PSU Hyland OnBase Document Imaging and Workflow Services Level Memorandum of Understanding

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I. Summary

This is a service level memorandum of understanding for Hyland OnBase Document Imaging and Workflow between the Office of Information Technology and Portland State University's Business Units. This agreement aims to articulate areas of responsibility with
regard to this tool, identify the participating units and their associated responsibilities, and outline service expectations and the processes that govern this service.

II. Service Description

Integration
This enterprise document imaging and content management solution is able to translate current and future hard copy documents into electronic images, receive electronic documents from other institutions, and facilitate faster processing of documents through workflows.

Assumptions
OnBase is the official, centrally managed and supported enterprise document imaging and content management solution for PSU. This solution will meet the needs of the institution by providing a means of certifying document authenticity, access management, and the ability to restrict view of specific content. It will be fully supported via infrastructure supporting disaster and recovery, storage, hardware and security patching, and backup. OnBase is to be used for Enterprise document imaging, workflow, forms, and reporting, and document life-cycle management.

III. Roles and Responsibilities

End-User Responsibilities
- Report OnBase issues and enhancement requests to tier 1 support
- Follow outlined procedures and practices to support system and data integrity
- Continue to develop system and tool competencies
- Adhere to FERPA and comply with the Oregon Administrative Rules for the Oregon University System and Portland State University, the PSU Acceptable Use Policy, and the PSU Information Security Policy

Tier 1 - Business Unit Responsibilities
- Provide tier 1 end-user support, escalate to tier 2 as needed
- Facilitate and coordinate departmental specific end-user training
- Monitor business configuration
- Create and manage workflow content
Tier 2 - OIT Application Owner Responsibilities
- Provide tier 2 support, escalate to tier 3 and/or tier 4 as needed;
- Facilitate and coordinate OnBase training for End Users and Tier 1
- High level product management
- Installation and configuration of scanning stations
- Assist in implementation of OnBase in new departments
- Provide centralized communication to document imaging community
- Serve as official vendor liaison
- Maintain application-level security including, account provisioning and de-provisioning/expiry, auditing, and creating and assigning user roles and permissions
- Reinforce best practices in Business Units through regular system monitoring
- Create and maintain product documentation

Tier 3 - OIT Infrastructure and Integration Responsibilities
- Maintain platform requirements
- Manage and maintain system servers in a hosted environment
- Software patches and updates at direction of Tier 2
- Server- and network-level system security
- Create and maintain infrastructure documentation

Tier 4 - Vendor Responsibilities
- Application and database support
- Software upgrades for both the application and platform
- Certification of platform components
- Development support
- Application Owner functional issue resolution

IV. Service Levels

Service Expectations

Up-time
- OIT will make a best effort to maintain up-time in accordance with support funding.

Maintenance Window
- 8:00pm-11:59pm (Friday)
Backup and Recovery
OIT will include this system in our standard Backup and Recovery SLA for enterprise systems.

Service Support Process

Service Requests
- Tier 1 (Business Unit) support is the first point of contact for end-users.
- Tier 2 (OIT User Support) support receives issues escalated by Tier 1.
- Tier 3 (OIT Infrastructure) support receives issues escalated by Tier 2.
- Tier 4 (Vendor) support receives issues escalated by Tier 2 and/or Tier 3.

Tier 2 will respond as follows during regular business hours:
- Service Outage - response as soon as possible
- Account Creation - fulfilled within one business day upon receipt of final approval
- Bug Report - response within one business day, resolution time will vary depending on nature of issue
- How Do I? - response within 2 business days
- Enhancement Request - response within 5 business days, resolution time will vary dependent on scope of request

NOTE: Requests are processed during normal business hours, 8:00 AM to 5:00 PM, Monday through Friday excluding University holidays.

V. Change Management

The change management process will be managed by the Application Owner (OIT) and communicated to system users; adhering to the formal OIT Change Control Policies and Procedures.

Types of Changes & Change Process

- **Business Configuration**: Configurations managed by the Business Unit through use of the OnBase Client. All Changes at this level are local to the Business Unit and can be implemented at this level. As such, Change Management responsibility is delegated to the Business Unit and does not require the approval of other Business Units, the Application Owner, or Information Technology.
• **Localized Application:** Changes made to the configuration of OnBase through Tier 2 (OIT) whose scope and impact is limited to the Business Unit making the request. Changes at this level will require the Application Owner to effect the change, but do not extend to other Business Units or underlying Information Technology.

• **Global Application:** Changes that have systemic impact within the application. These are configuration changes to OnBase through the Tier 2 (OIT) that will be noticed by all users. The expectation is that the Responsible party has properly conferred with those in the RACI model, depending on the category of change. Execution will occur once electronic consensus has been gathered. In the event that consensus cannot be met by the Responsible, Accountable, and Consulted of a change, the expectation is that the parties meet beyond the stated process and try to resolve any outstanding issues. An announcement via the central OIT Change Control process is required. In order to implement a global application all Business Units will be notified and involved as needed with final implementation by the Application Owner.

• **Application and Database Component:** Changes by Tier 3 to the installed Application Components that make up the OnBase system. Changes at this level are realized by everyone. Implementation will include notification to all End-users and may require involvement from Business Units in addition to the Application Owner, and Information Technology.

• **Platform/Infrastructure:** Changes by Tier 3 (OIT) and/or Tier 4 (Vendor) to environmental requirements, servers, and network configurations. Changes at this level are fundamental to the application, but do not have a noticeable outcome on Business process. As such, the Application Owner and Vendor are the key players, with Business Units being kept informed as necessary. Expectation is that the Responsible party begins communicating the change request and necessary tasks. Feedback must collected by those Consulted on the change. Final implementation will be performed by the Application Owner. An announcement via the central OIT Change Control process is required.

• **Data Integration:** Changes made to information coming into OnBase from other authoritative sources. Changes at this level may have a noticeable impact on business units/practices, and may create a need for subsequent changes to the system infrastructure. As such, the Business Units and the Application Owner will drive development and the data integration will be coordinated by the Tier 2 (OIT), Tier 3 (OIT), and Tier 4 (Vendor). Responsible party begins communicating the change request and necessary tasks. Final implementation will be performed by the Application Owner. An announcement via the central OIT Change Control process is required.
Change Roles and Responsibilities for execution of changes (RACI Model)

**Responsible (R)**
- Those who do the work to achieve the task.

**Assists (A)**
- Those who assist with the completion of the task.

**Consulted (C)**
- Those involved in the change management due to their expertise related to the requested change.

**Informed (I)**
- Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication

<table>
<thead>
<tr>
<th>Change/Role</th>
<th>Tier 1: Business Unit</th>
<th>Tier 2: Application Owner (OIT)</th>
<th>Tier 3: Information Technology (OIT)</th>
<th>Tier 4: Vendor</th>
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<tbody>
<tr>
<td>Business Configuration</td>
<td>R</td>
<td>A</td>
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<tr>
<td>Localized Application</td>
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<td>Platform/Infrastructure</td>
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<td>A</td>
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Change Conflict
If resolution cannot be met, then issue will be escalated to the appropriate leadership (next tier or the governance committee) for resolution.

Submitting a Change Request
All change requests must follow the standard change control processes. For more information on the change control process please refer to the OIT Change Control Policy.

Change Documentation
Documentation regarding system configuration and associated changes will be collected and maintained by the Office of Information Technology.

VI. Service Review and Auditing
All parties commit to standard service reviews and auditing as follows.

As needed
- Business Process Analysis as new Business Units are added;
- Business Unit review of OnBase use

Ongoing
- User Account and provisioning audit;
- FERPA compliance;
- Security assignments;
- Separation of duties;
- Adherence to document life-cycle requirements