Hyland Care for Employee File Management (EFM) Schedule

Services Description

"Hyland Care for EFM" means the Professional Services described below. Hyland Care EFM is an optional offering that requires one of the following solutions:

Hyland Care AP Services for Existing Customer

Hyland Care AP Services for New D4D Customer

Hyland Care AP Services for New Workday Customer

Scope

Hyland will provide Professional Services to Customer to implement the Employee File Management ("EFM") solution.

The project will consist of the initiation, solution validation, implementation and project management in association with an HR Employee File Management Solution for the Customer.

Description of Solution

Content Capture

1. HR Employees will import documents to the system through the following methods:
    A. High volume (or batch) scanning at a central scanning workstation. Upon scanning documents, user will manually separate documents within Software in preparation for document indexing; and
    B. Single electronic document import via Software Client, Virtual Print Driver, or Microsoft Outlook Integration.
2. Once imported, the user will manually index documents with the Employee ID and other required keywords to classify documents for future retrieval. To aid in indexing, an autofill will automatically populate secondary values such as first name and last name, based on the indexer entering the Employee ID. A pre-defined auto fill keyword set is included in solution; and
3. Hyland will configure one DIP process for capturing documents and metadata exported from Customer's HR system for day forward processing.

Content Delivery

1. Once documents are captured and separated, they will be placed into a defined electronic folder structure that will allow quick access in a familiar folder interface.
    A. Solution includes configuration of one (1) pre-defined employee folder structure consisting of one (1) top level folder based on the employment status, one (1) level 2 folder based on employee ID and name and ten (10) level 3 sub-folders for the categorization of the employee documents;
    B. A folder structure similar to the following will be implemented for Customer:
        i. Employment Status

i. Employee Name – Employee ID (or Employee ID – Employee Name)

I. Benefits;

II. Employee Relations;

III. Employment/Job History;

IV. I-9;

V. Onboarding;

VI. Payroll;

VII. Policy Acknowledgement;

VIII. Pre-Employment;

IX. Termination; and

X. Training & Performance.

2. Configuration of Software Application Enabler ("AE") for up to two (2) screens in Customer's HR system to retrieve documents stored in Software;
3. Configuration of one (1) OnBase App Builder interface for HR Staff;
4. Configuration of exception reporting, using Reporting Dashboards, to identify employee records that are missing from an Employee folder;
5. Configuration of workflow status reporting, using Reporting Dashboards, to track progress of HR Assistance Requests and I-9 escalations;
6. Creation of up to three (3) custom queries for efficient retrieval of HR employee documents from within Software; and
7. Full text search capabilities.

Content Manage

1. Configuration of Document Retention based off of employee separation date;

A. Upon employee separation, Customer's HR system ill generate a flat file of the separated employee's Employee ID and separation event/date. This will trigger a workflow event that sets retention start date keyword to three (3) years from separation date on employee documents and begins retention period. Once the three (3) year time interval is elapsed, the separated employee's documents will automatically be purged from Software;

B. Should the employees document(s) need to be excluded from the purge, Customer's HR Records Manager Administrator will have the ability to manually exclude a single document or range of documents from Document Retention until the exclusion is removed;

C. Should an employee be re-hired before their record is purged from the system, Customer's HR System ill provide a flat file of new hires. This flat file will trigger a workflow event to clear the existing retention start date keyword from all documents; and

D. For I-9 document type, retention period is evaluated as Hire Date plus three (3) years OR Separation Date plus one (1) year, whichever is greater. Workflow logic will be used to evaluate and determine the proper Retention Start Date.

2. Pre-configured Workflow for General HR Assistance Requests:

A. End users request assistance from the HR department via Unity Form, selecting a category from a drop-down menu, populating free form text of what assistance is needed, designating as emergency request if applicable, attaching related documents, and auto populating user details based on submitting user. Upon submission, the form enters workflow where individuals from the HR department are able to take ownership of requests;

B. The assigned HR Rep is able to add internal notes, request additional information, cancel the request and complete the request; and

C. Notifications are sent to the submitter when their request has been assigned to HR Rep, when additional assistance is needed, and upon completion of the request.

3. Pre-configured Workflow for Missing Documents Requests:

A. Members of the HR team select one (1) employee and one (1) missing document (from that employees file) via Unity Form. Upon submission, an email notification is generated and sent to the selected employee informing them of the missing document in their employee file.

4. I-9 Escalations:

A. Escalation notifications will be sent to the HR user group every day for the first three (3) days after Hire Date for employees missing the I-9 document in their employee file; and

B. Escalation notifications will be sent to the HR Manager user group once the 3-day post hire date deadline has passed, until the I-9 has been added to the employee file.

Taxonomy

The following is a list of the pre-defined document types included with the solution offerings:

Document Type Name
401K Enrollment/Supporting Documentation
Background Check Consent Form
Background Check Supporting Documentation
Benefits Enrollment Form
COBRA Documentation
Company Policy Acknowledgement

Compensation Plan/History
Confidentiality Agreement
Direct Deposit Authorization
Emergency Contact Information
Employee Change Request Form
Employee Handbook Acknowledgement
Employee Performance Improvement Plan
Employee Relations Documentation
Employee Separation Form
Exit Interview Documentation
FMLA Documentation
HR Correspondence
I-9 Form
Immigration Form
Interview Notes
Job Application

Legal Correspondence & Wage Garnishment
Life Event Supporting Documentation
LOA Documentation
New Employee Checklist
Offboarding Checklist
Offer Letter/Employment Agreement
Payroll Deduction Authorization Form
Performance Reviews
Relocation Documentation
Request for Accommodation
Resignation Letter
Resume
Severance Letter
State Withholding Form
Training & Certifications
Unemployment Documentation

Veteran/Disability Information
W-4
Wage Notification
HR - Assistance Request
HR - Assistance Request Attachments
HR – Misc.
HR - Missing Document Request
HR - New Hire Form
HR - Termination Form

The following is a list of the pre-defined keywords included with the solution offering:

Keyword Name
Employee ID
Employee First Name
Employee Last Name
Date Of Birth
Email

Address
City
State
Zip Code
Country
Employment Status
Employee Status
Position
Department
Manager Name
Location
Hire Date
Separation Date
Retention Start Date
Assigned HR
Missing Document

Category
Status
Emergency
Completed Date

Deployment

Base Installation

Hyland will install the base solution as described above in Customer’s non-production environment in order to prepare for Customer to perform Solution Validation.

Solution Validation

Customer’s key users and technical experts will perform Solution Validation with Hyland to walkthrough the base installed solution. During the course of Solution Validation, Hyland and Customer will identify any specific requirements. Hyland will document the modifications discussed to base installed solution in a Requirements Document (“RD”). Customer will review the RD and Hyland will make modifications until mutually agreed upon. Included in the project budget are thirty-one (31) hours for solution changes to modify the base solution. Hyland and Customer will determine if any of the modifications requested to the base installed solution can be completed within the project budget or if the project change control process must be followed. Solution validation phase should not exceed four (4) weeks. A change order may be needed for extensions beyond four (4) weeks.

Implementation

Hyland will implement the modifications to the based installed solution as agreed upon in the RD. Hyland will perform functional testing to validate the solution conforms to the RD prior to turning the solution over to the Customer to perform testing.

Training

Included in the project scope is dedicated time for training. Unless otherwise noted by the project teams during project planning, the following process is used for the training of this solution.

1. Customer will develop test cases in advance of the testing period of the project;
2. To prepare Customer’s testing team for executing the test cases, Hyland will provide one (1) training session to familiarize Customer’s power users and administrators with the Software interface, navigation, and configured functionality of the solution and is intended for up to five (5) testers.
3. To prepare Customer’s end users on the business use of the Software in the production environment, Hyland will provide one (1) training session for up to five (5) participants.

Testing

Included in the project scope is dedicated time for testing. Unless otherwise noted by the project teams during project planning, the following process is used for the testing of this solution.

User Testing (“UT”)

Included in the project scope is support for one (1) UT event, which is one (1) week in duration. Customer performs testing and provides Hyland with a notification of any issues based on the test cases developed by Customer in accordance with the requirements defined in the RD. Hyland tracks the issues during Customer's UT process using Hyland's issue tracking system. Hyland verifies that recorded issues comply with scope defined in RD, and updates Customer once the issues are resolved, whether by Hyland's project team or Customer's project team.

Any additional time or reallocation of time requested for testing or training shall be handled following Hyland's project change control process.

Go-Live Support

Included in the project scope is dedicated time for one (1) go-live event to occur over the course of one (1) week. Go-live activities include:

1. The solution will be migrated to the production environment;
2. Porting the final production configuration into one (1) non-production environment for future development and testing.
3. Develop a deployment method for Customer to distribute Software to appropriate end users; and
4. Assist End User's help desk with resolution of Software questions.

Project Closure

Included in the project scope is dedicated time for project closure. Hyland's project manager will schedule a meeting with Customer's project manager and project sponsor. The agenda will include introduction to Hyland's Technical Support team, discussion of any outstanding enhancements and associated timelines, discussion of the state of the relationship between organizations, and next steps for future opportunities as requested by Customer.

Assumptions

This project is based upon the below assumptions being true. If for some reason these assumptions prove to be false, this could result in a scope change and may have an impact on the proposed cost and timeline to deliver:

1. Solution will include configuration of pre-defined document types, keywords, and folder structure listed under Taxonomy in this document;
2. Hyland will configure up to three (3) scan queues for ingestion of document types via batch scanning;
3. The solution will be accessible for up to twenty-five (25) users within a single centralized HR department at one (1) Customer location;
4. Customer's HR system is Customer's HR System;
5. Customer will provide access to subject matter experts for analysis and testing of the Application Enabler integration with Customer's HR System;
    A. Workday HR solution will not use Application Enabler
6. Hyland has not had an opportunity to test each screen as it is intended to be used with Application Enabler, and therefore cannot guarantee every screen will work as desired;
7. Customer will be responsible for generating a nightly flat-file from Customer's HR System. This file will be used as a Software Autofill Keyword Set;
8. For ad-hoc redaction use, documents must be stored as .TIF or Image file format, and EDM Services license is required;
9. Customer will be responsible for providing two (2) flat files for separated and rehired employees. These flat files will be utilized for the Document Retention portion of the solution. The frequency of these files will be determined during the

requirements gathering session of the project;

10. Hyland is not responsible for the deployment/installation of software on end user workstations. Hyland will work with Customer's System Administrator to identify requirements, test installation processes, and provide general consulting on the topic. However, it is ultimately Customer's responsibility to roll-out the software to end user workstations;
11. Software will be configured in one (1) non-production environment and migrated to one (1) production environment;
12. Workstation deployment testing, training, and consultation will be provided on up to three (3) workstations;
13. Documents will be indexed with a unique value (i.e. Employee ID) that will relate the documents to each other and used when creating the folder structure in Software for Employee File Management;
14. Customer is running on OnBase EP5 or higher;
15. Configuration of one (1) Unity Form for HR General Assistance Request Workflow; and
16. Configuration of one (1) Unity Form for Missing Documents Request Workflow.

Exclusions

The following items are considered out of scope for this engagement:

1. Software Workflow for business processing outside of above scope;
2. Use of Capture Process Designer;
3. Use of electronic forms or Unity Forms in solution outside of above scope;
4. Use of custom scripts and/or API integrations; and
5. Backfile conversion/scanning services.

Document Deliverables

1. Project Charter
2. Project Plan
3. Project Status Report
4. Requirements Document
5. Traceability Matrix
6. Solution Design Document
7. Solution Training Guide

For details about the deliverables, please review Appendix 2.

Appendix 1 – Document Deliverable Descriptions

The following table provides an overview of the Hyland project document deliverables. Please reference the specific Project Areas for a listing of the applicable deliverables.

Deliverable	Description

Project Charter	1. Provides a preliminary delineation of roles and responsibilities, outlines project objectives, identifies key stakeholders and defines the authority of the project charter. 2. Delivered within the initiation phase. 3. Includes the agreed upon scope, objectives and participants in the project.
Project Plan	1. Defines the projected schedule of project events from initiation through closure. Delivered within the initiation/discovery phase and updated throughout the project. 2. Includes the activities, deliverables, assignments and dates required to complete the project.
Project Status Report	1. Provides an overview of project health and important related details. Delivered after initiation and then regularly throughout the project in a frequency to be determined by the Hyland and Customer Project Managers (e.g., bi-weekly). 2. Includes details about the project health, financials (budgeted vs. actuals), critical action items, upcoming key activities, outstanding deliverables, change requests and notable issues/risks. 3. Each updated report requires a shared review with Customer and Customer verification for accuracy.
Requirements Document (RD)	1. Documents the agreed upon solution requirements. 2. Composed as a result of requirements gathering during discovery. 3. Contains all business requirements related to the solution.
Solution Training Guide	1. Supports test case development and results tracking. 2. Contains descriptions of user interface (UI) and components configured for the solution.
Solution Training Guide	1. For use during initial training and update by Customer's internal Software training/education staff if solution is modified or enhanced in the future. 2. Contains descriptions of user interface (UI) and components configured for the solution.
Solution Administration Guide	1. Outlines recommended architecture and sizing specifications for servers (physical and virtual), storage considerations and integration points with external Customer applications. 2. Contains descriptions of the administration functions necessary to support the configured solution.

Appendix 2 – HR EFM Solution Requirements

HR EFM Solution Requirements

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