

SALS OPERATIONS MANUAL
FMO DRAFT <12-02>

Notes:

This document addresses the steady state of SALS operations on and after the soft launch. Tasks associated with the one-time ATO steps leading to the soft launch are discussed in separate documentation.

This integrates the following planning artifacts:

- (a) "IDEF Work Plan": items relating to SALS (as approved by Board 2015-11-10)*
- (b) "SALS ATO" D'Agostino MPP chart: items relating to SALS (2015-12-07)*
- (c) "Spreadsheet Elements for SALS Implementation" (2015-11-02) (Replaced by this document: all of those elements have been carried over and included or modified here.)*
- (d) "SALS Process Summary" diagram (2015-06-22) (Annotated version appended to this document, and crossmapped to lists of tasks.)*
- (e) "SALS Operating Projections" spreadsheet (2015-11-17) (Replaced by an appendix to this document: all of those elements have been carried over and included or modified here.)*

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- 5.3.F: If requested thereafter, and consistent with the Dispute policy, conduct a second level review. When it is completed, deliver by e-mail a written resolution of the review, and log and archive that message., 15

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1. GENERAL INFORMATION AND ASSUMPTIONS

1.1. REVENUE AND RESOURCES

Policy requirements and assumptions: The program will not initially impose any charges on applicants, listed parties or other users.

1.2. LIMITED USE OF TECHNOLOGY

Policy requirements and assumptions: During the early roll-out of the SALS program, IDESG should implement it using only minimally-demanding technology; e.g., avoid using complex hosting, software or database administration tasks.

1.3. SELF-HELP SYSTEM

Policy requirements and assumptions: In order to remain simple and low-resource, the initial SALS program should respond to inquiries and applicant transactions by e-mail and not by telephone or similar 'live' facilities. Initial expectations for response time should be moderate and achievable, e.g., acknowledgement within 2 business days of receipt, subject to adjustment based on our experience. IDESG responses should rely, when possible, on pointers to the written informational materials already available. Recurring questions or issues should be rolled into iterative improvements to the FAQ and "help" texts.

2. POSTING AND MAINTENANCE OF SALS DOCUMENTATION

2.1. SALS DOCUMENTATION LOCATION, AVAILABILITY AND MAINTENANCE

Process chart entry/ies: N/A

Responsible party: FMO

Policy requirements: All approved forms and agreements must be available to prospective applicants, applicants and other readers. Their primary location for availability is the IDESG website. Where forms or agreements are offered in Web (HTML or similar) form, there also must be a downloadable standard document form (PDF or similar). As new revisions or versions are approved, the website resources must be updated, and the prior versions moved to a visible, archival deprecated space for continued reference.

Tasks:

2.1.A: Update SALS forms as corrected or revised.

Required resources: Website. Wiki. PDF forms.

Hours estimates: Episodic. Consumes FMO hours, within their existing 2016 budget, episodically when documents are revised.

2.2. BASELINE REQUIREMENTS AVAILABILITY AND MAINTENANCE

Process chart entry/ies: N/A

Responsible party: FMO

Policy requirements: SALS responses require reference to contents of the Baseline Requirements material. Accordingly, that approved package (including the supplemental guidance materials) must be available to prospective applicants, applicants and other readers. Their primary location for availability is the IDESG website. As new revisions or versions are approved, the website resources must be updated, and the prior versions moved to a visible, archival deprecated space for continued reference.

Tasks:

2.2.A: Update Requirements postings as corrected or revised.

Required resources: Results of IDESG plenary deliberations. Website. Wiki. PDF forms (where requirements are quoted in the SALS forms).

Hours estimates: Episodic. Consumes FMO hours, within their existing 2016 budget, as Requirements are updated through committee and plenary process.

2.3. UPTIME AND AVAILABILITY

Process chart entry/ies: N/A.

Responsible party: XD, Secretariat IT resource.

Policy requirements: Persistent availability of the resources to applicants and the public.

Tasks:

2.3.A: Monitor web availability uptime.

2.3.B: Remediate when IDESG web is down.

Required resources: Website. Wiki.

Hours estimates: Routine; part of general IDESG management. Consumes IT contractor hours, within their existing 2016 budget, as part of their uptime performance contract.

3. INTERACTION WITH PROSPECTIVE APPLICANTS

3.1. RECEIVING INQUIRIES

3.1.1. Casual, "lookie-loo" questions

Process chart entry/ies: A2, A7.

Responsible party: XD, customer development resources (may be volunteers).

Policy requirements: IDESG must respond (consistent with item 1.2) to inquiries about the program and possible SALS applications in process.

Tasks:

3.1.1.A: Monitor e-mail alias for inquiries.

3.1.1.B: Reply to general queries, as much as possible by pointers to FAQs and published material.

3.1.1.C: Refer appropriate prospects to customer development resources for handholding/encouragement.

Required resources: E-mail alias.

Hours estimates: Spreadsheet item AA.

3.1.2. Assistance with using forms / completing reports

Process chart entry/ies: A7, A8.

Responsible party: XD.

Policy requirements: IDESG must respond (consistent with item 1.2) to requests for clarifications or assistance for SALS applications in process.

Tasks:

3.1.2.A: Monitor e-mail alias for inquiries.

3.1.2.B: Reply to assistance queries, as much as possible by pointers to FAQs and published material, but inevitably some cases involving more detail.

Required resources: E-mail alias.

Hours estimates: Spreadsheet item BB.

3.1.3. Logging and data use for inquiries

Process chart entry/ies: A2, A7, A8.

Responsible party: XD.

Policy requirements: IDESG must retain management data on volume of inquiries, and in order to track and verify responsiveness to incoming queries. Maintain privacy of data appropriately: query logs will include identifiers of applicant parties, and limited nonpublic information about their inquiries.

Tasks:

3.1.3.A: Monitor e-mail alias for inquiries.

3.1.3.B: Reply to assistance queries, as much as possible by pointers to FAQs and published material, but inevitably some cases involving more detail.

Required resources: Manual updating to a shared-access spreadsheet document (e.g. Google Docs) with appropriate private access controls. Entries must include date, entity identifier as available, address for party querying, general nature of query, and data on whether and when responded or delegated.

Hours estimates entry: Included in spreadsheet items generically (see Line 19).

3.2. RECEIVING FEEDBACK

3.2.1. Forwarding pertinent information

Process chart entry/ies: A3, A7, E2.

Responsible party: XD, FMO.

Policy requirements: IDESG committees or working parties should receive pertinent feedback about the SALS forms, terms, Baseline Requirements and related IDESG work products. Communications must confirm with Data Use / minimization policies.

Tasks:

3.2.1.A: Review received feedback messages

3.2.1.B: Where appropriate, deidentify feedback if needed, and share with interested IDESG committees.

Required resources: E-mail, controlled-access shared spreadsheet logs.

Hours estimates: Included in spreadsheet item AA. Episodic.

3.2.2. Logging and data use for program feedback

Process chart entry/ies: A3, A7.

Responsible party: XD.

Policy requirements: All transactions are logged. All data exchanges comply with the Data Use policy.

Tasks:

3.2.2.A: Log each feedback message.

Required resources: Controlled-access shared spreadsheet logs.

Hours estimates: Included in spreadsheet items generically (see Line 19).

4. PROCESSING OF SUBMITTED REPORTS

4.1. RECEIVING AND LOGGING SUBMITTED REPORTS

Process chart entry/ies: A12, B1, B3.

Responsible party: XD.

Policy requirements: Each submitted report, however complete or valid, must be logged, to track both volume and completion of appropriate responses.

Tasks:

4.1.A: Log each submission.

4.1.B: Archive each submission e-mail. (May be automatic if e-mail managed in an appropriate auto-archiving solution).

4.1.C: Archive each submitted document, including identifiers for the submitter.

4.1.D: Archive each submission e-mail. (May be automatic if e-mail managed in an appropriate auto-archiving solution).

Required resources: E-mail. Controlled-access shared spreadsheet logs. Access to the submitted forms (which are delivered as e-mail attachments.) Persistent storage location for all submitted messages (i.e., archived institutional e-mail), and for all documents received (i.e., shared storage document location with controlled access such as Dropbox).

Hours estimates: Spreadsheet item CC.

4.2. CONFIRMING ADDRESSEE FOR RESPONDING PARTY

Process chart entry/ies: B1.

Responsible party: XD.

Policy requirements: SALS forms include explicit designation of a contract party for the reporting entity. This data must be kept for validation and direction of transactions about the report. Some identifying data is subject to the Data Use policy and will not be posted as part of the publicly-readable SALS report contents.

Tasks:

4.2.A: Record stated contact e-mail information in submissions log.

4.2.B: Send confirming e-mail noting receipt and providing IDESG contract e-mail address for SALS administration.

4.2.C: Monitor those messages, and act to correct contract information if the confirm e-mail bounces or the addressee replies negatively.

Required resources: E-mail. Controlled-access shared spreadsheet logs. Access to the submitted forms (which are delivered as e-mail attachments).

Hours estimates: Spreadsheet item CC.

4.3. CHECKING FOR ID AND COMPLETENESS

4.3.1. Identity check for submitting entity

Process chart entry/ies: B1.

Responsible party: XD.

Policy requirements: Submitting entity must be identified as a valid entity either by reference to DUNS number, or lookup via submitter's information provided and publicly-available entity records.

Tasks:

4.3.1.A: Review submission for provided DUNS number and/or other supplied corporate or entity validation information.

4.3.1.B: Look up DUNS number if provided to confirm existence and entity name. Log the successful confirmation.

4.3.1.C: Review any other corporate registration / agency identity evidence provided. Check against public web records. Log the successful confirmation.

4.3.1.D: If the registration or public records suggest a difference in the spelling or form of the entity name, log this and send a confirming message. (E.g., "You identified your reporting entity as Foo Inc., and [record] suggests that your full legal name is Foo Services, LLC. We will assume you are reporting on behalf of that latter legal entity unless you advise us otherwise in writing by e-mail to [address]."

4.3.1.E: If confirmation is unsuccessful, log that conclusion, notify the submitter that IDESG cannot proceed as it cannot verify the reporting entity's identity, and invite it to provide supplemental information. (Maintain any such submitted materials in the program's document repository, and retain them per the Data Use policy requirements, but marked as associated with an unverified submitter, and not to be aggregated with other SALS data.)

Required resources: E-mail. Controlled-access shared spreadsheet logs. DUNS and related corporate lookup capability (via web). Access to the submitted forms (which are delivered as e-mail attachments.) Persistent storage location for all submitted messages (i.e., archived institutional e-mail) and documents received (i.e., shared storage document location with controlled access such as Dropbox).

Hours estimates: Spreadsheet item CC.

4.3.2. Completeness of package and conformance to forms

Process chart entry/ies: B3.

Responsible party: XD.

Policy requirements: Per the official instructions, submissions cannot be accepted if a required document is omitted; and all required documents must be submitted on IDESG forms (that is, not retyped or altered forms, as we require that all of the original terms and statements are present and intact, as provided on the forms.

Tasks:

4.3.2.A: Review submission for presence of all required documents on the proper SALS PDF forms. (Among other things this must include confirmation that the report matrix PDF document contains an extractable CSV string of data. Log the successful confirmation.)

4.3.2.B: If there are documents missing or inadequate, or inappropriate revisions to the forms used, log this, and send a rejection message indicating what defects resulted in rejection of the package.

4.3.2.C: Maintain any such submitted materials in the program's document repository, and retain them per the Data Use policy requirements (but marked as

associated with an incomplete application, and not to be aggregated with other SALS data).

Required resources: E-mail. Controlled-access shared spreadsheet logs. Access to the submitted forms (which are delivered as e-mail attachments.) Persistent storage location for all submitted messages (i.e., archived institutional e-mail) and documents received (i.e., shared storage document location with controlled access such as Dropbox).

Hours estimates: Spreadsheet item CC.

4.3.3. Completeness of required fields in forms

Process chart entry/ies: B3.

Responsible party: XD.

Policy requirements: Per the official instructions, forms cannot be processed if certain fields that are indicated as mandatory (such as required signatures, and some identifying data) are omitted from the forms.

Tasks:

4.3.3.A: Review submission for presence of all required data in mandatory fields, and for legibility of data provided. Log successful confirmation.

4.3.3.B: If there are mandatory data fields omitted, or some required data is illegible, log this, and send a rejection message indicating what defects resulted in rejection of the package.

4.3.3.C: Maintain any such submitted materials in the program's document repository, and retain them per the Data Use policy requirements (but marked as associated with an incomplete application, and not to be aggregated with other SALS data).

Required resources: E-mail. Controlled-access shared spreadsheet logs. Access to the submitted forms (which are delivered as e-mail attachments.) Persistent storage location for all submitted messages (i.e., archived institutional e-mail) and documents received (i.e., shared storage document location with controlled access such as Dropbox).

Hours estimates: Spreadsheet item CC.

5. ERROR CORRECTION

5.1. RECEIVING CORRECTIONS AND REQUESTS

Process chart entry/ies: B2, F3.

Responsible party: XD.

Policy requirements: SALS Instructions (and our Baseline Requirements) indicate that parties who submit information should have the opportunity to update or correct it. However, we must confirm that only authenticated parties may request changes.

Tasks:

5.1.A: Review each e-mail request for a correction or update to confirm that it is received from a party identified in our logs as responsible and authorized to represent the reporting entity.

5.1.B: If that confirmation fails -- i.e., such a request comes from a party not known to us to properly represent the reporting entity -- log this, and send a rejection message to the correspondent, and to the official notice party for that entity as reflected in our logs (indicating our inability to verify the authorization of the correspondent).

5.1.C: If the correspondent's authentication to represent that reporting entity is confirmed, log this (and proceed to 5.2).

Required resources: E-mail. Controlled-access shared spreadsheet logs. Access to correction requests (received in e-mail) and the original submission documents (which are delivered as e-mail attachments.) Persistent storage location for all submitted messages (i.e., archived institutional e-mail) and documents received (i.e., shared storage document location with controlled access such as Dropbox).

Hours estimates: Spreadsheet item EE.

5.2. CORRECTIVE RESPONSES FROM APPLICANTS

Process chart entry/ies: B2, D1; D2, D3, D4, F3.

Responsible party: XD.

Policy requirements: SALS Instructions (and our Baseline Requirements) indicate that parties who submit information should have the opportunity to update or correct it. We are obligated to retain a record of the originally-submitted version, but must place the authenticated corrected version where readers will encounter it as the current data.

Tasks:

5.2.A: Once a requester is authenticated, create a revised version of the corrected record, if the requester did not provide a complete "as-modified" copy.

5.2.B: If the document to be corrected requires a signature from the reporting entity, that signature must be reapplied to the corrected version. (In which case the complete "as-modified copy" must be sent back to the requester, who must obtain a signature on it and return it to IDESG, before we proceed with the correction.)

5.2.C: The new ("as-modified") copy must be annotated: the correction annotation should note the date of the correction, and the current archival location of the now-replaced prior version of the document.

5.2.D.: Move the original (pre-correction) record to the archival location, annotated as a prior obsolete document; and move the corrected record into the current location for that document. (Those document posted changes should be logged. The newly-corrected and pre-correction versions should have the same access characteristics. E.g., if the original one was public, both should be public after the correction.)

Required resources: E-mail. Controlled-access shared spreadsheet logs. Access to correction requests (received in e-mail) and the original submission documents (which are delivered as e-mail attachments.) Persistent storage location for all submitted messages (i.e., archived institutional e-mail) and documents received (i.e., shared storage document location with controlled access such as Dropbox).

Hours estimates: Spreadsheet item EE.

5.3. REQUESTS FOR CHANGE AND DISPUTES

Process chart entry/ies: F1, F2, D5, F3.

Responsible party: XD or a designate. Possibly Ombudsman.

Policy requirements: IDESG has committed to handle content and listing disputes under, and within the limits stated in, the SALS Dispute Resolution and Avoidance Policy.

Tasks:

5.3.A: Monitor the remediation e-mail alias. Direct other reports of concerns to the Dispute policy and that e-mail channel.

5.3.B: Upon receipt of any complaint, log it and review it for completeness (regarding the required elements listed in the Dispute policy.) If it is not complete, return it to the sender by e-mail with a notation indicating the defect(s), and log and archive that notice.

5.3.C: If the complaint is complete, advise the sender by e-mail that it has been received and provide an estimated date by which a written response and determination will be made. Log and archive that notice. (If the complaint is from a service provider about its own SALS data, propose at least 2 dates and times for a good-faith discussion per the policy (see 5.3.D).)

5.3.D: If the complaint is from a service provider about its own SALS data, conduct a good-faith discussion with its representative concerning the issues raised in the complaint.

5.3.E: Prepare and deliver by e-mail a written response to the complaint by management, including a specification of any responsive proposed changes to SALS data. Log and archive the response.

5.3.F: If requested thereafter, and consistent with the Dispute policy, conduct a second level review. When it is completed, deliver by e-mail a written resolution of the review, and log and archive that message.

Required resources: E-mail. Controlled-access shared spreadsheet logs. Persistent storage location for all documents received.

Hours estimates: Spreadsheet item FF.

6. POSTING AND USE OF REPORTS

6.1. PROCESSING AND LOGGING OF ACCEPTED REPORTS

Process chart entry/ies: B3, C1.

Responsible party: XD.

Policy requirements: All submitted reports, once validated and accepted, must be added to the stores of official SALS information., subject to our SALS Instructions and Data Use Policy

Tasks:

6.1.A: Once a submission is validated as complete, and authenticated as from an appropriate source, and these conclusions are logged, the submission package materials should be archived in a distinct location for active reports. (That archival posting location also should be logged.)

6.1.B: If the submission is a 100% complete "Listed Provider" submission, see Section 7. If it is not, an entry should be added to the logs setting a date in the future (e.g., 6 months) for follow-up on progress towards 100% completion.

Required resources: E-mail. Controlled-access shared spreadsheet logs. Access to the original submission documents (which are delivered as e-mail attachments.) Persistent storage location for all documents received (i.e., shared storage document location with controlled access such as Dropbox).

Hours estimates: Spreadsheet item DD.

6.2. POSTING OF ACCEPTED REPORTS

Process chart entry/ies: C2.

Responsible party: XD.

Policy requirements: Once validated and accepted, the report matrix for each submitted report (but not the other documentation) should be made publicly available for review, consistent with our SALS Instructions and Data Use Policy

Tasks:

6.2.A: Once a submission is validated, authenticated and logged (see 6.1), a copy of the image original PDF form of report matrix should be identified or created, and posted as a publicly-viewable document at a designated location for SALS reports on the SALS website. (The copy for posting may be the submitted PDF itself, or a PDF with no exportable data (see 6.3), or a legible complete image of the PDF.)

6.2.B: Upon that posting, send an e-mail message to the authenticated submitter, advising them of the URL, which also will serve as their own opportunity to review, share and in the future update that data. Log the message.

Required resources: E-mail. Controlled-access shared spreadsheet logs. Access to the original submission documents (which are delivered as e-mail attachments.) Persistent storage location for all documents received (i.e., shared storage document location with controlled access such as Dropbox).

Hours estimates: Spreadsheet item DD.

6.3. AGGREGATION OF REPORT DATA

Process chart entry/ies: C3, C4.

Responsible party: XD.

Policy requirements: IDESG reserves the right, although it has not undertaken a commitment, to maintain and publish the SALS report data in aggregate and summary forms, consistent with its official Instructions and Data Use policy.

Tasks:

6.3.A: Once a submission is validated, authenticated and logged (see 6.1), a the original PDF form of report matrix should be queried to extract the CSV (comma-separated value) data. (That data string must be filed and archived in a distinct location for active report data.)

6.3.B: From that location, it can be manually reviewed, internally, prior to making institutional decisions about its further aggregation, publication or analysis. (IDESG's commitment to publish the data received is satisfied, at the outset, simply by posting the PDF matrix images (see 6.2).)

Required resources: E-mail. Controlled-access shared spreadsheet logs. Access to the original submission documents (which are delivered as e-mail attachments.) Persistent storage location for all documents received (i.e., shared storage document location with controlled access such as Dropbox), and for derived data (which may be a shared-access spreadsheet under proper access controls.)

Hours estimates: Spreadsheet item DD.

6.4. DATA USE

Process chart entry/ies: C4, E1, E2.

Responsible party: XD, FMO.

Policy requirements: IDESG reserves the right, although it has not undertaken a commitment, to maintain and publish the SALS report data in aggregate and summary forms, consistent with its official Instructions and Data Use policy. Our goals for improvement of the SALS and Requirements programs also may make use of this data.

Tasks:

6.4.A: Periodically review the amount and nature of active report data collected in CSV form, and evaluate whether to assemble summary information about the aggregated data received to date, in a simple (e.g. spreadsheet) form, and distribute it internally or externally.

6.4.B. Each such distribution (if any) should be logged, and a copy of the data statements archived.

6.4.C. IDESG management also should periodically review the simple results to assess when and whether further public statements or summaries are appropriate; and record those conclusions to the data management log.

6.4.D. Periodic summary results, indicating the degree to which reporting providers are satisfying specific Requirements, should be circulated to the relevant IDESG committees as feedback.

6.4.E. IDESG also may elect whether enter that data in a simple database structure, for internal use, at a later date.

Required resources: Access to the original submission documents (which are delivered as e-mail attachments.) Persistent storage location for all documents received (i.e., shared storage document location with controlled access such as Dropbox), and for derived data (which may be a shared-access spreadsheet under proper access controls.)

Hours estimates: Spreadsheet item DD. Requirements analysis will consume existing FMO contract hours, within their 2016 budget.

7. FURTHER PROCESSING AND USE OF 100% COMPLIANT REPORTS

7.1. LISTED PROVIDERS POSTING

Process chart entry/ies: C5, C6.

Responsible party: XD.

Policy requirements: The SALS program contemplates a second level of self-attestation, including some kind of recognition program, when a provider reports 100% compliance with the Baseline Requirements.

Tasks:

7.1.A: A distinct web location and set of announcements / collateral should be prepared in anticipation of some of the first cohort of applicant providers progressing to a self-report of 100% compliance.

7.1.B: When a submission includes an attestation of 100% compliance, and it has been validated, authenticated and logged (see 6.1), then the provider's name should be added to recognition program lists including a separate web list, and possibly branded references in other IDESG marcomm resources. (This is in addition to the posting and logging steps described in 6.2, 6.3 and 6.4.)

7.1.C: Notify submitters of successful attestations of 100% compliance of their status as a Listed Provider, and the location of IDESG notices and collateral regarding that program, by e-mail. Log the notice.

7.1.D: Successful receipt of an attestation of 100% compliance also should trigger a notice to senior IDESG stakeholders, so as to encourage the generation of congratulatory messages.

Required resources: E-mail. Controlled-access shared spreadsheet logs. IDESG website resources. Persistent storage location for all documents received and for derived data (including summary attestation data).

Hours estimates: Spreadsheet item GG.

7.2. USE OF AND QUERIES ABOUT MARKS

Process chart entry/ies: N/A

Responsible party: XD.

Policy requirements: Promotional information about the Listed Providers program may lead to inquiries, and requests to use IDESG identifying marks, subject to IDESG's trademarks and SALS policies.

Tasks:

7.2.A: Log each enquiry about Listed Provider uses of marks.

7.2.B: Monitor use by Listed Providers of any IDESG identifying marks. Log known instances of those uses.

7.2.C: Respond as appropriate to marcomm and other questions about the significance and terms of the SALS Listed Providers program.

Required resources: E-mail. Controlled-access shared spreadsheet logs.

Hours estimates: Spreadsheet item GG.

8. MAINTENANCE, RENEWAL AND DISPOSAL OF REPORT DATA

8.1. DATA LOCATION, MAINTENANCE AND UPTIME

Process chart entry/ies: C1, C4, E6.

Responsible party: XD.

Policy requirements: The Data Use Policy specifies minimum data security, privacy, control and stability requirements for IDESG-managed data. See also 2.3 (on uptime and recovery).

Tasks:

8.1.A: Monitor compliance with the Data Use Policy by SALS systems and data.

Required resources: Website. E-mail. Controlled-access shared spreadsheet logs. Persistent storage location for all documents received and for derived data.

Hours estimates: Spreadsheet item GG.

8.2. RENEWAL OF LISTING DATA, PERIODIC REFRESH INQUIRIES

Process chart entry/ies: B2, E3, E4

Responsible party: XD, customer development resources (may be volunteers).

Policy requirements: SALS Instructions and Data Use Policy set outer limits on age of posted provider data to avoid staleness; IDESG policies also set some limits on data retention.

Tasks:

8.2.A: Log the stale date for each reporting provider.

8.2.B: Contact each successful reporting provider in advance (e.g., 3 months) of their stale date, notify them by e-mail of the date of required deposing of their data if not refreshed, and solicit re-submission.

8.2.C. Log a non-mandatory re-fresh date (e.g., 3 months after last progress) for re-contacting stalled providers who have submitted but failed to successfully complete an SALS submission. (See 4.3 and 4.4.) (Delegate these follow-up contacts, as feasible, to customer development resources.)

Required resources: E-mail. Website. Controlled-access shared spreadsheet logs.

Hours estimates: Spreadsheet item GG, and some assistance from customer development resources (may be volunteers).

8.3. DISPOSAL OF DATA

Process chart entry/ies: E5, E6

Responsible party: XD.

Policy requirements: Data Use Policy, and prudence, requires that IDESG appropriately de-publish and dispose of certain expired or stale data. Note that substantial portions of the submitted information from providers, and of SALS program log information, is nonpublic.

Tasks:

8.3.A: Monitor the logged stale dates for each reporting provider's SALS data. (Note this includes unsuccessful as well as successfully-completed reporting providers. See, for example, 4.3.2.C.)

8.2.B: De-post all public data regarding providers whose stale data has been reached. This includes any references to their names that imply a current status (although a persistent statement that they previously reported can be retained), and all of their posted SALS data identified specifically to that provider. Aggregate SALS data that incorporates but does not identify their data may be retained, and remain posted. Log that de-posting.

8.2.C. Identify all SALS data in IDESG's possession that is identified specifically to each expired provider. Either permanently delete it and all back-up copies thereof, or permanently move it into limited-access archival storage in a distinct file location, marked as expired data that may be used only for management or liability purposes. Log that deletion or relocation.

Required resources: E-mail. Website. Controlled-access shared spreadsheet logs. Persistent storage location for all documents received and for derived data.

Hours estimates: Included in spreadsheet item GG. Also, to some extent, will consume IT contractor hours, within their existing 2016 budget.

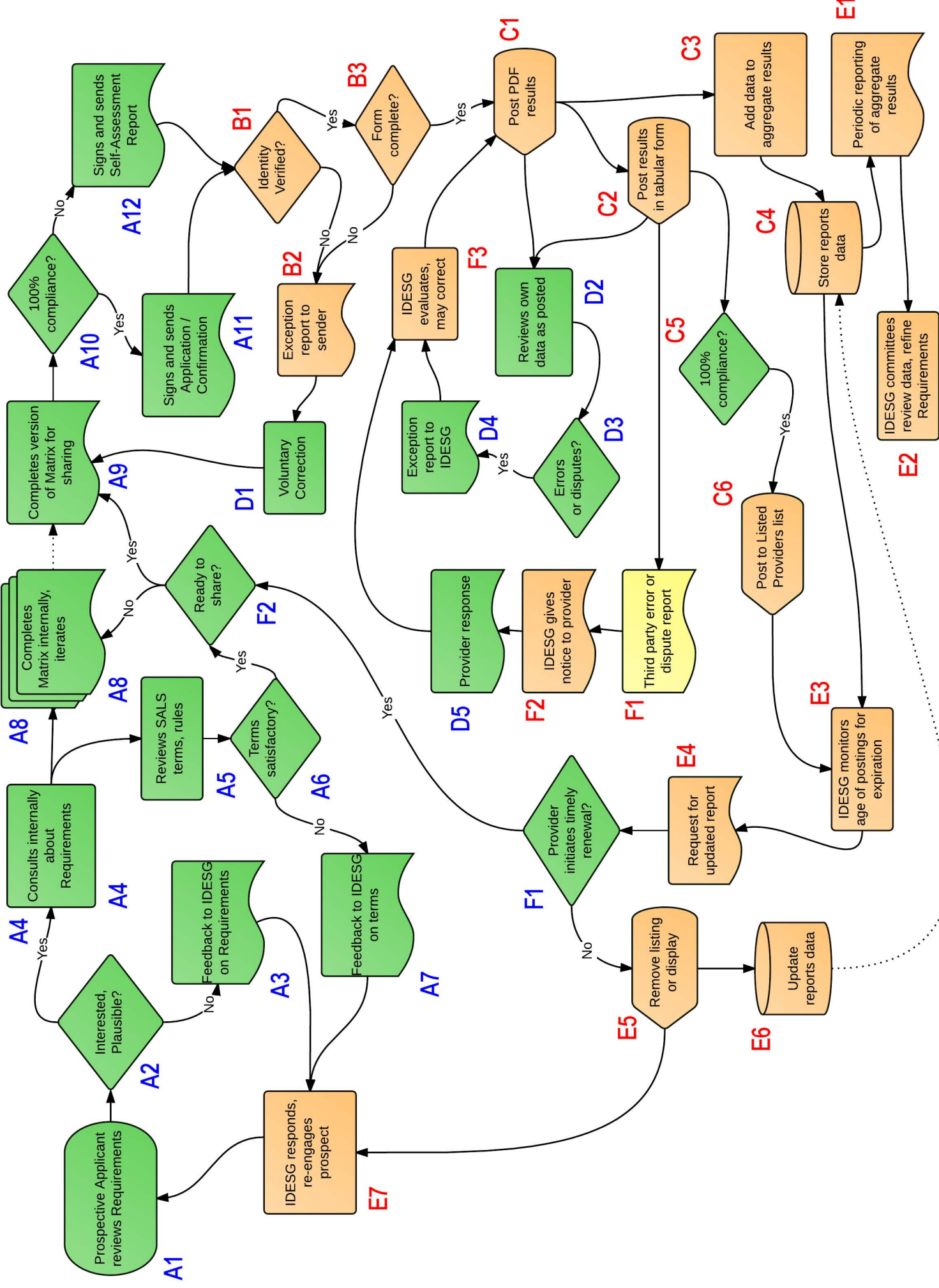
9. APPENDICES

9.1. HIGH -LEVEL FLOWCHART

9.2. PDF VERSION OF HOURS ESTIMATE SPREADSHEET

SALS PROCESS SUMMARY

2015-12-02



SALS IMPLEMENTATION

v3 - 28 Nov 2015

Steady-state operation: person-power estimates (annualized) based on volume assumptions

VARIABLES			
yield	number	hours per event	
<div>Note, these estimates depend heavily on the input assumptions about demand, Number of hours required per task, and drop-off from stage to stage of the application process.</div>		100	Number of SALS response inquiries (hard leads)
	50%	50	Response personpower, in average hours per hard lead
			Number of SALS responses initiated (mouse enters maze)
	50%	25	Response personpower, in average hours per initiated response
			Number of SALS submitted reports (mouse exits maze)
	90%	22	Response personpower, in average hours to process/verify each submitted report
			Number of SALS accepted reports (mouse gets cheese)
	15%	3	Response personpower, in average hours to enter and post each accepted submission
			Number of corrections to accepted reports
	10%	2	Response personpower, in average hours per correction
			Number of disputes/resolutions to accepted reports
	15%	3	Response personpower, in average hours per dispute
			Number of Listed Provider (100%) accepted reports
			1 Response personpower, in average hours per extra listing tasks
		0.25	Generic logging and data handling time per transaction (added to each)

Estimated per-hour cost ->

FUNCTION	EST. HOURS/yr	
AA	75.00	Response to inquiries from prospective (not yet committed) respondents
BB	37.50	Help desk activity for initiated responses
CC	31.25	Verification and processing of submitted reports
DD	16.50	Processing of accepted reports
EE	2.25	Processing of corrections
FF	5.50	Processing of disputes
GG	3.75	Additional processing of successful Listed Provider applications
Total	171.75	
		\$8,587.50