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1.) SERVICE DESCRIPTION
The AAIT Document Management team provides document management services to the Emory Community through the Optix Document Management System. Optix, provides a full suite of document management and workflow tools that allow for the development of custom document management applications.

The Optix Document Management suite includes a web interface, workflow, and compact disk publishing functionality as well as document scanning, indexing and retrieving capabilities. A Computer Output to Laser Disk (COLD) module serves as the legacy systems interface that allows reports generated on the mainframe to be stored in the document management system and retrieved for selected viewing.

Service Objectives
Document Management will help improve our customers’ internal business processes by:
- Reducing physical paper storage requirements (file cabinets, real estate, personnel)
- Improving the processing of incoming documents
- Making documents more easily accessible
- Improving document retrieval speed
- Allowing concurrent access to documents by more than one user
- Keeping document archives safe from loss or destruction
- Automatically managing the flow of documents according to the customer’s roles and business requirements.

Relationship to Emory’s Strategic Goals
The document, “AAIT Architecture for Emory University”, states in part, “...A comprehensive information technology architecture must support the education, research, and service missions of the university efficiently and effectively. We envision ultimately, an architecture that will allow members of the University community to easily access and use information regardless of location or time...

...We envision an architecture that is simple to use and that facilitates exchanges of information across all segments of the University. The architecture should provide for the protection of private, confidential and proprietary information, but the necessary security protections should still allow easy access, free flow, and the regular updating or correction of data...”

The Emory document management system is consistent with this long-range direction. Each implementation is customized to the customers’ specific needs. Additionally, the document management system is scalable, secure, supports multiple platforms, and is accessible via the Internet.

Scope
The scope of Document Management services includes:
- Business analysis/application development
- Hardware recommendations
- Testing and implementation
- Training and support
The scope of Document Management services does not include:

- Hardware set up and maintenance
- Operating system issues (Windows, Mac OS)
- File/database conversions
- Network issues

The customers’ local support team should address the items not included in the scope of Document Management Services.

2.) CUSTOMERS/FUNDING SOURCES

Customers are identified as the owners and authorized users of documents stored in Optix. Primary and Secondary customers are listed below.

Primary Customers
The service is available to the Emory Community.

Secondary Customers
AAIT internal projects and teams.

Budget/Funding Sources
AAIT has subsidized a portion of current infrastructure and start-up costs. Eventually, the Document Management Service will be 100% self-funding and able to sustain itself from revenues generated by the service. Each spring, rates will be reviewed to determine if any upward or downward adjustments are warranted. All rate changes would become effective at the beginning of the upcoming fiscal year.

Current rates for the document management service are as follows:

<table>
<thead>
<tr>
<th>FY 2006-2007</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>On-line Storage</td>
<td>.10 per Megabyte/Month</td>
</tr>
<tr>
<td>Concurrent User License</td>
<td>$1,803.00/scanning workstation</td>
</tr>
<tr>
<td>CD publishing</td>
<td>$130.00 set up fee and $10.00 per disk</td>
</tr>
<tr>
<td>Business Analysis</td>
<td>$65.00/hour</td>
</tr>
</tbody>
</table>

Beginning in October 2000, customers will be billed one month in arrears for on-line storage according to the rate schedule outlined above. The on-line storage fee includes all Optix features and capabilities.

3.) SERVICE OWNERS
AAIT Administrative Services is responsible for the overall operation of the Document Management Service. However, support teams outside of Administrative Services support several key components.
OPTIX SUPPORT MATRIX

| ESS-Enterprise System Support | Server hardware                  |
|                              | Server operating system (UNIX)   |
|                              | Web server (OPTIXWEB)            |
|                              | Security (Passwords)             |
| Operations                   | EMC RAID on-line storage         |
| IRM-Infrastructure Resource Management | Oracle database administration |
| AS-Administrative Services   | Desktop support (limited installs) |
|                              | Optix application administration |
|                              | Business analysis                |
|                              | Implementation                   |
|                              | Training                        |
|                              | Support                         |

4.) SERVICE DELIVERABLES

Business Analysis/Application Development
A business analyst will interview customers in an effort to gather requirements that will later be developed into technical specifications. Business analysis also consists of managing all phases of application development, implementation, and documentation.

Hardware Recommendations
During the business analysis phase, the analyst will make appropriate hardware recommendations based on the number of documents to be scanned, budget, etc. After a recommendation has been made, the customer may purchase the equipment through an Emory authorized vendor. Please call a member of the DM team for contact information.

Implementation
The business analyst will coordinate the installation of all software required for the customers unique application and will work with local support to install scanners, CD ROM drives, etc. The Optix administrator will develop the security strategy and coordinate all technical aspects of the application.

Training
The document management business analyst develops the initial training materials and conducts introductory hands-on training. Subsequent hands on training and training materials will be provided as application advancements warrant.

Customer Support (also see #9)
Before an Optix application can be implemented, a local support person must be available to provide 1st level support for the application and related hardware and software.

Second level support for any Optix application is available during normal business hours via the AAIT Document Management team. Customers may call a document management team member directly and can expect a return call with a maximum of 4 business hours. Support is limited to issues directly associated with Optix. This would include the Optix Workstation program, Optixweb, scanner drivers, and 1st level support for scanner hardware. More serious scanner issues should be referred to the scanner manufacturer. We do not support issues associated with the workstation hardware, operating system, or network.
5.) CONTACT INFORMATION
All requests for new service and support should be directed to the DM team leader. The application administrator will address technical questions related specifically to document management. Graydon Kirk will address business process and analysis questions. Jennifer Stevenson will address password resets and general service questions.

Contacts
John Wilson – IT Technical Lead  (404) 727-1296
Jennifer Stevenson – Applications Dev/Analyst, Lead  (404) 727-2564
John Cormican – Applications Dev/Analyst, Lead  (404) 712-8724
Valeria S. Burian - Applications Dev/Analyst, Lead  (404) 712-2536

Hours of Operation
Monday – Friday   7:00am to 5:00pm
After hours, weekends, and holidays   Contact the Customer Support Center (7-7777)

6.) MAINTENANCE
Scheduled
All scheduled maintenance dates will be communicated to customers at least 2 weeks in advance.

Unscheduled maintenance
Should unscheduled maintenance become necessary, the document management team will communicate the time and duration of system downtime as far in advance as possible.

7.) LEGAL REQUIREMENTS
BACK-UPS AND RECOVERY
The laws, rules, and regulations governing electronic document storage vary by state, local, and federal agencies and are specific to the purpose of the document. The document management team cannot advise customers on these issues. Instead advice should be sought from the University Records Manager, Mary Wilson (404-727-6887).

All back-ups are managed by the Optix Application Administrator and supported by the ESS group of AAIT. Back-ups are scheduled to occur daily (a more detailed schedule is available upon request) and two copies of all back-up tapes are made. One copy is stored off-site for disaster recovery purposes. The application administrator maintains the other copy.

8.) SERVICE LEVEL STATUS REPORTING
Service level results will be published quarterly to track SLA commitments. System uptime statistics, scheduled maintenance times, and call volume statistics will be included in these reports.

9.) SUPPORT
New Service Requests
Request for new service should be made directly to the document management service team (phone numbers are listed under contact information). A business analyst will call you to schedule an appointment to begin gathering customer requirements. When service is requested, you will need to provide a list of all expected users and their Emory user IDs (logon ID). If you are requesting access to another customers’ documents, for example, A/P invoices, written
permission must first be obtained from the document owners. Service requests are addressed on a first come, first served basis.

Password resets
Please contact a member of the document management service team at 404/727-1296.

Problem Reporting
Optix related problems should be reported directly to a member of the Document Management Service Team. The team member will coordinate repair efforts.

Emergencies
Emergencies, described as unavailability of the service, will be assigned highest priority. Emergencies occurring outside of normal business hours should be directed to the Customer Support Center at (404) 727-7777.

Escalation Procedures
A.) Optix Software - The customers’ local support person should perform initial troubleshooting to determine the nature of the problem. If Optix is determined to be the root cause, a call should be placed to the document management service team. If the problem is determined to be a result of the operating system or hardware, local support should address it.
B.) Scanner – Local support should document the problem and call the document management service team for assessment. At that time, a determination will be made whether to escalate the problem to the scanner manufacturer.
C.) Other Hardware – All other hardware is the responsibility of the local support team.
D.) All other issues or concerns should be directed to the DM Leader.

10.) RESPONSIBILITIES/OBLIGATIONS

Role of Client
The customer is responsible for providing the following:
• Knowledgeable local technical support
  Workstations that meet or exceed current university minimum standards, use the following link for detailed description
  http://www.it.emory.edu/showdoc.cfm?docid=3329
• Network connection in close proximity to the workstation
• Workstation configuration and setup

The document management service team is not responsible for issues related to system performance due to failure to meet the above requirements.

Role of The Document Management Service Team
The document management service team is responsible for the following:
• Business analysis (gathering requirements)
• Translating requirements into technical specifications
• Developing the application including, index strategy, security, and screen design according to customer requirements.
• Testing and implementation
• Training and follow-up
• Back-up and disaster recovery planning
• System maintenance
Charges
Service charges to customers will be reviewed each spring and rates for the upcoming fiscal year will be adjusted as necessary. Document Management will operate as a service center where the goal is to recover all costs incurred in offering the service. These costs shall include hardware and software (including upgrades and replacement cycles), personnel, supplies, etc. Increasing resources in anticipation of growth and demand for the service is also considered an acceptable cost of the service. Any service revenue “profits” will be available for reinvestment to improve service quality or offset rates as required.

Service Level Agreement (SLA) Administration
This SLA will be reviewed annually to reflect customer feedback and address issues that may arise as the service evolves. If issues arise that the customer feels need attention before the next planned SLA review, please contact the Document Management Service Team Leader.

11.) SIGN-OFF
We have read and understand the information in this SLA.

_____________________________
Date

_____________________________
AAIT

_____________________________
Document Management Service

_____________________________
Department