



Electronic Content Management (ECM) Services

Service Description

ECM Services is comprised of three component service offerings:

- ITS Scan Service
- Electronic Document Management (EDM) Service
- ITS User Interface (UI) and Portal Service

These three service offerings can be used independently of each other or in conjunction with each other as a fully integrated platform. These services provide a highly reliable, scalable, secure, and feature-rich electronic document management platform that can be leveraged by State agencies for their various electronic document management needs. This shared platform can be used by State agencies to scan, store, and retrieve their electronic document assets while also providing an environment where collaboration between non-co-located participants for any given State project can be facilitated via the Internet. Benefits of utilizing the ECM Services are listed below.

Benefit	ITS Service Current Offering	Comment
No Capital Expenditures Required	✓	The ECM Service has already procured hardware and EDM Software to support the Scan-Store-Retrieve requirements of most State agencies.
No RFP Required	✓	ITS ECM Services can be used without the need for an RFP.
Project Management Service	✓	Project Management is an integral part of establishing any ECM Service. ITS Project Managers provide customers with a high understanding of the Enterprise Project Management tools and assist by driving results. ITS offers its ECM customers this



Benefit	ITS Service Current Offering	Comment
		benefit via our Project Management Service
Scanning	✓	Scan software and maintenance in place today via the ECM Scan Service. Scanners and associated support can be purchased from the vendor that supplies the scanner.
Store - Centralized EDM Content Repository	✓	In place today via EMC Documentum.
Retrieve - WebTop and CARA	✓	In place today via EMC Documentum and Generic CARA.
Enablement of cross-departmental sharing of files	✓	Eliminates the need for mailing files and the associated costs.
Enablement of vertical application integration	✓	Applications can be integrated with ITS ECM Services.
Certified ECM Support Staff	✓	In place today via ECM Services.
Customer Training	✓	ITS offers web-based training for WebTop. Future offerings via qualified vendor RFP.



Benefit	ITS Service Current Offering	Comment
Professional Services	✓	ITS offers Professional Services for ECM Services.
Software Quality Assurance (SQA) Testing Services	✓	ITS offers SQA testing of your EDM related application via our SQA Service .
24x7x365 Service Desk	✓	ITS offers a fully staffed Service Desk via email or by phone.
Data housed in the NC Data Center	✓	Professionally managed North Carolina Data Center with locations in Eastern and Western North Carolina.

ITS Scan Features

- **Web Browser Interface** - Access to the service will be provided using a standard web browser (e.g., Internet Explorer) as opposed to any "fat client" software that would need to be installed on the user desktop.
- **Capture documents from a variety of different sources** - Including centralized high-speed scanners, distributed desktop scanners, multi-function peripheral devices (MFP's), fax, email, network directories, and other input sources.
- **Distributed Capture** - Extends capture out to branch offices, enabling document scanning and indexing by remote users, and delivery of content to a central location for processing.
- **Classify incoming forms/documents** - Intelligent document recognition identifies structured, semi-structure, and unstructured documents, and separate single and multi-page documents automatically with no need for manual intervention or separator sheets/barcodes. Applies to tax forms, licensing documentation, medical records, etc.
- **Route documents to specific users/groups** - Customized capture flows support the dynamic routing of documents to different users or groups.



- **Extract** - Extract key data from documents using different extraction techniques, including zonal OCR, freeform extraction and manual data entry.
- **Validate** - Perform field-level validations and database lookups ensuring the accuracy of extracted data.
- **Deliver** - Export into content management, ERP, database and other systems for workflow, processing, storage, and archiving.

The ITS Scan Service along with the ITS EDM Service can enable additional capabilities such as:

- **Archive and Retention:** Ability to capture, search and retrieve document images using an accessible online repository.
- **Case Management:** An integrated platform for transforming physical paper case files with an integrated platform for managing all case artifacts (paper, electronic, e-mail), people and processes.
- **Content & Business Process Management:** Ability to Store, Manage and Search all types of content in a secure repository and automate back office workflows.

Electronic Document Management (EDM) Features

- **Web Browser Interface** - Access to the service will be provided using a standard web browser (e.g., Internet Explorer) as opposed to any "fat client" software that would need to be installed on the user desktop.
- **Library Services** - Document check in/checkout, re-versioning, and version control for any given electronic document.
- **Customizable Lifecycles** - A chain of states a document can pass through during its lifetime (e.g., Author, Draft, WIP, Approved, Archived).
- **Customizable Workflows** - Order in which specific work is performed, or the route a document should take.
- **Document Metadata** - Each electronic document comes with a standard set of metadata (attributes) which is searchable as well as customizable.
- **Document Templates** - Predefined document templates can be imported, created in, versioned and protected by various levels of security and encryption.
- **Search** - Automated full text indexing for any given document content for facilitating metadata and content searching.
- **Document Format Rendering** - Documents can be automatically or manually rendered in various formats (e.g., HTML or PDF) for publishing to web sites or to provide other forms of document delivery.
- **Annotations / Generic Viewer** - If the user does not have the required desktop application software to view a specific document format, a Generic Viewer is available. This viewer also provides a wide



range of annotation, redaction, and other capabilities that can be used for reviewing and annotating any given document.

- **Security** - A robust set of security capabilities includes n-tier security administration, support for 128-bit encryption down to the document level, audit trails for who accessed what documents and when, and authentication via the Statewide NCID service.
- **Web Publishing** - Automatic document publishing to a distant web server as well as document removal from a web server.
- **Automatic Notifications** - Email alerts letting you know when work has been assigned to you manually or automatically via workflow or when a document you're interested in has been modified.
- **Logical Document Linkage** - Logically link documents together when primary document is versioned, then link points to current version.
- **Feature Rich Application Programming Interface (API)** - Ability to interface new or existing agency applications to the document data base(s) using a standardized set of API's and tools.

ITS User Interface (UI) and Portal Features

- **Web Browser Interface** - Access to the service will be provided using a standard web browser (e.g., Internet Explorer) as opposed to any "fat client" software that would need to be installed on the user desktop.
- **Works in any browser** - The Google Web Toolkit is certified on any of the major browsers, and should work on almost any browser. The ones certified include Internet Explorer v6+, Firefox v1.5+, Chrome v4+, Safari v3+ and Opera v9+.
- **Ergonomic** - The application has the look and feel of Windows Explorer. This greatly improves user adoption of CARA. The tool is designed to provide a truly ergonomic, easy-to-use experience with a reduced number of mouse-clicks and separate screens required to perform a task or see information.
- **Performance** - Three major aspects of the way CARA is built contribute to performance that is measurably faster performance than the native platform UI for the individual applications (in some cases 4-5 times faster for the same action).
 - CARA is built using the Google Web Toolkit which is a very fast, stable web application.
 - CARA has been architected to pass the minimum amount of information in small fragments (rather than entire HTML pages) back and forth between the browser and the application server.
 - CARA has been built to allow operations asynchronously, so users do not have to wait for one thing to finish before doing something else.
- **Built-in portal** - CARA provides a built-in portal with reduced functionality such "anonymous" search, viewing, and some limited functions once logged in i.e. Create/Import, Edit, and Delete. This portal feature is useful for public access or third party/customer access.



- **Widgets** - CARA offers a unique "Widget" panel. These widgets allow users to display up to five default Widgets - *properties, locations, renditions, relations* and *versions*.
- **Multiple Platforms** - CARA is unique in that it leverages CMIS (the new Content Management Interoperability Services) in order to work on any platform that supports CMIS. Therefore, customers can switch the back end between any of the supported platforms without having the UI, and therefore users, impacted. This gives customers independence from the platform and the ability to move with the most appropriate platform at any particular stage.

Hours of Availability

This service is available 24/7, excluding planned outages, maintenance windows, and unavoidable events. Maintenance windows are used only when needed for planned changes that have gone through the ITS Change Management Process. In addition to the Standard ITS Maintenance Windows, additional site-specific and service-specific changes may be coordinated with customers at non-standard times.

The current planned maintenance window is from 4:00 a.m. to 12:00 p.m. on each Sunday, but this maintenance window may or may not be used, depending on the timing of any given maintenance or change event.

Customer Responsibilities

- Identify and provide for a project manager that will act as the primary point of contact for ITS and will coordinate agency on-boarding to the utility.
- Identify and provide a local EDM administrator to support the agency by creating agency specific taxonomies, groups, roles, users, and permission sets, jobs/methods, and custom document types as requested. This administrator would also act as a liaison between the agency and the ECM service.
- Identify and provide a local workflow/lifecycle administrator to support the agency by creating workflows and lifecycles as requested. This administrator would also act as a liaison between the agency and the ECM service. This could be the same person as the EDM administrator noted above.
- Identify and provide a local project administrator to support the agency by creating agency specific objects, groups, roles, users, and permission sets as requested. This administrator would also act as a liaison between the agency and the ECM service. This could be the same person as the EDM and/or workflow/lifecycle administrator noted above.
- Provide service utilization forecast/estimates information to the ECM Service Owner as requested/required.
- Provide user information to allow for proper billing by the ECM Service.



- Acquire proper/recommended training for end users.
- Acquire, maintain, and support any software and hardware relating to the scanning/image capture of hard copy documents that will be imported and stored in the service utility.
- Provide a qualified person to participate as needed in the Governance and Oversight process for the ECM service.

Global Service Levels

- Global Service Levels include the general areas of support that are applicable to every ITS service.
- The purpose of the Service Level Agreement (SLA) is to document support provided for all ITS services in the Global Service Levels, document the service provided in the Service Description and document any optional customer specific requirements (additions or changes) in the Addendum. However, if there are any differences, information documented in the SLA Addendum takes precedence over the information stated in the Global Service Levels and/or the Service Description

Service Support

- Hours of Support

The ITS Service Desk operates 24 x 7 and offers a single point of contact for all customer inquiries related to the State of North Carolina's business and technical infrastructures. The Service Desk agents provide business and technical infrastructure analysis, problem solving, and first and second level diagnostics.

- Contacting Support

Call the Service Desk at 919-754-6000 or toll free at 1-800-722-3946 or email the Service Desk at ITS.Incidents@its.nc.gov.



- Incidents and Service Requests

- Ticket Creation

Any critical Incident or critical Service Request should be initiated by calling the ITS Service Desk. If a critical Incident or Service Request is initiated by eMail, it must be followed up with a telephone call to the Service Desk to ensure proper prioritization. When sending an eMail, summarize the nature of the Incident or Service Request in the Subject field.

Upon creation of a ticket, the customer will automatically receive through eMail a Receipt Confirmation with the ticket or reference number. This confirmation denotes that the Incident or Service Request has been logged at the ITS Service Desk and that it is being assigned to a work group. The customer is responsible for ensuring that their eMail address is provided to the ITS Service Desk for update and resolution notification purposes.

- Ticket Prioritization

The ITS Service Desk assigns a Priority to every Incident or Service Request that is initiated. The ITS Prioritization Model is used to ensure a consistent approach to defining the sequence in which an item needs to be resolved and to drive the assignment of resources.

The Priority assigned to a ticket depends upon:

- The Impact on the business: size, scope and complexity of the Incident
- The Urgency to the business: time within which resolution is required
- The resource availability
- The expected effort in resolving or completing a task

- Incident Target Customer Status Update and Resolution Times

The following chart shows the Incident Target Customer Status Update and Target Resolution Times by Priority after creation and initial assessment / assignment of a ticket by the Service Desk. Resolution Times are measured in clock hours and/or minutes unless otherwise specified.

- The Target Customer Status Update Time is the time interval that the Service Desk has to update the Customer who reported the Incident on ticket status.
- The Target Resolution Time is the total time from ticket creation to Incident resolution and restoration of service to the user. Service may be restored either by a workaround or by a permanent solution. ITS strives to resolve ninety percent of Incidents within the time frame specified for each Priority.

Priority	Target Customer Status Update Time	Target Resolution Time
Critical	Every 60 minutes or as agreed upon with the Customer(s)	4 hours or less
High	Every 2 hours or as agreed upon with the Customer(s)	8 hours or less
Medium	Upon request	24 hours or less
Low	Upon request	3 business days



- Service Request Target Customer Status Update and Resolution Times
 - **Target Customer Status Update Time**
For all Priority Levels, the Target Customer Status Update Time will be as agreed upon with the customer upon ticket creation.
 - **Target Resolution Time**
All Service Requests will require a Target Resolution Date. The date will be entered into the IT Service Management tool upon creation by the Service Desk Agent and will be set based on the provisioning time established for the specific request type. This date should be a mutually agreed upon target date per request type as defined within each customer's Service Level Agreement. In the absence of such date agreements or definitions, the target date will initially be populated with the customer required date and may be revised later as appropriate.

Customer Communication

As previously stated, ITS will update customers as Incidents are being worked and upon Incident resolution. ITS will also provide communications when Incidents or outages occur that may impact the customer through the ITS Customer Communications Hub. Customers of ITS should visit the ITS Customer Communication Hub at <https://communications.its.state.nc.us/> to self-register for communications regarding services and to view service status. Customers may also subscribe to the Projected Service Outage Report via the Communications Hub which provides information regarding upcoming change events that have the potential to impact services and lines of business.

Customer Escalation

The ITS Service Desk is the single point of contact for initiating all Incidents and Service Requests, including any requests for ticket escalation. Please contact the ITS Service Desk at 919-754-6000 or toll free at 1-800-722-3946 or eMail the Service Desk at ITS.Incidents@its.nc.gov.

The Business and Technology Services Leader assigned to your agency is available to address any questions you may have about ITS services, processes or information technology business needs. You may contact your Business and Technology Services Leader directly or initiate a Service Request with the ITS Service Desk.

Change Management

The primary goal of Change Management is to protect the live environment from unintended impacts as a result of changes made to the various systems, applications, and equipment operating on the enterprise network. All changes to the ITS infrastructure must have a Request for Change (RFC) ticket submitted in Remedy. As a customer-centric organization, our first task is to ensure that our customers do not experience an unnecessary or unanticipated interruption in their daily business activities.



According to the ITS Change Management Process, a RFC requires that the requestor:

- Document any impacts to the service or other existing services
- Secure the required approvals from managers and advisory board members
- Document implementation, test, and back-out plans
- Schedules and implements the change during periods of low impact to the organization whenever possible

Finally, a careful review of the success or failure of the change coupled with a strong system of success and impact metrics provides the checks and balances as to whether the process is solid, is being followed, and provides useful reporting data to decision makers and other stakeholders.

If an Incident or Service Request results in a RFC being generated at ITS, the ITS policy for lead time will be followed wherever feasible. The three levels of change types are Major, Significant and Minor. A Major Change requires 20 business days lead time, a Significant Change requires 10 business days lead time, and a Minor Change requires 3 business days lead time and has little or no impact.

Enterprise Change Advisory Board

ITS facilitates the Enterprise Change Advisory Board (ECAB) meetings, whose membership consists of agency and ITS representatives. The purpose of the ECAB meetings is to communicate all Major and Significant changes to its members. ITS changes are brought before the ECAB when they affect two or more agencies including ITS. Agency members also bring information to the ECAB when their changes may impact an ITS upcoming change or potentially affect another agency. For example, an agency may request a quiet period for no changes to the IT Infrastructure during a significant business event.

Prior to the ECAB meetings, ITS provides to the membership a Forward Schedule Of Change - ECAB Detail Report, which shows the detail of RFCs that are identified for ECAB review and information. Contact your Business and Technology Services Leader if you have any questions regarding the ECAB.

In addition to the ECAB specific reports, all customers of ITS may subscribe via the ITS Communications Hub to the Projected Service Outage report. This report, which is published each Thursday afternoon, details changes that may impact customers. If you need assistance with subscribing to reports or to notifications available through the Communications Hub, contact your Business and Technology Services Leader.

Security Standards and Policies

- ITS services adhere to ITS and State CIO Security Standards and Policies
- The Customer is responsible for ensuring that their systems and services are compliant with and follow State CIO Security Standards and Policies

Business Continuity Plan

ITS has a Continuity of Operations Plan (COOP) to ensure the continuity of critical business functions.



Service Level Reviews

- ITS will use a phased approach in initially conducting Service Level Reviews. The reviews will be facilitated by the ITS Customer Service group and conducted at a minimum on a quarterly basis or as needed. A Business and Technology Services Leader and the customer will participate in the reviews.
- Service Level Agreements (SLA) will be reviewed, and/or renewed, at least once per year or as required. Customers may request a review of Service Level Agreements at any time by contacting the ITS Customer Service group. The SLA will also require review under any of the following conditions:
 - Whenever there is a significant and/or sustained change to the delivery of the service
 - Whenever there is a significant change requested to the SLA that supports the ITS service
- As a result of these reviews or as other information is provided, Service Improvement Programs will be implemented as needed.

Metrics and Reports

Metrics and reports will be discussed at the Service Level Reviews. Archival of all reports shall follow the records retention schedule adopted by the North Carolina Office of Information Technology Services and the State Records Branch General Schedule, as applicable.

Report Name	Reporting Metric	Reporting Interval	Reporting Source
SLA Report for Incidents Resolved	Resolved incidents within and outside of the SLA; Service Request Resolution Times	Monthly	Service Management Reporting Tool

Dispute Resolution

The Parties (ITS and the Customer) agree that it is in their mutual best interest to resolve disputes informally and amicably. If representatives of the Parties are unable to resolve any dispute after reasonable negotiation, such issue shall be escalated to the respective legal counsel of the Parties, and then, if necessary, to the heads of the respective agencies. If the dispute still remains unresolved, then either Party may seek resolution using the mechanism set out in N.C.G.S. 147-33.93.



Confidentiality

As a result of this SLA, each Party (ITS and the Customer) is likely to have access to information or records of the other Party that is exempt from disclosure under applicable law. Such information shall be deemed "Confidential Information." Each Party shall maintain all Confidential Information of the other Party in strictest confidence and will not at any time use, publish, reproduce or disclose any Confidential Information, except to the extent necessary to carry out the Party's duties under this SLA or as expressly authorized in writing by the other Party. Each Party shall, prior to disclosing any Confidential Information to any contractor or other third party, promptly seek and obtain authorization for the disclosure from the other Party and shall ensure that the contractor or other third party is subject to a non-disclosure agreement enforceable in North Carolina. Nothing in this paragraph is intended to prevent either Party from compliance with any order issued by a North Carolina state or federal court.

Ownership and Custody of Data

All data or other records held or stored by ITS as a result of this SLA shall be considered the property of, and in the custody of, the Customer. In the event of a request made to ITS for access to Customer records pursuant to the North Carolina Public Records Act or by other legal process, ITS will decline such requests and indicate to the requestor that ITS is not the custodian of such records. ITS will refer the requestor to the Customer and will notify the Customer of such request as soon as is reasonable under the circumstances, in order to provide the Customer with an opportunity to state or otherwise argue its own position concerning such request.

