

ENTERPRISE CONSULTING UK LIMITED

SERVICE DEFINITION

**FOR THE SUPPLY OF SYSTEM, HOSTING AND
MAINTENANCE SERVICES**

SERVICE DEFINITION

Introduction

The Synergy ECM platform enables institutions to securely capture, store, manage content, share content, and enforce retention policies. This sophisticated solution supports virtually all types of content, including reports, scanned images, PDFs, photos, sound files, application documents such as Microsoft® Word and Excel®, and essentially any electronic file in an industry-standard format. The ability to create a secure, central document repository with immediate desktop delivery of archived documents improves enterprise-wide productivity and effectiveness, streamlines operations, supports better-informed and timelier decisions, and enhances customer or member service.

With this state-of-the-art ECM solution, you can revolutionise document management and further automate your business processes.

Synergy Document Module

Synergy Document Management leverages state-of-the-art imaging and storage technology to provide a companywide electronic knowledge management solution. This sophisticated solution captures documents in a centralised, decentralised, or combination environment and provides storage, versioning, metadata, security, retention policies, as well as indexing and retrieval capabilities via the Internet, LAN, or WAN. Synergy Document Management supports all types of media including scanned documents, e-mails, attachments, photos, and Microsoft Word and Excel files, etc. A sophisticated version management utility facilitates a collaborative work environment and enhances productivity by allowing authorised users to “check out” document images and make content modifications such as notes and annotations. Modified document images are then “checked in” and automatically become the most current version available for company-wide access. Proven security features ensure that only authorised users can modify document images and that modifications can be automatically tracked creating a valid audit trail. Users can also conduct audits for critical documents missing from a group or “set” of documents. When combined with other Synergy modules, this solution creates a true productivity suite.

Synergy Document Management is an innovative ECM solution that generates material operating efficiencies, expedites research, enhances customer service and convenience, streamlines information access and distribution, and reduces labour, postage, and operating costs.

- Provides a company-wide electronic knowledge management solution that leverages state-of-the-art imaging and storage technology to automate document capture, retrieval, and distribution
- Provides immediate, accurate document search and retrieval
- Supports all types of media including scanned documents, e-mails and attachments, photos, Microsoft Word and Excel files, etc.
- Captures documents in a centralised, decentralised, or combination environment
- Integrates with other Synergy modules such as Synergy Document Tracking, Synergy eDistribution, and Synergy Workflow to offer robust, comprehensive document management features
- Provides defined document retention policies that govern disposition in compliance with regulations, legal stipulations, and best practices
- Provides access to documents via Internet, LAN, or WAN
- Provides full information access via web clients and applies all associated security rules/permissions

- Provides a sophisticated, secure version management utility that allows authorised users to “check out” document images, make content modifications such as notes and annotations, and “check in” modified document images
- Tracks and logs modifications providing a valid audit trail
- Provides security masks to protect sensitive information from unauthorised viewing
- Provides cut and paste capabilities that allow the easy, secure exporting of customer-facing content into Microsoft Word and Excel documents, e-mails, and form letters

Synergy Reports Module

Enterprise Report Management (ERM) technology to automate the capture and archive of report data while creating a warehouse of all archived reports, statements, and notices. Users can retrieve content using a single point of entry. Its built-in security system allows access to authorised personnel and provides access to report data with all original report data remaining intact and unchanged. Synergy ECM also accepts output from most business applications and legacy mainframe systems.

- Automates report capture, archival, and retrieval functions
- Works with output from the leading core processing solutions and most business applications and mainframe systems
- Provides easy-to-use Windows interface to identify stored reports
- Provides immediate retrieval of stored reports via desktop, browser client or API
- Allows simultaneous access to individual reports by multiple users
- Ensures data security and integrity by providing access to reports with all original report data remaining intact
- Provides the ability to print, export, or e-mail report data from the client applications
- Leverages a built-in security system that restricts report access to authorised personnel only
- Provides the ability to call attention to certain report data by using electronic highlights, arrows, stamps, and “sticky notes”
- Displays forms onscreen as they would appear if printed
- Provides the ability to create secure report or group level text notes available for authorised viewing at the individual or user group levels
- Provides cut and paste capabilities that allow the easy, secure content exporting to Microsoft Word and Excel documents, e-mails, and form letters
- Enables users to export selected report data directly to formatted Excel spreadsheet

Synergy eDistribution Module

Synergy eDistribution provides two delivery alternatives. The electronic documents can be delivered as attached PDFs (optionally encrypted) or as e-mail notifications of document availability with a link to the customer’s Internet site. This solution also supports HTML-based e mail content, providing enhanced presentation. This innovative solution can also be used as a cost-effective promotional channel that converts traditional statement stuffers into electronic product/service promotions. Additionally, Synergy eDistribution serves as a powerful communication channel for both employees and customers.

- Automates the scheduling and delivery of electronic statements, notices, and other customer communications
- Supports ability to distribute Synergy documents, images and entire reports

- Works in conjunction with Synergy Document Tracking to distribute coming due and past due notices, as well as Document Tracking reports
- Supports HTML-based e-mail content for enhanced presentation
- Supports one-time and recurring distributions with an automated scheduling system
- Provides the ability to deliver electronic documents as PDFs (optionally encrypted), e-mail attachments, or as e-mail notifications of document availability with an embedded link to the customer's Internet site
- Provides a cost-effective promotional channel that converts paper-based statement stuffers into electronic product/service promotions

Synergy Document Tracking Module

The Synergy Document Tracking module fully automates the creation and management of electronic checklists. This sophisticated component of the Synergy ECM platform enables diverse corporate entities to further streamline business processes, reduce operational risk, and comply with the related regulatory requirements by ensuring important documents are properly completed and digitally stored.

Using customisable templates that can be tailored to each organisation's specific needs, Synergy Document Tracking enables users to create sophisticated electronic checklists using pre-set values, monitor and manage those checklists, and receive notifications when data is missing or incomplete.

Synergy Document Tracking enhances service levels and convenience by organising related documents in one location for easy retrieval. Synergy's enhanced hitlist provides multiple users a practical dashboard view, permitting immediate assessment of the status of individual documents and document groups. This solution provides extensive searching capabilities and maintains common searches, allowing for easy access to frequently used queries.

Synergy Document Tracking supports a document level value rating to identify significant documents and determine risk assessment. In addition, Synergy Document Tracking offers automated document indexing using printed barcode separator pages, and creates an audit trail of any checklist changes.

Fully integrated with the Synergy eDistribution module, Synergy Document Tracking provides the ability to send notices when documents are missing or expired and generates checklist summary reports. The integrated Synergy Workflow module enables users to route reports and notifications to key personnel for further processing or review, empowering the appropriate people with prompt decision-making capabilities. Synergy Document Tracking enhances Synergy Enterprise Content Management by providing companies with the ability to securely store and easily access important documents.

- Provides customisable templates to create individual checklists based on specific needs
- Utilises electronic checklists to manage and track groups of documents
- Organises document groups in a user-friendly format with adjustable views
- Full integration with Synergy eDistribution enables users to send notices when documents are missing or expired
- Full integration with Synergy Workflow enables users to electronically distribute reports and notifications to key personnel
- Provides dashboard view of checklist statuses using an enhanced hitlist
- Provides extensible searching capabilities and maintains frequently used queries for ongoing use
- Supports document level value rating to identify significant documents
- Supports custom defined document status to handle varying customer status requirements
- Supports custom defined data fields for tracking additional document information

- Provides document level exception tracking
- Supplies a complete audit trail of all checklist changes

Synergy PowerSearch

Synergy PowerSearch enables users to easily and quickly search all stored report data, scanned images, electronic documents, and check images with free form, natural language searches. Files located in accessible local or network directories outside of the Synergy system can be power searched as well. This sophisticated solution performs exact content searches or natural language searches that locate document content containing the desired words, keywords, phrases, sentences, paragraphs, or variations without using Boolean operators, index values, or complex queries. Synergy PowerSearch also compensates for human errors such as misspellings, typos, or poor quality type on documents/reports being searched.

- Provides fast and accurate search capabilities of all stored report data, scanned images, electronic documents, and images
- Searches documents and files located in accessible local or network directories outside of the Synergy system
- Performs exact searches or content-based searches that locate documents containing variations of the words used in natural language searches
- Locates target documents and the desired content within those documents
- Compensates for human errors such as misspellings and typos
- Shows exact matches as well as similar matches
- Provides a confidence level for each search item found

Synergy eSign

Synergy eSign is a signature capture solution that digitally captures legally binding signatures and permanently and securely embeds them into non-editable and auto-indexed PDF files. It encompasses all of the state-of-the-art features you'll need in a digital signature solution while offering the security and convenience your customers expect.

Synergy eSign is a browser-based document presentment solution that leverages state-of-the art signature capture functionality. This module of Synergy, powered by Integrated Media Management (IMM), enables customers to sign electronic documents and have their signatures securely digitised and embedded into the document, either locally or onsite at the branch. This solution also supports multiple signatories at separate locations. eSign helps eliminate the time and resources required to scan, copy, and file paper documents. By replacing time-consuming manual methods with digital signature capture, FIs can improve their overall ROI through enhanced process efficiencies.

- Enables customers to sign electronic documents and have their signatures securely digitised and embedded into non-editable and auto-indexed PDF files, either locally or at the branch.
- Provides a digital signature for documents that have been captured electronically, such as signature cards, loan applications, and insurance enrolments.
- Displays the signed document on-screen, allowing it to be printed and reviewed before final acceptance.
- Stores the indexed data and files of the signed e-document in the image repository.
- Permanently "burns" the legally binding signature into the document and prevents it from being altered, removed, or transferred to another document.
- Captures documents at the time of transaction, which can reduce delays to online availability from days to minutes.

- Allows executed documents and contracts to be readily available via network or Internet access.

Backup and Disaster Recovery

For hosted environments a secondary and tertiary backup of the server environment is kept at all times with real-time replication between the environments.

The storage at our secondary DR sites mirrors the production SAN in our main data centre; every update is mirrored at the DR SAN and confirmed to the primary (production) SAN. Daily backups to the tertiary site provides for the total loss of the SAN storage, both primary and mirror.

The system has been designed so that all data can be recovered in the event of a disaster. For example, a complete loss of the main data centre will invoke use of the DR site with minimum reconfiguration, the data storage being already up-to-date because of the use of mirroring.

Our DR plans contains all of the instructions required to recover the Synergy Application following a site wide disaster at a primary datacentre to a secondary or tertiary environment.

The plans have been created to be transferrable to self-hosted solutions with some adaption to meet the needs of individual clients with distinct and unique server environments.

The plan contains the following sections:

Roles and Responsibility - including details on the DR plan owner, Disaster Recovery Team Leads and the various recovery teams.

Application Instance Information – including all connected application and server references, Production and DR locations and an application instance overview.

DR Plan Recovery Procedures – the specific recovery procedures that must be performed successfully recover an application.

Exit Management Assistance

Throughout the term of the service we maintain an exit plan to ensure that there is an orderly transfer of the Services upon termination or expiry of the service. We will provide the exit plan to the Customer within thirty (30) days of the Customer's request.

We will implement the exit plan upon termination or expiry of the service and shall provide to the Customer all necessary cooperation in connection with transfer of Services, including access to Supplier Personnel, so that the Customer can gain an understanding of the documentation and processes used in providing the Services.

The Supplier shall return or delete all Customer Data free of charge and within thirty (30) days of termination or expiry of the Services in accordance with the Customer's written request.

Maintenance

We restrict scheduled maintenance to periods of no more than two (2) hours per week between the hours of 12 a.m. and 8 a.m. GMT Time, or such similar time period may from time to time substitute by providing notice, to be agreed by the client.

Technical Requirements

SQL: A Synergy environment requires a SQL Server Standard 2017 instance, later versions and enhanced editions of SQL are also compatible with Synergy.

Operating System: Synergy Server environments require version 2016 of Windows Server or later.

.NET: .NET version 4.7.2 is required for all Synergy installations.

Thin Client and VDI: The following systems are tested and supported:

- Citrix Virtual Apps and Desktops 7 2303
- Microsoft RDS 2019
- Microsoft RDS 2022
- VMWare Horizon View 8.8 2212

Hardware Requirements:

Server Type	CPU Cores	Memory (GB)
SQL	8	16
Web	4	16
Document	8	16
Reports	8	16
eSign	2	16
PowerSearch	4	8
eDistribution	8	8

• **SCHEDULE 2**

SERVICE LEVELS

ECL shall use reasonable endeavours to meet the following response times during the Service Hours

Report Category	Primary Response	Initial Analysis	Target Resolution	Permanent Solution
1	½ Service Hour	4 Service Hours	7 Service Hours	Future Update
2	2 Service Hours	7 Service Hours	4 Business Days	Future Update
3	2 Service Hours	5 Business Days	15 Business Days	Future Update

Report Category	Description
1	A major defect which causes: <ul style="list-style-type: none"> Substantial downtime of the system Severe performance degradation Substantial damage to the client's data A significant impact on the commercial operation of the client.
2	A serious defect which causes: <ul style="list-style-type: none"> Significant performance degradation A halt to the operation of important tasks, or places the operation of such tasks at risk; i.e. failure of a major feature Significant degradation to a user application where no alternative exists A delay in a time critical implementation of the current release Damage to the clients' data.
3	A minor defect which causes: <ul style="list-style-type: none"> Some functional disruption or limitation to the operation of the software in accordance with the specification.

The allocation of a report category will be agreed between the Customer and ECL.

Where a problem cannot be fixed within the target response time, the Customer and ECL will agree how to proceed in order to fix the issue in question.

ECL shall make reasonable endeavours to comply with the target response times, but the target response times are provided as an estimate only, and may vary.	
Response/Action Definitions	
Primary Response	Contact from ECL to clarify the problem and discuss potential actions that can be taken immediately.
Initial Analysis	Contact from ECL reporting the results of an initial analysis into the problem, giving details into the possible causes of the problem and, where possible, proposing a solution for a temporary and/or permanent fix and a timetable for achieving that solution.

Target Resolution	An acceptable temporary work around into the problem that allows the users to operate the system without substantial degradation in performance. A temporary fix will only be applied where suitable. In some instances a temporary fix may not be available.
Permanent Resolution	A permanent resolution of the issue which restores the system to full performance and functionality in accordance with the published documentation.

Service Monitoring

ECL operates access testing for web interfaces to make sure access is available to the Service, this uses a generic user account with no privileges other than 'log-in' to check a connection can be made.

ECL checks the available capacity of storage on a weekly basis and expands it where required.

ECL has a record of when the last sets of data were sent and check this on a daily basis.

Problem Management

ECL will undertake problem management by agreement with the Customer.