National Patient Information Reporting System: National Data Warehouse

Service Level Agreement

Userpop/Workload Mart

Version 3.0

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	May 2007	Initial version.
2.0	February 2008	Workload/User Pop Data Mart information was removed from the V1.0 SLA to this document and updated for the FY 08 Bridge contract. COTR acceptance April 10, 2008
3.0	June 2009	New format, updates to all sections. COTR acceptance June 17, 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 Userpop/Workload 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 scope of services covered by this agreement is the following:

- User Population and Workload Reports
- Refresh schedule
- Mart availability
- User documentation
- Help Desk support
- Status reporting
- Security
- Hardware/Software maintenance
- Data retention

2.2 Services Provided

- User Population and Workload reports and user documentation will be available on the IHS Intranet Reporting web site. The listing of reports that are available on the web site in the Userpop/Workload Mart can be found in the document *Userpop/Workload Data Mart Reports V1.0.*
- The Userpop and Workload web based reports will be refreshed as per the schedule developed by Headquarters/DPS. This is posted as "Timeline for Transmittal of FY *yyyy* Workload Data and Production of User Pop Estimates" on the Userpop/Workload Mart.
- The web site will be available from 7 a.m. to 6 p.m. MST Monday through Friday, excluding the following:
    - Federal holidays
    - End of fiscal year last business day
    - Occasional periods required for maintenance purposes and for the update of the web site with new reports.
- Every effort will be made to make the web site available for periods beyond the 7 a.m. to 6 p.m. window.
- Help Desk support will be provided to assist with access, problem resolution, and special requests.
- Monthly reporting will be provided to report service levels.
- User access will be controlled and monitored, as restricted by National and Area level data access.
- NPIRS will perform preventative and corrective hardware and software maintenance as needed to ensure system and data integrity.
- Userpop/Workload reports will be posted for a limited amount of time:
    - Userpop – drafts will be posted and remain until the official fiscal yearend report is posted. Official versions will be posted and remain until the next fiscal year's official report is posted.
    - Workload – monthly reports will be posted and remain until the official fiscal yearend report is posted. Official year end report will be posted and remain until the next fiscal year's official report is posted.

2.3 Services Not Provided

- Direct customer access to Userpop/Workload database
- 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:

- Area Statistical Officers
- IHS HQ, Division of Program Statistics, Office of Public Health Support
- Other individuals as designated by the Area or 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 Userpop/Workload Mart as specified in the Quality Assurance Plan (QAP) and in section 5.0 of this SLA.
- Provide the Userpop/Workload Mart via intranet access.
- Ensure that the Userpop/Workload Mart reports are provided per the agreed schedule. In the case of any technical delays, the reports will be provided within 2 days of the agreed schedule.
- Provide appropriate notification to customer for all scheduled maintenance.
- Provide user documentation.
- Provide Help Desk support per the agreed level and schedule.
- Provide monthly reports on service level performance per contract.
- Provide secure access to the mart.
- Perform necessary hardware and software maintenance and upgrades in order to meet service levels.
- Utilize industry standard System Development Life Cycle (SDLC) processes.

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.
- Provide feedback on services provided to allow improvement in services.
- IHS NPIRS Program Manager will be the point-of-contact for resolving any differences that may arise regarding service levels. This should be initiated by the party questioning the service level performance, and include documentation explaining the difference between the service level promised and the service level received.
- NPIRS Program Management will review this information and take appropriate action to resolve the difference, including meeting with the parties to facilitate resolution.

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 Userpop/Workload 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 Userpop/Workload 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.

HIPAA 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 Workload and Userpop reports will be through an IHS National Data Warehouse intranet web site.

Only authorized users will be allowed access to the official IHS/NDW intranet reporting web site, as directed by the Director, Division of Program Statistics, Office of Public Health Support (OPHS), Indian Health Service.

The Userpop/Workload Mart sub-folders are organized in a way where

- There is a separate folder for each IHS Administrative Area, and
- Each IHS Administrative Area is allowed to view only reports in their folder.

Additionally, all logon accounts include access to the User Documentation folder, which is also available via a Guest logon.

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 Userpop/Workload 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 Userpop/Workload 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 Userpop/Workload 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 Userpop/Workload 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