

Bobby Jindal
GOVERNOR



Alan Levine
SECRETARY

State of Louisiana
Department of Health and Hospitals
Bureau of Health Services Financing

March 23, 2010

Mr. Norm Nichols
Executive Account Manager
Unisys Corporation
8591 United Plaza Blvd.
Baton Rouge, La. 70809

FIMS # 1451/LT

RE: DHH LIFT/SPT Process

Dear Mr. Nichols:

Effective immediately, the Department of Health and Hospitals (DHH) is requiring that the attached DHH LIFT/SPT Process be adhered to with regard to all Louisiana Form Tracking numbers (LIFTs) entered into the Systems Project Tracking (SPT) application. This process will help facilitate two-way communication between DHH and Unisys staff so that requests are completed timely and are documented fully. This process will also greatly assist in the Configuration Control Board (CCB) signoff process.

DHH is also requiring that Unisys conduct internal training sessions to review the DHH LIFT/SPT Process document. We have highlighted the information we would like you to emphasize during the training. Each Unisys employee, who has access to SPT, is required to sign a form stating that they attended the training, the date and times that they attended the training and that they will fully comply with the DHH LIFT/SPT Process. A copy of these forms along with the training sign in sheets shall be returned to the DHH MMIS Section by April 6, 2010.

As a result of this process, several documents are required to be composed by the Fiscal Intermediary (FI). They are as follows:

- Mainframe Follow-Up Check List
- Web Follow-Up Check List
- Team Lead Approval Form

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The check lists mentioned above must include implementation and post implementation steps. The Team Lead Approval Form shall indicate that the Team Lead has reviewed the data/code and verified the data/code as accurate and is suitable to release the results as is to DHH. All documents are to be completed by April 14, 2010 and must be approved by DHH MMIS management.

Thank you for your assistance.

Sincerely,

A handwritten signature in black ink, appearing to read 'Kyle Viator', with a large, sweeping flourish extending to the right.

Kyle Viator
Medicaid Deputy Director

KV/LT/GJB

Enclosure(s)

DHH LIFT/SPT Process**I. Purpose**

The purpose of this policy is to establish guidelines for Medicaid MMIS Section to follow when using the LIFT/SPT Process.

II. Applicability

This policy is applicable to Medicaid MMIS Section employees and the Fiscal Intermediary staff.

III. Effective Date

February 26, 2010

IV. Policy Statement

DDH LIFT/SPT Process outlines how process for LIFTS such as how they are approved, how complexity levels assigned, and documentation required.

V. Process

- 1) LIFTS are routed to Unisys thru the MMIS/MARS Section.
 - a. Upon receipt of the LIFT, the Unisys Systems Manager assesses the LIFT for systems impact and reviews for team assignment.
 - b. The Unisys Systems Manager assigns to the appropriate Team Lead and assigns the Level of Complexity.
 - c. The default Level of Complexity is 2. In order for the Level of Complexity to be changed, the programmer, the DHH Subject Matter Expert (SME), the MMIS Project Core Team (PCT), and the Unisys Management Team must all agree. This is to ensure proper documentation and testing of the system change. However, if DHH requests the LIFT be a higher level, it is not necessary for Unisys to be in agreement. If a LIFT Level is changed, documentation to that effect shall be included in the SPT notes.
- 2) LIFTS can be one of the following types:
 - a. SRF – Special Report Form - one time request.
 - b. DCR – Design Change Request - new production program or change to an existing production program –
 - i. MARS programmers must follow the MARS Follow-Up Check List on \\usbtr-part0\fd\data\user work\MARS\Follow-Up\MARS Follow-Up Checklist.doc.
 - ii. Mainframe programmers must follow the Mainframe Follow-Up Check List.
 - iii. Web programmers must follow the Web Follow-Up Check List.
 - c. DRF – Discrepancy Report Form - research requested.
 - d. CRR – Code Review Request - certified code review.
 - e. ECR – Emergency Change Request - production problem that must be handled immediately.

- i. These are usually created by Unisys but must have DHH approval to actually create the ECR.
 - ii. Can be created by DHH in the event that a production problem is discovered that must be handled immediately.
- f. BAR – Budget Administrative Request.
- 3) Top 20 LIFTs.
- a. Determined by DHH Management.
 - b. LIFTs on this list are considered a top priority.
 - c. Budget Cut LIFTs.
 - i. Automatically considered Top 20 LIFTs.
 - ii. After coding is completed, these LIFTs must not be moved to production until after DHH Administrative approval is given.
 - d. When there are more than 20 LIFTs on the Top 20 list, a DHH Committee must be formed at the direction of the MMIS Section Chief to meet and discuss what the priorities are on the Top 20 list. The MMIS Section Chief shall relay that information to Unisys Management.
- 4) LIFTs entered in the SPT system – (SRF, DCR, DRF, CRR, ECR, BAR).
- a. By DHH staff.
 - i. Please refer to http://192.60.37.137/SPT/Document/SPT_DHH_Roles_User_Manual.pdf
 - ii. The DHH Requestor is a DHH user who issues a request form.
 - iii. The DHH Requestor must submit the request to their Department Manager who will then review the request.
 - iv. If the Department Manager approves the request, the Department Manager will send the request to the DHH MMIS MARS Manager for review. No MMIS staff shall approve their own LIFTs for submittal to the FI, with the exception of the MMIS Section Chief.
 - v. Once the DHH MMIS Manager approves the request, the request will be sent to Unisys for assignment.
 - b. ECR – (this is the only type for request that Unisys can use.).
 - i. If Unisys thinks that a LIFT is needed, they must first contact the appropriate Program Manager from DHH for confirmation.
 - ii. The ECR must be accompanied with formal approval from DHH staff (not Unisys staff).
 - iii. Formal approval can come in the form of either:
 - 1. A document/e-mail that is entered as an attachment to the LIFT to describe in detail the emergency, date/time in which Unisys became aware of the problem, date/time the problem was reported, the person(s) who reported the problem, and to whom the problem was reported.
 - 2. Or a document/e-mail within the REQUEST DESCRIPTION area of the LIFT to describe in detail the emergency, date/time in which Unisys became aware of the problem, date/time the problem was reported, the person(s) who reported the problem, and to whom the problem was reported.

3. Only DHH MMIS Program Manager 2 users or above with DHH Admin privileges can formally provide user acceptance on an ECR created by Unisys.
 - iv. ECRs must only be entered if it is truly an emergency that needs immediate attention and will obtain quick resolution; otherwise, a DCR should be entered by DHH staff.
 - v. When creating the ECR, Unisys staff must select the No radio button when answering the question - Are you the Originator of the request?
 - vi. Unisys staff must then select the name of the DHH person who gave approval to create the ECR.
 - vii. Failure to enter an ECR based on the above guidelines will result in the rejection of the request.
 - viii. Unisys staff must not change the status of an ECR to Complete - With UA until formal approval is received from the DHH staff member who approved the creation of the ECR request. This formal approval must be in the form of a document or e-mail that must be added as an attachment or a note to the LIFT.
- 5) As LIFTs are sent over from the MMIS Manager, LIFTs will be assigned to a Team Lead by the Unisys Systems Manager, and a LIFT Lead and/or Programmer will be assigned by the Unisys Team Lead or Unisys Systems Manager.
 - a. LIFT Lead.
 - i. Must enter a weekly status note by the 4:30 PM on the 1st day of the work week.
 - ii. Responsible for overall status and the individual status.
 - iii. If the LIFT Lead is not available on the 1st day of the work week, another LIFT Lead or the Unisys Systems Manager is responsible for the entering the weekly status note.
 - iv. Every LIFT must be updated at least weekly without exception.
 - b. Unisys Programmer(s) assigned to the LIFT.
 - i. Does not have the ability to enter weekly status notes but must enter programmer notes.
 - ii. Responsible for the individual status.
- 6) At the onset of a LIFT assignment the following must occur:
 - a. LIFT Lead
 - i. Must initially change the overall status from "Open" to the appropriate status within 1 business day.
 - ii. Enter a Programmer's Expected Turnaround Date when initially changing the status from "Open" to the appropriate status.
 - iii. If the Requested Completion Date cannot be satisfied, then e-mail communication must occur between the LIFT Lead, the DHH Requestor, and the DHH Department Manager who approved the LIFT.
 1. The DHH MARS Manager and, if applicable, the DHH Project Core Team representative(s) must be kept informed on this communication.
 2. Alteration of the requested completion date must be agreed upon in writing by the DHH Requestor, the LIFT Lead, the MMIS representative and the DHH Department Manager.
 3. This agreement must be documented as a note by the Unisys LIFT Lead.
 - b. Unisys programmer(s) assigned to the LIFT

- i. Must initially complete the following in SPT within 1 business day:
 1. Change the individual status from "Open" to the appropriate status.
 2. Enter a note outlining their anticipated effort.
 3. If other LIFTs prevent the programmer from working on this newly assigned LIFT, those LIFT numbers and Request Titles must be entered as a note indicating this and include the date they expect to begin or resume working on this LIFT.

7) SPT Programmer Notes and communication while working on a LIFT.

- a. **All e-mails must be documented as a programmer note in SPT.**
 - i. Forward the e-mail to yourself, and then copy and paste the e-mail into SPT as a note and this will include the From, To, date and time of the e-mail.
 - ii. **Only paste the part of the e-mail that has not yet been posted as a note in SPT.**
 - iii. Delete any unneeded characters such as privacy notices, e-mail signatures, and extra lines.
 - iv. cc: the Unisys LIFT Lead, the DHH Core Team Member assigned or MMIS MARS Manager if a Core Team Member is not assigned, on all communications with DHH involving a LIFT.
 - v. If DHH replies to an e-mail and does not include the Unisys LIFT Lead and/or the DHH MMIS MARS Manager (only if no Core Team Member is assigned) and DHH Core Team Member, then the Unisys Programmer/LIFT Lead must forward that e-mail to the Unisys LIFT Lead and/or the DHH MMIS MARS Manager (only if no Core Team Member is assigned) and DHH Core Team Member (if a Core Team Member is assigned).
 - vi. The Unisys LIFT Lead and the programmer are responsible for ensuring that the appropriate DHH personnel receive these e-mails.
 - vii. The DHH/BHSF Waiver Assistance and Compliance Unit (WAC) must be copied on any e-mails relating to OAAS or OCDD.
- b. **All phone conversations with DHH personnel must be documented and added as a programmer note and/or an attachment to the LIFT in SPT which must include the date and time of the conversation along with all those in attendance at any time during the phone call and detailed minutes from the phone call. E-mail notification must be sent to all parties involved in the phone call and include all of the details mentioned above.**
- c. **All meeting minutes must be documented and attached as a programmer note and/or an attachment to the LIFT. E-mail notification must be sent to all parties involved in the meeting along with the meeting minutes.**
- d. **All notes entered must include e-mail notification to the Originator of the LIFT and the DHH individual who the communication was with, if different from the Originator.**

8) Weekly Status Notes

- a. Notes must be concise and informative and truly state the current status of the LIFT.
- b. **Cannot be an e-mail communication.**
- c. If no work was done on the LIFT, enter NW and then state the latest status of the LIFT and the reason for no work being done on this LIFT.
 - i. If the overall LIFT status is Complete – Waiting UA the weekly status note should state "Waiting user approval from Originator's Name since mm/dd/yy".

1. On level 1 LIFTS, The Unisys LIFT Lead must continue to follow up with the DHH Requestor weekly until all problems are resolved and approval is given by the requestor.
 2. On level 2 LIFTS, The Unisys LIFT Lead must go through the Project Core Team to follow up with the DHH Requestor weekly until all problems are resolved and approval is given by the DHH Requestor.
 3. This communication must be documented as a note to the LIFT by the Unisys LIFT Lead.
- 9) **All required documentation must be attached to the LIFT in SPT and e-mail notification must be provided to the Originator whenever an attachment is added to the LIFT. This notification must be added as a note to the LIFT.**
- 10) **Level of Complexity – The default level of complexity is 2.**
- a. **Level 1 – LIFTS of low complexity, simple changes, and cosmetic in nature.**
 - i. SRF, DRF, BAR, and CRR.
 - ii. Possibly DCR.
 - iii. MMIS PCT (Project Core Team) -- is generally not involved unless the DHH SME, the Unisys Programmer or MMIS Management identifies a need for intervention.
 - iv. **Requirements Meetings** -- formal meetings are not necessary. **At least, a conference call is required to be sure the programmer and the DHH SME are in agreement on the requirements of the LIFT.** Communication between the DHH SME and the programmer is informal (via email or phone); however, all communications are to be documented in the Notes section of the LIFT on SPT.
 - v. **QA (Quality Assurance) staff is not involved. Programmer is responsible for QA.**
 - vi. **Documentation required:**
 1. **LIFT Review Process Form** required to be completed by all Unisys staff involved in the LIFT
 - a. This form must be signed off on by the LIFT Lead.
 - b. The naming convention must be LIFT xxxx Review Check List – YYY.xls (where xxxx is the LIFT number and YYY is the initials of the person completing the form).
 2. COINSERV Migration Form, signed by Unisys and MMIS Section Chief or designee, if LIFT involves a new report for COINSERV.
 3. Job Request Form, signed by FI Configuration Management, if LIFT involves an addition of a routine production job.
 4. Source Code Transfer Request or Endeavor Transfer Request, signed by Configuration Management, if the LIFT involves a new program or modification to an existing program.
 5. Transmittal Log Sheet if LIFT involved the transportation of data on some type of hardware media.
 6. Result file(s) - zip files if necessary. If file(s) are too large to be entered as an attachment, a note must be entered by the LIFT Lead indicating the file name and where the file can be found.
 7. Program code
 8. Program QC code

9. Team Lead Approval Form
 10. Appropriate Department Check list (MARS, Mainframe, Web).
 11. Program Survey Form if the LIFT involves a new program or modification to an existing program.
 12. Med Vendor Form with MSIS information if the LIFT affects Med Vendor and/or MSIS.
 13. Implementation alert, if applicable.
 14. RA message, if applicable.
 15. Systems Documentation, if applicable, is updated by the QA Tech Writer within 30 days of implementation.
 16. Programmer shall review test data with the DHH Requestor or shall have documentation that the DHH Requestor wishes for an independent review.
- b. **Level 2 – LIFTs of moderate complexity and/or those which impact subsystems other than the one(s) being changed**
- i. DCR
 - ii. **Requirements meetings** – required (includes the Unisys Programmer(s), the DHH SME, the MMIS PCT, QA, and other Unisys staff affected by changes). This meeting is to be coordinated by the PCT.
 - iii. **RAHD/DSD** – may be separate documents or a combination document (submitted to DHH SME via the MMIS PCT). Comments/Approvals using the Comment Tracking Log are returned to the Programmer(s) via the MMIS PCT. If requested by the DHH SME, a face-to-face walk-through of the document with the Programmer(s), the MMIS PCT, and QA staff will be conducted prior to submitting comments/approving the document.
 - iv. **Testing** – Programmer conducts testing – at a minimum, unit testing and system/application testing (may include integration and regression testing, also) must be completed.
 1. Testing must be taken all the way through to ISIS if the process being changed will at some point hit the ISIS system.
 - a. Med Vendor testing is required to verify that a valid cost center will be produced according to the category of service, claim type, servicing provider type, billing provider PPL, type of service, and servicing provider specialty.
 - b. MSIS Testing is needed to verify that back end reporting will comply with CMS standards. Work plans with dates for tracking must be developed and maintained, retaining the original target dates upon update.
 - c. Reports that may be affected also need to be tested and verified.
 2. Tests are defined as:
 - a. **Unit** – low level test of an individual program to demonstrate the correctness of each program module.
 - b. **System/application** – high level test of the system components (all program and job modules) to ensure that the system operates completely and correctly.
 - c. **Integration** – high level test of the system to ensure that it works correctly with other integrated system components. It is typically performed in

- conjunction with systems testing when it has been identified that other processing components within LMMIS are impacted.
- d. **Regression** – high level test of the system components (all programs and job modules) to ensure that the system operates completely and correctly as indicated by previous enhancements made to the system.
 - e. **Parallel** - feeding test data into two systems, the modified system and an alternative system (possibly the original system) and comparing results.
- v. **QA** – programmer submits his/her test results to QA for Independent Verification and Validation (IV & V). The QA analyst reviews the testing done by the programmer to validate the outcomes and lets the programmer know if additional testing needs to be done. QA is to document and track issues and sign-off on the QA form and attach in SPT.
 - vi. **UAT (User Acceptance Testing)** – after QA approval of programmer tests, test results are shared with the DHH SME and a formal UAT is conducted with the DHH SME, the MMIS PCT, and the Unisys Programmer(s). The formal UAT is to be coordinated by the PCT. If the DHH SME submits written approval, then the changes are implemented. They should sign off in SPT at this point with rare exceptions. If approval is not given, then revisions are to be made and rerouted between QA and the DHH SME via the MMIS PCT. Another UAT may be necessary to demonstrate the changes; this is to be decided by the DHH SME.
 - vii. **Systems Documentation** – updated by the Unisys Tech Writer within 30 days of implementation. In addition, all communications and documentation of work done on the LIFT is attached to the LIFT in SPT, either in the form of notes or attachments.
 1. User guides and Help documents are not considered sys doc and shall be completed upon implementation of the change.
 - viii. **Documentation required**
 1. LIFT Review Process Form required to be completed by all Unisys staff involved in the LIFT.
 - a. This form must be signed off on by the LIFT Lead.
 - b. The naming convention must be LIFT xxxx Review Check List – YYY.xls (where xxxx is the LIFT number and YYY is the initials of the person completing the form).
 2. COINSERV Migration Form, signed by DHH and Unisys, if LIFT involves report for COINSERV.
 3. Job Request Form, signed by Configuration Management, if LIFT involves an addition of a routine production job.
 4. Source Code Transfer Request or Endeavor Transfer Request, signed by Configuration Management, if the LIFT involves a new program or modification to an existing program.
 5. Transmittal Log Sheet if LIFT involved the transportation of data on some type of hardware media.
 6. Result file(s) - zip files if necessary. If file(s) are too large to be entered as an attachment, a note must be entered by the LIFT Lead indicating the file name and where the file can be found.

7. Program code
 8. Program QC code
 9. Team Lead Approval Form
 10. Appropriate Department Check List (MARS, Mainframe, Web).
 11. Program Survey Form if the LIFT involves a new program or modification to an existing program.
 12. Med Vendor Form with MSIS information if the LIFT affects Med Vendor and/or MSIS.
 13. Implementation alert, if applicable.
 14. RA message, if applicable.
 15. Approved RAHD and DSD or approved RAHD/DSD required to be done by Team Lead or LIFT Lead.
 16. QA review/sign-off form
- c. **Level 3 – LIFTs of high complexity and/or those which impact many subsystems or involve extensive logic changes.**
- i. DCR
 - ii. **Requirements meetings** – required (includes the Programmer(s), the DHH SME, the MMIS PCT, QA, and other Unisys staff affected by changes). These meetings are to be coordinated by the PCT.
 - iii. **RAHD** – high level design of project – submitted to DHH SME via the MMIS PCT. A face-to-face walk through, coordinated by the PCT, with the Programmer, the DHH SME, QA, and the MMIS PCT must be conducted prior to commenting/approving. Comments/approvals are returned to Programmer via MMIS PCT.
 - iv. **DSD** – detailed design of the system requirements -- submitted to DHH Requestor via MMIS PCT. A face-to-face walk through, coordinated by the PCT, with the Programmer, the DHH SME, QA, and MMIS PCT shall be conducted prior to commenting/approving. Comments/approvals using the Comment Tracking Log are returned to the Programmer via the MMIS PCT.
 - v. **QA - Test Plan** – developed by QA and submitted to the MMIS PCT to forward to the DHH SME. The DHH SME may request a face-to-face walk-thru of the Test Plan prior to commenting/approving. This meeting will include the DHH SME, the Programmer, QA, and the MMIS PCT. Comments/approvals using the Comment Tracking Log are submitted via the MMIS PCT to QA.
 - vi. **QA – UAT** – a formal UAT is conducted with the DHH SME and QA, coordinated by the PCT. The Programmer and the MMIS PCT are included. If the DHH SME submits written approval then the changes are implemented. They should sign off in SPT at this point with rare exceptions. If not, revisions are made and routed between QA and the DHH SME by the MMIS PCT. Another UAT may be necessary to demonstrate the changes; this is decided by the DHH SME. QA staff is to document and track issues and sign-off on the QA review/sign-off form and input into the LIFT.
 - vii. Work plans with dates for tracking must be developed and maintained, retaining the original target dates upon update.
 - viii. **Systems Documentation** – updated by the Tech Writer within 30 days of implementation. In addition, all communications and documentation of work done on the LIFT is attached to the LIFT in SPT, either in the form of notes or attachments.

1. User guides and Help documents are not considered sys doc and shall be completed upon implementation of the change.

ix. Documentation required

1. LIFT Review Process Form required to be completed by all Unisys staff involved in the LIFT.
 - a. This form must be signed off on by the LIFT Lead.
 - b. The naming convention must be LIFT xxxx Review Check List - YYY.xls (where xxxx is the LIFT number and YYY is the initials of the person completing the form).
2. COINSERV Migration Form, signed by DHH and Unisys, if LIFT involves report for COINSERV.
3. Job Request Form, signed by Configuration Management, if LIFT involves an addition of a routine production job.
4. Source Code Transfer Request or Endeavor Transfer Request, signed by Configuration Management, if the LIFT involves a new program or modification to an existing program.
5. Transmittal Log Sheet if LIFT involved the transportation of data on some type of hardware media.
6. Result file(s) - zip files if necessary. If file(s) are too large to be entered as an attachment, a note must be entered by the LIFT Lead indicating the file name and where the file can be found.
7. Program code
8. Program QC code
9. Team Lead Approval Form
10. Appropriate Department Check List (MARS, Mainframe, Web).
11. Program Survey Form if the LIFT involves a new program or modification to an existing program.
12. Med Vendor Form with MSIS information if the LIFT affects Med Vendor and/or MSIS.
13. Implementation alert, if applicable.
14. RA message, if applicable.
15. Approved RAHD and DSD or approved RAHD/DSD required to be done by Team Lead or LIFT Lead.
16. QA review/sign-off form

11) All SREs and DCRs must be verified/QCed regardless of the level of complexity.

- a. Level 2 and 3 LIFTs must follow the approved QA plan.
- b. Level 1 LIFTs
 - i. Can be done by the LIFT Lead/Programmer using a different method other than what was used to produce the original results. (Examples: one programmer uses SAS coding another uses SQL coding, one programmer uses the data warehouse another uses the mainframe, when the same population can be identified using different data fields, one programmer pulls information on one set of data fields while another programmer uses different data fields which define the same population).

- ii. Can be done independently by a programmer at Unisys at the LIFT Lead/Programmer's request or DHH's request.
- c. QC code must be available for the Team Lead to review along with the original code before the Unisys Team Lead fills out the Team Lead Approval Form.

12) Estimated Completion Date and Overall LIFT Status.

- a. Must be altered as necessary.
 - i. If the request has not been completed by all Unisys Systems sections, then the estimated completion date must never be prior to the current date.
 - ii. A note must be entered indicating the date you are changing from and the date that you are changing to.
- b. Must be as accurate as possible.
- c. Shows on the State Status Report for discussion with DHH.
- d. Although the individual LIFT status does not show on the State Status Report, it is important that the individual LIFT status be accurate also. Only the overall LIFT status shows on the State Status Report, but each assigned programmer is responsible to keep their individual LIFT status updated as this status may not be the same as the overall LIFT status, especially when programmers from different areas have mutually exclusive responsibilities and tasks regarding the LIFT.

13) Results

- a. Files on the DHH FTP Server – (If unable to attach in SPT).
 - i. All files should be placed as an attachment to the LIFT in SPT unless they are too large for the SPT attachment function to handle.
 - ii. Do not password protect files as the FTP server will be locked down.
 - 1. Exceptions will exist – Ex. Any HIV data
 - iii. Place the results in the folder that corresponds to the DHH Department listed in the approval section of the LIFT.
 - iv. If the folder does not exist on the DHH FTP Server, place the results in the MMIS folder and contact the DHH MMIS MARS Manager asking that this folder be added.
 - v. E-mail the originator and cc: the DHH MMIS MARS Manager and DHH Core Team Member, if assigned, the DHH link (including the folder) to the result files – As of 11/16/09, the DHH link to the DHH FTP server is
 - 1. \\mmisftp\mmisreportdelivery
 - 2. So the link sent in the e-mail mentioned above should be as such
\\mmisftp\mmisreportdelivery\Folder Name\Result File Name where
 - a. *Folder Name* = DHH Department listed in the approval section of the LIFT.
 - b. The naming convention of the *Result File Name* must be *ccymmdd_LIFTnum_rr_desc.ext* where
 - i. *ccymmdd* = the date you place the file on the FTP server.
 - ii. *num* = the LIFT number.
 - iii. *rr* = the DHH Requestor's initials.
 - iv. *desc* = any other descriptive information (free-form text with words that run together or with dashes between words).

- v. ext = the appropriate filename extension (txt, zip, doc, xls, csv, ...).
 - vi. If you receive a call from DHH stating that they are having trouble accessing the file on the DHH FTP server, refer them to the DHH MMIS MARS Manager and/or DHH MARS Team Member.
- b. Files on CD/DVD.
- i. Must be zipped using WinZip 11.0 or greater.
 - ii. Must be encrypted with a minimum of 256 bit encryption.
 - iii. Must be password protected.
 - iv. The Log Transmittal Sheet must be filled out and accompany the disks.
 - 1. If Protected Health Information (PHI) exists on the disk then the PHI fields must be indicated on the Log Transmittal Sheet.
 - v. A minimum of 2 disks must be sent
 - 1. One for the ultimate destination.
 - 2. One for the MARS unit at DHH.
- c. ~~No results are to be sent to DHH via e-mail.~~
- d. With regard to any file that is password protected, the password must be sent via e-mail to the DHH Requestor, the DHH MMIS MARS Manager and the Core Team Member, if one is assigned.
- e. ~~The e-mail with the password must be entered as a note to the LIFT by the Unisys programmer/LIFT Lead.~~
- f. ~~All results must be filtered through MMIS prior to/along with delivery to the DHH Requestor.~~
- 14) ~~Obtaining approval from the DHH Requestor once the overall LIFT status is in Complete – Waiting UA.~~
- a. ~~If the originator has not approved the LIFT after 2 weeks.~~
 - i. ~~Send an e-mail to the DHH Requestor, or the PCT member if level 2 or 3, and cc: the DHH MMIS MARS Manager asking if there is anything outstanding that is preventing the originator from approving the request or if they need some assistance.~~
 - ii. ~~Enter the e-mail and response as a note in SPT.~~
 - 1. ~~If the DHH Requestor indicates that the LIFT is not complete in their opinion, change the Overall LIFT Status, Individual LIFT Status, and Actual Completion Date accordingly.~~
 - b. ~~Repeat the above steps for every 2 weeks the LIFT remains in Complete – Waiting UA status.~~
 - c. ~~If the LIFT has been disapproved, the LIFT Lead/Programmer must do the following:~~
 - i. ~~Change the Overall LIFT status.~~
 - ii. ~~Change the Individual status.~~
 - iii. ~~Work through the issue with the DHH Requestor following procedures for specific LIFT levels.~~
 - iv. ~~Post notes accordingly.~~
 - v. ~~Resubmit results based on corrections made.~~
 - vi. ~~Repeat steps for seeking approval from DHH Requestor.~~

15) Implementation Alerts

- a. Must be created by the programmer.
- b. Delivery is coordinated through the HIPAA PCT.
- c. Can be found on the LMMIS intranet <http://192.60.37.137/welcome.htm> on the left hand side under Documentation.
- d. Select **Implementation Alerts/Notices**.
- e. **Programmer** is responsible for attaching the implementation alert to the LIFT in SPT.

16) Post Production Monitoring.

- a. **All LIFTs** that require a production change or a new production process must :
 - i. Be monitored by the LIFT Lead/Programmer after going to Production.
 - ii. Include a production implementation check list that is used at implementation.
 1. This commences the post production monitoring phase.
- b. Unisys must assign staff to monitor payments post programming changes to minimize payment errors (Jeff Raymond to establish an effort to engage this responsibility)
 - i. In the event the Department of Health and Economics (DHE) identifies possible erroneous payments, DHE notifies Unisys immediately of the potential problem, copying MMIS.
 - ii. Unisys shall immediately complete a DRF based on the information provided by DHE and Unisys staff must also begin investigation immediately.
- c. The LIFT Lead must have completed and attached the appropriate Departmental Check List which includes implementation steps and post implementation verification.
- d. The Post Production Monitoring section in SPT is completed if additional Post Production Monitoring is required by DHH.
- e. Notes must be entered in SPT until DHH gives permission, via e-mail, to close the post production monitoring of the LIFT. Upon DHH permission via e-mail, the Unisys LIFT Lead must complete Post Production Monitoring in SPT. The e-mail from DHH granting permission to complete Post Production Monitoring must also be posted as a Post Production Monitoring note in SPT.
- f. Length of time for Post Production Monitoring (PPM) will vary.
 - i. If the change affects a daily process, then a minimum of 1 week PPM.
 - ii. If the change affects a weekly process, then a minimum of 1 month PPM.
 - iii. If the change affects a monthly process, then a minimum of 3 months PPM.
 - iv. If the change affects a yearly process, then a minimum of 1 year PPM.
 - v. All of the above time periods may be extended based on the DHH Requestor's desires; however the time periods can never be decreased.
- g. In Post Production Monitoring, a note must be entered in SPT by the LIFT Lead/Programmer when the following tasks are done:
 - i. Verification that the program created the output that was expected.
 - ii. Verify that your output has made it to the DHH FTP Server, if applicable.
 - iii. Verify that your output has made it to COINSERV, if applicable.
 - iv. Verify that the log file has no errors in it, if applicable.

- v. Verify that the application coding changes are working as expected and without error, if applicable.
- vi. Notify the originator via e-mail how their newly requested production code performed the first time that it ran or was accessible in production without user intervention.
- vii. Continue to do the above until the code runs error free and produces the expected output.
- viii. Verify that all appropriate documentation has made it to the intranet (User Manuals, Programmers Specifications, Sys Doc, etc.).
- ix. For Level 2 and 3 LIFTs, any time the post monitoring reports, which shall be developed in the requirements process, are updated.

17) **NOTE: – This is not a comprehensive Guide, it is meant to be used as a quick reference.** A User's Guide is available on-line in the SPT application on the LMMIS Intranet site. To access the current SPT guide, go to the SPT Requestor Home Page, click on the HELP button to access the guide.

Glossary/Acronyms Used in the Lift Process

DSD – Detailed Systems Design – a document prepared by the Unisys Programmer that describes in detail how the system(s) will be designed to meet the requirements of the LIFT and must be approved by the DHH SME.

IV and V – Independent Verification and Documentation – A Quality Assurance (QA) process whereby the QA staff, independent of the Programming staff, validates the work of the programmer to ensure that the requirements of the LIFT are met and that system integrity is maintained.

MMIS – Medicaid Management Information System – in this document, refers to the section of Medicaid charged with maintenance of the Louisiana Medicaid Information Management System.

PCT – Project Core Team – a part of the MMIS Section. This staff is primarily responsible for monitoring the system changes and facilitating coordination of activities between DHH and Unisys.

SME– Subject Matter Expert – as used in this document refers to the DHH SME or his designee – the person who authored the LIFT or to whom responsibility for the LIFT has been given.

Programmer – refers to the Unisys Systems Programmer/Analyst.

QA – Quality Assurance – refers to the Unisys staff responsible for verifying that functionality of systems changes meet the requirements of the LIFT without adversely impacting the system or existing programs.

RAHD – Requirements Analysis and High Level Design – a document prepared by the Unisys Programmer that broadly describes the requirements and design of the project and must be approved by the DHH SME.

SPT – System Project Tracking – the system on the DHH Intranet that houses the information on LIFTS, including their status from receipt through completion.

Tech Writer – Technical Writer – a member of the QA staff.

Test Plan – the document prepared by the QA staff that describes how the system will be tested to ensure that the requirements of the LIFT are met and results are as expected and must be approved by the DHH SME.

UAT – User Acceptance Test – the UAT is where the Unisys staff (QA and Programmer) presents the user (DHH PM) with the results of the work and must be approved by the DHH SME prior to implementation.

Lift Statuses and Descriptions

Assigned - In Process	The programmer(s) has begun working on the LIFT.
Assigned - Open	The LIFT has recently been assigned to programmer(s), but programmer(s) has not started work on it yet.
Assigned - Deferred	The LIFT was set aside and not worked on.
Assigned - Investigating	The programmer(s) is investigating and doing research on the LIFT requirements.
Assigned - Hold	The LIFT has been put on hold. Work will resume at a later time.
Signed Off	The LIFT was completed, closed, and signed off by MMIS Manager.
Documentation - In Progress	Documentation is in progress.
Programming Complete	The programmer(s) has completed coding.
Cancelled	The LIFT was cancelled.
Testing/Verifying	The Programmer(s) and/or DHH Requestor are testing the changes that were made to the application.
Complete - Waiting UA	Coding was completed. Testing was done. The programmer(s) is waiting for user acceptance from the DHH Requestor so that the changes can be implemented to production.
Complete - With UA	The DHH Requestor has given user acceptance. The Programmer(s) has the approval to implement the code change to production.
Documentation - Complete	Documentation has been completed.
QA - Assigned Open	The LIFT has recently been assigned to the Unisys's QA department.
QA - In Process	QA Analyst is in the process of reviewing and testing the application.
QA - User Review	QA Analyst has completed testing the application and is waiting for the Requestor to approve the LIFT.
QA - Complete	QA Analyst's work has been completed.
Doc - In Process	QA Techwriter is working on the documentation.
Doc - User Review	QA Techwriter is waiting the DHH Requestor's review and approval of the documentation.
Doc - Complete	QA Techwriter's work has been completed.
QA - On Hold	QA's testing and documentation process has been put on hold.
QA - Cancelled	QA's review is not needed and has been cancelled.
Doc - On Hold	QA Techwriter's work has been put on hold.
Doc - Cancelled	QA Techwriter's work has been cancelled.
Abandoned	The programmer must stop all work. The LIFT can be re-opened if it is needed in which the notes and attachments to the LIFT are still saved. Requestor wants to halt work with the possibility of continuing at a future date. If work does not need to be resumed in the future, the LIFT should be cancelled instead of abandoned.