



**Department of Developmental Services**

**REQUEST FOR INFORMATION  
RFI T6655**

**EXHIBIT 1**

**Consumer Electronic Records Management System (CERMS) and  
Uniform Fiscal System Modernization (UFSM)  
Overview**

May 10, 2023

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## 1. BACKGROUND

DDS is a department within the State of California Health and Human Services Agency that administers the State's programs to provide individuals (consumers) with developmental disabilities services and support to lead independent and productive lives in their community of choice.

DDS oversees the coordination and delivery of services through a network of 21 contracted non-profit organizations known as regional centers (RCs) who currently serve approximately 400,000 consumers. The RCs establish the Service Providers and Vendors to provide services to consumers based on their preferred needs. The State's developmental disability program is an entitlement program, which is legislatively mandated by the California Lanterman Developmental Disabilities Services Act and the Early Intervention Services Act.

The RCs are responsible for providing an array of services to consumers; including but not limited to case management intake and assessment, service eligibility, Service Provider account management, service monitoring/compliance and reporting, and financial and accounting services for budget planning and to pay the Service Providers providing services to consumers.

The Consumer Electronic Records Management System (CERMS) Project seeks to replace the case management system called SANDIS which captures consumer demographics, health and services information as well as Service Provider information and initiation of authorized consumer services as part of case management intake and assessment processes. The goal of the CERMS project is to replace the SANDIS case management system used across the 21 RCs with a modern, unified, secure, reliable, and scalable solution.

The Uniform Fiscal System Modernization (UFSM) Project seeks to replace the existing legacy Uniform Fiscal System (UFS) which was implemented in 1984 at each RC office by DDS. UFS is a mission critical fiscal and accounting management application used for consumer and RC purchase of services, budget management, fiscal management, trust management, Service Provider billing/payments, reports, and auditing. The UFSM project will also replace the existing eBilling system used by the Service Providers for invoicing functionality.

DDS is currently in Stage 2 Alternatives Analysis of the CA Department of Technology (CDT) Project Approval Lifecycle (PAL).

## 2. CURRENT SYSTEMS AND DATA OVERVIEW

Each of the RCs have their own unique instance of UFS, eBilling, and SANDIS applications residing on their own physical IBM Power 8 server running IBM iSeries OS v7r3mo. One of those RCs has an IBM Power 9 hosted in a cloud environment. DDS also has an IBM iSeries residing in IBM I Cloud environment for production, development, and testing hosted in the CDT data center. DDS pushes out code updates and error files from the DDS IBM system to the RCs individual IBM systems.

The existing systems contain confidential and sensitive data and information, including personal health information (PHI), personally identifiable information (PII), HIPAA, and banking financial information. Data is encrypted and secured according to Federal and State policies.

**UFS:**

The Uniform Fiscal System (UFS) was developed in 1984. Each of the 21 RC UFS systems have a backend DB2 database not centrally integrated. UFS is a mainframe type application with a "green screen" UI. A separate web-based GUI UI was built later, using Profound Logic, and used by some RCs. Due to system limitations, some of the RCs have implemented 3rd party financial and accounting applications such as QuickBooks, applications to process payment files to banks, fixed asset management applications, and querying tools.

**eBilling:**

The eBilling system is a front-end web application with MySQL backend. Service Providers use this application to complete and submit invoices for services provided to consumers. RC staff access eBilling for invoice verification and manage Service Providers roles and access to eBilling. DDS IT Support also supports the eBilling system. eBilling was developed with hypertext pre-processor (PHP) language and is hosted in a Zend server environment on the RCs IBM Power 8/9 iSeries server.

**SANDIS:**

SANDIS (San Diego Information System) is the required case management application used by RCs (required by statute). Modules were created in 1985 which is when RCs started using the application. Some of the data captured in SANDIS was duplicative of UFS so bridge programs were developed to allow data to transfer from SANDIS into UFS. In 2000, DDS and SANDIS combined the UFS Consumer Master file and the SANDIS Consumer Master file into one file, which required all RCs to use SANDIS.

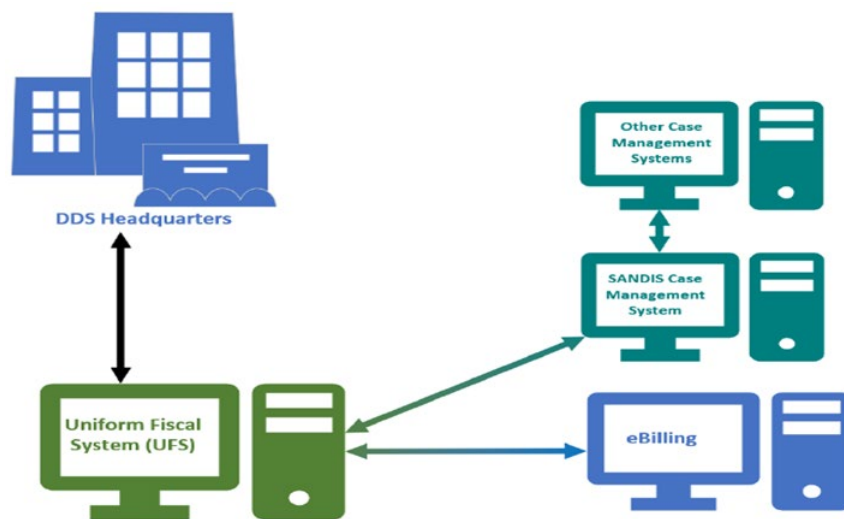
SANDIS also has an optional Service Provider portal for Service Providers to use for case management functionality. The SANDIS IT support staff work closely with DDS IT support for changes and modifications as it is tightly integrated with the UFS systems. Additional information about the SANDIS application can be found at <https://www.sandis.org/about-us>. Due to system limitations in SANDIS, some RCs have implemented other 3rd party case management and content management applications such as Virtual Chart, Therap, and SmartChart.

**Data Origin and Journey:**

Consumer and Service Provider data is entered directly into the SANDIS case management system by regional center staff manually or automatically from some external 3rd party applications. Data is automatically transmitted nightly or via steps performed by the RCs to bridge the data from SANDIS to UFS for service authorizations and fiscal/accounting processing. The SANDIS system interfaces with and looks up data from UFS.

Exhibits 1 and 2 show current electronic connections among case management and financial management related tools and systems. A new technology solution is expected to eliminate some systems and replace them with an integrated system that interfaces with the other systems shown.

*Exhibit 1 - DDS Source Systems Data Flow*

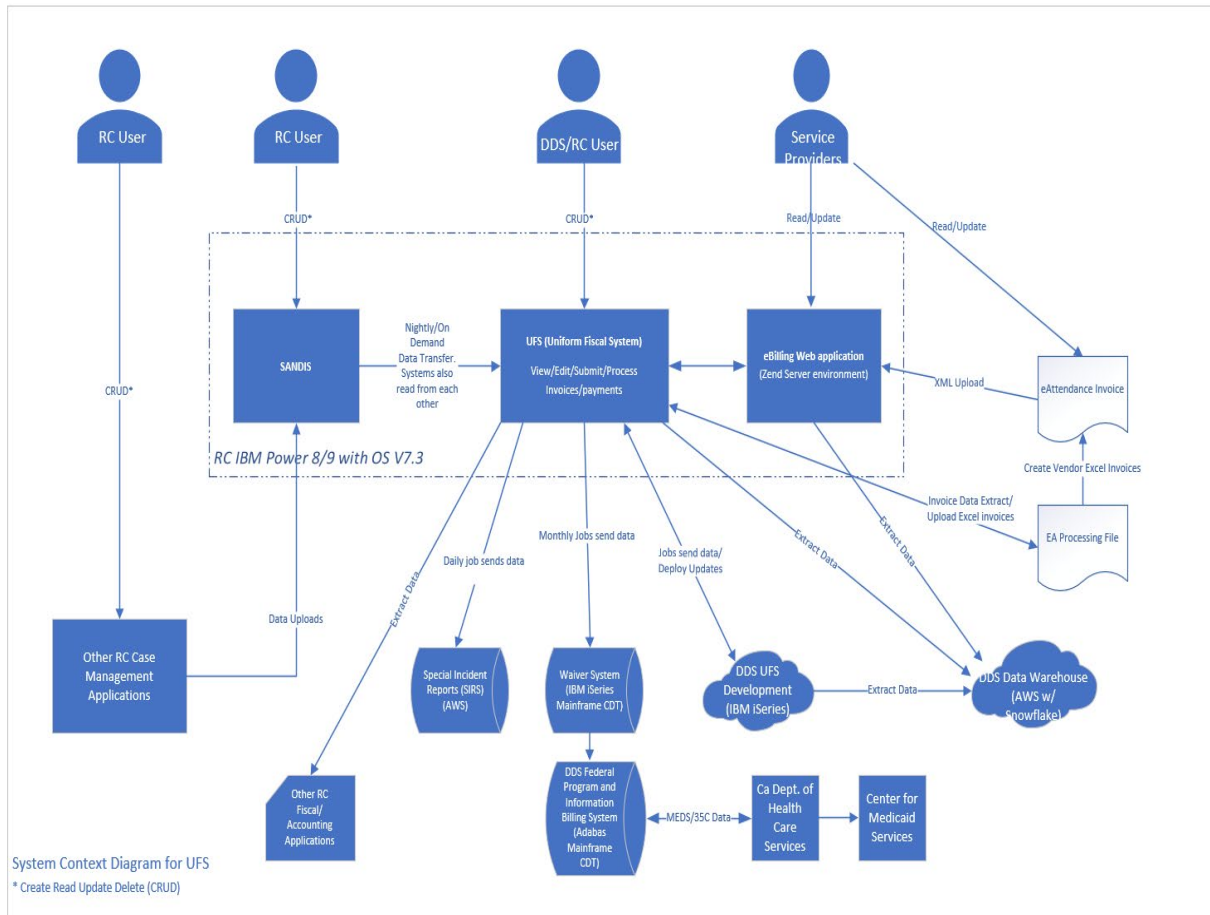


Files are transmitted monthly and at other frequencies from each of the RC system backend UFS databases (flat files) to:

- DDS Data Warehouse (AWS with Snowflake) for reporting via Power BI, Excel, PDF, and SAS
- DDS Waiver Federal Program and Information Billing System (ADABAS/Mainframe) for federal funding
- DDS IBM I production iSeries
- DDS Special Incident Reporting System (AWS)

Data is transmitted via SFTP. Waiver data is used for Federal funding reimbursements which recover approximately \$4.2 billion dollars annually for consumer services. The data is contained in 800 tables (includes 100 tables for Waiver data) and managed through 730,000 lines of code.

Exhibit 2 – System Context Diagram



### 3. GLOSSARY

The below includes terms and acronyms used throughout the RFI documents which may require additional definition.

Term or Acronym	Description
Accounts Payable (AP)	Money owed by an organization to its Vendors or other payees.
Accounts Receivable (AR)	Funds expected to be received by an organization.
Applicant	An individual who is seeking regional center services.
Assessment	The documented results of the process to determine the specific needs of incoming consumers (for those eligible for services under the Lanterman Act).
Automated Clearing House (ACH)	The primary system used for electronic funds transfer payments.
Bank Reconciliation	The process of matching the balances in an organization's accounting records to the corresponding bank statement information.
Board and Care (B&C)	Consumer services related to residential care or assisted living.
Business Capability Model (BCM)	A structural representation of all organizational business capabilities.
California Department of Technology (CDT)	State agency responsible for information technology strategic planning and vision, policy, and architecture.
California Department of Developmental Services (DDS)	State agency through which the State of California provides services and support to individuals with developmental disabilities.
California Department of General Services (DGS)	State agency serving as the business manager for the State of California.
California Department of Health Care Services (DHCS)	State agency that finances and administers several individual health care service delivery programs.
Chart of Accounts (COA)	A list of financial account for an organization for recording transactions in the general ledger.
Communications	Formal letters, notices, and forms sent between the Regional Centers, Consumers, DDS, Service Providers, and other agencies.

Term or Acronym	Description
Community Placement Plan (CPP)	The CPP provides funding to the regional centers for the development of a variety of resources, including, but not limited, to residential development, transportation, day services, and mental health and crisis services, within individuals' communities consistent with resource development as described in Welfare and Institutions Code sections 4418.25 and 4679(a).
Community Resource Development Plan (CRDP)	The CRDP provides funding to the regional centers for the development of a variety of resources, including, but not limited, to residential development, transportation, day services, and mental health and crisis services, within individuals' communities consistent with resource development as described in Welfare and Institutions Code sections 4418.25 and 4679(a).
Consumer	An individual who is eligible for regional center services.
Consumer Electronics Record Management System (CERMS)	Project name for the modernization of Regional Centers Case Management system.
Consumer Trust Account	Consumer account maintained by a Regional Center with funds intended for that consumer's care. Trust accounts may be administered by a Regional Center, or simply maintained for use by a consumer.
Day-In-The-Life (DITL)	In-person visits conducted between DDS and the Regional Centers to better understand current processes.
Electronic Billing System for Vendors (eBilling)	System currently used by Regional Centers to process billing information for Service Providers.
Electronic Billing System (EBS)	System used to bill Service Providers and Vendors electronically.
Electronic Funds Transfer (EFT)	A method of payment which transmits funds electronically to payees.
Employee Attendance System (eAttendance)	System currently used by Regional Centers to track Service Provider hourly rates for billing purposes.
Enterprise Resource Planning (ERP)	System designed to support the administration of an organization's finances and core business processes.
Evaluation	The documented results of the process to determine the specific needs of incoming consumers (for those eligible for services under the Early Start program).



Term or Acronym	Description
Family Resource Center (FRC)	Facilities which actively work in partnership with local regional centers and education agencies and help many parents, families and children get information about early intervention services and how to navigate the Early Start system.
Financial Management Services Provider (FMS)	Third party Vendors used to facilitate the use of Self-Determination Program funds for consumers.
Fiscal Year (FY)	Year as defined for tax and financial reporting purposes.
Fixed Assets (FA)	Assets acquired by a Regional Center which may include property, equipment, or land.
(FPIBS)	Federal Programs Information & Billing System
General Ledger (GL)	A set of numbered accounts to track financial transactions and prepare financial reports.
Health Insurance Portability and Accountability Act of 1996 (HIPAA)	Federal law protecting sensitive patient health information.
Home and Community-Based Services (HCBS)	Services that are offered to consumers which allow them to receive services in their own home or community rather than an isolated location. Examples include but are not limited to senior centers, adult daycares, transportation services).
Individualized Family Service Plan (IFSP)	Individualized development plan for consumers who have been deemed eligible for Early Start services. (Typically, under the age of 3 but there may be exceptions.)
Individual Program Plan (IPP)	Individualized development plan for consumers who have been deemed eligible for Lanterman services. (Typically, over the age of 3 but there may be exceptions.)
Information Technology (IT)	Processing, storage, and retrieval of data.
Intermediate Care Facilities (ICF)	Health facilities licensed by the Licensing and Certification division of the California Dept. Of Public Health to provide 24 hour per day residential facilities.
Internal Control Questionnaire (ICQ)	Questionnaire filled out by Regional Centers with basic internal controls information about their organization as a part of audit processes.
Internal Revenue Service (IRS)	Revenue service for the federal government.
Inquiry	A record that reflects an applicant's submission of a request to the Regional Center that they want to begin receiving services.

Term or Acronym	Description
Journal Entry (JE)	A record created for any transaction – financial or non-financial – which may impact accounting.
Manage	The term “manage” is used to define the following four actions to a system record: create, read, update, and delete (CRUD) or create, read, update, and purge (CRUP).
Money Management (MM)	A module currently used in UFS system to process funds for consumer use.
New Generation Software (NGS)	Querying software currently used by Regional Centers.
Notifications	Informal notices such as reminders and alerts with the intent to initiate action or inform regarding an action.
Operations (Ops)	Purchases related to Regional Center operations, including services and goods used for maintaining Regional Center operations.
Person-Centered Plan (PCP)	A unique narrative-based plan for consumers which provides an opportunity to add context to their IPP or IFSP by specifying long term goals, desired outcomes, and specific services desired.
Personal and Incidental (P&I)	Consumer purchases related to personal use. This may include clothing, linens, personal items, hygiene items, etc.
Project Approval Lifecycle (PAL)	Process used by State of California CDT to facilitate the procurement process at state agencies.
Purchase Order (PO)	Document sent to a Vendor by a Regional Center to initiate a purchase.
Purchase of Service (POS)	Purchases related to consumer services or goods.
Program and Project Management Board (PPMB)	Branch which supports the project management activities and progress for DDS.
Regional Center (RC)	DDS centers throughout the state of California providing services to consumers.
Relative Value Scale (RVS)	Index that assigns weight to medical services.
State Administrative Manual (SAM)	Reference resource created by the California DGS providing a uniform approach to statewide management policy.
San Diego Information System (SANDIS)	System currently used to administer Case Management processes by Regional Centers.
Self-Determination Program (SDP)	A program which allows consumers to select their own Service Providers and control the spending plan and budget for the services they receive.
Self-Determination Program Budget	Budgets maintained for Self Determination Program consumers.

Term or Acronym	Description
Service Provider	A contracted entity that provides services directly to Consumers who are eligible for Regional Center services.
Service Request (SR)	A request initiated indicating a consumer's need for services, which includes the authorization of services.
Supported Living Services (SLS)	<p>Consists of a broad range of services to adults with developmental disabilities who, through the Individual Program Plan (IPP) process, choose to live in homes they themselves own or lease in the community. SLS may include:</p> <ul style="list-style-type: none"> <li>• Assistance with selecting and moving into a home;</li> <li>• Choosing personal attendants and housemates;</li> <li>• Acquiring household furnishings;</li> <li>• Common daily living activities and emergencies;</li> <li>• Becoming a participating member in community life; and,</li> <li>• Managing personal financial affairs, as well as other supports.</li> </ul>
Schedule of Maximum Allowances (SMA)	Accepted charges for specified healthcare procedures or care.
Subject Matter Expert (SME)	Individuals who are considered experts in their subject area who have been consulted during the course of this project.
Skilled Nursing Facility (SNF)	Facilities which provide 24-hour skilled nursing care, as well as related or rehabilitative services.
Share of Cost (SOC)	Dollar amount used towards a consumer's medical expenses prior to benefits qualification.
Statement of Disputed Issues (SODI)	Formal statement of issues provided during a Vendor audit.
Source of Funds (SOF)	The source of funds for a consumer to use when paying for services. This may include benefits, Trust loans, personal funds, etc. Sources of funds may be prioritized.
Social Security Administration (SSA)	Government agency that administers Social Security.
Supplemental Security Income (SSI)	Monthly payments made by the SSA to adults and children with disabilities.
Turnaround Invoices (TAI)	Invoices currently generated by Regional Centers to Vendors prior to actual receipt of goods or services which serves as a temporary record for Vendors.

Term or Acronym	Description
Trust Consumer Balance (TCB)	The amount of funds currently in a consumer's Trust account.
Trust Loan	Loans provided by a Regional Center to a consumer to fulfill service payments (includes TCB and SOF).
Trust Receivable	Funds received for a consumer's Trust account. This may include benefits, personal funds, etc.
Trial Balance	Report listing the balances of all general ledger accounts at a certain point in time.
Unique Client Identifier (UCI)	A unique identification number assigned for each consumer.
Uniform Fiscal System (UFS)	System currently used by Regional Centers to manage financial processes.
Uniform Fiscal System Modernization (UFMS)	Project name for the modernization of Regional Centers financial system.
Veteran Affairs (VA)	Government agency providing services to US military veterans.
Vendor	Business Vendor used to purchase operations goods or services by a Regional Center.
Vendor Status Notification (VSN)	Notices or communications provided to Vendors.