and what we need to improve. Your satisfaction with the support and services we deliver is our number one objective, so your feedback is extremely valuable to us. FileNet Support is committed to continuous process improvement and has established methods of monitoring and measuring our performance to improve the quality of our services.

FileNet Support works with Satmetrix Systems, the leading provider of enterprise solutions for improving business loyalty and profitability, to conduct independent research and solicit objective customer opinions on multiple aspects of our performance. Customers are surveyed at the closure of each support case. We evaluate all events—from the most critical to non-urgent informational calls—to measure our support delivery both operationally and based on your perceived satisfaction levels. Working with Satmetrix Systems, FileNet Support monitors technical support services quality metrics to track support satisfaction and compensate support technicians. The feedback we receive in such key areas as responsiveness, communication of status, and issue resolution helps us fine-tune our call-handling procedures to ensure that we meet your support needs—as well as world-class standards.

In the event low satisfaction scores are returned, FileNet Support group managers and supervisors are immediately notified. A follow-up discussion is then arranged with you to correct any problems. Real time customer feedback facilitates the response center's ability to make both incremental changes and continuous improvements.

Customers expect quality service on every encounter with our response center. Delivering consistent service quality requires a complex system of training, metrics, tools and quality processes. As we work to respond to your feedback, we also want to keep in touch with you regarding our progress. A variety of customer satisfaction reports are updated quarterly and made available for you to view on the FileNet Support Web site at <http://www.css.filenet.com/custsat.asp>. A login is required to view them.

## Support Renewal and Order Processing

Effective July 1, 2007, you will begin to notice changes as FileNet Corporation processes begin to integrate with IBM, including changes related to your fulfillment and services experience.

IBM is pleased to offer FileNet product fulfillment and services contracts/invoices through the IBM infrastructure. Our goal is to give our customers and partners flexible, integrated solutions that link departments, customers, manufacturing and delivery centers, both locally and globally. IBM offers a variety of strategic services to assist you with the ordering, invoicing and payment for IBM solutions.

Here are a few of the changes that may directly impact you:

- The quotes and invoices you receive will change in format after July 1, 2007 and they will be issued from an assigned IBM location. This may affect the remit to address, and for customers in certain countries, the transaction currency that you are using today.
- The vendor name will change from FileNet Corporation to the applicable local/regional IBM operation covering your location.
- The vendor remit to addresses for checks, wire transfers and overnight payments will change for all new business after July 1, 2007. The new details will appear on your invoices issued from IBM after that date.
- Effective July 1, 2007, your FileNet Corporation **customer number** will be replaced with an IBM customer number (ICN).
- New part numbers will be assigned to the FileNet portfolio and those will appear on quotes you may receive. Product descriptions will remain similar.
- Order forms for support services will no longer be used. Your local ECM Support manager will assist you with the IBM ordering process.

The minimum term of a FileNet customer software support agreement is one year. Support agreements continue to renew automatically, unless you notify us otherwise.

Your organization should assign responsibility for tracking the status and renewal of the FileNet support agreement to a specific individual. If you cannot locate your internal corporate person responsible for the FileNet contract, contact either your local FileNet Support manager or the Client Relations Group for assistance.

Tip: All your procedural questions or questions on operational issues may be directed to the Client Relations Group (CRG) at [crgfn@us.ibm.com](mailto:crgfn@us.ibm.com).

Tip: Your local ECM Support manager will provide assistance for ordering any support services that were previously processed via a FileNet order form.



## APPENDIX: FileNet Technical Contacts

Maintaining maximum system availability and achieving timely case resolution requires a strong working partnership. A major key to a successful system implementation is the collaboration between your on-site system administration staff and the FileNet support staff. The individuals you select and train will most likely provide a focal point for problem resolution at your site, manage your user base, and ensure common practices and software distribution. These individuals also provide critical issue verification and control prior to escalation to FileNet. Their expertise often results in quicker problem determination and faster resolution of escalations to FileNet.

### Suggested Qualifications

You are strongly encouraged to identify system administrators and product specialists who have industry training and experience. Training and experience is recommended in client and server operating systems, local area network support, SQL type databases, and customer support. System administration and support personnel should satisfy some industry requirements before attending FileNet training. Recommendations vary according to your specific configuration.

You are encouraged to assign primary and secondary system administrators for your systems, along with an alternate in the case of mid-range and larger systems. Alternate system administrators should have similar qualifications and training.

In order to most efficiently use the support services offered by FileNet Support, all supported customers are required to ensure their system administrators and key technical staff are FileNet-trained on the software and systems they are maintaining.

Visit <http://www.ibm.com/training> to learn more about the many courses offered, class schedules, training and certification path information, registration, and special training options. Contact us via email at [fnregna@us.ibm.com](mailto:fnregna@us.ibm.com).

Education Account Managers are available by phone and are dedicated to working with specific regions. They will assist you in developing learning plans and handbook you to the courses that best fit specific roles and responsibilities.

Within North America: 1.800.455.7468

Outside North America: +1.714.327.3412

Note: FileNet Support may request additional training for those individuals who consistently fail to meet reasonable system administrator qualifications.

### *FileNet Certified Professional (FCP) Program*

When you become a FileNet Certified Professional, you are part of an elite class of individuals recognized for their high standards of knowledge and expertise. Maintain your FileNet Certified Professional (FCP) status if you have already reached completion, and continue your certification efforts if you are still in progress. To receive further assistance, contact the FCP Program Office at [FCP@us.ibm.com](mailto:FCP@us.ibm.com).

## Types of FileNet Technical Contacts

There are three different types of support contacts: Primary/Executive, Authorized, and Web User. Each company is entitled to only one Primary/Executive support contact. The number of Authorized contacts is unlimited, providing they are FileNet trained. There is no limit to the number of Web Users a customer can have.

What Activities are Available to these Contact Types?

<i>Activity/Responsibility</i>	<i>Primary/Executive Contact</i>	<i>Authorized Contact<sup>1</sup></i>	<i>Web User Contact</i>
	1 per company	Unlimited; training required	Unlimited
<b>Manages your company's list of contacts</b>	Yes	No	No
<b>Meets FileNet training requirements</b>	Yes	Yes <sup>1</sup>	No
<b>Reports cases to response center</b>	Yes	Yes	No
<b>Schedules upgrades/installs</b>	Yes	Yes	No
<b>Eligible for FileNet Web access</b>	Enhanced level	Enhanced level	Basic level

**1 ValueNet Partners must be FileNet Product Technical Support Certified.**

Note: For more details about the FileNet Support Web access levels, please see the section *Accessing Web-based Support Features*.

## Registering Your FileNet Technical Contacts

After you select a Primary/Executive contact, you will need to register each technical contact. The Primary/Executive will be contacted by FileNet's Client Relations Group (CRG) and asked to provide names and data for each of the contacts. Authorized or Web User contacts may be registered with access to all the company's systems or with access limited to specified systems or sites.

CRG may be reached at [crqfn@us.ibm.com](mailto:crqfn@us.ibm.com). Once your Authorized contacts are registered, they may open cases.

Note: To protect your FileNet ECM system and to solve each problem as quickly as possible, only the Primary/Executive or the Authorized contacts may open cases with the response center.

## Managing Your FileNet Technical Contacts

The Primary/Executive contact is your technical interface with FileNet Support, and this person is responsible for helping us maintain and enhance your support relationship. The Primary/Executive contact ensures your technical contacts receive adequate training from FileNet. Additions or changes to registered contacts and their status may only be made by the Primary/Executive contact, or if you have TAM services, by your TAM.

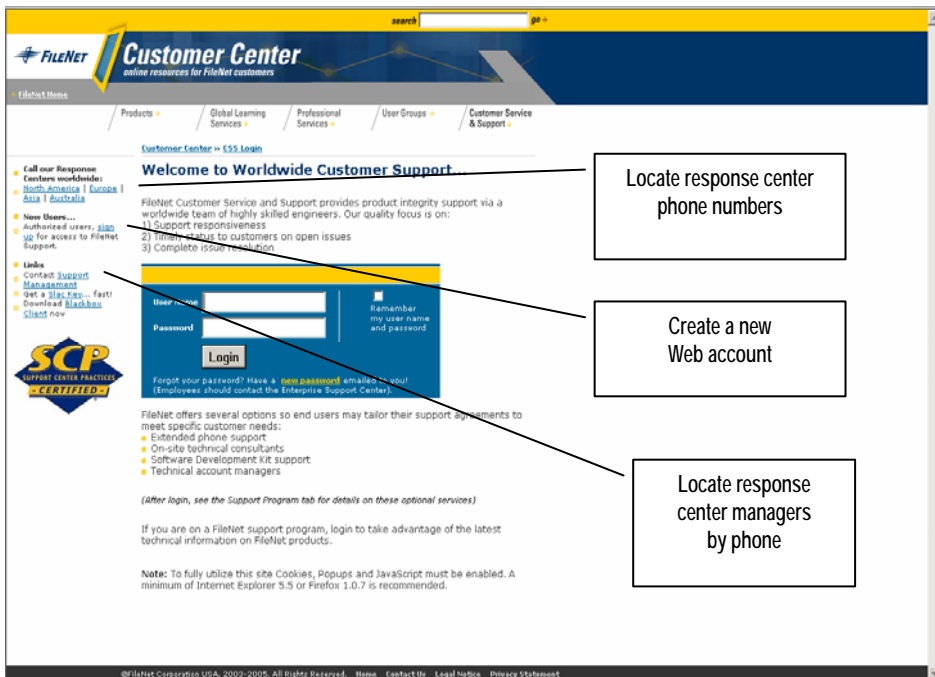
Contact the [Client Relations Group](#) at any time to update or review technical contact information for your company.

## Technical Contacts Must Request a FileNet Support Web Account

FileNet Support Web accounts may be obtained via <http://www.css.filenet.com/>. Select the New User menu option, and set up your login and password. Your System ID number will be required. FileNet Support will process the request and provide your login account information within one business day.

Contact the Client Relations Group (CRG) at [crgfn@us.ibm.com](mailto:crgfn@us.ibm.com) if you would like assistance.

Login Screen for FileNet Support Web Site



## What Information is Available to These Technical Contacts?

	<i>Primary/Executive and Authorized Contacts</i>	<i>Web User Contacts</i>
	<i>Enhanced Web Access</i>	<i>Basic Web Access</i>
Knowledge base search	Yes	No
Case management—open, update, or close cases	Yes	No
Case history reports <sup>1</sup>	Yes	Yes
Download defect corrections (fixes and patches)	Yes	No
Defect (FR/STR) Search <sup>1</sup>	Yes	No
SCR (Fix) Status	Yes	No
Error Tuple Search	Yes	Yes
Read/download product documentation	Yes	No
Product information	Yes	Yes
SDK information	Yes	No
Install/Upgrade information <sup>2</sup>	Yes	No
Support Program information	Yes	Yes
Account information	Yes	Yes
FileNet Support Policies & Procedures	Yes	Yes
Response Center Contact information	Yes	Yes
Access to UserNet groups	Obtained via <a href="http://www.filenet.com/">http://www.filenet.com/</a>	Obtained via <a href="http://www.filenet.com/">http://www.filenet.com/</a>

<sup>1</sup> Information available is limited to your company.

<sup>2</sup> ValueNet Partners must be Product Technical Support Certified.

Note: Reporting a case via the FileNet Support Web site will create a case in the appropriate response center queue. There is no link, however, with the real time support process. Therefore, it is not recommended to report cases with Priority 1 or 2 through the FileNet Support Web site.



## APPENDIX: Essential Services for the FileNet Enterprise

Essential Services help you maximize the return on your investment in Enterprise Content Management. Throughout the lifecycle of your FileNet ECM system, our experts can guide, mentor and support your efforts to meet your business requirements and achieve maximum value. FileNet Services are specifically designed to assist whether you are deploying your first ECM application, running a large system in production, or rolling out ECM to your entire organization.

For example, our Premium Support offerings provide comprehensive, proactive services that help ensure the availability and efficiency of your ECM systems. Specialized teams can help you avoid problems through managed support planning and increase the productivity you get from your ECM systems.

Learn more about Essential Services, including a tour, brochure, catalog, and poster via: <http://www.filenet.com/English/Services/index.asp>.

## Lab Services Sales Team

FileNet ECM Lab Services was previously known as Professional Services. To find out more about IBM ECM Services, please contact your regional Lab Services Sales professional. A complete listing can be found at: <http://www.ibm.com/software/data/services/contacts.html>.

**North America: 1-800-345-3638**

Contact	State or Region	Phone	Email
Oz Fong	Alabama, Florida, Georgia, Mississippi, Tennessee & Virgin Islands	1-561-852-4784	<a href="mailto:ofong@us.ibm.com">ofong@us.ibm.com</a>
Mark Reinig	Alaska, California (Northern), Idaho, Montana, Nevada, Oregon, Utah, Washington	1-303-256-5657	<a href="mailto:mareinig@us.ibm.com">mareinig@us.ibm.com</a>
Joe Hekimian	Arizona, California (Southern), Colorado, Hawaii, New Mexico, Wyoming	1-714-327-7923	<a href="mailto:jhekimian@us.ibm.com">jhekimian@us.ibm.com</a>
Craig Werner	Arkansas, Kansas, Louisiana, Missouri, Oklahoma, Texas, Kentucky, Michigan, Ohio, Pennsylvania (Western), West Virginia	1-916-641-4453	<a href="mailto:cwerner@us.ibm.com">cwerner@us.ibm.com</a>
Bryon Isaacs	Canada & Latin America	1-512-248-8299	<a href="mailto:bisaacs@us.ibm.com">bisaacs@us.ibm.com</a>
Curtis Spear	Connecticut, Maine, Massachusetts, New Hampshire, New York (Upstate), Rhode Island, Vermont	1-617-330-7979 x238	<a href="mailto:cspear@us.ibm.com">cspear@us.ibm.com</a>
David Baxley	Delaware, Maryland, New Jersey (South), North Carolina, Pennsylvania (Eastern), South Carolina, Virginia	1-803-748-5264	<a href="mailto:dbaxley@us.ibm.com">dbaxley@us.ibm.com</a>
Susan Champi	Federal	1-703-288-7748	<a href="mailto:schampi@us.ibm.com">schampi@us.ibm.com</a>
John Mascellino	Illinois (Greater Chicago ), Minnesota, Wisconsin	1-630-271-8828	<a href="mailto:jmascell@us.ibm.com">jmascell@us.ibm.com</a>
Linda Curtis	Illinois, Indiana, Iowa, Missouri (St. Louis), Nebraska, North Dakota, South Dakota	1-913-721-5521	<a href="mailto:lcurtis1@us.ibm.com">lcurtis1@us.ibm.com</a>
James Dudley	New York (NYC Metro)	1-508-752-9961	<a href="mailto:dudleyj@us.ibm.com">dudleyj@us.ibm.com</a>
Lenny Percio	New York (NYC Wall Street)	1-203-231-6766	<a href="mailto:lpercio@us.ibm.com">lpercio@us.ibm.com</a>
Jenn Glass	SMB	1-781-795-4910	<a href="mailto:jlglass@us.ibm.com">jlglass@us.ibm.com</a>
Mike Wilson	SMB	1-972-620-4311 x044	<a href="mailto:mewilson@us.ibm.com">mewilson@us.ibm.com</a>
Nettie Williams	Central Sales Manager	1-630-271-8830	<a href="mailto:Nettie.Williams@us.ibm.com">Nettie.Williams@us.ibm.com</a>
Kerry Waterman	East Sales Manager	1-781-372-8881	<a href="mailto:kwaterman@us.ibm.com">kwaterman@us.ibm.com</a>
David Lewis	West Sales Manager	1-714-327-7911	<a href="mailto:dalewis@us.ibm.com">dalewis@us.ibm.com</a>



**International: +1.714.327.4800**

Contact	Country or Region	Phone	Email
David Lewis	Latin America	1-714-327-7911	<a href="mailto:dalewis@us.ibm.com">dalewis@us.ibm.com</a>
Rodric Yates	North Europe	44-117-929-5997	<a href="mailto:Rodric_yates@uk.ibm.com">Rodric_yates@uk.ibm.com</a>
Matteo Rocchi	Europe South	39-335-8107-165	<a href="mailto:matteorocchi@it.ibm.com">matteorocchi@it.ibm.com</a>
Michael Bechtold	Europe Central	49-6172-963-0 x-138	<a href="mailto:michael.bechtold@de.ibm.com">michael.bechtold@de.ibm.com</a>
Michael Powell	Asia Pacific	61-7555-24097	<a href="mailto:powellm@au1.ibm.com">powellm@au1.ibm.com</a>
Stephan Sontag	Europe South	33-1-4623-7645	<a href="mailto:SONTAGST@fr.ibm.com">SONTAGST@fr.ibm.com</a>



## Education Services Team

As part of the transition into IBM, education for Enterprise Content Management (ECM) FileNet P8 products will be provided through IBM Training | Information Management | Enterprise Content Management | FileNet team. IBM and its worldwide network of education partners offer a variety of course types – online, on-site and instructor-led education – covering every aspect of the FileNet P8 software portfolio. Whether you need to find Web-based/Self-paced training, a course near you, or want a class brought to your site, each education offering is designed to give you the skills you need to deploy and use the FileNet software family of products.

Visit <http://www.ibm.com/training> to learn more about the many courses offered, class schedules, training and certification path information, registration, and special training options. Contact us via email at [fnregna@us.ibm.com](mailto:fnregna@us.ibm.com). For all on-site requests, call +1.714.327.3256.

Education Account Managers are available by phone and are dedicated to working with specific regions. They will assist you in developing learning plans and handbook you to the courses that best fit specific roles and responsibilities.

### Within North America: 1.800.455.7468 (FileNet Education Registration)

Contact	Title	Phone	Email
Czar Barraza	Education Account Manager	1-714-327-7893	<a href="mailto:cbarraza@us.ibm.com">cbarraza@us.ibm.com</a>
Charlie Carter	Education Account Manager	1-714-327-3686	<a href="mailto:chcarter@us.ibm.com">chcarter@us.ibm.com</a>
Bill Mol	Education Account Manager	1-714-327-3810	<a href="mailto:bmol1@us.ibm.com">bmol1@us.ibm.com</a>
Nancy Cotter	Education Registration	1-714-327-7140	<a href="mailto:ncotter@us.ibm.com">ncotter@us.ibm.com</a>
Brenna Felix	Education Registration	1-714-327-3113	<a href="mailto:bfelix@us.ibm.com">bfelix@us.ibm.com</a>

### Outside North America: +1.714.327.3412

Location	Phone
Northern Europe - England, UK	+44.1895.207.439
Central Europe – Germany	+49.6172.963.168
Southern Europe – France	+33.1.44.67.24.10
Southern Europe – Italy	+39.06.43230088
Asia Pacific	+65.65380966



## APPENDIX: FileNet Call Handling and Case Escalation Policies and Procedures

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  - 2.2 Case Reporting Through the Web
  - 2.3 Case Reporting Flow Chart
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  - 5.2 Definition of Case Priority Levels

## **Management Summary**

Realizing the strategic importance of its systems to its customers, FileNet is committed to providing world class service and support.

In order to fully realize the benefit, customers need to understand the systems and processes FileNet has implemented to deliver this support.

This appendix provides customers with the information they need to understand these processes. This allows customers to benefit optimally from FileNet's support services, should the need arise.

This appendix contains three major sections, each detailing a specific stage of the case reporting and resolution process.

### **Call Handling**

This section provides the customer with a detailed understanding of how the FileNet Worldwide Response Centers will accept, record, and work to resolve each case that is reported.

### **Case Reporting**

This section details what the customer should do to report a case. Detailed information is provided on the case resolution process itself, as well as practical guidelines on the information FileNet will need to efficiently assist the customer.

### **Case Escalation**

When circumstances arise in which the normal case handling processes are not sufficient to allow the customer to meet all their business requirements, FileNet has case escalation processes in place. This section explains the systems and processes that have been put in place to allow the customer to escalate when that is necessary. The section further explains how FileNet will respond to help mediate the urgency and allow the customer to meet business requirements.

## 1. Introduction

This appendix defines and describes the policies and procedures through which the FileNet Support team implements its *Real Time* and *Call Back* support, via the Worldwide Response Centers.

Maintaining maximum system availability and achieving timely case resolution requires a working partnership between several key elements:

❖ **Support Staff.** FileNet Support is committed to maintaining high-quality technical support staff that are knowledgeable about its products and the environments in which they are implemented. Response Center systems engineers take incoming calls directly in a *Real Time* support model to get case resolution started on the first call.

❖ **Trained System Administrators.** Customers and Partners are required to ensure their FileNet authorized technical administrators and related technical staff are trained/certified on the software and systems they are maintaining. While a case is being resolved, these system administrators must not only be available to provide the Response Center systems engineer with relevant technical information, but have the ability to implement solutions when necessary.

❖ **Access to the systems.** It is important that system administrators and Response Center systems engineers have full administrative access to the systems to gather all necessary data and be able to perform diagnostic and corrective procedures. If access is limited by security policies or constraints, the Customer is strongly encouraged to contact the FileNet Response Center before an emergency situation develops in order to implement a mutually agreeable solution (secured links, smart card access control, dial back solutions, etc.). Delayed access to the system may impact FileNet's ability to resolve cases in a timely manner.

The key to a successful system implementation is the partnership between the system administration staff and FileNet support staff. FileNet Support takes ownership of each reported case until it is closed. This appendix details the process that FileNet Support has implemented to resolve cases and to strengthen this partnership.

## 2. Case Reporting Process

### 2.1. Process Description

A case for which FileNet Support assistance is required needs to be reported to the FileNet Response Center. To begin this process, the Customer system administrator or Partner technical staff (referred to as *authorized* contact) will gather the configuration and error data required to open the case. This data gathering ensures that the case can be routed to the appropriate group and the priority level of the case correctly assessed. Section 5.1 of this appendix details the information that should be available to report the case. Section 5.1.2 provides guidelines to assess the priority level of the case.

Once this information is gathered, the authorized contact calls the appropriate FileNet Response Centers (FRC) direct dial number. An automated menu will assist the authorized contact in routing the call to the appropriate FRC group. Once the call is routed, an available frontline Response Center systems engineer will answer the incoming call. When there is no frontline Response Center systems engineer available, the call will be answered by a Response Center support operator after 120 seconds.

As the call is accepted and entered into the case tracking system, the support entitlement is verified. Questions related to support entitlement or authorized contacts are forwarded to the Client Relations Group.

As the case is opened, an appropriate priority level is assigned. Priority levels are detailed in the following chart. In those cases where a Response Center support operator opens the case, the case is routed to the appropriate group queue. The first available Response Center

systems engineer will accept the call from this queue and call the Customer or Partner back to start working the case. For a high priority (P1) case, the Response Center support operator will also alert a Response Center supervisor or Manager for priority response.

The case response time is determined by the time elapsed between the time the initial call is answered and the time at which the frontline Response Center systems engineer contacts the customer and starts working the case. The FileNet Response Centers have defined and documented **target** response times that are based on the severity of the problem and the priority of the case. The following table lists the target response times for each priority level:

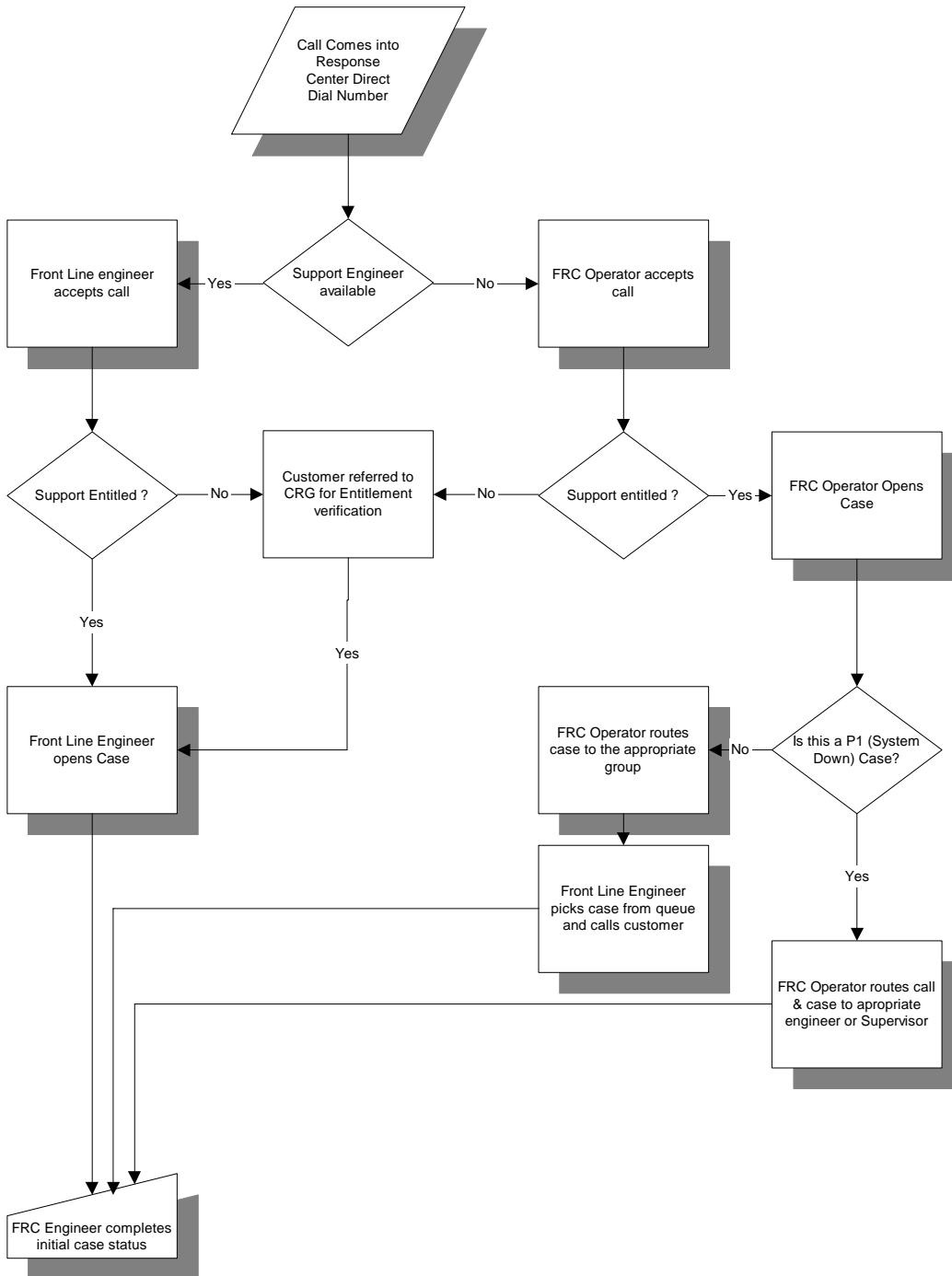
<i>Case Priority</i>	<i>Target Response Time</i>
High – P1	2 hours
Medium – P2	8 business hours
Low – P3	24 business hours

## 2.2. Case Reporting Through the Web

For P3 cases, the authorized contact may elect to report the case via the Internet. In order to do so, the authorized contact logs on to FileNet's Technical Support Web site at [www.css.filenet.com](http://www.css.filenet.com) and selects the 'Open a Case' option and follows the instructions on the screen. In order to report a case in this way, a username and password are required. Authorized contacts can obtain their account electronically using the 'New User' menu option.

**Note:** Reporting a case via the Internet will create a low priority case in the appropriate group queue and provide a case number so that the Customer or Partner can track the status. Cases with high or medium priority should be called into the FileNet Response Center for *Real Time* response.

### 2.3. Case Reporting Flow Chart



## 3. Case Resolution Process

### 3.1. Process Description

After a case has been opened, the diagnosis and resolution process begins. In this process, three important stages are defined:

1. **Diagnosis.** This is the determination of the cause of the problem and method needed to resolve the issue and bring the system/feature to an operational status.
2. **System/Feature Operational.** This means that the necessary procedures have been executed in such a way that the system can be used in production.
3. **System Stable.** This means that the necessary procedures have been executed in such a way that the issue causing the problem no longer recurs.

Most cases proceed through these stages in an efficient and timely manner. However, problems may occur for which the resolution process is more complex and requires more extensive research and resources. In order to address such issues, the Response Centers have implemented a "**time driven**" procedure of resource allocation and escalation. This process is automatic and does not need to be Customer requested. A detailed flow chart of the process can be found in section 3.3.

The times after which this process is triggered depend on the severity of the problem and the stage of the resolution process at which the escalation occurs. The following table details the escalation times:

<i>Priority</i>	<i>Problem Diagnosis</i>	<i>System/Feature</i>	<i>Operational/System Stable</i>
High – P1	4 hours	8 hours	48 hours
Medium – P2	1 day	3 days	5 days
Low – P3	3 days	10 days	15 days

Note that the times defined in this table represent the time spent working on the case. A case may be deferred awaiting a Customer's response (such as providing information, installing a patch, etc.). In this circumstance, the automatic escalation process will also be deferred.

### 3.2. Case Resolution

A case is resolved once the appropriate action has been taken to bring the system/feature to an operational state and it is verified that the system is stable. This may include reconfiguration of the system, installation of fixes for known problems, or upgrading the system to a more current software release level.

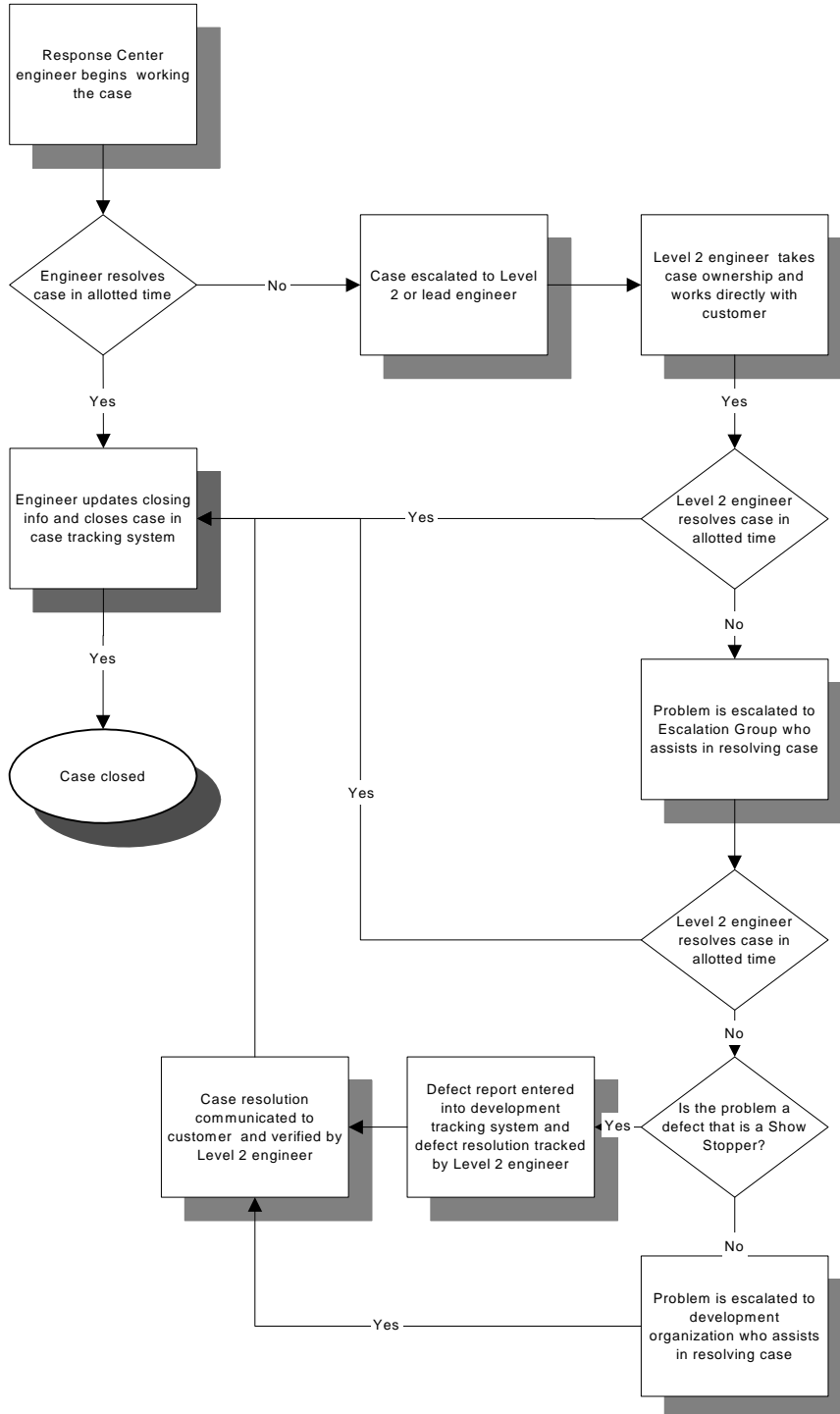
If the problem is found to be the result of a software defect, FileNet Support reports the defect along with the severity and Customer impact to FileNet's Development Engineering department for response.

If the problem is found to be of a non-critical nature (e.g., production is not impacted or an acceptable workaround can be implemented), the Response Center systems engineer working the case reports the defect, enters it into the case information, and provides the Customer or Partner with the defect tracking number (Software Trouble Report - STR or Failure Report - FR). The FileNet Support case will be closed and the issue can be monitored using the FR or STR search via the Technical Support Web site.

If the problem is found to be of a critical nature, the Response Center systems engineer working the case reports the defect and establishes a “Show Stopper” status. FileNet’s Development Engineering department will respond to a Show Stopper request within 24 hours. This response may be: a request for additional technical information; a suggested workaround or alternative approach; or an expected milestone date. Until the problem is resolved the case remains open with FileNet Support. The Response Center systems engineer working the case keeps the Customer informed of the progress of the defect. The customer also has the option of reviewing the status of the Show Stopper request from FileNet’s Technical Support Web site.



### 3.3. Case Resolution Flow Chart



## 4. Escalation Procedures

Previous sections describe the normal processes the FileNet Response Centers have implemented to assure that all cases are worked and resolved in an efficient manner. Certain Customer circumstances, such as urgent business requirements, may arise, such that normal processes are not sufficient to address the issue in an acceptable way for the Customer. The FileNet Response Centers have implemented a management escalation procedure that allows us to specifically address such cases. This section describes this management escalation process.

The aim of this escalation process is to allow the Customer to satisfy his/her business requirements. The escalation process is considered complete once these requirements can be met. While this most often implies that a permanent solution to the problem has been implemented and verified, it may consist of putting an alternate solution or workaround in place until a permanent resolution is available.

The management escalation process deals with Customer exceptions that are not caused by a failure in the normal case handling process. Problems with the normal case handling process should be addressed to the appropriate Response Center supervisor or manager. Be sure to have the case number available when you contact the supervisor or manager.

### 4.1. Process Description

When a case is opened, the Customer is informed of the steps that will be taken to resolve the problem. It may become apparent that this normal process may not allow the Customer to satisfy his/her business requirements and that this will have a significant impact on the customer's operations. If this is the case, the Customer should request case escalation.

Escalation requests are routed to the Response Center supervisor or manager who will validate the escalation request and verify that there is sufficient information to elevate the priority of the case is available. Since the aim of the escalation is to allow the Customer to meet his/her business requirements, the information provided must also contain details on what these requirements are and what is needed to meet them. Meeting the business requirements is the escalation objective.

With this information, the Response Center supervisor or Manager will jointly establish a resolution action plan with the appropriate Response Center Escalation Manager. After further evaluation, a FileNet Escalation Team is established that may include (but is not limited to):

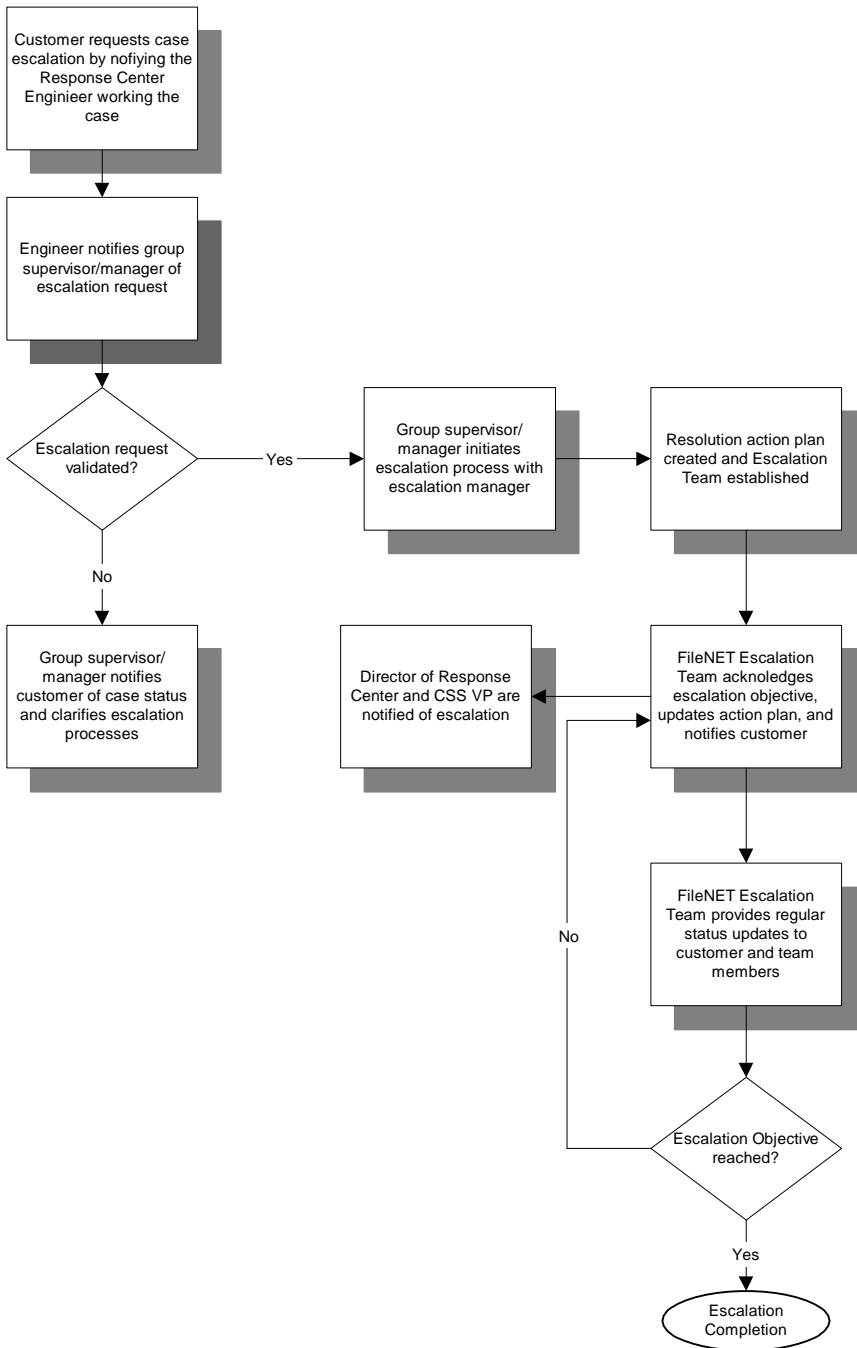
- Customer technical and management representatives
- FileNet Support response center management and technical staff
- Field management and on-site technician
- Lab Services
- Development Engineering

Steps taken in achieving escalation objective may include:

- Requesting the assistance of a FileNet development engineer in the diagnostic process.
- Assigning staff for on-site intervention, if such intervention is required.
- Requesting the assistance of other organizations (such as Lab Services or Development) to help define and implement an acceptable alternate solution.

As soon as this action plan is defined, the FileNet Escalation Team will distribute this information to the Customer and FileNet internally. At this point, the Response Center management team is notified of the escalation. This ensures that FileNet's senior and executive management are aware of the escalation and can allocate the appropriate resources as needed. Throughout the execution of the plan, the Escalation Team will keep the Customer informed on a regular basis of the progress made via e-mail, conference calls, and direct communication, as appropriate. The escalation process is complete once the problem has been resolved or an acceptable alternate solution allowing the Customer to meet his/her business requirements has been implemented. The original case from which the escalation has originated will remain open to completion and follow normal FileNet case handling procedures.

## 4.2. Escalation Process Flowchart



## 5. Practical Information for Case Reporting

### 5.1. Detailed Case Reporting Procedure

Before calling the FileNet Response Center, the following information should be gathered by the Customer's authorized contact:

- The Site Identification number. While this information is not mandatory for opening a case, having it available will streamline the process. If the Site ID number is not known, that information is available from the frontline Response Center systems engineer or support coordinator when opening a case.
- An assessment of the priority of the problem. Please refer to section 5.2 for guidelines on assessing the priority.
- A complete description of the problem.
- Error messages (if any) that are received.
- Software versions of the products affected by the problem.
- The scenario (e.g., steps, frequency, reproducibility) that leads to the occurrence of the problem (if such a scenario can be identified)

The automated menu on the Response Center's phone line will guide the authorized contact through the following choices:

1. Enter the Site Identification number (if available)
2. Select the main product category for which the problem is reported.
3. Select the priority level for the case.
4. Select the subsystem (as applicable).

As soon as these choices have been made, the call is routed to the appropriate Response Center group telephone queue where it will be picked up by the first available frontline Response Center systems engineer or a Response Center support coordinator.

## 5.2. Definition of Case Priority Levels

### P1 - High

Customer production system is not operational. The problem affects more than 90% of the users and a solution is not available.

Examples:

IBM FileNet Content Manager: Can not log in to system, all users are impacted. System does not respond to commands.

IBM FileNet Image Manager: Root Server is down, WorkFlo Server down, critical issues with Print & Queue Services.

### P2 - Medium

Customer production system is operational but has a major feature that is not operational or performance is very slow. The problem affects a significant number of users and a solution is not available

Examples:

IBM FileNet Content Manager: Can not check documents in or out, no immediate solution is available. Performance issues such as CBR indexing of documents taking minutes instead of seconds.

IBM FileNet Image Manager: Some workstations unable to login, slow system performance, backup problems, and various database problems.

### P3 - Low

System is generally available and functional for a significant number of users. An interim solution is available to keep system operational.

Examples:

IBM FileNet Content Manager: Can not perform operations on documents such as browse or check out but a solution is readily available. Chronic performance issues such as random system hangs that cannot be easily reproduced. A test system or a minor system feature is not operational.

IBM FileNet Image Manager: Scanner can't read document separator sheet. Failing barcode reader, annotations unable to display with documents. One of several print, fax, or scan stations not operational.

Note: Cases concerning Customer development systems are handled with same general priority. However production system cases of equal priority are worked first.

## APPENDIX: Support Guidelines for Customers using Oracle Runtime with FileNet Panagon Software

This appendix defines the support service that FileNet provides – and IBM will continue to provide – to its Panagon Integrated Document Management (IDM) customers who maintain an Oracle Runtime support agreement with FileNet.

### Terminology

In order to understand this support appendix, it is essential to understand the following terminology:

#### *Runtime*

In this appendix, *Runtime* refers to a type of Oracle license and associated support that customers were able to purchase directly from FileNet prior to May 2000. Customers who purchased and still maintain this type of licensing and support from FileNet are called Oracle Runtime customers. FileNet will continue to support these customers according to the support agreement between the customer and FileNet.

From May 2002, FileNet no longer offered the option to purchase Oracle Runtime licenses and associated support directly. Rather, customers who required Oracle product had to purchase Oracle licenses and associated support directly from Oracle, or an authorized Oracle reseller.

For all existing Runtime customers who maintain their Oracle Runtime support agreement, FileNet continues to provide direct support for their Oracle installation, a *Right To New Versions* (RTNV) of the Oracle software, release media, and FileNet-specific hot fixes and patches.

#### *Full-Use*

In this appendix, *Full-Use* refers to the type of Oracle license and support that customers have purchased from Oracle or an authorized Oracle reseller. These customers are called Full-Use customers, and receive direct support of their Oracle installation, including RTNV, media, hot fixes and patches, from Oracle or their authorized Oracle reseller.

#### *FileNet-Controlled*

*FileNet-Controlled* is a configuration type that refers to an Oracle instance whose scheduling and execution of database operations (i.e., start-up, shutdown, etc.) are controlled by the FileNet Panagon IDM software. “FileNet-controlled” is a configuration option that is available to Full-Use customers, but is mandatory for Runtime customers.

#### *Site-Controlled*

*Site-Controlled* is a configuration type that refers to an Oracle database instance whose scheduling and execution of database operations (i.e., start-up, shutdown, etc.) is carried out separately from the FileNet Panagon IDM software. For example, an Oracle DBA or FileNet System Administrator manually starts up and shuts down the Oracle database, or a script or service automatically starts up the database upon system start-up. “Site-controlled” is a configuration option available to Full-Use customers only; it is not available to Runtime customers.

## FileNet Support for Oracle Runtime Customers

Runtime Oracle instances and databases, by definition, have already been installed and set up by FileNet. In order to provide continuing support to these installations, FileNet, if and when necessary, will:

- Upgrade Oracle as required per the release of FileNet Panagon Image Services or Content Services that is installed;
- Apply Oracle patch sets or individual patch fixes as required by the release of Image Services or Content Services;
- Reconfigure and tune Oracle as required by the customer application or by other customer requirements. This activity is limited to modifications to Oracle parameters exposed through the “fn\_edit” configuration tool, and configuration modifications made using the operating system tools and FileNet utilities;
- Add database partitions to the existing Oracle database due to database growth requirements. Database partitions should be set up using the FileNet installation and configuration utilities;
- Increase the “next extent” parameter for FileNet tables that require larger extents due to table growth rate;
- In the event that a FileNet system table reaches its maximum number of extents, export the database, configure appropriately the “number of extents” and “next extent” parameters for database size and growth, and import the database;
- Restore Oracle datasets from the customer backup media, as required, in the event of system or hardware failure;
- Move workflow tables from the primary FileNet tablespace (fnsys\_ts) to the FileNet “user” tablespace (fnusr\_ts) as necessary to prevent or rectify a problem where the fnsys\_ts tablespace becomes highly fragmented;
- For those systems that have all database tables (i.e., both FileNet tables and Oracle system tables) in the SYSTEM tablespace, at the customer’s request, reconfigure the database schema by moving the FileNet tables to the FNSYS\_TS tablespace;

The support provided to Oracle Runtime customers is limited to the above, and all work described above is chargeable to the customer on a time and materials basis at prevailing rates, unless waived by FileNet Support management. The FileNet Response Center (FRC) can provide support and assistance for all work described above. All work done outside of the customer’s normal support hours must be scheduled with the FRC.

If a Runtime customer reports a FileNet system issue to the FRC, which is later identified as an Oracle-related issue, FileNet will contact Oracle regarding this issue and follow through with Oracle and the customer until a final resolution or acceptable workaround is implemented. Time spent by FileNet Support during the customer’s contracted hours of support on Oracle integrity issue analysis, troubleshooting and resolution is not chargeable.

## Oracle Runtime Customer Responsibilities

Oracle Runtime customers are responsible for on-site system and database administration tasks related to regular database maintenance. This includes reporting issues to the FRC as necessary, software and database backup, monitoring the space usage of tables and datasets, and license management.

## FileNet Support for Full-Use Customers

For Full-Use customers, *primary* support of any and all issues related to the Oracle instance and/or database is provided directly by the customer’s Oracle DBA, by Oracle Corporation and/or an authorized Oracle partner. FileNet will not install, configure or modify the



Oracle software on Full-Use licensed systems. However, FileNet can provide *value-added support* on an on-site and remote basis, working collaboratively with the customer's DBAs on the installation, upgrade or modifications of Oracle that could impact their FileNet system. Such services might include custom procedure development for the DBA to use and/or assistance in doing the work in remote server locations (with remote supervision by the DBA).

These services, done on a Time and Materials (T&M) basis, are encouraged and can include, but are not limited to, consulting on the following:

- First time installation or re-installation of Oracle on the Panagon system;
- Upgrade Oracle as required per the release of Image Services or Content Services that is installed;
- Application of Oracle patch sets or individual patch fixes as required by the release of Image Services or Content Services;
- Reconfiguration and tuning of the Oracle installation and/or datasets as required by the customer application, for better performance, or other customer requirements;
- Adding database partitions to the existing Oracle database due to database growth requirements;
- Resizing or rebuilding individual tables, datafiles or indexes;
- Resizing tablespaces and rollback segments;
- Moving FileNet tables from the SYSTEM tablespace to the FNSYS\_TS tablespace;
- Export and import of the database in order to move it to another operating system platform, re-configure the database in a more logical, practical and/or efficient manner, or overcome growth restrictions of the current configuration;

All such services must be done in a collaborative effort with the customer's Oracle DBA. In those instances where an Oracle DBA is not available, an Oracle trained and qualified FileNet technician must be actively involved in the project, working either as the primary FileNet technical contact or with the FileNet technician assigned to the project.

**Note:** Any and all exceptions to the guidelines described above require the explicit approval of FileNet Support management.

If a Full-Use customer reports a system issue to FileNet that is later identified as an Oracle issue, FileNet will provide the customer with a full description of the problem in addition to relevant technical analysis and research. The customer should then contact Oracle directly for technical support. After the customer initiates a support call with Oracle, the FileNet Response Center will, upon request, remain available as necessary to work jointly toward total resolution of the system issue. Time spent by FileNet in Oracle integrity issue analysis at Full-Use sites, is chargeable to the customer on a time and materials basis at prevailing rates.

## Full-Use Customer Responsibilities

Full-Use customers are ultimately responsible for all technical activities related to and required by their Oracle installations. This includes the initial installation, configuration, maintenance, troubleshooting, upgrade, performance analysis, data integrity, backup, restore, and upgrades.

FileNet strongly recommends that Full-Use production customers assign the on-site maintenance ownership of the database to a qualified, Oracle-trained, DBA. Maintaining the Oracle product with unqualified personnel puts the FileNet system at risk of extended system outages and the potential for permanent data loss.

## Technical Restrictions

FileNet customers are subject to the following restrictions:

- Oracle database tables created and maintained by the FileNet software are read-only to all non-FileNet applications. Only FileNet tools, utilities and APIs should be used to update, modify or write to FileNet tables. Customers, both Runtime and Full-Use, should not alter or update any FileNet table using SQL commands directly.
- Customers must not modify indexes created and maintained by FileNet except through the FileNet Administration Utilities or at the direction of FileNet technical staff.
- Customers must not change or modify in any way the FileNet created Oracle user ids and/or passwords except through the use of supported FileNet Utilities. These created and required Oracle user ids are: F\_SW, F\_SQI and F\_OPEN. Full-Use customers may modify, but not delete, the following FileNet created Oracle user ids, which are required by some FileNet tools and utilities: F\_MAINT, F\_CSO and F\_OPERATOR. FileNet may require that the customer restore these user ids back to their original settings in order to carry out trouble shooting procedures. Beginning with IS 4.1 release, F\_CSO and F\_OPERATOR users will no longer be needed. Fresh installs of IS 4.1 will not create these two users in the Oracle database. Upgrading from an earlier version the IS software will lock these two users.

## Oracle Patch Releases

To ensure the highest level of compatibility between FileNet Panagon products and Oracle, FileNet performs Quality Assurance (QA) testing to validate specific Oracle versions for use with individual Panagon product releases. Validated Oracle versions are listed in the Installation Documentation and Release Notes for each FileNet Panagon product. Release Notes are posted on the FileNet Support web site (<http://css.filenet.com>), and since these are subject to change, please refer to the on-line versions of these documents for the most current information. FileNet may also publish updated Oracle version and patch information in Technical Bulletins that are distributed via email and posted on the CSS web site.

The Oracle versions indicated in these documents are specified to the third digit in the Oracle version numbering scheme, for example, Oracle X.Y.5. Oracle actually specifies their versions to the fourth digit (e.g., X.Y.5.1, X.Y.5.2, etc.). The fourth digit increments represent patch releases only and are backward compatible.

- For Full-Use customers, FileNet will support all Oracle patch releases for the version tested and validated by FileNet QA;

- Oracle Runtime customers are required to use only the tested and validated Oracle release for their individual Panagon product.

For example, FileNet has qualified Oracle X.Y.0 with IMS release A.B.0. The actual fourth digit release that FileNet tested thoroughly with IMS A.B.0 is Oracle X.Y.0.1. Runtime customers must use Oracle X.Y.0.1. Full Use customers could use X.Y.0.1 or a later patch release for Oracle X.Y.0 (X.Y.0.2, X.Y.0.3, etc.) and still be supported with the IMS software.

### Downloads

Historically, FileNet has delivered Oracle software to Runtime customers on physical media. From July 6, 2007, FileNet and subsequently IBM will deliver this software through a download process. Customers should contact Client Relations team in FileNet Support via phone at +1 (714) 327-7680 Option 6, or via email at [crgfn@us.ibm.com](mailto:crgfn@us.ibm.com) to request the URL for the download web site and the associated access password. This password will be updated every 6 months.

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