IBM

IBM Customer

IBM FileNet Capture Professional Install Package Service Description

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1.   Description of Services

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

> ➢   IBM FileNet Capture Professional Install Package

This service provides the expert resources to install the Capture Professional software at your site. It also provides hands-on assistance to address any questions, recap key issues covered in formal training classes, and to confirm that <IBM Cust>'s systems and resources are ready to begin applying the knowledge gained in class to <IBM Cust>'s business needs and operational requirements. The ECM Consultants will help guide <IBM Cust> on proven strategies and procedures that have been employed at other successful ECM installations. The completed installation also verifies that the software is supportable by IBM's Product Support organization.

The scope of this Install Package is limited to the installation and base configuration of Capture Professional[1].

The Capture Professional Install Service will provide:

- Install and configure

  - One (1) scan workstation, including

    - DocProcessing,

    - Capture Toolkit, and

    - Full Text OCR with PDF Conversion software, if purchased

- If requested, the Field Delivery Consultant ("FDC") will configure the scan workstation for "shared workstation capability" or "offline scanning"

- Test Capture Professional workstation with a sample configuration

- System Administration Handoff

- Demonstrate the product to the project team

- Project management and coordination to facilitate a successful and professional project delivery

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

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

At the completion of the Capture Professional Install Package, <IBM Cust>'s system and resources will be ready for maintenance support and for initiating the process to configure the system for <IBM Cust>'s specific business requirements. The installation assumes individuals knowledgeable on ECM products will be performing the tasks to identify the <IBM Cust> specific definition of the system after the completion of this project. These definition services are outside the scope of deliverables of this Install Package[2].

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

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[1] The Capture Professional product version 5.0 and higher can operate with IBM FileNet Content Engine ("Content Engine"), IBM FileNet Image Services ("IS"), and IBM FileNet Content Services ("CS") systems.
[2] Services to configure a customized Capture Path to meet <IBM Cust>'s business requirements can be accommodated on a Time & Materials basis, contact your Lab Services Sales Manager ("LS SM") for pricing on any additional services.

2. Required Product Training

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

- Course Code: F177 – IBM FileNet Capture Professional Administration

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

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

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

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

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

IBM Learning Services Web Site:

www.ibm.com/software/data/content-management/training.html

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

3. Resources

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

3.1 ECM Team Resources

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

- Implementation Project Manager ("IPM") – Project Lead

- Lab Services IT Specialist ("ECM Consultant")

- Field Delivery Consultant ("FDC")

- Software Sales Representative ("SSR")

- Sales IT Specialist ("Sales ITS")

3.2 <IBM Cust> Team Resources

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

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

- Project Lead

- ECM System Administrator

- System Operations Coordinator

- Client Desktop Coordinator

- LAN Administrator

- Database Administrator

- Document/Records Manager

- Document Entry Supervisor

- End-User Manager

3.3 <IBM Cust> Design Resource Required

<IBM Cust> will need to provide a System Design resource to conduct requirements analysis and system planning for <IBM Cust>'s Capture application. This resource will also be responsible for developing a System Design Document that reflects the results of these analysis tasks.

The System Design Resource can be an ECM resource, an IBM Business Partner resource, or an individual who is on <IBM Cust>'s staff with strong ECM design and administration knowledge. The effort for this resource is not included in this package and must be engaged separately. IBM strongly recommends that this resource be an IBM ECM Certified Professional Administrator.

4. Role Definitions

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

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

Capture Professional System Administrator or Web Master/Web Designer (1 to 3 people) - This individual will learn the administration functions necessary to oversee the Capture Professional system, and will serve as the on-going administrator. Enrolling in the Administrator class is required and should be completed prior to the installation of the software. This individual will work closely with the FDC during installation and configuration of the Capture Professional software.

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

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

5.   Responsibilities

5.1   <IBM Cust> Responsibilities

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

a.) Prerequisites

- All prerequisites must be met before IBM can begin the installation of the product.
- All hardware, software, and network configurations must meet ECM requirements for system size and performance for the purchased software. This includes:
  - ➤ Installation of the operating system
  - ➤ Installation of the customer-supplied database
  - ➤ Installation/application of appropriate levels of patches to meet ECM's minimum requirements
- Perform a network check (verify server connectivity to network, addressing, correct protocol).
- Download the IBM FileNet Capture Professional software to the appropriate servers prior to the resource arriving at <IBM Cust>'s facility.
- Have attended the training required in this Capture Professional Install package prior to the installation of any ECM software.

b.) A Project Lead with sufficient authority to

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

c.) Analysis/requirements gathering of business application rules, business application processes, and application security access as they pertain to the implementation of the Capture Professional software. The outcome of this process is a Capture Professional Design Document.

d.) Installation and validation of scanner hardware and scanner controller hardware/software.

e.) If <IBM Cust> plans to use Capture Professional in an offline mode, <IBM Cust> would need to provide an installed and validated SQL 2000 server.

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

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

- Expansion of Security Schema related to Capture users

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

- Ensuring data connection between the Capture workstations and Content Engine, IS, or CS

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

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

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

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

5.2   IBM Responsibilities

a.) Install IBM FileNet Capture Professional software on one (1) Capture Professional workstation

b.) The FDC will integrate one (1) SQL2000 server for "shared workstation capability" or "offline scanning" to work with the installed Capture Professional systems[3], if requested.

c.) Configure Capture Professional Software

- one (1) sample Capture Professional Path

- one (1) sample Settings Collection

- one (1) sample Template

d.) Test Capture Professional Software

- Execute test process to validate documents can be scanned, verified, indexed, committed, and retrieved

e.) Perform System Administration Handoff

- Transfer of Information

- Routine Maintenance

- Backup Methodology

- Problem Reporting

f.) Demonstrate Capture Professional to <IBM Cust>'s Project Team

g.) Provide <IBM Cust> a completed Capture Professional Install Checklist

6.   Assumptions & Limitations

6.1   Assumptions

The following prerequisites must be met by <IBM Cust> prior to initiation of the Capture Professional Install Project:

a.) Installation of the IBM FileNet Capture Professional software will not be in a clustered environment. A chargeable PCR will be required to perform the installation in a clustered environment.

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

6.2   Service Limitations

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

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[3] <IBM Cust> is required to provide a previously installed SQL 2000 server.

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

6.2.1 Travel & Living Expenses

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

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

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

7. Project Tasks & Deliverables

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

7.1 Task 1: Kickoff Meeting

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

7.1.1 Review Project Services Description

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

7.1.2 Define/Review Project Plan

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

7.1.3 Project Status

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

7.2 Task 2: Platform/Architecture Configuration Document & Review

The IPM will review the ECM software purchased, <IBM Cust>'s server configuration (hardware, operating system and site specific software), ECM specific network configuration, and <IBM Cust>'s System Diagram. This review will encompass the items indicated in the ECM P8 Platform/Architecture Document that was delivered to <IBM

Cust> during the kickoff meeting. Upon successful completion of <IBM Cust> portion of the document, the IPM will schedule the software installation at least two (2) weeks into the future.

At this time, the ECM Install Team may also review the Capture Professional Design Document with the <IBM Cust> Project Team with regard to overall Capture Professional system design.

7.3   Task 3: Software Installation

The FDC, with the assistance of <IBM Cust>'s Information Technology staff, schedules the server software installation. <IBM Cust>'s Information Technology staff must review the release notes included on the software media, which provides the latest information regarding operating system software release levels and patches required for a successful software installation.

A member of <IBM Cust>'s IT staff must have attended the IBM FileNet Capture Professional Administration training prior to this step. This assures appropriate system configuration choices and eases support transition to <IBM Cust>.

7.3.1   Configure ECM Content Engine, Image Services, or Content Services System

The ECM Content Engine, IS, or CS system will be configured based upon Capture Professional system requirements.

- Batch Entry Cache
- Document Families
- Document Classes
- Document Indexes
- Users and Groups

7.3.2   Verify Scanner Workstation Software/Hardware

Prior to installing the IBM FileNet Capture Professional Software, the FDC, along with <IBM Cust>, will verify that the scanner, scanner controller and Microsoft Windows operating system are installed and operating properly. If required, <IBM Cust> is expected to resolve any issues before proceeding with the Capture Professional software install.

The major Capture Professional Workstation install components to be verified:

- Kofax Image Controls Software (if applicable)
- Capture Professional software authorization key
- Document Processing Component (if applicable)
- Repository structure created
- Document Class and Index properties created

7.3.3   Capture Professional Software Installation

The Capture Professional software install consists of installing and configuring client software on one (1) scanner workstation to integrate with the IBM ECM Content Engine, IS, or CS system.

The FDC will install the Capture Professional and Document Entry software on the client workstation and configure the scanner software according to ECM specifications. This installation and test of the Capture Professional workstation software validates the target workstation and confirms that <IBM Cust> can communicate with the appropriate ECM system via the LAN.

7.4   Task 4: <IBM Cust>'s System

7.4.1 Sample Configuration

The Capture Professional Software will be configured with a sample Capture Professional Path, Settings Collection, and Template. These will be used to test the basic features of the Capture Professional product including scanning or file import, assembly, manual indexing, and committal for a single document class.

7.4.2 Test Capture Professional Functionality

After the IBM FileNet Capture Professional product has been installed and configured, the FDC and <IBM Cust> Project Team members perform functional testing using sample documents. This will confirm that all components have been correctly configured and are operating as expected: documents can be scanned, verified, committed and retrieved successfully.

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

7.5   Task 5: System Administration Handoff

7.5.1 Transfer of Information

The FDC will review the Capture Professional product with the <IBM Cust> System Administrator to better prepare <IBM Cust> for detailed configuration of the system. The FDC will reinforce topics covered in the Capture Professional Administration training.

Topics to be reviewed:

- Document Capture Flow
- Creating Document Classes/Properties
- Adding/Removing a Repository
- Creating Capture Paths
- Creating Settings Collections
- Creating Templates
- Creating Batches
- Scan/Assemble/Index/Commit using Ad Hoc Mode and using the ECM provided sample Capture Professional Path

7.5.2 Routine Maintenance

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

7.5.3 Review Backup Methodologies

The FDC will review possible backup strategies with the <IBM Cust> System Administrator. This Install Package does <u>not</u> provide for the FDC to analyze <IBM Cust>'s backup objectives nor does it develop the plan to meet those objectives.

7.5.4 Problem Reporting

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

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

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

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

7.7 Task 7: Project Completion

Upon demonstration of the product the ECM Consultant will deliver to <IBM Cust> a completed Install Checklist which constitutes completion of this project. Please refer to *Capture Professional Install Checklist*.

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