
National Patient Information Reporting System: National Data Warehouse

Service Level Agreement

Export Tracking Mart

Version 2.0

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Department of Health and
Human Services

Indian Health Service

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Version Control

Version	Date	Notes
1.0	June 2009	Initial version. COTR acceptance June 22, 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 and the IHS NPIRS Investment Manager (i.e., NPIRS Program Manager) and Business Owners (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
- The 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 components of the Export Tracking 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

The following services will be provided by NPIRS:

- 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 mart available for periods beyond the 7 a.m. to 6 p.m. window.

- The Export Tracking Mart is refreshed according to 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 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 Stakeholders

SLAs associated with the Export Tracking Mart have been established between the NPIRS primary contractor (NPIRS) and its client, the IHS NPIRS Investment Manager and associated Business Owners, on behalf of the customers it supports.

Export Tracking Mart customers consist of any authorized user of the Export Tracking Mart.

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

3.3 Export Tracking Mart User Responsibilities

User responsibilities and 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.

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

The 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, as published in the maintenance calendar.

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 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.

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 Planned Outages

Export Tracking Mart users will be notified by e-mail at least one business day in advance regarding planned outages that are outside the normal maintenance window. 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 Emergency Maintenance

NPIRS will communicate via e-mail to the IHS NPIRS Program Manager and area site officers when the mart must be taken off-line 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. 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 as well as the Export Tracking Mart users as soon as practical.

6.0 Security

This mart is governed by IHS and Department of Health and Human Services (HHS) SOPs including NIST800-53.

The Health Insurance Portability and Accountability Act (HIPAA) standards and Personally Identifiable Information (PII) restrictions do not apply since this type of data is not displayed or available in the Export Tracking Mart.

Customer access to the data mart will be through the NPIRS National Data Warehouse intranet web site at <http://rohan.d1.na.ihs.gov>.

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 Export Tracking Mart 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 monthly NPIRS “System Operational Performance Report”. For services stated within this Service Level Agreement, status reporting will include:

- Issues/problems
- Exceptions to monthly refresh
- A list of any system maintenance which was performed 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 accessible to all stakeholders:

Document Location:

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

7.3 Audits

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/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 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 the NPIRS Emergency Management Plan (SOP EMP 09-01i) or its successor.

In the event of a Continuity of Operations (COOP) situation, the Export Tracking Mart will be recovered within the timeframes and according to the procedures identified in SOP EMP 09-01i or its successor.