

## Service Description

### IBM Datacap on Cloud

This Service Description describes the Cloud Service. The applicable order documents provide pricing and additional details about Client's order.

#### 1. Cloud Service

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

- a. The hosting of Datacap applications that:
  - Accept incoming documents via scanning in Datacap Navigator, the Datacap Web API, Datacap Mobile Capture, or file import.
  - Convert input files from supported input file formats to supported image file formats.
  - Apply supported image enhancement and image processing capabilities such as auto-rotate, straighten, and despeckle to TIFF and JPEG format image files.
  - Apply data recognition and extraction techniques, such as Optical Character recognition, Intelligent Character recognition, Optical Mark Recognition, Bar Code Recognition as supported by Datacap.
  - Use Datacap rules to validate data and process documents.
  - Use the Datacap Navigator web user interface for scanning, manual classification, data verification, and indexing documents.
  - Access external data services (EDS) hosted on external servers,
  - Convert and assemble image page files to multiple page TIFF or PDF files.
  - Export documents to a file system directory, on a supported IBM Cloud document repository. Datacap is not positioned as a content repository.
  - Export data to supported databases, to data files, and via Datacap web services actions.
- b. A secure virtual private infrastructure.
- c. Routine backups for the data and environments are provided. For production environments, asynchronous replication of production VM images, backups, metadata, and content to secondary center is also included in support of Disaster Recovery.
- d. Up to 4 TB of outbound bandwidth; higher bandwidth quoted separately.
- e. 24x7 production environment monitoring, 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).
- f. If a Non-Production Environment is purchased for Business Continuity purposes:
  - (1) Testing is performed on a representative implementation from our overall Client portfolio at least once per year.
  - (2) Additional requirements such as testing on Client specific environments will be quoted separately.
- g. Directory Services
 

Included Options: (Microsoft Active Directory or IBM Tivoli Directory Server for LDAP)

  - Authentication: Pass Through Authentication back to on-premise Client LDAP
    - Client manages all end user access to the cloud environment (groups, IDs, access).
  - Authentication: Implement SAML for Datacap Navigator web client
  - Authorization: LDAP Sync connect to the on-premise Client LDAP and sync users/groups to cloud LDAP.
  - Authentication/Authorization: Access the Cloud Service LDAP server where the Client manages the users (not in the Client domain).

- h. The Datacap Navigator web client is the only user interface available in production environments. It provides the user interface for end-users and for administrators to change workflows, users, groups, and otherwise engaging with capture application. Access to log files is provided. Remote Desktop and IBM Content Navigator Admin access are provided only in non-production. Datacap Desktop is available via remote desktop session in a nonproduction cloud environment. The IBM Datacap Navigator web client is the Datacap on Cloud user interface for changing workflows, users, groups, and otherwise engaging with capture application.
- (1) The following Datacap components are available via remote desktop session in a nonproduction cloud environment:
- Datacap FastDoc
  - Datacap FastDoc (Admin)
  - Datacap Studio
  - Datacap Application Copy Tool
  - Datacap Fingerprint Service Test Tool
  - Datacap Flex Manager
  - Datacap Maintenance Manager
  - Datacap Application Manager
  - Datacap License Manager
  - Datacap Rulerunner Manager
  - Datacap Server Manager
  - Datacap Web Client Configuration Tool
  - Datacap Web Server Configuration Tool
- (2) Non-production Datacap on Cloud environments are limited to 2 concurrent remote desktop sessions.
- i. Production will be implemented utilizing a software VPN connection for securely connecting to the Cloud Service. Information about the VPN will be provided upon written request by Client. Configuration of 1 VPN endpoint provided, additional endpoints quoted separately.
- j. Custom solution implementation, configuration, integration services, performance tuning and additional offerings are available for an additional charge under a statement of work from IBM Services or Partners.
- k. Software upgrades as part of the service are included. Upgrades requiring migration of data or any custom extensions are not included.
- l. The base offering includes provisioning in select data centers in a shared environment. Any provisioning outside of these centers will require the Dedicated Add-On. Each offering represents the capacity to process certain amounts of data volume and user operations in the specified time period as described below. The capacity descriptions are intended to be guidelines to help a Client select an appropriate configuration for intended workloads, actual results may vary based on Client specifics.
- m. Each Base Service Offering Instance includes temporary storage for daily processing. Migration requirements are separate.
- n. Deployment of Datacap applications to production environments from pre-production environments will be done via a customer initiated change request
- o. Each Datacap on Cloud configuration (Copper, 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
  - Five (5) page document
  - Image enhancement of TIFF and JPEG images using standard Datacap actions.

- Full page OCR and fingerprint match of one (1) page from each five (5) page document. Extraction of 5 -10 data fields from the OCR text results using zonal location or keyword search. Maximum 10,000 fingerprints per system using the Fingerprint Service.
- Formatting output documents into multi-page TIFF or searchable PDF format.
- Export metadata and Image to holding directory for maximum 7 days and retention of finished jobs for a maximum of 7 days.
- Based on 24-hour daily processing time where the workload is spread evenly across the 24-hour period.
- Application design, utilization of different features in Datacap, and variances in incoming documents will impact both individuation document processing time and the overall throughput capacity of the environment.

Other workloads are possible. Note that simpler workloads may result in higher throughput. More complex processing may result in lower throughput. Processing documents in a shorter time than the typical Capture Workload requires a larger configuration.

**Note:** The Configurations below are representative only of the typical Capture workload defined above. It is the responsibility of the Datacap Application provider to tune the system for performance. Resolving any performance issues or scaling challenges that do not adhere to the typical workloads above may require additional cost-based SOW engagement with Lab Services.

- p. Cloud Services will deploy applications to production environments.

## 1.1 Offerings

The Client may select from the following available offerings

### 1.1.1 IBM Datacap Copper

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

- Processing up to 10,000 pages per day based on the Typical Capture Workload defined earlier.
- Copper configuration provides 500GB of storage.
- A single Datacap application.
- Client initiated Change Request / Service Request management: up to 3 change requests per week for the first 3 calendar months of the Cloud Service and up to 1 change request per week thereafter. 7 calendar days of notice is required for change requests, although complicated requests may take longer than 7 calendar days to complete. Unused change requests may not be rolled over. Change requests will be executed business days off peak hours as agreed upon with the Client.

### 1.1.2 IBM Datacap Bronze

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

- Processing up to 50,000 pages per day based on the Typical Capture Workload defined earlier.
- Bronze configuration provides 1TB of storage.
- A single Datacap application.
- Client initiated Change Request / Service Request management: up to 3 change requests per week for the first 3 calendar months of the Cloud Service and up to 1 change request per week thereafter. 7 calendar days of notice is required for change requests, although complicated requests may take longer than 7 calendar days to complete. Unused change requests may not be rolled over. Change requests will be executed business days off peak hours as agreed upon with the Client.

### 1.1.3 IBM Datacap Silver

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

- Processing up to 100,000 pages per day, based on the Typical Capture Workload defined earlier.
- Silver configuration provides 1TB of storage.
- Up to 2 Datacap applications.
- Client initiated Change Request / Service Request management: up to 3 change requests per week for the first 3 calendar months of the Cloud Service and up to 1 change request per week thereafter. 7 calendar days of notice is required for change requests, although complicated requests may take

longer than 7 calendar days to complete. Unused change requests may not be rolled over. Change requests will be executed business days off peak hours as agreed upon with the Client.

#### 1.1.4 IBM Datacap Gold

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

- Processing up to 500,000 pages per day, based on the Typical Capture Workload defined earlier.
- Gold configuration provides 3TB of storage.
- Up to 3 Datacap applications.
- Client initiated Change Request / Service Request management: up to 3 change requests per week for the first 6 calendar months of service and up to 1 change request per week thereafter. 7 calendar days of notice is required for change requests, although complicated requests may take longer than 7 calendar days to complete. Unused change requests may not be rolled over. Change requests will be executed business days off peak hours as agreed upon with the Client.

#### 1.1.5 IBM Datacap Platinum

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

- Processing up to 1,000,000 pages per day, based on the Typical Capture Workload defined earlier.
- Platinum configuration provides 5TB of storage.
- Up to 4 Datacap applications.
- Client initiated Change Request / Service Request management: up to 3 change requests per week for the first 6 calendar months of service and up to 1 change request per week thereafter. 7 calendar days of notice is required for change requests, although complicated requests may take longer than 7 calendar days to complete. Unused change requests may not be rolled over. Change requests will be executed business days off peak hours as agreed upon with the Client.

## 1.2 Optional Services

### 1.2.1 IBM Datacap Insight Edition Entitlements

IBM Datacap Insight Edition delivers an expanded set of document processing 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:

#### a. IBM Datacap Insight Edition Add-On Copper

Available for organizations who have purchased IBM Datacap Copper entitlement and who need advanced cognitive capture and document processing capabilities.

#### b. IBM Datacap Insight Edition Add-On Bronze

Available for organizations who have purchased IBM Datacap Bronze entitlement and who need advanced cognitive capture and document processing capabilities.

#### c. IBM Datacap Insight Edition Add-On Silver

Available for organizations who have purchased IBM Datacap Silver entitlement and who need advanced cognitive capture and document processing capabilities.

#### d. IBM Datacap Insight Edition Add-On Gold

Available for organizations who have purchased IBM Datacap Gold entitlement and who need advanced cognitive capture and document processing capabilities.

#### e. IBM Datacap Insight Edition Add-On Platinum

Available for organizations who have purchased IBM Datacap 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 may purchase additional entitlement.

### 1.2.3 IBM Datacap Non-Production Environment

Client may purchase a separate instance for test purposes. This environment may not be used for production purposes except when implemented as a standby disaster recovery site.

- a. The non-production environment does not provide high availability or disaster recovery.
- b. Client may choose different instance sizes for production and disaster recovery if desired:
  - (1) IBM Datacap Non-Production Environment Copper  
IBM Datacap Non-Production Environment Copper is sized the same and provides similar processing capacity as IBM Datacap Copper.
  - (2) IBM Datacap Non-Production Environment Bronze  
IBM Datacap Non-Production Environment Bronze is sized the same and provides similar processing capacity as IBM Datacap Bronze.
  - (3) IBM Datacap Non-Production Environment Silver  
IBM Datacap Non-Production Environment Silver is sized the same and provides similar processing capacity as IBM Datacap Silver.
  - (4) IBM Datacap Non-Production Environment Gold  
IBM Datacap Non-Production Environment Gold is sized the same and provides similar processing capacity IBM Datacap Gold.
  - (5) IBM Datacap Non-Production Environment Platinum  
IBM Datacap Non-Production Environment Platinum is sized the same and provides similar processing capacity IBM Datacap Platinum 2.0.
- c. Cloud Services labeled as Non-Production are subject to the following limitations:
  - Client will be responsible for monitoring of the Cloud Service.
  - Client will be responsible for managing all non-maintenance changes to the Cloud Service.
  - The Cloud Service can only be used as part of Client's test environment for non-production activities, including but not limited to testing, performance tuning, fault diagnosis, internal benchmarking, staging, quality assurance activity and/or testing internally used additions or extensions using published application programming interfaces. Client is not authorized to use any part of the Cloud Service for any other purposes without acquiring the appropriate production entitlements.
  - Client may not use the Cloud Service for development of Datacap applications.

### 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.

### 1.2.5 IBM Datacap Federal Datacenter Add-On

This Cloud Service, available to US government Clients and other Clients as approved by IBM, provides the Client's selected Cloud Service configuration to be implemented as a virtual private environment infrastructure wholly contained in a federal data center. Note: If client has multiple production and non-production environments, Federal Datacenters Add-ons should be obtained for all environments that are to be implemented in a Federal data center.

## 1.3 Acceleration Services

### 1.3.1 IBM Datacap on Cloud Jump Start

This set-up service provides up to 50 hours of remote consulting time for startup activities including (1) assistance with use cases, (2) coaching on proven practices for reports, dashboards and other systems tooling, (3) guided assistance and advice on preparation, execution and validation for initial data loading, and (4) other administrative and configuration topics of interest (collectively, "startup activities"). This

remotely delivered set-up service is purchased per Engagement, and expires 90 days from the date of purchase of entitlement, as specified in Client's Proof of Entitlement, regardless of whether all hours have been used.

### 1.3.2 IBM Datacap on Cloud Accelerator

This on demand service provides up to 50 hours of remote consulting time to be used for performing activities including (1) assistance with use cases, including data movement use cases in support of a one-time, point in time, data movement (2) coaching on proven practices for reports, dashboards and other systems tooling, (3) guided assistance and advice on preparation, execution and validation for initial data loading (including setup of source and target environments and data movement as defined in data movement use case) and (4) other administrative and configuration topics of interest (collectively, "Activities"). This remotely delivered set-up service is purchased per Engagement and expires 12 months from the date of purchase of entitlement or on the last day of the initial Cloud Service subscription term, whichever is earliest, regardless of whether all hours have been used.

## 2. Data Processing and Protection Data Sheets

IBM's Data Processing Addendum at <http://ibm.com/dpa> (DPA) and the Data Processing and Protection Data Sheet(s) (referred to as data sheet(s) or DPA Exhibit(s)) in the links below provide additional data protection information for the Cloud Services and its options regarding the types of Content that may be processed, the processing activities involved, the data protection features, and specifics on retention and return of Content. The DPA applies if and to the extent the European General Data Protection Regulation (EU/2016/679) (GDPR) applies to personal data contained in Content.

<https://www.ibm.com/software/reports/compatibility/clarity-reports/report/html/softwareReqsForProduct?deliverableId=F84725C0ED0111E4989B60FF8B09BCE8>

## 3. Service Levels and Technical Support

### 3.1 Service Level Agreement

IBM provides Client with the following availability service level agreement (SLA). IBM will apply the highest applicable compensation based on the cumulative availability of the Cloud Service as shown in the table below. The availability percentage is calculated as the total number of minutes in a contracted month, minus the total number of minutes of Service Down in the contracted month, divided by the total number of minutes in the contracted month. The Service Down definition, the claim process and how to contact IBM regarding service availability issues are in IBM's Cloud Service support handbook at [https://www.ibm.com/software/support/saas\\_support\\_overview.html](https://www.ibm.com/software/support/saas_support_overview.html).

Availability	Credit (% of monthly subscription fee*)
Less than 99.9%	2%
Less than 99.0%	5%
Less than 95.0%	10%

\* The subscription fee is the contracted price for the month which is subject to the claim.

### 3.2 Technical Support

Technical support for the Cloud Service, including support contact details, severity levels, support hours of availability, response times, and other support information and processes, is found by selecting the Cloud Service in the IBM support guide available at <https://www.ibm.com/support/home/pages/support-guide/>.

## 4. Charges

### 4.1 Charge Metrics

The charge metric(s) for the Cloud Service are specified in the Transaction Document.

The following charge metrics apply to this Cloud Service:

- Engagement is a professional or training service related to the Cloud Services.

- Instance is each access to a specific configuration of the Cloud Services.
- Terabyte is 2 to the 40th power bytes processed by, used, stored, or configured in the Cloud Service.

## 4.2 Remote Services Charges

A remote service will expire 90 days from purchase regardless of whether the remote service has been used.

## 5. Additional Terms

For Cloud Service Agreements (or equivalent base cloud agreements) executed prior to January 1, 2019, the terms available at <https://www.ibm.com/acs> apply.

### 5.1 Enabling Software

Enabling Software is provided to Client under the following terms:

Enabling Software	Applicable License Terms (if any)
Developer Workstation – IBM Datacap	<p>Datacap Authorized License Terms:  <a href="https://www-03.ibm.com/software/sla/sladb.nsf/lilookup/EC6C6522AB1AC0E885258088006B9739">https://www-03.ibm.com/software/sla/sladb.nsf/lilookup/EC6C6522AB1AC0E885258088006B9739</a></p> <p><b>Additional overriding terms</b>            Client may access, download and utilize this program for purposes of development, testing and verification of applications for implementation on the Client's Datacap on Cloud production environment. This program is restricted to non-production use.</p>

### 5.2 Verification

Client will i) maintain, and provide upon request, records, and system tools output, as reasonably necessary for IBM and its independent auditor to verify Client's compliance with the Agreement, and ii) promptly order and pay for required entitlements at IBM's then current rates and for other charges and liabilities determined as a result of such verification, as IBM specifies in an invoice. These compliance verification obligations remain in effect during the term of the Cloud Service and for two years thereafter.