National Patient Information Reporting System: National Data Warehouse

Service Level Agreement

General Data Mart

Version 2.0

June 2011

Department of Health and Human Services

Indian Health Service

Office of Information Technology (OIT)

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Version Control

Version	Date	Notes
1.0	June 2009	Initial version. COTR acceptance June 11, 2009
1.1	January 2011	Annual Review/Update
2.0	June 2011	Final

1.0 General Overview

This is a Service Level Agreement (SLA) between the NPIRS primary contractor (NPIRS) and the IHS NPIRS Investment Manager (i.e., NPIRS Program Manager) and Business Owners (clients) to provide the General Data Mart (GDM) to customers utilizing these services. This document describes:

- The general levels of response, availability, and maintenance associated with these services
- The responsibilities of NPIRS as a provider of these services and of clients/customers receiving services
- The processes for requesting services.

This SLA is effective on June 12, 2011 and shall remain valid until revised or terminated.

2.0 Service Description

2.1 Service Scope

NPIRS will provide authorized users with access to Indian Health Service (IHS) patient data through the General Data Mart. The General Data Mart will contain all the data, as referenced in the most recent version of the *NDW General Data Mart Getting Started Guide*.

2.2 Services Provided

The following services will be provided by NPIRS:

- Availability of the data Monday through Friday, 7 a.m. to 6 p.m. MST.
- Every effort will be made to make the GDM available for periods beyond the 7 a.m. to 6 p.m. window
- Assisting authorized users in understanding the meta data via database meta tables or additional user documentation
- Monthly customer support meetings

- Monthly refresh of data in the GDM; however, every effort will made to refresh the data in the GDM on a weekly schedule
- Updates to hardware and software
- Access control
- Help Desk response

2.3 Services Not Provided

The following services will not be provided by NPIRS:

- GDM access training
- Storage space for services not approved by the IHS NPIRS Program Manager
- Programming assistance to GDM users
- Detailed research for users about where data exported to NPIRS resides in source systems, or how it was extracted and exported (NPIRS will refer users to those who support the source system and its export)
- Hosting services not covered in this SLA or approved by the IHS NPIRS Program Manager
- Assisting the authorized user in constructing queries using SAS, SQL, or other database query tools
- Review of SQL code created by GDM users

2.4 Assumptions

- Services provided by NPIRS are clearly documented.
- Major upgrades will be treated as tasks outside the scope of this Agreement.
- Funding for major updates will be negotiated on a service-by-service basis.
- Changes to services will be communicated and documented to the IHS NPIRS Program Manager via the OIT Help Desk.
- Service will be provided in adherence to any related policies, processes, and procedures.
- Scheduling of all service-related requests will be conducted in accordance with service descriptions.

3.0 Roles and Responsibilities

3.1 GDM Stakeholders

SLA's associated with the General Data Mart have been established between the NPIRS primary contractor (NPIRS) and its client, the IHS NPIRS Investment Manager and associated Business Owners, for the customers it supports.

General Data Mart customers include the following individuals and/or groups:

- IHS Area Statistical Officers
- IHS HQ, Division of Program Statistics, Office of Public Health Support
- Indian Health Performance Evaluation System (IHPES)
- Division of Epidemiology
- Other individuals as designated by Headquarters

The client will approve this SLA on behalf of the customer. This SLA will apply to new customers until the next revision.

3.2 NPIRS Responsibilities

NPIRS' responsibilities and requirements in support of this Agreement include:

- Ensuring availability of the General Data Mart as specified in the Quality Assurance Plan (QAP) and in section 5.0 of this SLA.
- Monitoring the General Data Mart for runaway processes/queries, process time limitations, operational issues, and system performance.
- Adding new tables on request after approval of the IHS NPIRS Program Manager
- Performing status reporting.
- Performing preventative and corrective maintenance to ensure system and data integrity.
- Controlling and monitoring user access to ensure privacy.
- Implementing change management, utilizing NPIRS Change Management procedures.
- Providing Knowledge Management (i.e. data-information-knowledge-expertise), which will be limited to assisting authorized users in understanding the meta data via database meta tables or additional user documentation.

- Assisting authorized users with access issues and general system information as required via a Help Desk.

In addition, the NPIRS Primary Contractor will conduct scheduled periodic customer support meetings for interested parties of the user group communities to allow open discussions of concerns, plans, and issues. Meetings notices will be distributed prior to the meeting date, and meeting minutes will be provided to all users of the General Data Mart after the meeting.

3.3 General Data Mart User Responsibilities

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

- Ensuring availability of customer representative(s) when resolving a service-related incident or request.
- Communicating specific service availability requirements.
- Providing timely requests through the Help Desk to allow completion by service provider (NPIRS).
- Providing feedback on services provided to allow improvement in services.
- Contacting the Help Desk with any access issues, questions or problems with the data base.
- Ensuring that patient and tribal confidentiality is adhered to when sharing reports or data.
- Contacting NPIRS at least 1 business day in advance when requesting access to data outside of regular scheduled service times.
- Running heavy demand tasks during scheduled allotted time.
- Monitor storage allocation for user tables to prevent degradation of the system and ensure views and approved tables are removed from the system when not in use.

4.0 Service Request Process

4.1 NPIRS Help Desk

Requests for service should be submitted via e-mail to OITHELP@IHS.GOV

4.2 Coverage

Help Desk requests are monitored Monday through Friday excluding federal holidays and emergency closures.

4.4 Prioritization

NPIRS support staff will give precedence to Help Desk requests related to interruptions in the normal functioning of service, in order to ensure the availability of data and/or service to our customers. In most cases, non-urgent Help Desk requests will be processed on a first in/first out basis.

5.0 Maintenance and Service Changes

All services and/or related components require regularly scheduled maintenance (usually performed during a pre-set "Maintenance Window") in order to meet established service levels. These activities will render systems and/or applications unavailable for routine user access.

The General Data Mart may be unavailable to authorized users on Monday through Friday at 3 p.m. MST so that routine maintenance service may be performed. If this need arises, NPIRS will notify customers both when the mart is offline and when it becomes available again. If the maintenance window is not needed, the GDM will remain available for customer use during this period.

5.1 Change Management Process

Continuous process improvements occur as new technology emerges and customer needs are better understood. This Agreement between NPIRS and the authorized General Data Mart users ensures that any enhancements or corrective activity implemented to processing within NPIRS will be applied to the data mart structure/processing when available and appropriate, along with appropriate documentation and release notes in accordance with NPIRS Change Control procedures and notifications.

Additional details regarding the NPIRS change management process may be found in the "NPIRS Change Management Plan" under the Documentation Library on the IHS Data Warehouse internet web site at http://www.ihs.gov/NDW/.

5.2 Scheduled Maintenance Windows

General Data Mart users will notify the NPIRS Help Desk at least one business day in advance when the data mart is needed after normal business hours or during the maintenance window. NPIRS will attempt to reschedule the maintenance when possible as long as adequate notice has been provided.

5.3 Planned Outages

General Data Mart users will be notified by e-mail at least one business day in advance regarding planned outages for upgrades and maintenance. NPIRS will

work with the users to ensure that reporting deadlines are not obstructed by the outages if NPIRS is notified at least one business day in advance.

5.4 Emergency Maintenance

NPIRS will communicate via e-mail to the IHS NPIRS Program Manager or his/her designee and the GDM users when the site must be taken off-line due to emergency maintenance. Due to the nature of emergency maintenance, this notification may not occur prior to GDM downtime, but will occur within four business hours after the start of such downtime. Emergency maintenance may be required due to equipment failure or other causes beyond NPIRS control. NPIRS will evaluate the cause and provide an ETA for return to service to the IHS NPIRS Program Manager or his/her designee as well as the GDM users as soon as practical.

5.5 Heavy Demand Windows

Heavy demand is defined as large routine data extracts or updates that could cause excess load on the servers and delays in normal processing times for other queries. Heavy demand data extracts are permitted on Sundays after the ETL is complete and the extract should be completed before 5:00AM on Mondays. In the event that a federal holiday falls on a Monday, heavy demand data extracts are available on the Monday after the ETL is complete and the extract should be completed before 5:00AM on Tuesday.

6.0 Security

The General Data Mart contains Personally Identifiable Information (PII); both NPIRS and General Data Mart customers will safeguard this information in accordance with all applicable SOP's, including NIST800 to ensure confidentiality of information is maintained.

Users are classified into groups according to whether they do or do not have access to PII data. NPIRS will maintain high level security (access to tables and the mart) as well as PII/Non-PII access for all customers except those in the Division of Epidemiology and Disease Prevention. The Division of Epidemiology shall control specific user access to PII data for individuals authorized access in conjunction with their Division's work.

7.0 Reports, Reviews, and Audits

The IHS NPIRS Program Manager will be provided with various reports to confirm that Service Level Agreements have been met. Additional internal documentation will be maintained to confirm that service performance methodologies are being enforced.

7.1 Reports

7.1.1 Performance Measure Reports

NPIRS will include GDM availability in the "System Operational Performance Report", delivered monthly to the IHS NPIRS Program Manager and the General Services Administration Contracting Officer and Program Manager. This is required by the NPIRS contract as documented in the current Quality Assurance Plan (QAP).

7.1.2 Status Reports

Additional system status and storage allocation details are included in the "System Operational Performance Report". For services stated within this Service Level Agreement, status reporting will include:

- Issues/problems
- Exceptions to monthly refresh
- Any system maintenance to optimize performance or prevent potential problems

7.2 Stakeholder and Management Reviews

This Agreement is valid upon approval of the IHS NPIRS Program Manager and is valid until revised or terminated. The Agreement should be reviewed at a minimum of once per calendar year; however, in lieu of a review during any period specified, the current Agreement will remain in effect. NPIRS is responsible for facilitating regular reviews of this document. Contents of this document may be amended as required, provided mutual agreement is obtained from the IHS NPIRS Program Manager. NPIRS will incorporate all subsequent revisions by date of implementation of any significant changes to the environment.

Designated Review Owner: NPIRS

Review Period: Annually

Previous Review Date: June 11, 2011

Next Review Date: Annually or by date of implementation of any significant changes to the environment.

This Agreement is posted to the following location and is accessible to all stakeholders:

Document Location:

P:\NPIRS\7. NPIRS Documents\7. Service Level Agreements

7.3 Audits

NPIRS will maintain additional General Data Mart related program activity in a limited-access directory specifically for NPIRS Program Management. This directory will include all System Development Life Cycle (SDLC) documentation to assure adherence to IHS and industry-wide technology standards.

8.0 Emergency Services/Continuity of Operations

In the event of a hardware failure, NPIRS will attempt to recover from the event as quickly as possible to maintain operations associated with the GDM. Notice will be sent to users during normal coverage hours, or as soon as practical, advising them of the event. Recovery will be in accordance with the NPIRS Emergency Management Plan (SOP EMP 11-01i) or its successor.

In the event of a Continuity of Operations (COOP) situation, the GDM will be recovered within the timeframes and according to the procedures identified in SOP EMP 11-01i or its successor.