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# National Patient Information Reporting System: National Data Warehouse

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## **Service Level Agreement**

## **Export Tracking 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 22, 2009

## 1.0 General Overview

This is a Service Level Agreement (SLA) between the NPIRS primary contractor and the NPIRS Investment Manager and Business Owner (Clients) to provide the Export Tracking Mart 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

The Export Tracking Data Mart covered by this SLA includes:

- The Export Tracker  
The application displays registration and encounter information related to the data export files.
- IHS National Data Warehouse Load Summary Report  
Displays statistics on the export files loaded to the NDW and is produced daily.
- IHS National Data Warehouse Files Reflected in Userpop/Workload Data Mart Report.  
Displays statistics on export files tracked in the Userpop/Workload Mart. This report is produced after a refresh of the Userpop/Workload Mart.

## 2.2 Services Provided

Services provided by NPIRS are:

- Availability

The Export Tracking Mart is available between the hours of 7 a.m. MST and 6 p.m. MST, Monday through Friday, excluding the following:

- Federal Holidays
- End of fiscal year last business day

Every effort will be made to make the data mart available for periods beyond the 7 a.m. to 6 p.m. window.

- The Export Tracking Mart is refreshed per the Userpop/Workload schedule.
- Support

The NPIRS Primary Contractor will provide customer support via the NPIRS Help Desk. When required, improvements to the Export Tracking software will be performed utilizing the NPIRS Change Management Control process and notifications.

## 2.3 Services Not Provided

- Training

## 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 e-mail.
- 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: Any authorized user of the Export Tracking Mart

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 Export Tracking Mart as specified in the Quality Assurance Plan (QAP) and in section 5.0 of this SLA.
- Meet response times associated with the priority assigned to Help Desk requests.
- Generating monthly reports on service level performance.
- Appropriate notification to Customer for all scheduled maintenance.

### **3.3 Client/Customer Responsibilities**

Customer 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.

## **4.0 Requesting Service**

### **4.1 NPIRS Help Desk Request**

Requests for service should be submitted via e-mail to [NPIRSHD@ihs.gov](mailto: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 no later than the following 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 as published in the maintenance calendar.

Monday through Friday at 3 p.m. MST the Export Tracking 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 Export Tracking 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 Customers around Planned Outages**

NPIRS will communicate via e-mail to the IHS NPIRS Program Manager and area site officers when the web site must be unavailable due to planned outages that are outside the normal maintenance windows. This notification will occur at least five business days prior to web site downtime.

If the planned outage conflicts with business needs, the customer may notify the NPIRS Help Desk to request that the outage be rescheduled.

## **5.3 Communication about Emergency Maintenance**

NPIRS will communicate via e-mail to the IHS NPIRS Program Manager and area site officers when the site must be unavailable due to emergency maintenance. Due to the nature of emergency maintenance, this notification may not occur prior to web site downtime, but will occur within 4 hours after the start of such downtime.

## **6.0 Security**

This mart is governed by IHS and HHS SOPs including NIST800-53.

HIPPA and Personally Identifiable Information (PII) restrictions do not apply since this type of data is not displayed or available in the mart.

Customer access to the data mart will be through an IHS National Data Warehouse intranet web site.

## **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 Export Tracking Mart 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 Export Tracking 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 Export Tracking Mart. 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 Export Tracking Mart 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](http://www.ihs.gov/CIO/DataQuality/warehouse/what-if-I-have-other-questions.asp)