

## Service Description

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### IBM Datacap on Cloud

This Service Description describes the Cloud Service IBM provides to Client. Client means the company and its authorized users and recipients of the Cloud Service. The applicable Quotation and Proof of Entitlement (PoE) are provided as separate Transaction Documents.

#### 1. Cloud Service

IBM Datacap on Cloud is a private cloud solution for document capture and processing that provides:

- a. The creation and deployment of capture applications that:
  - Accept incoming documents in supported image and electronic document formats (e.g. PDF, TIF, JPG, DOC, RTF etc.)
  - Receive documents from multiple sources, including scanners, FAX, email, file systems, and mobile devices
  - Apply supported image enhancement capabilities such as auto-rotate, straighten, and despeckle to those documents
  - Apply data recognition and extraction techniques, such as Optical Character recognition, Intelligent Character recognition, Optical Mark Recognition, Bar Code Recognition as supported by Datacap
  - Define pages and “fingerprints” as templates for automated page recognition and data extraction
  - Data verification via automated rules or manually
  - Convert documents to alternate formats
  - Export to a directory or a supported IBM Cloud
  - Provides access to the Cloud Service via the Datacap Mobile app available from the Apple App store or Google Play store
  - A secure virtual private infrastructure
- b. Replication of production data to a secondary location in support of disaster recovery
- c. Up to 4 TB of outbound bandwidth; higher bandwidth quoted separately
- d. 24x7 production environment monitoring, data encryption in transit and at rest, virus scanning, intrusion detection / penetration testing services, software patches, and software upgrades (data migration services or activities required for custom configurations or extensions quoted separately).
- e. Active Directory Integration  
Included Options: (Microsoft Active Directory or IBM Tivoli Directory Server)
  - Authentication to the Cloud Service LDAP Server replicating back to on-premise Client LDAP
    - Provide a (Read Only) domain controller in the Cloud Service that is in the Client domain
    - Client manages all end user access to the cloud environment (groups, IDs, access)
    - Full Admin rights to Client
  - Authenticate to the Cloud Service LDAP server where the Client manages the users (not in the Client domain)
  - Point to on-premise Client domain controller for authentication
    - Possible performance implications
    - Authenticates for the life of the session

Other configurations (e.g. manual or scripted excerpts of LDAP file directory to the Cloud Service; federation options including SAML, MS Federation Services, or others) quoted separately.

Custom solution implementation, configuration, and integration services are available for an additional charge under a statement of work.

## 1.1 Base Service Offering Entitlement

Client must purchase a subscription to a Base Service Offering as defined below. Each Base Service Offering Instance includes:

- A production environment
- Temporary storage sufficient for one week document storage

Each Datacap on Cloud configuration (Bronze, Silver, Gold and Platinum) reflects the capacity of the Cloud Service to support a Typical Capture Workload and can be used for planning purposes.

A Typical Capture Workload is defined as:

- Incoming PDF or TIF formatted files, B&W, good quality
- 5 page document
- "Light" image enhancement (Deskew, rotate, etc.)
- OCR first page only; extract between 5-10 fields
- Store as PDF or TIF
- Export metadata and Image to holding directory for maximum 7 days
- Based on 24 hour daily processing time

Other workloads are possible. Note that simpler workloads may result in higher throughput. More complex processing may likely result in lower throughput.

### 1.1.1 IBM Datacap Bronze

This configuration is intended to support organizations, lines of business, or departments with:

- Processing up to 50,000 documents per day based on the Typical Capture Workload defined earlier
- Up to 30 concurrent, active workers
- Bronze configuration provides 1TB of storage; additional TB storage can be separately purchased

### 1.1.2 IBM Datacap Silver

This configuration is intended to support organizations, lines of business or departments with:

- Processing up to 100,000 documents per day, based on the Typical Capture Workload defined earlier
- Up to 50 concurrent, active workers
- Silver configuration provides 1TB of storage; additional TB storage can be separately purchased

### 1.1.3 IBM Datacap Gold

This configuration is intended to support organizations, lines of business or departments with:

- Processing up to 500,000 documents per day, based on the Typical Capture Workload defined earlier
- Up to 100 concurrent, active workers
- Gold configuration provides 3TB of storage; additional TB storage can be separately purchased

### 1.1.4 IBM Datacap Platinum

This configuration is intended to support organizations, lines of business or departments with:

- Processing up to 1,000,000 documents per day, based on the Typical Capture Workload defined earlier
- Up to 500 concurrent, active workers
- Platinum configuration provides 5TB of storage; additional TB storage can be separately purchased

## 1.2 Optional Entitlements

### 1.2.1 IBM Datacap Insight Edition Entitlements

IBM Datacap Insight Edition delivers a set of cognitive capture capabilities, including:

- Actions, functions, and preconfigured Datacap rulesets that help enable organizations to automate identification, recognition, classification and data extraction of documents that are complex, variable, and that have unpredictable formatting

- Analytics to examine the structure and content of each page to help determine the document type, find undefined item value pairs in documents, identify and resolve business constructs (such as account numbers), and identify human, corporate, industry and other entities

The following Insight Edition entitlements are available:

- IBM Datacap Insight Edition Add-On Bronze:** Available for organizations who have purchased IBM Datacap on Cloud Bronze entitlement and who need advanced cognitive capture and document processing capabilities.
- IBM Datacap Insight Edition Add-On Silver:** Available for organizations who have purchased IBM Datacap on Cloud Silver entitlement and who need advanced cognitive capture and document processing capabilities.
- IBM Datacap Insight Edition Add-On Gold:** Available for organizations who have purchased IBM Datacap on Cloud Gold entitlement and who need advanced cognitive capture and document processing capabilities.
- IBM Datacap Insight Edition Add-On Platinum:** Available for organizations who have purchased IBM Datacap on Cloud Platinum entitlement and who need advanced cognitive capture and document processing capabilities.

### 1.2.2 IBM Datacap Storage Add-On

If Client exceeds the TB storage included with the selected configuration, Client must purchase additional entitlement.

### 1.2.3 IBM Datacap Non-Production Environment

Client may purchase a separate instance for test and development purposes. This environment may not be used for production purposes.

- The Non-Production Environment configuration is sized the same as the Bronze configuration
- The Non-Production Environment does not provide high availability or disaster recovery

### 1.2.4 IBM Datacap Dedicated Add-On

Client may upgrade a selected virtual private environment to a single tenant private infrastructure. This includes up to 20 TB of outbound bandwidth; higher bandwidth quoted separately.

## 2. Security Description

This Cloud Service follows IBM's data security and privacy principles for IBM SaaS which are available at <https://www.ibm.com/cloud/resourcecenter/content/80> and any additional terms provided in this section. Any change to IBM's data security and privacy principals will not degrade the security of the Cloud Service.

The data classification for this solution defaults to data being classified as Client sensitive. IBM will work with the Client to address other regulatory requirements when requested by the Client for the intended workload, and may impact the solution architecture and service fees. All data is protected using FIPS 1402 level 1 compliant whole disk encryption.

## 3. Service Level Agreement

IBM provides the following availability service level agreement ("SLA") for the Cloud Service as specified in a PoE. The SLA is not a warranty. The SLA is available only to Client and applies only to use in production environments.

### 3.1 Availability Credits

Client must log a Severity 1 support ticket with the IBM technical support help desk within 24 hours of first becoming aware of an event that has impacted the Cloud Service availability. Client must reasonably assist IBM with any problem diagnosis and resolution.

A support ticket claim for failure to meet an SLA must be submitted within three business days after the end of the contracted month. Compensation for a valid SLA claim will be a credit against a future invoice for the Cloud Service based on the duration of time during which production system processing for the Cloud Service is not available ("Downtime"). Downtime is measured from the time Client reports the event until the time the Cloud Service is restored and does not include time related to a scheduled or announced maintenance outage; causes beyond IBM's control; problems with Client or third party content or technology, designs or instructions; unsupported system configurations and platforms or other Client

errors; or Client-caused security incident or Client security testing. IBM will apply the highest applicable compensation based on the cumulative availability of the Cloud Service during each contracted month, as shown in the table below. The total compensation with respect to any contracted month cannot exceed 50 percent of one twelfth (1/12th) of the annual charge for the Cloud Service.

Availability of the Cloud Service during a contracted month

Availability during a contracted month	Compensation (% of monthly subscription fee* for contracted month that is the subject of a claim)
<99%	5%
<97%	10%
<95%	25%
<90%	50%

\* If the Cloud Service was acquired from an IBM Business Partner, the monthly subscription fee will be calculated on the then-current list price for the Cloud Service in effect for the contracted month which is the subject of a claim, discounted at a rate of 50%. IBM will make a rebate directly available to Client.

Availability, expressed as a percentage, is calculated as: the total number of minutes in a contracted month minus the total number of minutes of Downtime in a contracted month divided by the total number of minutes in the contracted month.

Example: 440 minutes total Downtime during contracted month

43,200 total minutes in a 30 day contracted month – 440 minutes Downtime = 42,760 minutes	= 5% Availability credit for 98.8% availability during the contracted month
<hr style="width: 50%; margin: 0 auto;"/> 43,200 total minutes	

#### 4. Business Continuity

The Cloud Service is configured to support business continuity objectives defined below. Business continuity objectives help ensure that an organization's critical business functions will be recovered to an operational state, with a minimal loss of data, within a reasonably short period following a disaster at the primary computing location. Once a determination is made that an incident at the primary computing location warrants a failover to the secondary location, business continuity plans and related activities shall be executed by IBM in support of the recovery objectives noted below. For this Cloud Service the non-production environment will be refreshed and reconfigured to accept production workloads until service at the primary location is restored.

Business Continuity Objectives	
Recovery Point Objective	4 hours
Recovery Time Objective	<ul style="list-style-type: none"> <li>• 4 consecutive hours when a secondary, equivalent Base Service Entitlement is purchased</li> <li>• At least 24 consecutive hours, if no secondary Base Service entitlement is purchased</li> </ul>

#### 4. Technical Support

Technical support for the Cloud Service is provided via an online problem reporting system.. Technical support is offered with the Cloud Service and is not available as a separate offering.

Severity	Severity Definition	Response Time Objectives During Support Hours
1	Critical business impact/service down: Business critical functionality is inoperable or critical interface has failed. This usually applies to a production environment and indicates an inability to access services resulting in a critical impact on operations. This condition requires an immediate solution.	Within 1 hour
2	Significant business impact: A service feature or function is severely restricted in its use or Client is in jeopardy of missing business deadlines.	Within 2 business hours
3	Minor business impact: Indicates the service or functionality is usable and it is not presenting a critical impact on operations.	Within 4 business hours
4	Minimal business impact: An inquiry or non-technical request.	Within 1 business day

## 5. Entitlement and Billing Information

### 5.1 Charge Metrics

The Cloud Service is available under the charge metric specified in the Transaction Document:

- a. Instance is a unit of measure by which the Cloud Service can be obtained. An Instance is access to a specific configuration of the Cloud Service. Sufficient entitlements must be obtained for each Instance of the Cloud Service made available to access and use during the measurement period specified in Client's PoE or Transaction Document.
- b. Terabyte is a unit of measure by which the Cloud Service can be obtained. A Terabyte is 2 to the 40th power bytes. Sufficient entitlements must be obtained to cover the total number of Terabytes processed by the Cloud Service during the measurement period specified in Client's PoE or Transaction Document.

### 5.2 Partial Month Charges

A partial month charge as specified in the Transaction Document may be assessed on a pro-rated basis.

## 6. Term and Renewal Options

The term of the Cloud Service begins on the date IBM notifies Client of their access to the Cloud Service, as documented in the PoE. The PoE will specify whether the Cloud Service renews automatically, proceeds on a continuous use basis, or terminates at the end of the term.

For automatic renewal, unless Client provides written notice not to renew at least 90 days prior to the term expiration date, the Cloud Service will automatically renew for the term specified in the PoE.

For continuous use, the Cloud Service will continue to be available on a month to month basis until Client provides 90 days written notice of termination. The Cloud Service will remain available to the end of the calendar month after such 90 day period.

## 7. Enabling Software

This Cloud Service includes enabling software, which may be used only in connection with Client's use of the Cloud Service and only for the Cloud Service term. The enabling software included with this Cloud Service is Datacap Mobile SDK.