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IBM Customer

IBM FileNet Records Manager Fast Start Package Service Description

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1. Description of Services

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

> ➢ IBM FileNet Records Manager Fast Start Package ("RM Fast Start Package")

This service provides the expert resources to assist <IBM Cust> in identifying the design specifications, prototyping, implementation planning, and the associated deployment of RM for a pilot solution[1]. It also provides hands-on assistance to address questions, recap key issues covered in formal training classes, and to confirm that <IBM Cust>'s systems and resources are ready to begin applying the knowledge gained in class to <IBM Cust>'s business needs and operational requirements.

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

The scope of this package is limited to the design, implementation planning, and implementation aspects of RM on one (1) environment[2]. The RM product must have been previously installed and must be fully operational prior to the initiation of the RM Fast Start Package.

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

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

The RM Fast Start Package will provide:

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

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[1] For user acceptance testing or support, or for production rollout assistance, contact your Lab Services Sales Manager ("LS SM") to scope the appropriate services to perform this effort.
[2] This service provides the design and limited configuration of an RM environment. This service does not provide the effort to perform the install of the IBM FileNet Records Manager software. Contact your LS SM for the appropriate services to perform the software install.

- Document and record type analysis

- Users, groups, roles

- Document and record classes

- Records categorization, metadata, security and disposition

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

- Events and triggers

- Disposition schedules, phases, alternate retentions

- Record Naming patterns

- RM System Design Document

- Configure the environment based upon the RM System Design Document

- System Administration Handoff

- Demonstrate Environment

- Deliver project management and coordination

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

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

2. Required Product Training

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

- Course Code: F018 – Records Manager Administration Add-On
- Course Code: F019 – Records Manager for the RM Professional

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 RM Fast Start Package. Please refer to the IBM Learning Services Web site for detailed information regarding class cost, schedules, course descriptions, ordering options, registration instructions and 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 Consultant ("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
- IBM FileNet System Administrator
- Document/Records Manager
- Web Master/Web Designer
- System Operations Coordinator
- Client Desktop Coordinator
- LAN Administrator
- Database Administrator
- Document Entry Supervisor
- End-User Manager

4. Role Definitions

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

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

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

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

5. Responsibilities

5.1 <IBM Cust> Responsibilities

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

a.) Project Prerequisites

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

b.) A Project Lead with sufficient authority to:

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

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

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

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

- Create and manage RM system entities
- Define and manage record disposition schedules
- Generate and maintain system reports

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

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

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

i.) <IBM Cust> will make available all <IBM Cust> personnel required for this project 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.) Analysis and Requirements Discussion

- Review of existing records management procedures

- Review of document and record inventories

- Review of current taxonomies and/or file plans

- Review of RM user roles and responsibilities

- Design of record file plans, including:
  - Record folder structures
  - Record metadata
  - Record security
  - Record disposition schedules as they pertain to the implementation of the RM system

b.) System Design Requirements Gathering

- Document and record store architecture

- Document and record type analysis

- Users, groups, roles

- Document and record classes

- Records categorization, metadata, security and disposition

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

c.) RM System Design Document

- Identify up to ten (10) initial user/group profiles

- Identify up to twenty (20) initial custom properties

- Identify up to ten (10) sample document or folder classes

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

- Identify up to fifty (50) disposition schedules

d.) Perform System Administration Handoff
  - Transfer of Information
  - Problem Reporting

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

f.) Provide <IBM Cust> a completed RM Fast Start Package Checklist

6. Assumptions & Limitations

6.1 Assumptions

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

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

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

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

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

f.) Additional resources and time for user acceptance testing or support, or production rollout assistance are not included in this service[3].

6.2 Service Limitations

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

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

6.2.1 Travel & Living Expenses

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

The IPM will initiate the project with a kickoff conference call. Any additional status meetings required will be held via conference calls as well. The ECM Consultant will travel to <IBM Cust>'s site for up to **four (4)** visits for tasks associated in delivering this package service.

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

7. Project Tasks & Deliverables

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

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[3] Contact your LS SM to scope the appropriate services to perform this effort.

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 RM Fast Start Package Project. Topics of discussion will include <IBM Cust>'s requirements, expectations, prerequisites, and schedules.

7.1.1 Review Project Services Description

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

7.1.2 Define/Review Project Plan

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

7.1.3 Project Status

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

7.2 Task 2: Infrastructure Review

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

7.3 Task 3: Analysis and Requirements Gathering

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

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

7.3.1 Records Life Cycle

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

- File Plan

- Record folders

- Records Retention Rules & Schedules

- How to manage physical boxes, folders, and records

- How to manage Record Disposition

7.3.2 Object Classes

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

- Types of documents/objects specific to <IBM Cust>'s business

- Document lifecycles

- Object Stores

- Default instance security

- Object Class & Document property criteria

7.3.3 Properties

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

7.3.4 Security Strategies and Security Access

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

Areas of discussion include:

- The various security strategies (or methods of implementation) that the system can accommodate and which of these are best suited to <IBM Cust>'s requirements.

- How to organize users into different security/access groups.

- Determining the types of functions (system capabilities) that are appropriate for, or required by, users.

- Determining the security roles required by the business needs.

- Determining which functions should be restricted to different classes of users/groups.

7.3.5 System Design Document

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

7.4 Task 4: Implement the Specified RM Configuration

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

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

7.4.1 Security Setup

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

7.4.2 Property and Document Class Setup

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

7.4.3 Record Categories, Record Folders and Disposition Schedules

The ECM Consultant will assist <IBM Cust> with the configuration of Record Categories, Folders, and Disposition Schedules as defined in the System Design Document in accordance with the limitations listed in section 6.2.

7.5 Task 5: System Administration Handoff

7.5.1 Transfer of Information

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

- Adding categories to the file plan
- Assigning security permissions to record categories
- Configuration of disposition schedules and assigning disposition schedules to entities in the file plan
- Configuration of class definitions and property templates
- P8 Platform Documentation and Records Manager Documentation

7.5.2 Problem Reporting

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

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

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

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

7.7   Task 7: Project Completion

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

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