
National Patient Information Reporting System: National Data Warehouse

Service Level Agreement

General Data Mart

Version 1.0

June 2009



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

1.0 General Overview

This is a Service Level Agreement (SLA) between the NPIRS primary contractor (NPIRS) and the NPIRS Investment Manager and Business Owner (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
- Processes for requesting services

This SLA is effective on June 12, 2009 and shall remain valid until revised or terminated.

2.0 Service Description

2.1 Service Scope

NPIRS will provide authorized users 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
- Performing 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(s) 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 NPIRS 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 Parties

The client will approve this SLA on behalf of the customer.

Clients: IHS NPIRS Investment Manager (i.e., NPIRS Program Manager) and Business Owner

Customers:

- 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

This SLA will apply to new customers until the next revision.

3.2 NPIRS Responsibilities

NPIRS' responsibilities and/or 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.
- Utilizing IBM's DB2 Query Patroller to:
 - Stop runaway processes.
 - Schedule queries (little ones can go before big ones).
 - Track which queries run when.
 - Limit the number of queries that can be run at the same time.
 - Identify need for indexes to assist users in their queries.
 - When a query exceeds a set, reasonable threshold, it will be placed on hold and the user will be contacted.
- 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.
- Knowledge Management (i.e. data-information-knowledge-expertise), will be limited to assisting authorized users in understanding the meta data via database meta tables or additional user documentation.
- Help Desk user support will include assisting authorized users with access issues and general system information as required.
- The NPIRS Primary Contractor will conduct scheduled periodic customer support meetings with interested parties of the user group communities to allow open discussions of concerns, plans, and issues. Meetings notices will be provided and minutes of the meetings will be provided to all users of the General Data Mart.

3.3 General Data Mart Users Responsibilities

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

- Availability of customer representative(s) when resolving a service-related incident or request.
- Communicate specific service availability requirements.
- Provide timely requests through the Help Desk to allow completion by service provider (NPIRS).
- Provide feedback on services provided to allow improvement in services.
- Contact the Help Desk with any access issues, questions or problems with the data base.
- Ensure that patient and tribal confidentiality is adhered to when sharing reports or data.
- Contact NPIRS at least 1 business day in advance when requesting access to data outside of regular scheduled service times.
- Run heavy demand tasks during scheduled allotted time.

4.0 Requesting Service

4.1 NPIRS Help Desk Request

Requests for service should be submitted via e-mail to NPIRSHD@ihs.gov or IHS – OITHELP-NPIRS (IHS) from the IHS Global Address List.

4.2 Coverage

The NPIRS Help Desk is manned Monday through Friday excluding federal holidays and emergency closures.

4.3 Response Times

An initial acknowledgement, assigning a point of contact, will be provided within one business day.

4.4 Prioritization

NPIRS will put emphasis on Help Desk requests reflecting interruptions in the normal functioning of service, in order to ensure the availability of data and/or service to our customers.

5.0 Maintenance and Service Changes

All services and/or related components require regularly scheduled maintenance (“Maintenance Window”) in order to meet established service levels. These activities will render systems and/or applications unavailable for normal user interaction.

Monday through Friday at 3 p.m. MST the General Data Mart may be unavailable for routine maintenance service if necessary. If this need arises, NPIRS will notify customers both when the mart is offline and when it becomes available again. If the window is not needed, the mart will be available for customer use.

5.1 General Statement on 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.

5.2 Communication to NPIRS for Access Conflicting with 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 with adequate notice.

5.3 Communication to Customers around Planned Outages

General Data Mart users will be notified by e-mail at least five business days 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 Communication about Emergency Maintenance

NPIRS will communicate via e-mail to the IHS NPIRS Program Manager or his/her designee when the site must be unavailable 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 hours after the start of such downtime.

5.5 Heavy Demand Windows

Heavy demand is defined as large routine data extracts that could cause excess load on the servers and delays in normal processing times for other queries. Heavy demand data extracts are available 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

Confidentiality of Information – The General Data Mart contains Personally Identifiable Information (PII); both NPIRS and General Data Mart customers will safe guard this information in accordance with all applicable SOP's, including NIST800.

Users are classed as either having access to PII data or no access to PII data. NPIRS will maintain high level security (access to tables and the mart) as well as PII/Non-PII access for customers other than 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 Reporting, Reviewing, and Auditing

The IHS NPIRS Program Manager will be provided with various reports to confirm that service level agreements were met, in addition to having access to internal documentation to confirm that service performance methodologies were utilized.

7.1 Reporting

7.1.1 Performance Measure Reporting

NPIRS will include GDM availability in the “System Operational Performance” performance measure, reported 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 Reporting

Additional status reporting is included in the monthly NPIRS System Performance Report. For services stated within this Service Level Agreement, reporting will include:

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

7.2 Review

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 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, 2009

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

This Agreement will be posted to the following location and will be made accessible to all stakeholders:

Document Location: P:\NPIRS\7. NPIRS Documents\6. Service Level Agreements

7.3 Audit

NPIRS will maintain all General Data Mart related program activity on a public directory for access by 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/EMP/COOP

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 SOP EMP 09-01i or its successor.

In the event of a COOP implementation, the GDM will be recovered within the timeframes and procedures identified in SOP EMP 09-01i or its successor.

9.0 Appendix A: Associated Policies, Processes, and Procedures

The following processes are documented as stated. Other processes will be added as they are developed.

9.1 Incident Management Process

Please refer to section 4.0 for more information regarding the incident management process.

9.2 Change Management Process

Documentation may be found in the “NPIRS Change Management Plan” on the IHS Data Warehouse internet web site:

www.ihs.gov/CIO/DataQuality/warehouse/what-if-I-have-other-questions.asp