



IBM Customer ***IBM FileNet Records Manager
Install & Mentor Service
Description***

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1. Description of Services

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

- IBM FileNet Records Manager (“RM”) Install & Mentor Package

This service provides the expert resources to install the IBM FileNet Records Manager (“RM”) software onto an existing IBM FileNet Content Manager (“CM”) or IBM FileNet Business Process Manager (“BPM”) system at your site. It also provides hands-on assistance to address any questions, recap key issues covered in formal training classes, and to ensure 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 IBM EMC consultants will help guide <IBM Cust> on proven strategies and procedures that have been employed by other successful IBM ECM installations. The completed installation also ensures that the software is supportable by IBM ECM Product Support.

The scope of this Package is limited to the installation and support of RM¹. The CM or BPM product must have been previously implemented and must be fully operational prior to the initiation of the RM Install & Mentor package.

The RM Install & Mentor will provide:

- Installation of the RM software
- Configuration of the system for initial validation
- Validation of the System
- Demonstration of the System to the Project Team
- High Level RM Mentoring
- System Administration Handoff
- Delivery of the Platform/Architecture Documentation
- Project management and coordination to facilitate a successful and professional project delivery

This 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 RM environment.

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

At the completion of the RM Install & Mentor, <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. This install assumes individuals knowledgeable on IBM FileNet 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 Package².

¹ The RM Install & Mentor includes installation of the RM software in one (1) CM or BPM environment and up to four (4) consecutive days of RM mentoring. Installation and configuration of any additional services other than those required as part of the installation of RM are considered additional options. Contact your Lab Services Sales Manager (“LSSM”) for additional installation services.

² Services to configure site and user specific preferences are described in the RM Fast Start Service which is delivered as a separate package.

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. IBM education required for this installation is as follows:

- Course Code: F002 – P8 Platform Administration³
- Course Code: F018G - Records Manager Administration Add-On

The cost for these training courses is not included in this RM Install & Mentor. 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 IBM Software Sales Team can assist <IBM Cust> in obtaining a recommended training plan specific to <IBM Cust>’s requirements.

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

3.1 IBM ECM Team Resources

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

- IBM ECM Implementation Project Manager (“IPM”) –Project Lead
- Lab Services IT Specialist (“IBM ECM Consultant”)
- Technical Consultant (“TC”)
- IBM ECM Sales Specialist
- IBM ECM Sales IT Specialist (“IBM ECM 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 IBM ECM Project Lead.

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

- Project Lead

³ This course is available via classroom, instructor led on-line or eLab instruction.

- FileNet System Administrator
- Web Master/Web Designer
- System Operations Coordinator
- LAN Administrator
- Database Administrator
- Document/Records Manager
- Document Entry Supervisor
- End-User Manager

4. Role Definitions

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

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

Technical Project Installation Resource (1 to 2 people) - This individual(s) will work closely with the IBM ECM Consultant during the installation and configuration of the IBM FileNet software. The resource(s) will provide technical insight into the current <IBM Cust> information systems, as required, for the installation phase. IBM ECM strongly recommends that this individual become familiar with the IBM ECM products by enrolling in IBM ECM training prior to project initiation.

IBM FileNet System Administrator (1 to 3 people) - This individual will learn the administration functions necessary to oversee the RM system and will serve as the on-going administrator. Attending the Records Manager Administration Add-On class is required and should be completed prior to the installation of the software. This individual will work closely with the TC during install and configuration of RM software.

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

5. Responsibilities

5.1 <IBM Cust> Responsibilities

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

- a.) Project Prerequisites
 - All prerequisites must be met before IBM ECM can begin the installation of the product.
 - Installation of the IBM FileNet CM or BPM software and validation that the software is operating as expected.
 - All hardware, software, and network configurations must meet IBM ECM requirements for system size and performance for the purchased 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 installation of the RM system.
- d.) Local system administrator(s) trained on the administration of the IBM FileNet products installed and to be installed at <IBM Cust>, specifically the P8 Platform Administration and the Records Manager Administration Add-On courses.
- e.) After the <IBM Cust> System Administrator has attended the proper training and has reinforced that training by observing the IBM ECM consultants during the installation and mentoring, he or she will be responsible for expanding the environment following this service.
- f.) Local help desk personnel trained on the IBM FileNet client products installed at <IBM Cust>.
- g.) Adequate facilities for the IBM ECM resources; including cubicles, desks, and telephone, hardware and Internet access service.
- h.) Product Support Agreement in place through IBM ECM to provide for on-going maintenance post-installation.
- 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 ECM personnel requirements and additional costs.

5.2 IBM ECM Responsibilities

- a.) Install RM on one (1) environment
- b.) Configure RM for system validation
- c.) Test the RM System, performing "Records Lifecycle" validation (sample test case provided)
- d.) Demonstrate the RM System to <IBM Cust> Project Team
- e.) Perform high-level RM mentoring
- f.) Perform System Administration Handoff
 - Knowledge Transfer
 - Routine Maintenance
 - Backup Methodology
 - Problem Reporting
- g.) Provide <IBM Cust> a completed RM Install & Mentor Checklist

6. Assumptions & Limitations

6.1 Assumptions

- a.) <IBM Cust> should have attended the training required in this RM Install & Mentor prior to the installation of any IBM FileNet software.

- b.) <IBM Cust> will perform a Network check (verify server connectivity to network, addressing, correct protocol).
- c.) All prerequisite hardware and software has been installed onto <IBM Cust>'s designated IBM ECM servers.
- d.) IBM FileNet Content Manager or Business Process Manager has previously been installed, configured, and validated as operating as expected prior to the initiation of this project.
- e.) IBM FileNet Records Manager software has been downloaded to the appropriate servers prior to the resource arriving at <IBM Cust>'s facility.
- f.) Installation of RM software will not be in a clustered environment. A chargeable PCR may be required to perform the installation in a clustered environment.
- g.) Additional resources and time for the development of "custom applications" are not included in this service.

6.2 Service Limitations

The RM Install & Mentor 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 ECM involvement will be charged on a Time and Materials ("T&M") basis.

IBM 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 IBM ECM resources traveling to <IBM Cust>'s site in order to fulfill IBM ECM's tasks and responsibilities pertinent to delivering this Install Package.

The IPM will initiate the project with a kickoff conference call. It is intended that status meetings will be held via conference calls. The TC and the IBM ECM Consultant will travel to <IBM Cust>'s site for **one** (1) visit each for tasks associated with delivering this Package.

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 ECM 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 IBM ECM team for the RM Install & Mentor Project. Topics of discussion will include <IBM Cust>'s requirements, expectations, prerequisites, and schedules.

7.1.1 Review Project Services Description

The IBM 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 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 ECM strongly encourages the practice of joint task assignments as an excellent means of training and knowledge transfer for the team members.

7.1.3 Project Status

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

7.2 Task 2: Platform/Architecture Configuration Document & Review

The IPM will review the IBM ECM software purchased, <IBM Cust>'s server configuration (hardware, operating system and site specific software), IBM 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> during the kickoff meeting. Upon successful completion of <IBM Cust>'s portion of the document, the IPM will schedule the software installation at least 2 weeks into the future.

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

7.3 Task 3: Software Installation

The TC, with the assistance of <IBM Cust>'s Information Technology ("IT") staff, will schedule the server software installation. <IBM Cust>'s IT 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 P8 Platform Administration training prior to this step to facilitate appropriate system configuration choices and ease support transition to <IBM Cust>.

7.3.1 RM Install

The TC will install the RM software on a single pre-existing and validated CM or BPM environment. The install will include basic configuration of object stores to support record declaration for purposes of validating system functionality.

7.3.2 Validate Installation

The TC validates that a client workstation can access RM via P8 WorkPlace. The following user functions will be validated:

- Log on/log off from Workplace
- Open the RM Application from the Workplace link for Records Manager

- Add a Folder to the ROS object store from Workplace
- Add a sample document to a folder in the ROS object store
- Modify the properties of a document
- Check out/Check in a document
- Delete a document

7.3.3 RM Lifecycle Testing

After validation of the base P8 system, the TC will perform RM Lifecycle testing, based upon a provided sample test case. This test process will include the creation of associated RM system entities required to thoroughly validate the base RM functionality. This testing will include:

- Creating a test Category in the RM File Plan
- Creating a test Record Folder
- Declaring a document from the ROS as a record
- Running Disposition Sweep
- Initiating Disposition
- Approving destruction of the sample entities
- Verifying destruction by viewing the transcript and searching for the original document

7.4 Task 4: Demonstrate System to <IBM Cust> Project Team

After the initial samples have been tested, the IBM ECM Consultant or the TC 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, 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.

7.5 Task 5: High Level RM Mentoring

After the working system has been demonstrated to the project team, the IBM ECM Consultant will provide high level mentoring on the product, which may include, but is not limited to:

- Walkthrough Current System Demonstration
- Walkthrough RM
- Review Records Management Requirements
- Review Gap Analysis
- Build Sample RM File Plan
- Discuss and document go-forward strategies

See Appendix C – RM Mentoring Agenda for details.

7.6 Task 6: System Administration Handoff

7.6.1 Knowledge Transfer

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

- Entering class definitions data into the system as part of the configuration
- Entering property definitions into the system as part of the configuration
- Entering security profile definitions data into the system as part of the configuration
- Requirements for building a File Plan
- P8 Platform Documentation

7.6.2 Routine Maintenance

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

- Checking system services
- Monitoring system usage
- Initiating system backup preparation
- Checking the event log

7.6.3 Review Backup Methodologies

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

7.6.4 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 TC 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).

7.7 Task 7: Project Completion

Upon demonstration of the product the IBM ECM consultant will deliver to <IBM Cust> a completed Checklist which constitutes completion of this project. Please refer to the *Records Manager Install & Mentor 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.