National Patient Information Reporting System:
National Data Warehouse

Service Level Agreement

NPIRS Data Mart Developer's Test Environment

Version 2.0

June 2011

Department of Health and
Human Services

Indian Health Service

Office of Information
Technology (OIT)

Contents

Version Control

Version	Date	Notes
1.0	June 2009	Initial version. COTR acceptance June 22, 2009
1.1	June 2011	Annual Review
2.0	June 2011	Final

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 a NPIRS Data Mart Developer's Test Environment and related services to customers utilizing these services. The purpose of the Data Mart Developer's Test Environment is to assist customers in developing new data marts and prototypes that are not to be used as a production data mart or for the dissemination of data. 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 a Requirements Document for the Data Mart Developer's Test Environment for individuals or groups identified by the IHS NPIRS Program Manager.

NPIRS will provide authorized users access to selected Indian Health Service (IHS) patient data through the Data Mart Developer's Test Environment. The Data Mart Developer's Test Environment will contain selected data and database structure as identified in the prepared Requirements Document.

2.2 Services Provided

The following services will be provided by NPIRS:

- Meet with individuals or groups developing a new data mart at the IHS as identified by the IHS NPIRS Program Manager.

- Develop a Requirements Document based on the meeting and inputs provided.

- Modify or create the database structure according to the requisites of the Requirements Document.

- Populate and refresh the database structure according to the requisites of the Requirements Document.

- Provide availability of the data Monday through Friday, 7 a.m. to 6 p.m. MST.

- Every effort will be made to make the Data Mart Developer's Test Environment available for periods beyond the 7 a.m. to 6 p.m. window.

- Meet with the customer as necessary to provide support and information.

- Updates to hardware and software

- Access control

- Help Desk response

2.3 Services Not Provided

The following services will not be provided by NPIRS:

- Data Mart Developer's Test Environment access training beyond that identified in the Requirements Document.

- Storage space for services not approved by the IHS NPIRS Program Manager.

- Programming assistance to Data Mart Developer's Test Environment users.

- 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 Data Mart Developer's Test Environment 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 Data Mart Developers Test Environment Stakeholders

SLA's associated with the Data Mart Developers Test Environment 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.

Customers of the Data Mart Developers Test Environment are those individuals that have been designated as such by the IHS NPIRS Program Manager.

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/or requirements in support of this Agreement include:

- Ensure availability of the Data Mart Developer's Test Environment as specified in the Quality Assurance Plan (QAP) and in section 5.0 of this SLA or superseded by the Requirements Document.

- Monitor the Data Mart Developer's Test Environment for runaway processes/queries, process time limitations, operational issues, and system performance.

- Conduct status reporting.

- Perform preventative and corrective maintenance to ensure system and data integrity.

- Control and monitor user access to ensure privacy.

- Implement 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 meet with the customer as necessary or as specified in the Requirements Document.

3.3 Test Environment Data Mart Users Responsibilities

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

- Availability of customer representative(s) when resolving a service-related incident or request.

- Customers shall not disseminate data or use the data mart for any production operation unless specifically permitted to do so by the IHS NPIRS Program Manager or appropriate IHS authority.

- Communicate specific service 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 database.

- Fully comply with patient and tribal confidentiality requirements.

- Contact NPIRS at least 1 business day in advance when requesting access to data outside of regular scheduled service times.

- Run heavy demand tasks, if necessary, during scheduled allotted time.

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.

The Data Mart Developer's Test Environment 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 mart will remain available for customer use during this period.

5.2 Conflicts with Scheduled Maintenance Windows

Data Mart Developer's Test Environment 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.

5.1 Change Management Process

Continuous process improvements occur as new technology emerges and customer needs are better understood. This Agreement between NPIRS and the authorized Data Mart Developer's Test Environment 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.

5.3 Planned Outages

Data Mart Developer's Test Environment 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 when the site must be unavailable due to emergency maintenance. Due to the nature of emergency maintenance, this notification may not occur prior to Data Mart Developer's Test Environment downtime, but will occur within four business hours after the start of such downtime.

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 or other users on the server. Heavy demand data extracts are available on Sundays after the required Extract-Transform-Load process (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 any ETL is complete and the extract should be completed before 5:00AM on Tuesday. If the Data Mart Developer's Test Environment does not require an ETL, this window will open at 9:00 PM on the specified Sunday or Monday.

6.0 Security

The Data Mart Developer's Test Environment is governed by IHS and HHS SOPs including NIST800-53. Both NPIRS and Data Mart Developer's Test Environment customers will safeguard Personally Identifiable Information (PII) information in accordance with these guidelines.

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. Additionally, 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 Data Mart Developer's Test Environment 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 Reports

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   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 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 all Data Mart Developer's Test Environment 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 Data Mart Developer's Test Environment. 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 11-01i or its successor.

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