



# Service Level Agreement

Updated 4/26/2024  
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## PiF Technologies Service Level Agreement

### 1. Agreement Overview

This document represents a Service Level Agreement (SLA) between PiF Technologies (Service Provider) and the PiF Customer (Customer). PiF is a Value Added Reseller (VAR) of various workflow automation software tools. Depending on the Customer, the software is deployed on an On-Premise Server that is owned and managed by the customer, or it is deployed in the PiF multi-tenant Amazon Web Services Cloud (AWS). The SLA covers support and service protocols regarding said PiF-acquired software and hardware including, but not limited to DocStar/Epicor Document Management software, DocStar Intelligent Data Capture software, Artsyl and Ancora Software, frevvo Electronic Forms Software, UiPath and KnowledgeLake Robotic Process Automation Software, PiF supplied servers and scanners and AWS Cloud Hosting services.

This SLA becomes effective when PiF receives a signed proposal for products and services and invoices the customer. The SLA remains valid as long as the Customer maintains a current Maintenance and Support Agreement with PiF.

### 2. Service Agreement

The following detailed service parameters are the responsibility of the Service Provider in the ongoing support of this Agreement.

#### 2.1 Service Scope

Included in the Annual Maintenance & Support Contract are the following services. PiF has three types of maintenance and support plans as outlined below. The PiF plan type is noted on the PiF Invoice to the Customer.

##### 1) MA-114 "SoftCare" - Product enhancement, updates, patches/bugs/fixes

- Customer will receive new software version licensing from the manufacturer
- PiF will apply one (1) new product upgrade at no cost, annually
- Access to PiF KnowledgeBase and FAQ Articles via the PiF portal at <https://piftech.freshdesk.com/support/home>
- Access to <https://ecmhelp.epicor.com/hc/en-us> DocStar/Epicor/DocStar ECM eLearning

## 2) MA-H “E-Care” – Help Desk Services

- Help Desk / Telephone Technical Support / Toll-Free 888-934-4443, email [support@piftech.com](mailto:support@piftech.com), Customer portal <https://piftech.freshdesk.com/support/home>, or Live Chat
- Remote Diagnostics, Support & Repair (via <http://pifhelp.com>)
- Does NOT include onsite support, parts, or labor. Onsite labor can be purchased on a per diem basis

## 4) MA-SNP – “E-Care” + “Service No Parts” for Hardware (Servers & Scanners)

- Help Desk / Telephone Technical Support / Toll-Free 888-934-4443, email [support@piftech.com](mailto:support@piftech.com), Customer portal <https://piftech.freshdesk.com/support/home>, or Live Chat
- Remote Diagnostics, Support & Repair (via <https://pifhelp.com>)
- On-Site Break / Fix & Preventative Maintenance for Scanners
- Includes labor and travel (except for end-of-life hardware/software)
- Does NOT include parts

## 5) MA-C “E-Care” + “Platinum Support” for Hardware (Servers & Scanners)

- Help Desk / Telephone Technical Support / Toll-Free 888-934-4443, email [support@piftech.com](mailto:support@piftech.com), Customer portal <https://piftech.freshdesk.com/support/home>, or Live Chat
- Remote Diagnostics, Support & Repair (via <https://pifhelp.com>)
- On-Site Break/Fix, & Preventative Maintenance for PiF supplied servers & scanners
- Includes parts, labor, and travel (except for end-of-life hardware/software)

## 6) MA-F “Secure Online Backup”

- PiF will install and configure a daily backup of the DocStar archive and database files
- Backups will be stored in AWS in an encrypted state
- In the event a complete restoration is required due to catastrophic failure, PiF commits to a restoration of the database within 4 hours.
- Customers can request a restore of a backup, but note, depending on the amount (GB) of images it could take 1-2 business days for a complete restoration of all facets of the Application

## 7) MA-A “Artsyl Advanced Capture” or APM700 “Ancora DocStar IDC”

- Customer will receive all new product licensing upgrades and PiF will apply one (1) product version upgrade per year at no charge
- PiF will make best efforts to resolve any product issues and will work directly with the vendor (manufacturer) to secure a resolution.
- Help Desk / Telephone Technical Support / Toll-Free 888-934-4443, email [support@piftech.com](mailto:support@piftech.com), Customer portal <https://piftech.freshdesk.com/support/home>, or Live Chat

- Remote Diagnostics, Support & Repair (via <https://pifhelp.com>)

## 7) PIFAWSSCMA “PiF AWS Cloud”

- Remote Diagnostics, Support & Repair (via <https://pifhelp.com>)
- On-Site Break/Fix, & Preventative Maintenance for PiF supplied servers & scanners
- Includes parts, labor, and travel (except for end-of-life hardware)
- The AWS Cloud commits to a 99.99999% uptime. In the event of an outage, PiF will provide a temporary or permanent fix to any of the products within 4 hours .
- All PiF cloud resources are managed in AWS, US-based regions and availability zones. No data is managed outside the US.
- In case of a disaster, an AWS Cloud customer may lose up to two hours of metadata/indexing. All document images are fully fault tolerant with real time replication.
- PiF does not provide financial credits for downtime or system outages.
- PiF conforms to the AWS BAA agreement for HIPAA compliance and well architected solutions.
- PiF provides standing encryption at rest of any document images as well as encryption on transmission using SSL.

## 8) MA-FREVVO “Frevvo Electronic Forms Support”

- Customer will receive all new product licensing upgrades
- PiF will typically apply one (1) product version upgrade per year at no charge.
- PiF will use best efforts to resolve any level 1 product issues or questions, however, issues that need to be escalated to Frevvo (manufacturer) will be handled by PiF working directly with Frevvo.
- Help Desk / Telephone Technical Support / Toll-Free 888-934-4443, email [support@piftech.com](mailto:support@piftech.com), Customer portal <https://piftech.freshdesk.com/support/home>, or Live Chat
- Remote Diagnostics, Support & Repair (via <https://pifhelp.com>)

## 2.2 Customer Requirements

Customer responsibilities and/or requirements in support of this Agreement include:

- Notification of PiF Technologies technical support of issues or incidents impacting the usage of the DocStar/DocStar/DocStar/DocStar/Epicor ECM application or associated hardware in either a global or isolated fashion.
- Customer must be no more than three (3) revisions behind the current released product version
- Advanced scheduling, a minimum of three business days, of all onsite service-related requests and other special services with PiF Technologies for services to be rendered that are not having an immediate impact on the functioning of the DocStar/Epicor ECM solution in the customer’s environment.



- Reasonable availability of customer representative(s) and access to needed applications when resolving a service-related incident or request.
- Customer agrees to operate all provided equipment within Manufacturer / PiF specifications.
- Replacement of DocStar/Epicor ECM hardware at its "End-of-Life" to minimize downtime risk and repetitive service requests. (see End-of-Life Policy A.3)

## 2.3 Service Provider Requirements

Service Provider responsibilities and/or requirements in support of this Agreement include:

- Meeting response times associated with service related incidents.
- Training required staff on appropriate service support tools.
- Appropriate notification to Customer for all scheduled maintenance (see Service Level Management).
- Facilitation of all service support activities involving incident, problem, change, and release and configuration management.

## 2.4 Service Assumptions

Assumptions related to in-scope services and/or components include:

- Funding for major upgrades / add-ons will be provided by the Customer and treated as a project outside the scope of this Agreement.
- Changes to services will be communicated and documented to all stakeholders.

# 3. Service Management

- Effective support of in-scope services is a result of maintaining consistent service levels. This includes all PiF hardware and software deployed at all Customer locations. The following sections provide relevant details on service availability, monitoring, measurement and reporting of in-scope services and related components.

## 3.1 Service Availability

Coverage parameters specific to the service(s) covered by this Agreement are as follows:

8:30 A.M. to 5:00 P.M. U.S. Eastern Time  
Monday – Friday (Excludes PiF Holidays and Events)

## 3.2 Service Requests

- In support of services outlined in this Agreement, the Service Provider will respond to service related incidents and/or requests submitted by the Customer within the following time frames:
- PiF Technologies will provide telephone technical support during the business hours of 8:30am and 5:00pm for reporting of service related incidents. After hours support is available for incidents that are deemed Critical (See Appendix A: for details).

- Submission of service related incidents may also be submitted via email at support@piftech.com. After the reporting of an incident to PiF Technologies personnel a technician will be dispatched for an onsite service call within four business hours of the reported incident for those incidents deemed to be Critical in nature. All other issues will be scheduled for the next service or later.
- Refer to the service support policies, processes and related procedures for additional information in Appendix A: Related Policies, Processes and Procedures.

### **3.3 Service Maintenance**

- All services and/or related components require regularly scheduled maintenance ("Maintenance Window") in order to meet established service levels. These activities may render systems and/or scanners unavailable for normal user interaction for the following locations and timeframes:
- Timeframe(s): PiF Technologies will always schedule routine maintenance on the scanners and servers to minimize the impact in the production environment. Any maintenance performed during business hours will not result in application downtime without the consent of Customer. If maintenance is required that will result in downtime it will be scheduled for an after hours time between PiF Technologies and Customer personnel. After hour charges may apply.

## **4.0 Customer User and Data Security in PiF Cloud**

### **4.1 Admin Role**

- A customer is provided with one site admin account. The account is used to set up new users/groups, reset passwords, IP restrictions, usage data and performance, content types, workflows and just about any system based setting. It is the responsibility of the customer to provide all user admin functions.

### **4.2 User Role**

- A customer is able to set up an infinite number of user accounts to access DocStar/Epicor ECM either in independent DocStar/Epicor ECM, SAML or LDAP authentication mode, Number of concurrent users is governed by each customer's licensing.

### **4.3 Security**

#### **4.3.1 User login**

- Access to DocStar/Epicor ECM is through a single authentication point of a username and password. The first factor is a user ID password pair. The User password should be the business email of the customer, The password consists of a 10 character combination of upper, lower, numeric and special characters.

## 4.3.2 Data and document security

### 4.3.2.1 Data

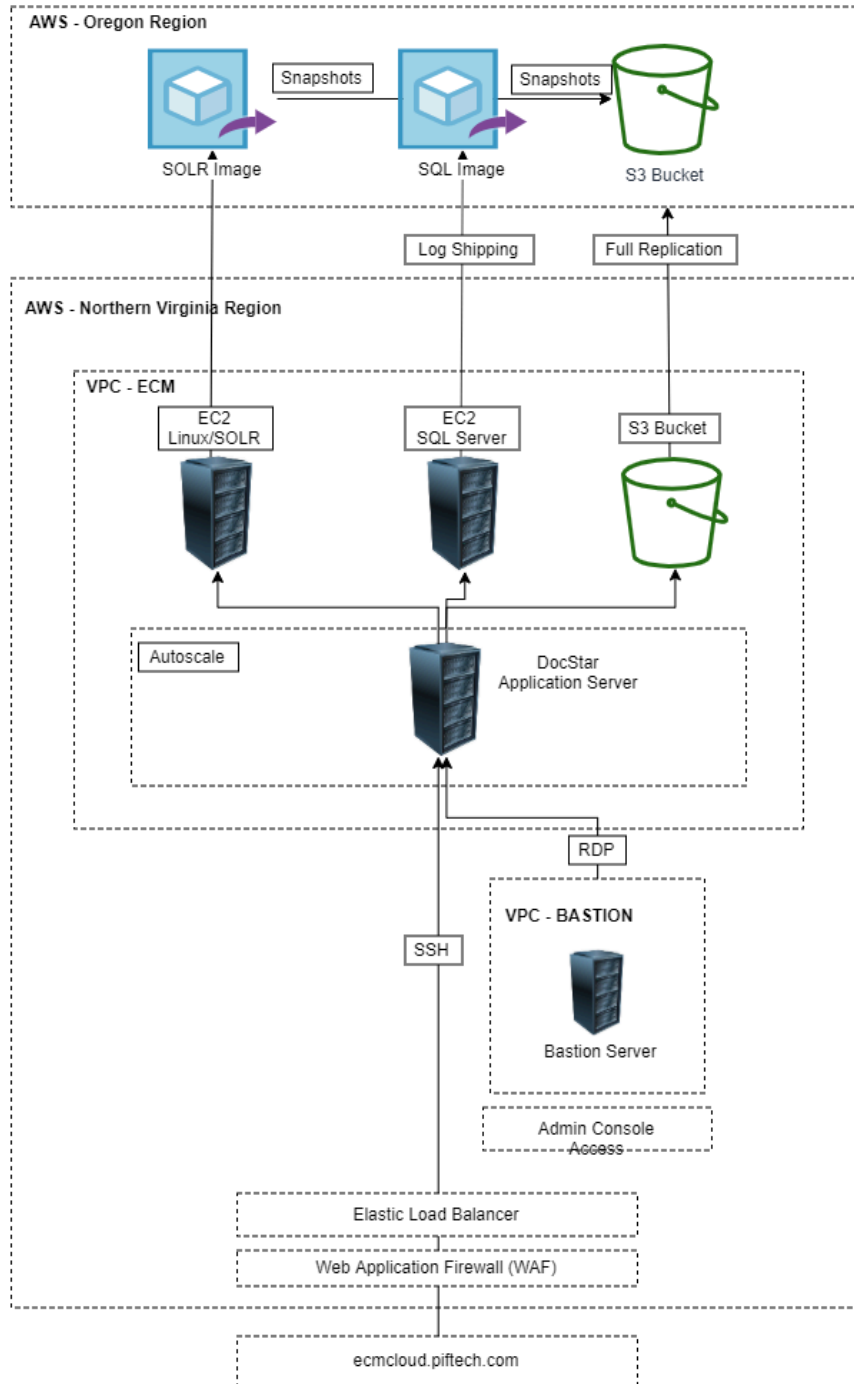
- Data in transit is encrypted using Transport Layer Security 1.2 (TLS, formerly called Secure Sockets Layer [SSL]) with an industry-standard AES-256 cipher. TLS is a set of industry-standard cryptographic protocols used for encrypting information that is exchanged over the wire. AES-256 is a 256-bit encryption cipher used for data transmission in TLS.
- Data at rest is not encrypted by default. Options are available in the PiF FINRA cloud for standing encryption using SQL Server Enterprise
- Documents in transit are encrypted using Transport Layer Security 1.2 (TLS, formerly called Secure Sockets Layer [SSL]) with an industry-standard AES-256 cipher. TLS is a set of industry-standard cryptographic protocols used for encrypting information that is exchanged over the wire. AES-256 is a 256-bit encryption cipher used for data transmission in TLS.
- Documents at rest are encrypted using AWS Key Management Service (KMS) both on the AWS EC2 EBS volume and the S3 storage bucket.
- PiF leverages and complies with AWS BAA for HIPAA compliant architecture where the DocStar/Epicor ECM, Frevvo and PiF corporate environments are sectioned into individual VPC. No Internet access is available to any of the VPC's but rather a default VPC housing a Bastion server with RDP capabilities locks down unauthorized access.



## 4.4 AWS Network Topology



### PiF Technologies AWS Docstar Multi-Tenant Architecture



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## 5.0 Cloud Hosting and Subscription

### 5.1 Termination

By default the PiF cloud contracts are 12 month terms and are evergreen (auto renew the following year). Customer must provide 30 days written notice before contract expiration date to waive the current year AWS hosting or subscription fees. Otherwise customer must pay full year AWS hosting or subscription fees.

If the customer selects to terminate the contract, a fee to export the data and documents will be assessed by the amount of storage. Customer will receive the data and documents on an encrypted external hard drive.

- <50GB – \$10.00/GB
- 51GB to 500GB – \$7.50/GB
- 501GB to 1TB – \$5.00/GB
- >1.1TB – \$2.50/GB

If the customer does not notify PiF and fails to pay the AWS hosting or subscription fees 45 days after contract expiration, PiF will lock the DocStar/Epicor ECM tenant so no access is permitted. After 180 days from the contract expiration, data will be deleted.

## Appendix A: Associated Policies, Processes and Procedures

### A.1 Incident Management

Definition: The process of managing unexpected operational events with the objective of returning service to customers as rapidly as possible.

Tool Requirements: All requests for service should be submitted to PiF Technologies at 1-888-934-4443, [support@piftech.com](mailto:support@piftech.com), or Customer Portal <https://piftech.freshdesk.com>. All incidents are logged and linked to the customer record. PiF Technologies maintains a database of fixes for common and known issues. We also use the hosted application <http://pifhelp.com> for remote access problem resolution. This does require that the DocStar/Epicor ECM server have internet connectivity available and at no time does PiF Technologies have the ability to gain access to the DocStar/Epicor ECM server without the consent of the customer.

PiF Technologies has an escalation process for determining the dispatching of on-site service calls should an incident fail to be resolved remotely. Customers with a Support Contract always take precedence over those customers that have opted out.

The following is the escalation hierarchy with incidents defined as critical having the highest priority for onsite scheduling:

**Critical:** (S1) A DocStar/Epicor ECM related incident having a high or global impact in a production environment such that data access is nonexistent or an incident such that the aforementioned is a high probability (e.g. No power on the DocStar/Epicor ECM server or network connectivity does not exist). In the event of a critical failure of hardware / software covered under a PiF Maintenance Agreement, PiF will supply "failed" hardware at no cost to the Customer. In the event of a catastrophic failure (e.g., fire or a building deteriorating event), provided appropriate back-up media is supplied by Customer, Customer will procure and PiF will supply the necessary hardware (server/scanners). Once the necessary hardware and software is deployed, PiF will have the ability to rebuild and restore your DocStar/Epicor ECM. A Technician can be made available after normal business hours for a "Critical" failure only. A charge may apply. (See Service Pricing for details)

**Normal:** (S2) A DocStar/Epicor ECM related incident having a limited impact. Overall DocStar/Epicor ECM usage is not impacted and solution integrity is not questioned (A single user is having an issue with the DocStar/Epicor ECM application, functionality or a scanner that is intermittently jamming or double feeding). An incident with this classification is scheduled for the next day.

**Low:** (S3) A DocStar/Epicor ECM related incident not having a noticeable impact on system usage (request for preventative maintenance on a scanner). These incidents are scheduled within three days.

**Tool Link(s):** <https://pifhelp.com>

## **A.2 Problem Management**

**Definition:** Problem Management identifies the root cause of a single significant, multiple or recurring incident(s) to prevent further incident activity.

**Tool Requirements:** All Service related incidents are logged in a central ticketing software and are linked to a specific customer record. We are able to audit service and support trends at the customer level and can also run a query to determine potential issues that might be affecting our customer base in a more global fashion to improve service and support efficiency.

## **A.3 Service Policies and Pricing**

**End-of-Life Policy:** End-of-life is described as any hardware that has been installed for a term of five years or greater. After five years from purchase, PiF deems the hardware/software as end-of-life and parts, labor and travel time may not be covered based on manufacturers availability.

### **Service Pricing:**

- After Hours Technical support – \$395.00 per hour (Emergency Outage) Planned after hours support requires Pre-Approval by management and must be scheduled in advance. (Consult your Account Rep for more information)
- Professional Services – \$200.00 per hour ½ day min
- Additional Training – \$200.00 per hour ½ day min
- Remote Helpdesk Support Calls – \$195.00 per hour (Customers with any existing contract with PiF)
- Remote Helpdesk Support Calls – \$295.00 per hour (Non contract Customers)
- Onsite Service Calls – \$295.00 per hour 2 hour min parts not included (Non contract Customers)
- Onsite Service Calls SNP – Labor and Travel time included. Parts are billable

## **A.3 Disaster Recovery (DR) for PiF DocStar/DocStar/DocStar/DocStar/Epicor ECM Cloud**

PiF is a certified AWS Consulting partner with a number of certified cloud practitioners and architects on staff. PiF has architected the PiF DocStar/DocStar/DocStar/DocStar/Epicor ECM AWS solution using the Well Architected Framework provided by AWS focusing on high availability, fault tolerance and durability. Furthermore, architectural focus is put on decoupling of servers to reduce SPOF (single point of failure), security leveraging MFA for all AWS administrators, and multi-region replication for high availability.

PiF offers a number of AWS preconfigured frameworks to meet the needs of each customers compliance requirements:

1. AWS GovCloud

2. AWS Multi-tenant DocStar/Epicor ECM Cloud, frevvo, and Ancora
3. AWS Private Cloud with Standing Encryption of Data at Rest (SQL Server Enterprise)

Each of the options above may have a different variation on how the disaster recovery plan is executed. For the purposes of this document, the DR plan explained below is focused on the AWS Multi-Tenant DocStar/Epicor ECM Cloud.

To understand the DR plan, let us tell you about our AWS Multi-Tenant DocStar/Epicor ECM Cloud that utilizes a number of AWS products such as: WAF (Web Application Firewall), ELB (Elastic Load Balancer), AutoScale leveraging EC2 (Elastic Compute Cloud) compute resources and EBS (Elastic Block Storage) and S3 (Simple Storage Service) storage resources. Depending on the time, current 10PM to 4AM, the DocStar/Epicor ECM app server EC2 instance is downgraded to a t5xlarge Windows server. When load increases during peak times, using the auto scaling and load balancing within AWS, the EC2 instance is upgraded to an M5Xlarge. This happens automatically using AWS AMI's (Automated Machine Images).

Since S3 buckets are storing the images/documents with multi-region replication and with a durability of 99.999999999% uptime, the system is fault tolerant for high availability.

#### DocStar/Epicor ECM App Server

The source DocStar/Epicor ECM application server running on an EC2 instance is replicated via snapshot nightly. This server does not hold any data or documents and is merely a web server that serves up the DocStar/Epicor ECM UI. Using the autoscale technology in AWS if the heartbeat of the source app server goes down, AWS spins up a new EC2 resource within seconds.

#### Image Files

When a document/image is added to DocStar/Epicor ECM, the image files are stored in S3 bucket in the N. Virginia Region which replicates real time to the Oregon region. Should a disaster occur to the AWS N. Virginia data center a SQL script is run to repoint to the replicated S3 bucket in Oregon.

#### Database

A dedicated EC2 instance of SQL Server Standard stores all metadata and system configuration data. This server communicates with the DocStar/Epicor ECM App Server and the S3 image store. A full backup of SQL Server is performed each night at 10PM and uploaded to S3 bucket in Oregon Region. Additionally the SQL Server transaction logs are replicated every 2hrs to the Oregon Region. Should a disaster occur to the EC2 instance running SQL Server, PiF will restore the previous night's SQL Server snapshot along with the most recent SQL transaction log.

#### SOLR Index Server

SOLR runs on a Linux EC2 instance and serves as DocStar/Epicor ECMs search and document index. The index can be rebuilt on the fly which means it's recoverable regardless if there is a backup or not. However PiF has implemented a snapshot, backed up daily. Should a disaster occur the snapshot would be deployed to a new EC2 instance which will restore the index, while a reindex would be initiated from the DocStar/Epicor ECM app server to cover the delta of records not found in the snapshot from the previous night.