

CAIS Policy Manual

9/25/2002

0. Purpose

The purpose of this manual is to document the specific ways that the CAIS Project Managers [PMs], the Chief Information Officers [CIOs], and the participating institutions will accomplish their purposes. The CAIS Charter is foundational to this document.

1. Service Centers

1.1. Chicago Service Center responsibilities

1. Serve as the sole point of contact with SCT for all billing matters.
2. Serve as the sole point of contact with SCT for the receipt of Technical Currency Program [TCP] materials, and deliver the TCP materials to institutions in a timely manner, with instructions regarding their appropriate use.
3. Provide services specified in SLAs in a timely manner. The SLA should specify an acceptable response time, when possible.
4. Maintain the CAIS Seed and all related documentation.
5. Maintain a website that functions as a library of technical and functional information.
6. Lead efforts to strengthen the working relationships among the institutions in the area of AIS, and provide leadership to CAIS user groups.
7. Assure the effectiveness of CAIS PM meetings and activities, working with the PM Chair to provide logistical support, documentation, strategic leadership, and periodic evaluation activities.
8. Lead technical research and development efforts, although institutions may also conduct their own research and development. Institutions need to be in communication with the Chicago Service Center to help maximize the system-wide benefits of this work.

1.2. Primary and Secondary Service Centers

1. The Service Centers at Chicago, Mequon, St. Paul, Seward, and LCMS corporate Synod relate to each other as technical partners in research and problem solving.
2. The Service Centers at Chicago, Mequon, St. Paul, Seward, and LCMS corporate Synod are a pool of technically qualified personnel who are available to provide mutual assistance. Planning for such assistance should include the Director of CAIS, to

minimize confusion and duplication of work. Such assistance is under terms mutually agreeable to the institutions involved.

2. Support Services

2.1. General Support

- 1.** Institutional help desks handle all local IT support, including desktop, network, non-SCT software, Internet access, etc.
- 2.** Institutions provide documentation, training, and help for the performance of their business processes.

2.2. Training

- 1.** Each institution is responsible for all of its training needs, whether the training comes from the institution or from CAIS or another source. Each institution has the liberty to provide training from whatever source it chooses.
- 2.** The Chicago Service Center organizes training that is primarily for VMS tuning and the integration of Oracle, Banner, and web products. The PMs may plan other training activities (with clarification of who will attend and how it will be paid for), and CAIS will schedule the event as resources permit.
- 3.** The Chicago Service Center does not train personnel to do their jobs. For example, training is available for entering financial aid data into Banner, but training will not be available to teach someone the financial aid regulations.
- 4.** The Chicago Service Center help desk does not provide user training. If the problem arises from a user's lack of training to perform the tasks required, the help desk will discuss training needs with the appropriate institutional contact person.
- 5.** The Chicago Service Center can provide consulting services to assist with updating Banner documentation to reflect campus processes.

2.3. Problem Resolution

The Chicago Service Center is responsible for maintaining the information and communication channels needed to provide centralized support. The Chicago Service Center is responsible for providing end-users with instructions regarding use of CAIS support systems.

2.4. CAIS User Groups

CAIS User Groups will be developed in the areas of Finance, Human Resources, Student Records, Student Admissions, Financial Aid, Alumni/Development, and Banner Technology.

The philosophy of User Groups is that institutional users need to continually grow in competence, and they need to be able to participate in decisions about how Banner is improved and supported.

1. Purposes

The primary purpose of User Groups is to share solutions and best practices related to operating Banner. A secondary purpose is to provide a forum where users and CAIS support staff can work together as a team to improve functionality and support.

The overall objective is to add value to the use of Banner by facilitating improved accuracy and competence at the most basic level of productivity.

2. Leadership

Each group selects a leader from the group.

Leadership responsibility is shared between the group leader and a CAIS staff person.

3. Ongoing activities

The user groups accomplish their goals primarily by maintaining a continuous conversation via phone and email. An annual conference may also be scheduled to facilitate additional opportunities.

4. Meeting Cost and Attendance

Travel for one person per school is equalized, in accordance with the CAIS Travel Equalization Policy. (The Student group will include two people per school in the equalization.)

Each group decides how many people should be attending from each school and what level(s) of expertise will be presumed in the presentations.

5. Agenda

The meeting agenda is set by the group leader and a CAIS staff person by whatever means of consultation is agreeable with the group.

Sessions will be organized by group members and by CAIS staff.

2.5. CAIS-Wide Schedule and Priorities

The CAIS PMs assume primary responsibility for reporting campus needs and determining the system-wide schedule and work priorities.

3. Additional Attendees at CAIS User Group Meetings and Functional Training Sessions

3.1. Number of available seats

The number of empty seats available is the difference between the number of seats in the CAIS training room (17) and the number of approved attendees. For a training session, the approved attendees consist of the assigned trainees (one per site), and the IT people from

each of the four service centers (one per site). For a user group meeting, the number of attendees depends on the program and the available facilities.

Sites other than the CAIS training center may be used to host meetings. The host site project manager will specify the maximum number of attendees based on the available facilities.

The Director of CAIS has the discretion of including additional attendees beyond the number of PCs available in the meeting room if upon reviewing the agenda it would not be problematic to share workstations.

3.2. Prerequisites

Additional attendees must:

- Be proficient in Banner navigation.
- Be competent in the subject matter, with substantial domain knowledge.
- Have a legitimate need based on campus responsibilities and on the specific agenda items.
- (For training sessions) Be completely familiar with the content of any previous training sessions in the series. This means that the campus representative has worked through the materials of previous sessions with the attendee, exercising the “train the trainer” philosophy.

3.3. Process

The campus Project Manager makes a request for additional attendees to the Director of CAIS, indicating that the user meets the prerequisites. Requests must be made and approved by the Director of CAIS before the user makes any travel arrangements.

In the event that the number of requested seats exceeds the number of available seats, the Director of CAIS will randomly select attendees from the pool of requests (no more than one additional attendee per site).

Since every site may request permission for an additional attendee and since the chance of selection is the same across all sites, the cost of attendance will be pooled with other training costs and shared in the same manner.

4. Financial Matters

4.1. Billing Policies

1. The Chicago Service Center issues billing notices, and the LCMS Accounting Department processes payments. The Chicago Service Center is responsible for providing explanatory information as part of the billing process.
2. The BHE/CUS Director of Finance establishes the billing and payment processes.

4.2. Fee Structure

- 1.** Fees are categorized as follows:
 - Cost Model Service Elements: The Cost Model includes the basis for these charges.
 - Shared Technology: Charges are based on CIO mandates.
 - WebCT: Within each of the three contract levels (Campus, Standard, Training), the entities using a particular level equally divide the cost attributed to that level.
 - Pass-Through Expenses: Typically, these are vendor charges, recovered directly from the institution(s) using the product or service. Maintenance charges are a pass-through expense.
- 2.** The CIOs prepare an annual Cost Model and the Presidents' Board gives final approval.
- 3.** The Director of CAIS develops an annual budget, based on the approved Cost Model.
- 4.** LCMS corporate Synod pays the annual Core Administration fee, holds a voice-only seat in the CAIS PM and the CIO meetings (because CAIS does not make decisions about LCMS corporate Synod SCT software), receives all relevant TCP materials with advice regarding their usage, and participates in the mutual sharing of technical information.

4.3. Rebates

- 1.** CAIS issues rebates to clients with the understanding that a reasonable reserve will be retained to stabilize future operations. Rebates will be issued to LCMS entities only, in proportion to the revenue received from each entity during the fiscal year for which the rebates are being issued.
- 2.** Rebates will be paid out annually after the CAIS (CUS) audit is complete. After the close of a fiscal year, the CIOs will determine the amount of reserve to be retained. The recommendation of the CIOs will be finalized by the Presidents. The Director of CAIS is then authorized to issue rebates after the audit is completed.

4.4. Cost Model

Annually the CIOs create a Cost Model that establishes the foundation for the CAIS budget and the SLAs for the coming fiscal year. The Cost Model is subject to final approval by the Presidents.

4.5. Change of Institutional Financial Commitments

- 1.** Institutions desiring to change their service requirements will inform the SLA Committee during the CAIS budget development process (at least 6 months before the next fiscal year) so that CAIS can make the appropriate adjustments. Service levels requested by an institution are firm commitments for the duration of the fiscal year.
- 2.** CAIS finances are based on the assumption that if campus commitments change from year to year, the cost of the change will not negatively affect other institutions.
- 3.** When one or more institutions request that the Chicago Service Center purchase hardware and/or software to serve fewer than all of the Banner institutions (i.e., to

serve a specialized purpose), the requesting institutions are responsible for the fiscal implications of that commitment. If an institution chooses to cease participation in that activity, the institution is responsible for paying CAIS for its share of remaining amortization and/or licensing commitments.

4. The CIOs shall endorse all proposed purchases of hardware and/or software on behalf of fewer than all participating institutions before the purchase.
5. The CIOs shall endorse in advance all proposed purchases greater than \$20,000 that represent a new technology strategy.

5. Service Level Agreement [SLA] Committee

5.1. Membership

The SLA Committee consists of:

- the chair of the Banner PMs
- the chair of the CIOs (if from a Banner school) and two additional Banner CIOs
- the Director of CAIS

5.2. Responsibilities

The SLA Committee is responsible for:

- establishing the timetable for completing the Cost Model and SLAs for the coming fiscal year
- consulting with the Chief Financial Officers and other relevant officers to receive appropriate data and feedback
- ensuring completion of the Cost Model for the following fiscal year
- ensuring revision of the SLA template for the following fiscal year

5.3. Cost Model, Project Manager phase

Annually the PM member of the committee works with the PMs to:

- review the list of Service Elements
- gather needed data
- create a preliminary list of services requested by each institution
- review the metrics that are being used and make needed revisions for the next year

5.4. Cost Model, CIO phase

Annually the CIO members of the committee works with the Banner CIOs to:

- finalize the list of services requested by each institution
- evaluate the impact of the proposed Cost Model on institutions and on CAIS

- complete the Cost Model and oversee its adoption by the Banner CIOs

5.5. SLA development

Annually the SLA Committee reviews the current SLA template and makes needed revisions.

The Director of CAIS is responsible for finalizing an annual SLA for each Banner client. All SLAs shall be signed by both parties before the fiscal year begins.

6. Quality Leadership Committee

“Quality” refers to suitability of products and services and to operational effectiveness, at the Chicago Service Center and at the institutions.

The Quality Leadership Committee consists of:

- the vice chair of the CIOs (if from a Banner school) and one additional Banner CIO
- The Director of University Education
- the Director of CAIS

6.1. Responsibilities

The Quality Leadership Committee is responsible for:

- preparing an annual system-wide process improvement strategy
- guiding implementation of the strategy
- reporting on quality improvement at every PM and CIO meeting

6.2. Activities

The Director of University Education is responsible for leading the Quality Leadership Committee.

- Annually the Quality Leadership Committee reviews the overall scheme of process improvement and makes needed changes to the scheme.
- The Director of University Education oversees (but does not necessarily perform) data collection and analysis.
- The Quality Leadership Committee devises an annual strategy for facilitating Banner-related quality improvement services the Chicago Service Center and at the campuses.
- The Director of CAIS is responsible for making needed improvements at the Chicago Service Center. Campus personnel are responsible for making needed improvements at their campuses.

Chicago Service Center Client Feedback

- CAIS client feedback regarding satisfaction and suggestions for improvement is a distinct activity that will be part of all quality planning.

- The Director of CAIS provides staff support to the Committee for its client feedback activities.

7. Travel policy

Equalization for CAIS PM meetings and User Group events

Travel and expenses for CAIS PM meetings and User Groups will be handled as follows:

- Equalization shall be applied only to one person per institution per event. If it is appropriate for additional people from institutions to attend, their travel and expenses are paid entirely by the institution.
- Reimbursement policy:
 - If travel is by car, reimbursement is for mileage at the IRS rate (not to exceed the price of a cheap airfare).
 - If travel is by plane, train, or bus, reimbursement is only for the ticket.
 - All other expenses not included in the group activities are to be reimbursed by the traveler's institution.
- Rental cars will not be included in equalization, unless the person in charge of planning the event determines that the cars are needed for general transportation. Normally, the host will arrange for group transportation (school van).
- In order to reduce expenses, travelers will book their travel in a timely manner (at least 21 days in advance) and use all reasonable measures to keep the costs down.
- Reasonable meeting expenses will be equalized. Examples include: meals for the entire group (not small groups eating out), meeting supplies, school van usage, and hospitality.
- CAIS and BHE/CUS staff and guest presenters are included in the equalization. LCMS AIS and OIS staff travel at their own expense.

Charges will be posted to the Travel Equalization account and the CAIS billing process will divide the charges equally among all schools on a monthly basis.

Equalization for Banner installation events

Travel for Banner installation events and related training will be handled in the same way as in the past. Charges will be posted to the Travel Equalization account and the CAIS billing process will divide the charges equally among all schools on a monthly basis.

8. CAIS Business Calendar

The listed tasks will be completed during or before the month noted.

September	<ul style="list-style-type: none">▪ report – quarterly▪ report – annual
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	<ul style="list-style-type: none">▪ data collection re: Service Elements usage in prior year
December	<ul style="list-style-type: none">▪ report – quarterly▪ Cost Model
March	<ul style="list-style-type: none">▪ report – quarterly▪ client service data▪ quality improvement data
June	<ul style="list-style-type: none">▪ report – quarterly▪ elect vice chair▪ all SLAs are signed▪ client service improvement strategy▪ quality improvement strategy

The Annual Report includes the following components.

- A brief summary of operational activities, including accomplishments, tasks not completed, and a preview of the coming year.
- An end-of-fiscal-year financial statement.
- A list of personnel changes.
- A brief analysis of how effectively CAIS has accomplished the goals stated in its Mission Statement.
- A summary of current and future trends in the technologies that CAIS uses or might use.
- The CAIS technology strategy and any additional recommendations of the Director.

9. Dispute Resolution

9.1. Software

- 1.** Matters related to how the software is maintained/configured are decided by the CAIS PMs.
- 2.** If an institution believes that it will be injured by implementation of a decision that has been made by the PMs or CIOs, the PM or CIO of the institution submits a written explanation of the issue to the Director of CAIS. The Director works with the Chicago Service Center staff to seek a solution that is consistent with the PM or CIO group's decision. If none can be found, the matter is brought to the attention of the CIOs for reconsideration.
- 3.** If the CIOs are unable to resolve the issue, the Director submits the issue to the BHE/CUS Office for resolution by the Presidents' Board.

9.2. Billing Disputes

1. The Chicago Service Center resolves billing issues.
2. The BHE/CUS Office will oversee resolution of account disputes that cannot be resolved at the Chicago Service Center.
3. All disputed invoices must be paid within ninety days.

9.3. SCT

1. The SCT Master Contract mandates that the Chicago Service Center shall handle account issues with SCT (campus and LCMS corporate Synod).
 2. If the Director of CAIS cannot resolve an issue by communicating with the SCT Account Manager, the CAIS Contract Administrator will escalate the issue to senior SCT management.
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10. CAIS Seed

10.1. Ownership and maintenance of the CAIS Seed

1. The CAIS Seed (the baseline configuration delivered to campuses) is held as a common trust of the participating institutions as represented by the PMs. It is not the property of individual institutions to permanently alter. BHE/CUS institutions (including the Chicago Service Center) will not modify the Banner Seed (the Banner code provided by SCT).
2. The Chicago Service Center maintains the structural elements of the CAIS Seed in a commonly agreed-upon format. This is the baseline configuration for all maintenance supported by the Chicago Service Center.
3. CAIS does not monitor or manage the baseline SCT software used by LCMS corporate Synod.

10.2. Fixed Elements

1. The BHE/CUS Service Centers (CAIS, Mequon, Seward, St. Paul) may take responsibility for modifying clones of Banner objects. The entities that make such modifications are responsible for maintaining the changes as SCT issues patches and upgrades. The institutions take responsibility for documenting these clones (according to change management standards approved by the CAIS PMs), either locally or by arrangement with the Chicago Service Center.
2. All institutions configure the CAIS Seed (the Prototype that arrives at the institution). BHE/CUS institutions can make any configuration changes that do not contradict the constraints regarding data standards. The institutions take responsibility for documenting these configurations (according to change management standards approved by the CAIS PMs), either locally or by arrangement with the Chicago Service Center.

3. Some values delivered with the CAIS Seed (e.g., chart of accounts) are held in common and require a Change Order. The Chicago Service Center is responsible for documenting these values and making the information readily available to institutions.
4. The BHE/CUS Office and the Chicago Service Center are responsible for communicating changes in the Chart of Accounts to any BHE/CUS institutions not using SCT software.

10.3. Change Order Process

1. The Change Order process applies any time an institution or Service Center (other than LCMS corporate Synod) desires to change an item designated in the documentation of the CAIS Seed as fixed in common among the campuses.
2. An institution may at any time submit a Change Order Request to the Director of CAIS. If no solution to the issue is possible within the specifications for the CAIS Seed, the proposal is brought to the PMs.
3. The CAIS PMs must approve each Change Order Request before implementation, to assure that standardization and reporting requirements are preserved. Upon approval of the Change Order Request, it is the responsibility of the Chicago Service Center to make the change to the CAIS Seed and distribute updated copies.

Appendix: FTE Allocation Table

	FTE Fall 1999	FTE Fall 2000	FTE Fall 2001	% for FYE 2003
AU	609	632	713	5.4%
BR	522	553	592	4.6%
IR	997	1,127	1264	9.3%
ME	3,430	3,565	3778	29.6%
PO	897	933	943	7.6%
RF	1,502	1,470	1547	12.4%
SP	1,658	1,735	1679	13.9%
SW	1,156	1,284	1287	10.2%
FWA	317	347	348	2.8%
STL	498	506	548	4.3%