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Kofax Equitrac 6 Upgrade and Migration Path

May 2019

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General

When considering upgrades, it is important to remember the difference between a version upgrade, a platform step-up, and a feature add-on.

- **Version Upgrade** – Is an upgrade to a new product version. For example, an Equitrac Express 5.x to Equitrac 6 Foundations upgrade is considered a version upgrade. Version upgrades from Equitrac 4.x or 5.x to Equitrac 6 incur costs, which vary based on when the product was purchased and the remaining Support. Version upgrades from Equitrac 6 to later or future versions will now be included as part of the new Support price and will not require an additional purchase (other than potential Support changes at renewal time; see the next section).

- **Platform Step-up** – Is a move from a lower product level to a higher level. For example, moving from Equitrac 6 Foundations to Equitrac 6 Enterprise or a ControlSuite offering is a platform step-up. Platform step-ups **ALWAYS** require purchasing the appropriate line item from the price book.

- **Feature Add-on –** Purchasing additional feature-based functionality is a feature add-on. Feature add-ons always require purchasing the appropriate line item from the price book.

Dates and Definitions

Several upgrade policies include parameters involving the timing of license purchases, dates of Support coverage, and Equitrac 6 GA dates and Partner Launch Dates. The definitions for these dates and timeframes to be used in this document are:

- **General Availability (GA)** – This is the date when Software will first be orderable by any partner, reseller, or customer. General Availability date is April 16, 2019.
- **GA Quarter** – This is the Fiscal Quarter that Equitrac 6 will first be orderable by any partner, reseller, or customer. GA Quarter date is CY19Q2.
- **Partner Launch Date** – This is the earliest date when a given Contracted partner can begin selling Software. This date can't occur before GA, and it requires that the Partner have an appropriate contractual arrangement and price list for Equitrac 6.
- **Recent Purchase Start Date** – This is the first date when a customer who ordered Equitrac 5 would be eligible to upgrade to Equitrac 6 under the "Recent Purchase Upgrade Program." This date is February 15, 2019.
- **Recent Purchase End Date** – This is the last date when a customer who ordered Equitrac V5 would be eligible to upgrade to Equitrac V6 under the "Recent Purchase Upgrade Program." This date is December 31, 2019.
- **License Purchase Date** – This is the date when a license is ordered and delivered per Oracle.
- **Support Start Date** – This is the date when Support contract coverage most recently started for any given Equitrac license.
- **Support End Date** – This is the date when Support contract coverage ends or ended for any given Equitrac license.
- **V6 Upgrade Quote** - This is a quote generated by Kofax that reflects the SKUs required to upgrade a customer's V4 or V5 Equitrac licenses to V6 licenses. Such quotes may include Support linked to the licenses and/or an attached V6 Support Upgrade Quote.
- **V6 Upgrade Quote Date** – This is the date when the V6 Upgrade Quote is completed and issued by Kofax.
- **V6 Upgrade Order Date** – This is the date when an order for the V6 Upgrade is accepted and fulfilled by Kofax.
- **V6 Support Upgrade Quote** – This is a quote generated by Kofax that reflects the Support elements required to bring Support coverage current, and/or to reflect the difference between the cost of prepaid partner support (10% basis) for V4/V5 and the cost of Equitrac 6 Partner or Direct Support at 20%**.**
- **V6 Support Upgrade Quote Date** – This is the date when the V6 Support Upgrade Quote is completed and issued by Kofax.
- **V6 Support Upgrade Order Date** – This is the date when an order for the V6 Support Upgrade order is accepted and fulfilled by Kofax.

The Equitrac 4.x/5.x to 6 upgrade experience depends on a combination of when the license was purchased (not the time of its deployment), and the Support period remaining on the license. Existing Equitrac 4.x/5.x licenses can be broken down into three different population groups based on CAS/server components (device add-on licenses follow the population group of their CAS):

Group 1:   Equitrac 4.x/5.x licenses with Support that is expired, or about to expire in less than 1 year

Group 2:   Equitrac 5.x Recent Purchase licenses that were purchased within the Recent Purchase period

Group 3:   Equitrac 5.x licenses that were purchased or upgraded to Equitrac 5.x that are *not* eligible for Group 2 Recent Purchase, to Equitrac 6 with more than one year of remaining Support that is currently being upgraded.

Each of these license groups will have a different path to upgrade to Equitrac 6. Note that any given customer or deployment may have multiple licenses which may fall into different groups.

Existing Equitrac Customers may always elect to purchase brand new Equitrac 6 or ControlSuite licenses if the available upgrade options are not suitable.

Group 1 – Licenses with Current or Expired Support
For licenses with a Support contract that will expire in less than 1 year, the upgrade cost to move from Equitrac 4.x/5.x to Equitrac 6 will be 30% of the Equitrac 6 Foundations cost. In addition, upgrading customers must purchase between 1 and 5 years of Partner or Direct Support at the standard rate of 20%, which will be effective from the license fulfillment date. This Support is purchased using standard Support parts (not upgrade Support parts).

EQ 5 Customers whose licenses have expired Partner Support must first reinstate Support on their existing V4 or V5 license before they can qualify for the 30% upgrade above.

EQ4 is already passed end of support and therefore Support should be expired. Customer may purchase Equitrac 6 or ControlSuite software and Support at standard rates.

Group 2 – Recent Purchase Licenses
Customers with Equitrac 5.x licenses that were purchased after the Recent Purchase Start Date and before the Recent Purchase End Date may pay the difference between the 10% Equitrac 5.x Partner Support rate and the Equitrac 6 Partner or Direct Support rate of 20% in order for them to upgrade their license to Equitrac 6 at no additional license cost. The customer must order this Support upgrade differential between GA and the Recent Purchase End Date for this offer to be valid. Licenses in Group 2 for which the Support upgrade differential is not ordered within the allowable dates may follow the Group 1 or Group 3 upgrade paths as appropriate.

Group 3 – Licenses with Prepaid Support
Equitrac 5.x customers with licenses that have more than one year of remaining Support may choose to forego their current Support and purchase the 30% upgrade with new Support for Group 1 above.

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Alternatively, these customers may purchase the 30% license upgrade and additional Support Upgrade (differential between the 10% v5 rate and the 20% v6 rate) for the remaining term of prepaid Support on the license.

Version Upgrade Parts

When Equitrac 5.x and previous versions were generally purchased based on MFD device licenses, Equitrac 6 licensing will be based solely on user licenses. User licenses are required for each user who will be allowed to use the system (for print submission, authentication, follow-you print, Capture and Send scan workflows, etc.). The user license will enable all software functionality for which the user is entitled based on the product and level purchased (e.g., Equitrac Foundations or Equitrac Enterprise).

Customers upgrading from earlier Equitrac versions must purchase User Upgrade licenses for each user who will be allowed to use functionality provided by Equitrac. Even though customers who previously purchased MFD Device licenses will now need to shift to user licenses to upgrade to Equitrac 6, industry standard user/device ratios have been used to derive user pricing that is generally comparable to the previous device-only structure.

The list of available version upgrade parts is as follows:

Equitrac 5.x and earlier to Equitrac Foundations User	License Type	Part Number
Equitrac V4/V5 to Equitrac Foundations User Upgrade (Per User) (5 to 49 tier)	User License	06EQU291A1 M0
Equitrac V4/V5 to Equitrac Foundations User Upgrade (Per User) (49 to 199 tier)	User License	06EQU291A2 M0
Equitrac V4/V5 to Equitrac Foundations User Upgrade (Per User) (200 to 499 tier)	User License	06EQU291A3 M0
Equitrac V4/V5 to Equitrac Foundations User Upgrade (Per User) (500 to 999 tier)	User License	06EQU291A4 M0
Equitrac V4/V5 to Equitrac Foundations User Upgrade (Per User) (1 000 to 4 999 tier)	User License	06EQU291A5 M0
Equitrac V4/V5 to Equitrac Foundations User Upgrade (Per User) (5 000 to 9 999 tier)	User License	06EQU291A6 M0
Equitrac V4/V5 to Equitrac Foundations User Upgrade (Per User) (10,000 to 24,999 tier)	User License	06EQU291A7 M0
Equitrac V4/V5 to Equitrac Foundations User Upgrade (Per User) (25 000+ tier)	User License	06EQU291A8 M0
Equitrac Support Upgrade (variable) *For use by populations 2 and 3	Support	06EQU291M1 M1
Group 1 will use standard Support parts	Support	Example: 06EQU101M1

Version Upgrade Process

The installation guide has detailed instructions and guidelines for performing a version upgrade of an existing Equitrac installation. In general, upgrading to Equitrac 6 from previous versions requires the following steps to obtain the appropriate licensing and support coverage. To initiate process for version upgrade or step-up please engage your Kofax Sales representative.

Note: Version upgrades must be done prior to performing Platform Step-Up or Feature Add-on product upgrades.

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The customer upgrade path depends on what the customer has previously purchased and the desired upgrade version. In general, the Platform Step-up steps are as follows:

1. Ensure that the **Version Upgrade** is purchased.
2. Submit an order for the desired step-up items. (This can be included on the same order as the Version Upgrade items.)
3. Apply upgraded licenses to the Equitrac 6 installation (not required if the upgraded license was already applied during the Version Upgrade prior to purchase of step-up).

The Foundations and Enterprise levels of Equitrac functionality are license controlled. The Foundations level can be stepped-up to the Enterprise level by purchasing a step-up license, installing the appropriate components, and updating the deployed license with the step-up. Please note that some Enterprise features, such as high availability Support, may require additional hardware or software resources. Equitrac, AutoStore, and Output Manager are components of ControlSuite. Equitrac Foundations and Enterprise can also be stepped-up to ControlSuite, which will include the AutoStore and Output Manager product lines.
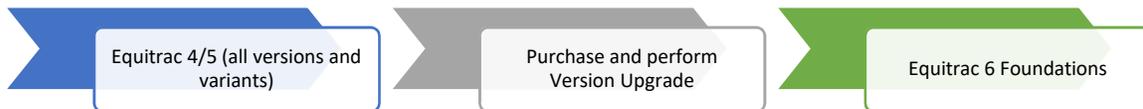
Platform Step-up Parts

Please see the Equitrac Pricelist for a list of parts used for platforms step-ups.

Upgrade and Step-Up Paths

The following is a list of the acceptable upgrade paths. Flows not defined in this list are not supported unless otherwise stated.

1. **Upgrading from a previous (5.x or earlier) version of Equitrac (all versions and variants) to Equitrac 6 Foundations**

Equitrac 4/5 (all versions and variants)	Purchase and perform Version Upgrade	Equitrac 6 Foundations

2. **Upgrading from a previous (5.x or earlier) version of Equitrac (all versions and variants) to Equitrac 6 Enterprise**

Equitrac 4/5 (all versions and variants)	Purchase and perform Version Upgrade	Purchase Feature Add-ons	Equitrac 6 Enterprise

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3. **Upgrading from a previous (5.x or earlier) version of Equitrac (all versions and variants) to Equitrac 6 Foundations with Feature Add-ons**

Equitrac 4/5 (all versions and variants)	Purchase and perform Version Upgrade	Purchase Feature Add-ons	Equitrac 6 Foundations with purchased add-ons

4. **Upgrading from a previous (5.x or earlier) version of Equitrac (all versions and variants) to ControlSuite Foundations**

Equitrac 4/5 (all versions and variants)	Purchase and perform Version Upgrade	Purchase Platform Step-Up	ControlSuite Foundations (with AutoStore and Output Manager)

5. **Upgrading from a previous (5.x or earlier) version of Equitrac (all versions and variants) to ControlSuite Enterprise**

Equitrac 4/5 (all versions and variants)	Purchase and perform Version Upgrade	Purchase Platform Step-Up	ControlSuite Enterprise (with AutoStore and Output Manager)

All upgrade paths from ALL earlier editions of Equitrac (including Express, Office, SBE, SCE, SMB, Enterprise, etc.) will move to Equitrac Foundations.

Support

With the release of Kofax Equitrac version 6, ALL software Support renewals will be at the new 20% level. The new Support level includes benefits such as standard Support and free version upgrades to future releases. Hardware Support remains at 10%. Partner Support is offered for Partners who will provide Level 1 & Level 2 support to end-users. Direct Support is also available (at a lower partner discount) to allow end-users to contact our Help Desk directly for Level 1 and Level 2 Support, so partners do not need to provide Support services to end-users.

General

As the Support rate is moving from 10% to 20% for all software products (with the inclusion of free future version upgrades), Support rates are likely to increase for all customers regardless of upgrade path. The table below outlines some scenarios that may result in additional increased Support costs. As mentioned in the previous section, all Version Upgrades, Platform Step-ups, and Feature Add-ons will have an immediate cost (and a Support if Direct support purchased) impact at the time of renewal.

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Scenarios	Upgrade Equitrac 6
Equitrac 4.x/5.x Express, Office, SBE, SCE, and SMB Server and device licenses	**Equitrac Foundations User Licenses**
Equitrac 4.x/5.x Enterprise User and device licenses	**Equitrac Foundations User Licenses**

Important Support Policies

1. With the release of Equitrac version 6, ALL Software Support renewals will be at the new 20% level.
2. The maximum amount of Support that can be purchased in a single order is 5 years. Requests for additional Support can be made through the Support Renewal team*.
3. As a best practice, partners should contact Support Renewal team* for Support quotes.

The Support Renewal team can be reached / contacted via e-Mail through contracts@kofax.com.

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