Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B.2 (Ver. 3.0.8, 02/28/2022)

2.1 General Information

1. **Agency or State Entity Name:** 4300 - Developmental Services, Department of

    If Agency/State entity is not in the list, enter here.

    Click or tap here to enter text.

2. **Proposal Name:** Consumer Electronic Records Management System (CERMS) and Uniform Fiscal System Modernization (UFSM) Project

3. **Department of Technology Project Number (0000-000):** 4300-064

4. **S2AA Version Number:** Version 1

5. **CDT Billing Case Number:** CERMS (CS0043350); UFSM (CS0042828)

    Don't have a Case Number? Click here to get one.

2.2 Submittal Information

1. **Contact Information**

    Contact Name: Jim Switzgable

    Contact Email: jim.switzgable@dds.ca.gov

    Contact Phone: 916-654-3450

2. **Submission Type: New Submission**

    If Withdraw, select Reason: Choose an item.

    If Other, specify reason here: Click or tap here to enter text.

    Sections Changed if an update or resubmission: (List all the sections that changed.)

    Click or tap here to enter text.

    Summary of Changes: (Summarize updates made.)

Click or tap here to enter text.

3. **Attach [Project Approval Executive Transmittal](#) to your email submission.**

4. **Attach [Procurement Assessment Form](#) to your email submission.**

5. **Conditions from Stage 1 Approval** (Enter any conditions from the Stage 1 Business Analysis approval letter issued by CDT or your AIO):

   None

2.3 Baseline Processes and Systems

1. **Current Business Environment (Describe the current business environment of which the effort will be understood and assessed in 500 words)**

   The California Department of Developmental Services (DDS) is engaged in replacing two pivotal systems: the San Diego Information System (SANDIS) case management system and the Uniform Fiscal System (UFS). Both systems are instrumental in delivering essential services to over 430,000 individuals with developmental disabilities across California, administered through twenty-one (21) Regional Centers under the Lanterman Act and the Early Start Program. The project would also replace eBilling, a standalone application which integrates with UFS and is used for financial management.

   From March to October 2022, project teams comprising DDS management, Regional Center representatives, subject matter experts, and consultants conducted extensive reviews of current business processes related to these systems. The teams used a multi-pronged approach, including research, stakeholder interviews, site visits, team meetings, and workflow modeling. Both teams conducted "as-is" assessments and went through multiple iterations of review to finalize their findings, ensuring stakeholder input and validation at each step.

   Based on market research, vendor demonstrations, and alternatives analysis, the project team determined that a single project would provide a CERMS and UFSM Commercial-Off-The-Shelf (COTS)/Modified-Off-The-Shelf (MOTS), Solution as a Service (SaaS), implemented by a System Integrator (SI) Vendor.

   A CERMS and UFSM COTS/MOTS SaaS solution fulfills the project objectives and requirements, provides access to the latest technology, and ensures future upgrades are based on market-leading practices. Engaging a single SI Vendor for implementation promotes cost-effectiveness, a rapid timeline, and a centralized point of contact throughout the project lifecycle. The market research indicated that vendors may provide and integrate separate case management and financial management solutions.

   The case management effort identified four major business capability areas:

   - **Case Management,** covering Consumer Records Management, Consumer Intake & Assessment, and Individualized Plan Creation & Maintenance.
   - **Vendor Management,** focused on Vendorization and Vendor Monitoring.
   - **Service Management,** which includes Service Requests and Service Monitoring.

- **Reporting,** which is primarily concerned with Compliance Reporting.

Each case management area contains multiple business process workflows, and the objective is to unify processes and systems into a single, coherent solution that better serves the consumers, Regional Centers, and DDS.

The financial management effort focused on UFS and 32 different business process workflows under seven overarching capabilities:

- **General Ledger (GL):** The GL serves as the foundational record-keeping system and includes activities like account updating, maintenance, and reconciliation.
- **Purchase to Payment:** This involves managing vendor records and payment processing for both operations and services. Vendorization is a critical first step, followed by purchase orders and invoice management.
- **Consumer Trust Management:** This capability focuses on the income and disbursement management for residential board and care (B&C) and personal and incidental (P&I) expenses.
- **Accounts Receivable:** This area covers the claiming and receipt of state funds for consumer services, including fund reconciliation.
- **Fixed Assets:** This involves tracking physical assets owned by the organization, from acquisition to retirement.
- **Budgets:** This area focuses on budget planning, forecasting, and maintenance through the fiscal year.
- **Audits:** Both DDS and Regional Centers carry out periodic and ad-hoc audits of vendors and Regional Centers to ensure compliance and effectiveness.

The financial management system and processes are essential for everything from record-keeping and vendor management to consumer trust and budgeting.

Key outcomes from both efforts were the identification of various challenges and issues in the existing systems. For instance, both efforts acknowledged the presence of "workarounds" or manual steps in existing workflows, signaling the need for improvements. Both initiatives aim to streamline tools and processes for better efficiency, ensuring that both financial and case management systems serve the needs of the DDS, Regional Centers, and, most importantly, the individuals requiring services. Through these efforts, DDS is not merely implementing a technological shift but is also making a procedural adjustment to enhance its capacity to serve a sizable and diverse population in California.

Attach relevant documentation to email submission (i.e., business process, workflow, problem analysis, user/stakeholder list, research findings).

Originally the CERMS and UFSM projects were separate. As part of the market research effort, the project team determined that a single CERMS/UFSM Project would implement an integrated case and financial management solution. Accompanying documents include the following:

- Section 2.03.1_CERMS As-Is Workflow - Narratives v1.0
- Section 2.03.1_UFSM As-Is Workflows - Narratives v3.0

If these types of documents are not available, please indicate "Not Available," and explain the reason below:

Not available reason: Click or tap here to enter text.

2. **Technical Context (Describe the technical environment of which the effort will be understood and assessed in 500 words)**

Each Regional Center has their own unique instance of UFS, eBilling, and SANDIS applications residing on an IBM Power 8/9 version midrange server running IBM iSeries OS v7r3mo. Twenty of the twenty-one Regional Centers house the servers on-premises in a secured server room with one (1) Regional Center hosting in the IBM I cloud environment. DDS has its own IBM Power 9 system in the IBM I Cloud environment for development and testing hosted through CPS Technology Solutions. DDS pushes out code updates and files from the DDS IBM system to the 21 Regional Centers individual IBM system UFS databases. DDS IT Division (DDS ITD)provide support to Regional Centers for UFS and eBilling. SANDIS is primarily supported by San Diego Regional Center, owner and developer of SANDIS.

Data is encrypted using PKWare or through encryption with a third-party vendor through Rapid Rebound via a barracuda appliance. Data backup and administration (maintenance and deletion of objects/files) is performed on a nightly basis. The IBM systems can be rebuilt within 32-40 hours. Data is backed up and restored through a third-party vendor secured cloud environment to a backup location within the U.S.

The Regional Center staff have various roles and access to administer and use the applications including creating, updating, and deleting access for other Regional Center staff to UFS, eBilling, and SANDIS, and for Service Providers to use eBilling. DDS program areas use the data for reporting, audits, and compliance. Data is extracted from the Regional Center IBM systems to the DDS Data Warehouse when requested by DDS program areas for analysis and reporting. Data is also provided to other DDS, Regional Center, State, and Federal organizations and downstream systems. Only some DDS program staff have direct access to the Regional Center UFS systems. DDS provides access provisions through Microsoft Azure for DDS and some Regional Center staff.

Regional Centers technical environments are supported by onsite and contracted IT staff and most Regional Centers are on a virtual type of Infrastructure and capable of implementing modernized technologies to support the Regional Center business and organizational needs.

SANDIS:
The SANDIS systems primarily support business processes for Consumer Management, Service Provider Management, Services/Rates Management, Consumer Incidents, Consumer/Service Provider Emergency Notifications, and Reporting. The primary application system, SANDIS v7/v6, is custom-built on a Profound Logic platform, incorporating HTML5, Node.js, JavaScript, CSS, and JSON technologies. There is also a SANDIS Service Provider online portal, used by some Service Providers, and a mobile SANDIS application with some case management functionality.

Regional Centers have implemented additional case management applications/systems due to existing limitations. These case management systems extract data from SANDIS and write back to existing SANDIS required fields along with some third-party document management systems for managing case management forms and documentation.

Data is automatically transmitted via jobs running nightly and via on-demand by Regional Center staff to the UFS backend staging databases over SFTP.

UFS:
UFS supports business processes for General Ledger, Purchase to Payment for Operations and Services, Consumer Trust, Accounts Receivable, Fixed Assets, Budget Management, Audits, and Reporting. UFS is a custom application running on the IBM systems and programmed via Report Program Generator (RPG). UFS has a green screen type mainframe display and an available online graphical user interface used by some Regional Centers. The UFS backend database is DB2 and is proprietary to IBM. UFS is tightly integrated with the eBilling and SANDIS applications.

Regional Centers have implemented third-party fiscal/accounting and asset management applications/systems due to existing limitations. These third-party fiscal/accounting and asset management applications/systems are either standalone such as QuickBooks or have some integration with UFS.

Data is extracted via automated jobs from each of the 21 backend DB2 databases to DDS systems, including Federal Program and Information Billing System for Federal Reimbursements, Special Incident Report applications for Consumer incidents, DDS IBM system, and the DDS Data Warehouse. Data includes information transmitted from SANDIS and eBilling to UFS.

eBilling:
eBilling supports business processes for Purchase of Services and Service Provider invoicing and billing. eBilling is a custom-built application on Profound Logic platform operating on the IBM systems in a Zend Server environment and built on a common LAMP (Linux, Apache, MySQL, PHP) technology stack. DDS manages an F5 load balancer to manage traffic for eBilling access.

eBilling Service Provider invoice and attendance data is transmitted to UFS and extracted to the DDS Data Warehouse.

Approximately 38,000 Service Providers use eBilling.

Data Volume:
Below is a high-level layout of the existing data schemas, tables, and columns from the IBM systems across the 21 Regional Centers. This information is being analyzed as part of a data quality assessment and will be used to determine the scope of data conversion/migration for the project.
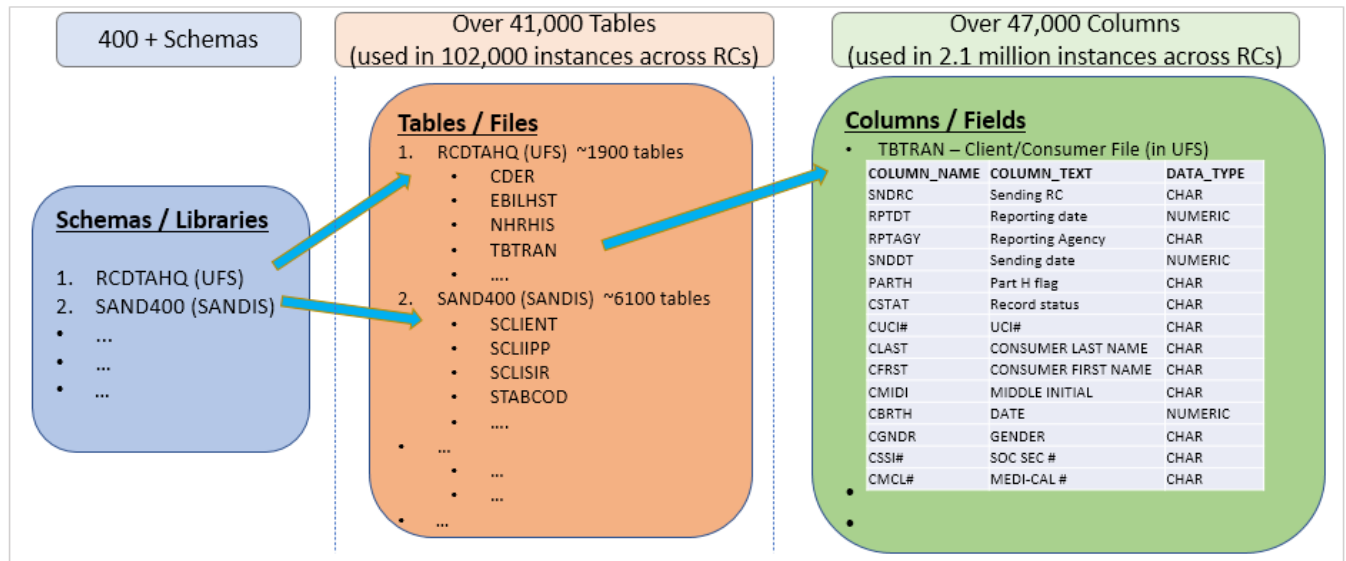
Attach relevant documentation to email submission (i.e., logical system environment diagrams, system interactions, business rules, application flows, stakeholder information, data flow charts). If these types of documents are not available, please indicate "Not Available," and explain the reason below:

Accompanying documents include the following:

- Section 2.03.2_ebillingDb
- Section 2.03.2_Solution Architecture Document – eBlling
- Section 2.03.2_Solution Architecture Document - UFS

Not available reason: Click or tap here to enter text.

3. **Data Management (Enter the information to indicate the data owner and custodian of the current system, if applicable.)**

SANDIS

Data Owner Name: Each Regional Center is the owner of their data. Specific owners to be determined through project Data Governance efforts.

Data Owner Title: Executive Director

Data Owner Business Program area: All

Data Custodian Name: Custodians vary by Regional Center as the Regional Centers own their systems and the data stored within; Seth Mader (General contact with SANDIS)

Data Custodian Title: San Diego Chief Information Officer

Data Custodian Technical area: Nancy Lorch, SANDIS technical support administrator

Security - Data Classification and Categorization Yes

Security - Privacy Threshold & Impact Assessment. Yes

UFS/eBilling

Data Owner Name: Brian Winfield

Data Owner Title: Chief Deputy over DDS Program Services

Data Owner Business Program area: Program Services

Data Custodian Name: Gloria Fong

Data Custodian Title: Chief of DDS Enterprise Application Services Branch

Data Custodian Technical area: Regional Center Application Support

Security - Data Classification and Categorization Yes

Security - Privacy Threshold & Impact Assessment. Yes

4. **Existing Data Governance and Data**

   a) Do you have existing data that must be migrated to your new solution?

   Answer (Unknown, Yes, No): Yes

   If data migration is required, please rate the quality of the data.

   Select data quality rating: Significant issues identified with the existing data.

   Currently, DDS has identified that some data fields are needed beyond our current data collection efforts. To add, we rely on the accuracy of data entry to ensure existing data is meaningful. Data fields are not always filled properly, and there is a lack of standards regarding the definition of the data fields. These issues impact the quality of data we collect.

   DDS is taking steps to improve data quality and collection efforts. DDS has onboarded Senior Data Analyst consultants to work on end-to-end data analysis, data profiling/cleansing and validation services, data migration/conversion planning and activities, and a data governance framework. In addition, DDS has asked for and received funding for the Regional Centers to assist in the data cleanup effort prior to the solution going live.

   b) Does the Agency/state entity have an established data governance body with well-defined roles and responsibilities to support data governance activities?

   Answer (Unknown, Yes, No): No

   If Yes, include the data governance organization chart as an attachment to your email submission.

   DDS has established an internal team of subject matter experts to review and provide recommendations on selected data quality issues; however, the development of our procedures and processes are currently in progress. DDS data governance has an added complexity due to the need for coordination and collaboration with multiple stakeholders to include the 21 community-based, non-profit regional centers and the

Association of Regional Center Agencies (ARCA) to formalize a comprehensive and full-bodied data governance organization.

DDS internal data governance includes a DDS Data Task Force which has membership from DDS program staff, Information Technology Division staff, and administrative staff; however, as stated above, a need for greater coordination and collaboration with our stakeholders has not been formalized; therefore, we are unable to include a data governance organization chart at this time.

DDS has onboarded Senior Data Analyst consultants for the project to work on establishing a formalized Data Governance body with a project Data Governance charter and framework in collaboration with stakeholders.

c) Does the Agency/state entity have data governance policies (data policies, data standards, etc.) formally defined, documented, and implemented?

Answer (Unknown, Yes, No): Yes

If Yes, include the data governance policies as an attachment to your email submission.

DDS has some data governance policies i.e., HIPAA, security, privacy, and data de-identification policies are in place. However, there is no governance charter or formal data quality management plan at this time. There are not yet consistent policies in all governance components (collection, storage, and use) and limited metadata. From a business use perspective, auditing and evaluation of data quality is in response to issues identified only.

DDS has onboarded Senior Data Analyst consultants for the project to establish Data Governance policies in collaboration with stakeholders.

Accompanying document includes the following:

- Section 2.03.4c_DDS_-_DDG_yts_rev._03.13.23

d) Does the Agency/state entity have data security policies, standards, controls, and procedures formally defined, documented, and implemented?

Answer (Unknown, Yes, No): Yes

If Yes, attach the existing documented security policies, standards, and controls used to your email submission.

Relevant documents include the following:

- SP 800-53 Rev. 5, Security and Privacy Controls for Info Systems and Organizations | CSRC (nist.gov)
- California Department of General Services POLICY - 4983.1
- FIPS 140-3 (https://csrc.nist.gov/publications/detail/fips/140/3/final).
- FIPS 200 (https://csrc.nist.gov/publications/detail/fips/200/final).

e) Does the Agency/state entity have user accessibility policies, standards, controls, and procedures formally defined, documented, and implemented?

Answer (Unknown, Yes, No): Yes

If Yes, attach the existing documented policies, accessibility governance plan, and standards used to the email submission.

Relevant documents include the following:

- [California Government Code Section 7405 – Electronic and Information Technology for Section 508 of the Federal Rehabilitation Act](#)
- [Web Content Accessibility Guidelines (WCAG 2.0)](#)
- [California Government Code Section 11135 - Discrimination](#)

5. **Security Categorization Impact Table**

   Consult the [SIMM 5305-A Information Security Program Management Standard - Security Categorization Impact Table](#).

   Attach a table (in PDF) that categorizes and classifies the agency/state entity's information assets related to this effort (e.g., paper and electronic records, automated files, databases requiring appropriate protection from unauthorized use, access, disclosure, modification, loss, or deletion). Each information asset for which the agency/state entity has ownership responsibility shall be inventoried and identified.

   Accompanying documents include the following:

   - Section 2.03.5_DDS S2AA Security Categorization Table - SANDIS
   - Section 2.03.5_DDS S2AA Security Categorization Table -UFS_eBilling

6. **Security Categorization Impact Table Summary**

   Consult the [SIMM 5305-A Information Security Program Management Standard - Security Categorization Impact Table](#) to provide potential impact levels of the following areas:

   Confidentiality: High

   Integrity: Medium

   Availability: Medium

   Accompanying document includes the following:

   - Section 2.03.6_SIMM_45_Appendix_A_2016_0506 CERMS_UFSM

7. **Technical Complexity Score:** The CERMS/UFSM Project has a complexity score of Zone II Medium and Zone III Medium. The Business Complexity Score is 2.4 and the Technical Complexity Score is 2.0.

   (Attach a [SIMM Section 45 Appendix C](#) with Business and Technical Complexity sections completed to the email submission.)

   Accompanying document includes the following:

2.4 Requirements and Outcomes

At this time in the project planning process, requirements and outcomes should be documented and indicative of how the Agency/State Entity envisions the final solution. This shall be accomplished either in the form of mid-level requirements (predictive methodology)/business capabilities or representative epics and user stories (adaptive methodology) that will become part of the product backlog. The requirements or representative epics and user stories must tie back to the Objectives detailed in the Stage 1 Business Analysis. Regardless of which tool/method is used, an understanding of the following, at a minimum, must be clearly articulated:

- Functional requirements
- Expected user experience(s)
- Expected system outcome
- Expected business operations (e.g., How do you envision operations in the future?)
- Alignment to the project's objectives identified in Stage 1
- Product ownership (e.g., Who owns these requirements?); and
- Verification of need(s) fulfillment (e.g., How will success be measured?)

Attach Requirements and/or Outcomes narratives, mid-level requirements, and/or epics/user stories to submission email.

Accompanying document includes the following:

- Section 2.04_B_3_Stage_2_Midlevel_Solution_Requirements_CERMS_UFSM

2.5 Assumptions and Constraints

Relevant assumptions and constraints help define boundaries and opportunities to shape the scope and complexity of the project.

Assumption: Funding is available to continue planning and implementation.

Description/Potential Impact: DDS secures funding to complete PAL Stage 3 and Stage 4 and for project implementation.
DDS secures funding for Regional Center support for planning, project implementation, and M&O.

Assumption: DDS develops and supports a DDS and Regional Center project team that represents their respective organizations, as well as consumer case management and financial management as a whole.

Description/Potential Impact: DDS supports and maintains agreed upon staffing levels for the project planning and implementation. Regional Centers identify the appropriate staff from Regional Centers/ARCA to support the CERMS/UFSM project planning and implementation.

Assumption: DDS IT fills key project team roles and provides subject matter expertise as needed.

> **Description/Potential Impact**: DDS IT identifies and provides staff with the required experience for a COTS SaaS or MOTS SaaS implementation. DDS IT provides required skill sets as needed during the project, for example, support for security and testing.

Assumption: Regional Center IT / Business fills key project team roles and provides subject matter expertise as needed.

> **Description/Potential Impact**: Regional Centers identify and provide staff with the required experience for a COTS SaaS or MOTS SaaS implementation. Regional Center IT provides required skill sets as needed during the project, for example, support for security and testing.

Assumption: DDS will be able to update policies that must be in place for the new system and To-Be processes.

> **Description/Potential Impact**: Policies are reviewed, updated, approved, communicated, and understood prior to implementation for required policy changes.

Assumption: The CERMS/UFSM system adoption will be required by all 21 regional centers

> **Description/Potential Impact**: Current contract language requires data submission to DDS via SANDIS as defined in DDS/Regional Center contracts. Similar language and expectations will be set forth the CERMS system and incorporated into amended DDS/Regional Center contracts. DDS requires data submission to DDS via UFS. Similar language and expectations will be set forth for the UFSM system.

Assumption: DDS and Regional Centers complete all data preparation activities before the CERMS/UFSM vendor requires data for migration.

> **Description/Potential Impact**: DDS works with the Regional Centers and DDS Data Management Team to assess current case and financial data, develop strategies to cleanse data, and be prepared to support the vendor migrating data into the CERMS/UFSM solution.

Assumption: CERMS/UFSM testing is sufficient to ensure the CERMS/UFSM meets all functional and non-functional requirements within the project scope and meets DDS and Regional Center expectations.

> **Description/Potential Impact**: The CERMS/UFSM project team and vendor define and execute a testing plan that confirms all functional and non-functional requirements within the project scope are fully tested. The testing plan and activities include sufficient DDS and Regional Center resources to conduct an effective User Acceptance Testing (UAT). Consider identifying DDS and Regional Center stakeholders to be involved in UAT, TTT and EUT to gain experience and exposure as the 'go to' business contact for the solution.

Assumption: CERMS/UFSM training is sufficient to ensure DDS and IT staff are adequately trained to support the CERMS/UFSM solution.

> **Description/Potential Impact**: Vendor develops a CERMS/UFSM training plan and materials and conducts TTT sessions and knowledge transfer activities to ensure IT staff are adequately trained to maintain the CERMS/UFSM solution.

Constraint: DDS IT has limited resources available to support integrating COTS SaaS or MOTS SaaS solution with DDS cloud and network standards.

> **Description/Potential Impact**: DDS IT staff with the required SaaS implementation experience must be made available to support the project or additional resources must be added to the project.

Constraint: DDS business has limited project experience implementing a COTS / MOTS SaaS solution.

> **Description/Potential Impact**: DDS will need to train existing staff, hire new staff or procure vendors with the required knowledge and experience. DDS will need to define COTS/SaaS or MOTS SaaS to align to both IT and regulatory standards specific to the DDS environment.

2.6 Dependencies

Dependencies are elements or relationships in a project reliant on something else occurring before the function, service, interface, task, or action can begin or continue.

Dependency Element: DDS has the ability to provide integration API/Services with existing systems.

> **Dependency Description**: DDS must be able to support integration between a COTS SaaS or MOTS SaaS solution and existing systems, some that are built on aging or no longer supported technologies.

Dependency Element: All DDS and Regional Centers complete data preparation activities before the CERMS/UFSM vendor requires data for migration.

> **Dependency Description**: DDS and Regional Centers work with the DDS Data Governance Group to assess current case management data, develop strategies to cleanse data, develop a common Case Management and Financial Management Data Dictionary, and be prepared to support the CERMS/UFSM vendor migrating data into the CERMS/UFSM solution.

2.7 Market Research

Market Research (CDT Market Research Guidelines) determines whether products or services available in the marketplace can meet the business needs identified in this proposal. Market Research can also determine whether commercial practices regarding customizing/modifying products or tailoring services are available, or even necessary, to meet the business needs and objectives of the business.

Before undertaking a Market Research approach. Contact your PAO Manager to schedule a collaborative review to review planning to date and discuss the procurement approach.

1. **Project Management Methodology:** Hybrid

2. **Procurement approach recommended:** Standard Procurement

3. **Market Research Approach**

   Provide a concise narrative description of the approach used to perform market research.

   DDS documented as-is process workflows, to-be process workflows, and mid-level requirements which served as input into the development of an RFI. The RFI sought to solicit information and best practices from the vendor community to assist DDS in determining what is currently available in the marketplace and inform procurement planning based on the objectives and requirements of the CERMS and UFSM projects.

   The CERMS and UFSM project teams determined the scope of the RFI, developed questions and data collection methods, and coordinated development and release with the DDS IT Acquisitions. The RFI provided vendors with significant contextual information about the current and future case and financial management business processes and a technical vision for the solution.

   The RFI was released on May 10, 2023, via Cal eProcure (DDS Request for Information T6655 - CERMS AND UFSM) and to select vendors via email. The project team conducted a Market Research Conference on May 18, 2023, to share project background and provide informal responses to vendor questions. Vendors provided questions on May 23, 2023, and the project team developed responses and provided them to vendors via Cal eProcure on May 31, 2023. Eighteen (18) vendors provided responses on June 6, 2023, with four (4) vendors not providing complete responses. The project team invited the fourteen (14) vendors that provided complete responses to vendor demonstrations conducted between June 21, 2023, and June 30, 2023. The project team analyzed the vendor RFI responses and vendor demonstrations. The project team also analyzed survey responses from DDS, Regional Center, Association of Regional Center Agencies (ARCA), service provider, and consumer representatives that attended the vendor demonstrations.

4. **Market Research Artifacts**

   Market Research Artifacts can include internet research, collaboration with other governmental entities, or other documentation.

   Attach Market Research artifacts to the email submission.

   Accompanying document includes the following:

   - Section 2.07_2.08_2.09_Alternatives Analysis and Market Research Report_CERMS_UFSM_1.0

2.8 Viable Alternative Solutions

The CDT expects Agencies/state entities to conduct a thorough analysis of all feasible alternatives that will meet the proposal's objectives and requirements. Agencies/state entities should provide at minimum the three (3) most viable solutions, one (1) of which could be leveraging and/or enhancing the existing solution (if applicable).

1. **Viable Alternative Solution #1**

   Name: CERMS+UFSM, COTS/MOTS SaaS

   Description: DDS engages a System Integrator (SI) to implement a case management COTS/MOTS SaaS solution and a financial management COTS/MOTS SaaS solution under a single contract. The CERMS and UFSM solutions are operated and maintained through subscriptions to the COTS/MOTS SaaS solution vendors.

   Why is this a viable solution? Please explain:

   The Viable Alternative Solution #1: CERMS+UFSM, COTS/MOTS SaaS demonstrates a strong alignment with the project objectives and is based on DDS acquiring market-leading case management and financial management solutions that incorporate the latest technologies and are supported by a mature and widely used platform with a large user base.

   DDS will develop an RFP that procures a single SI vendor that has experience in both case management and financial management solutions. The SI will be responsible for selecting a product or products that meet the functional and non-functional requirements of both CERMS and UFSM.

   This project spans approximately 8 years, with 4 years for planning and procurement, 3 years for project implementation, and 1 year for maintenance and operations (M&O). Total Viable Alternative #1 Solution Cost are listed at the end of this section. The planning costs include provisions for DDS Program and IT, Regional Centers, CDT, PAL PM, OCM, and Data Management vendors. The project implementation costs encompass expenses related to DDS Program and IT, Regional Centers, CDT, PAL PM, OCM, Data Management vendors, and the Software Development Vendor. Additionally, the M&O costs account for annual subscription, hosting, maintenance, and operations.

   In terms of risk, the alternative offers the advantage of minimizing implementation delays and integration challenges. As a single SI manages both solution implementations, it ensures smoother integration and timely delivery. It also mitigates vendor dependency risks by overseeing implementations of both CERMS and UFSM, although considerations for future M&O contracts may need to be addressed. The solution caters to scalability and limited customization needs, supports user adoption and training through a single point of contact, and ensures data security by adhering to consistent requirements implemented across both solutions by a single SI. This alternative aligns with project objectives, meets requirements, adheres to a reasonable timeline, and presents manageable costs. Its capabilities in addressing risks and providing comprehensive functionality position it as the Viable Alternative Solution #1 to meet DDS and Regional Center needs.

   Approach

   Increase staff – new or existing capabilities: Yes

   Modify the existing business process or create a new business process: Yes

   Reduce the services or level of services provided: No

   Utilize new or increased contracted services: Yes

Enhance the existing IT system: No

Modify Statute/Policy/Regulations: Yes

Please Specify: The Lanterman Act, Section 4631 recognizes the requirement for the uniform accounting, budgeting, encumbrance and reporting system and a systematic approach to administrative practices and procedures. DDS will identify any statutory, regulatory, or policy changes to support the project as needed.

Create a new IT system: Yes

Other: No Specify: Click or tap here to enter text.

Architecture Information

Business Function(s)/Process(es):

CERMS business functions

- Consumer Management
- Service Provider Management
- Services Management
- Reporting

Business Function(s)/Process(es):

UFSM business functions

- General Ledger (GL)
- Purchase to Payment – Operations
- Purchase to Payment – Purchase of Services (POS)
- Consumer Trust
- Accounts Receivable (AR)
- Fixed Assets
- Budget Management
- Audits
- Reporting

Conceptual Architecture

Attach a copy of the conceptual architecture to your email submission.

Accompanying document includes the following:

- Section 2.07_2.08_2.09_Alternatives Analysis and Market Research Report_CERMS_UFSM_1.0, **see Appendix 8-6 CERMS and UFSM Conceptual Architecture**

COTS/SaaS/Cloud Technology or Custom: COTS/SaaS/Cloud Technology

Name/Primary Technology: Primary technology to be determined by SI and in accordance with CERMS/UFSM RFP and non-functional requirements

Explain Existing System Interfaces:

SANDIS Case Management existing system data exchanges/interfaces:

The following existing data exchanges/interfaces are **within scope** of the proposed project:

- Case management data extracted and loaded into the DDS Data Warehouse (AWS/Snowflake) for reporting.
- Regional Center, Consumer, and Service Provider emergency contact information extracted from SANDIS (source) and uploaded to the State Everbridge system for local emergency notifications.

- Data exchange and interface between SANDIS and UFS. SANDIS currently looks up screens/menus from UFS and sends Consumer and Vendor data files to UFS nightly or via on demand process.

The following existing data exchanges/interfaces are **not within scope** of the proposed project for future data integrations:

- San Diego Regional Center SANDIS support staff have a SANDIS test system and push data updates/code changes via jobs to all 21 Regional Center SANDIS instances/data tables.

- Special Incident Reports (SIRS) data extracted from SANDIS (source) and sent to DDS SIRS AWS Application system, DDS Data Warehouse, and DDS Program Office of Community Services (PowerBI report).

- SANDIS Vendor Portal for Service Provider case management functionality (extracts and sends required data to/from SANDIS). Not used by all Service Providers.
- Regional Center third party Case Management applications (extracts and sends required data to/from SANDIS). Not used by all Regional Centers.

  - Virtual Chart – Appian Product
  - SmartChart
  - KEA Live
  - Regional Center Connect – Atticus Product
  - Atlas - IBM, Neudesic Product – built for Inland Regional Center

- Regional Center third party document management systems (embedded link in SANDIS to connect to their external document management system). Not used by all Regional Centers.
  - Therefore
  - OnBase
  - Upland FileBound
  - DocuShare
  - TheGetDoc
  - Laserfische
  - Seamless Docs
  - DocuNet
  - Xerox
  - Application Extender
  - OpenText with App Extender

- Spool Flex – Utility Program used by Regional Centers to print documents from SANDIS.

- Statewide Search Application - DDS app used by Regional Centers to search for Consumers across RC systems via link in SANDIS and pulled from all SANDIS instances. Power BI report.

- Early Start Report - DDS app used for Federal reporting requirements. Uses Early Start data from SANDIS.

- Robotic Process Automation – IBM, Neudesic product for Inland Regional Center and Blue Prism product for Alta Regional Center. Pulls Consumer UCI information from SANDIS database and provides Consumer with status via Service bots.

UFS/eBilling existing system data exchanges/interfaces:

The Uniform Fiscal System (UFS) plays a central role in the DDS service delivery. The UFS interfaces with SANDIS and eBilling systems, updating data either nightly or on-demand. DDS maintains separate UFS instances for production, development, and testing in the IBM I cloud and pushes updates and client master file error records to all 21 Regional Center databases.

The following existing data exchanges/interfaces are **within scope** of the proposed project:

- Data from SANDIS and eBilling systems sent to UFS nightly or via on demand by the Regional Centers.

- DDS Federal Program and Information Billing System (FPIBS) (Mainframe hosted at California Department of Technology) receives waiver data from UFS for Federal Reimbursements (approximately 16 files from each Regional Center) transmitted monthly to DDS FPIBS.
- UFS Financial and eBilling invoice/attendance data extracted and loaded into the DDS Data Warehouse (AWS/Snowflake) for financial reporting.

The following existing data exchanges/interfaces are **not within scope** of the proposed project for future data integrations:

- DDS has a UFS system for development and testing in the IBM I cloud, and they push updates/codes and client master file error records to all Regional Center UFS/eBilling backend 21 databases.

- DDS State Claim Reporting web-based application tool – allows DDS Office of Community Development staff to search and export data from UFS into PDF or Excel reports to monitor and validate claims for personnel funding and Consumer purchase of services.

- Nedasoft company – extracts data from UFS (including some SANDIS data) and manages the following programs and applications for Regional Centers.
  - State Claim Reconciliation processing - Used to assist regional centers in identifying discrepancies that may occur during the processing of invoices; creation, update, edit and posting of journal entries; and the generation of the

State Claim files and documents. This program downloads claim data, journal entries, and general ledger information; exports the data to a spreadsheet and prints the claim. The last step is to ensure the net assets are zero (claim in balance). Extracts data from UFS/does not write back to UFS.

- o Laser Forms processing - This program is used to generate paper Turn Around Invoices (only for vendors exempt from eBilling) and paper Authorizations; to email electronic Authorizations; and to convert Authorizations to .pdf for uploading into DocuShare (online document management system). Extracts data from UFS/does not write back to UFS.

- o Bank Reconciliation/Outstanding Checks processing - This program automates the check reconciliation/outstanding check process. It downloads checks from the UFS database, downloads information from the bank, pushes out exceptions, and the checks are purged. It then prints a report of outstanding checks. Extracts data from UFS/does not write back to UFS.

- o Positive Pay Program - This program downloads check files via batch and standardizes positive pay file according to banking formats, including U.S. Bank, Manufacturer's, Union Bank, and City National.

- o Direct Deposit ACH – This program downloads and standardizes client information from Social Security.

- o POS ACH – This program provides two sets of routing and account numbers; same NACHA files that UFS creates. Extracts data from UFS/does not write back to UFS.

- o Printing of Purchase Orders – This is used to create PDFs of purchase orders (Authorizations). The PDFs are made available via a portal that can be searched and PDFs printed. Extracts data from UFS/does not write back to UFS.

- o Electronic Funds Transfer (EFT) - This program is used to generate EFT payments and send files to bank. It downloads the NACHA file, reads it, reformats and regenerates it, and sends it to bank via SFTP. Extracts data from UFS/does not write back to UFS.

- o Fixed Assets/Inventory Control - This program keeps track of item cost, reports it to DGS, and obtains the permission necessary to dispose of items (required forms for reporting and disposal). Items include those valued at over $5K and those possibly containing sensitive information. Items are tracked by location and/or employee; each has either a DGS or RC barcode. Extracts data from UFS/does not write back to UFS.

- o Vendor Status Notification (VSN) Tracker - This program has two primary functions: one for vendorization staff to keep track of vendor data; and one for case managers to ID proper service codes. This program automated all relevant UFS and SANDIS forms and downloads the relevant data from SANDIS and UFS to populate the forms. Extracts data from UFS/does not write back to UFS.

- o Annual Family Cost Statements - This program supports the printing and mailing of Family Cost Statements. The relevant data is downloaded from UFS, is

populated into a spreadsheet, sorted and barcoded for mailing. The forms and envelopes are printed, the envelopes stamped and stuffed, and the statements mailed. Extracts data from UFS/does not write back to UFS.

- New Generation Software, Inc. (NGS) - extracts data from backend IBM iSeries for Regional Centers to query and report on. Used by most of the Regional Centers.

- FormSprint – app which integrates with UFS and allows Regional Centers to print authorizations, checks, invoices, and 1099 forms.

- Account Ability – app which integrates with UFS and allows Regional Centers to manage 1099 forms.

- Spool Flex – Utility Program used by Regional Centers to print documents from UFS.

- Regional Center third party fiscal/accounting/asset management applications – TBD if direct interface or data manually entered from applications into UFS per Regional Center. Not used by all Regional Centers.

  - Concur – app for employee travel and reimbursements.

  - ADP Payroll – app for payroll/HR

  - Paylocity – app for payroll/HR

  - UKG Pro – app for payroll/HR

  - Sage HRMS – app for payroll/HR

  - WASP – app for Asset Management

  - AssetPanda – app for Asset Management

  - Sage Fixed Assets – app for Asset Management

Explain New System Interfaces:

CERMS new system interfaces (other potential interfaces may be determined as part of detailed requirements efforts or future project implementations by DDS)

- Data exchange/interface with UFSM

- Data exchange from CERMS to DDS Data Warehouse (AWS/Snowflake) for reporting and Data Warehouse downstream systems including California Health and Human Services Data Exchange Framework solution (potential data feed to a Qualified Health Information Organization), DDS Service Provider Directory system (ServiceNow), and DDS electronic Health Records system.

- Data exchange/interface with the DDS FedMatch system for waiver eligibility information for federal reimbursements.

- Data exchange/interface with DDS Service Provider Directory system (ServiceNow) for Service Provider information.

- Desirable interfaces with Regional Center third party signature applications for legally required case management documents. Not used by all Regional Centers.

- Adobe Sign
- DocuSign
- SignNow
- Seamless Docs

UFSM new system interfaces (other potential interfaces may be determined as part of detailed requirements efforts or future project implementations by DDS.)

- Data exchange/interface with CERMS

- Data exchange from UFSM to DDS Data Warehouse (AWS/Snowflake) for reporting and other Data Warehouse downstream systems including and not limited to the Service Provider Directory system (ServiceNow) and CA Department of Education.

- Data exchange/interface with the DDS FedMatch system for waiver billing and invoicing information for federal reimbursements.

- Automated Clearing House and other external Banking institutions for EFT and check payment files and transactions.

- State Controllers' Office for warrant payments as part of DDS Accounting for ICF-SPA billing.

- Social Security Administration for SSA benefit forms.

- CA Department of General Services for State asset reporting.

- CA Franchise Tax Board for 1099 verification.

- Desirable interfaces with Regional Center third party fiscal/accounting/asset management applications (TBD for a one-time data extract or if it will be a persistent direct interface). Not used by all Regional Centers.
    - Concur – app for employee travel and reimbursements.
    - ADP Payroll – app for payroll/HR
    - Paylocity – app for payroll/HR
    - UKG Pro – app for payroll/HR
    - Sage HRMS – app for payroll/HR
    - WASP – app for Asset Management
    - AssetPanda – app for Asset Management
    - Sage Fixed Assets – app for Asset Management
    - Operational Vendor system integrations for purchase order item catalog updates.

Data Center Location of the To-be Solution: Commercial data center

If Other, specify: Click or tap here to enter text.

Security

Access

> Public: Yes

> Internal State Staff: Yes

> External State Staff: No

> Other: Yes Specify: Regional Center staff, Consumers, Service Providers, Operational Vendors

Type of Information (Select Yes or No for each to identify the type of information that requires protection. See the SAM Section 5305.5 for more information.)

> Personal: Yes

> Health: Yes

> Tax: Yes

> Financial: Yes

> Legal: Yes

> Confidential: Yes

> Other: No Specify: Click or tap here to enter text.

Protective Measures (Select Yes or No to identify the protective measures used to protect information.)

> Technical Security: Yes

> Physical Security: Yes

> Backup and Recovery: Yes

> Identity Authorization and Authentication: Yes

> Other, specify: Click or tap here to enter text.

Total Viable Alternative #1 Solution Cost (copy from FAW – Executive Cost Summary tab, cells E7 through E11):

Planning Costs: $34,654,384

One-Time (Project) Costs: $81,133,814

Total Future Ops. IT Staff OE&E Costs: $20,107,982

Total Proposed Cost: $135,896,180

Annual Future Ops. Costs (M&O): $13,405,321

2. **Viable Alternative Solution #2**

   Name: CERMS+UFSM, Custom Cloud

   Description: DDS engages a Software Development Vendor to custom develop and implement an integrated case management and financial management cloud solution under a single contract.

   Why is this a viable solution? Please explain:

   The Viable Alternative Solution #2: CERMS and UFSM, Custom Cloud is a custom-developed solution that addresses several essential criteria, including meeting project objectives through a custom solution that integrates functional and non-functional requirements for the case management and financial management solutions. For this alternative to succeed, DDS would need to engage a software development vendor capable of developing and maintaining a solution that includes the latest technologies such as are seen in some COTS/MOTS SaaS solutions.

   This project spans approximately 10 years, with 4 years for planning and procurement, 5 years for project implementation, and 1 year for maintenance and operations (M&O). Total Viable Alternative #2 Solution Cost are listed at the end of this section. The planning costs include provisions for DDS Program and IT, Regional Centers, CDT, PAL PM, OCM, and Data Management vendors. The project implementation costs encompass expenses related to DDS Program and IT, Regional Centers, CDT, PAL PM, OCM, Data Management vendors, and the Software Development Vendor. Additionally, the M&O costs account for annual subscription, hosting, maintenance, and operations.

   Assessing risk factors, a custom-developed solution inherently presents more risks, particularly in the development, deployment, and implementation stages. However, these risks are mitigated through the contractual obligations of the vendor to successfully develop, manage, implement, and provide a year of M&O. User adoption and training are significant areas of focus in this project. The software development vendor would be responsible for ensuring consistency in communication, change activities, and training. While the vendor might not have extensive experience in these areas, they will be the single point of contact and be supported by DDS and the OCM Vendor.

   In essence, this custom solution aligns with the project objectives and satisfies functional requirements, although it may introduce increased risks and costs. The oversight of a single vendor in development and implementation will minimize integration challenges and ensure a more seamless transition for users. However, potential limitations and increased costs may arise in customization and scalability, and the security measures might not be as robust as COTS/MOTS SaaS solutions.

   Approach

   Increase staff – new or existing capabilities: Yes

   Modify the existing business process or create a new business process: Yes

   Reduce the services or level of services provided: No

   Utilize new or increased contracted services: Yes

   Enhance the existing IT system: No

Modify Statute/Policy/Regulations: Yes

Please Specify: The Lanterman Act, Section 4631 recognizes the requirement for the uniform accounting, budgeting, encumbrance and reporting system and a systematic approach to administrative practices and procedures. DDS will identify any statutory, regulatory, or policy changes to support the project as needed.

Create a new IT system: Yes

Other: No Specify: Click or tap here to enter text.

Architecture Information

Business Function(s)/Process(es):

CERMS business functions

- Consumer Management
- Service Provider Management
- Services Management
- Reporting

Business Function(s)/Process(es):

UFSM business functions

- General Ledger (GL)
- Purchase to Payment – Operations
- Purchase to Payment – Purchase of Services (POS)
- Consumer Trust
- Accounts Receivable (AR)
- Fixed Assets
- Budget Management
- Audits
- Reporting

Conceptual Architecture

Attach a copy of the conceptual architecture to your email submission.

Accompanying document includes the following:

- Section 2.07_2.08_2.09_Alternatives Analysis and Market Research Report_CERMS_UFSM_1.0, **see Appendix 8-6 CERMS and UFSM Conceptual Architecture**

COTS/SaaS/Cloud Technology or Custom: COTS/SaaS/Cloud Technology

Name/Primary Technology: Primary technology to be determined by SI and in accordance with CERMS/UFSM RFP and non-functional requirements

Explain Existing System Interfaces:

SANDIS Case Management existing system data exchanges/interfaces:

The following existing data exchanges/interfaces are **within scope** of the proposed project:

- Case management data extracted and loaded into the DDS Data Warehouse (AWS/Snowflake) for reporting.
- Regional Center, Consumer, and Service Provider emergency contact information extracted from SANDIS (source) and uploaded to the State Everbridge system for local emergency notifications.
- Data exchange and interface between SANDIS and UFS. SANDIS currently looks up screens/menus from UFS and sends Consumer and Vendor data files to UFS nightly or via on demand process.

The following existing data exchanges/interfaces are **not within scope** of the proposed project for future data integrations:

- San Diego Regional Center SANDIS support staff have a SANDIS test system and push data updates/code changes via jobs to all 21 Regional Center SANDIS instances/data tables.

- Special Incident Reports (SIRS) data extracted from SANDIS (source) and sent to DDS SIRS AWS Application system, DDS Data Warehouse, and DDS Program Office of Community Services (PowerBI report).

- SANDIS Vendor Portal for Service Provider case management functionality (extracts and sends required data to/from SANDIS). Not used by all Service Providers.
- Regional Center third party Case Management applications (extracts and sends required data to/from SANDIS). Not used by all Regional Centers.

  - Virtual Chart – Appian Product
  - SmartChart
  - KEA Live
  - Regional Center Connect – Atticus Product
  - Atlas - IBM, Neudesic Product – built for Inland Regional Center

- Regional Center third party document management systems (embedded link in SANDIS to connect to their external document management system). Not used by all Regional Centers.
  - Therefore
  - OnBase
  - Upland FileBound
  - DocuShare
  - TheGetDoc
  - Laserfische
  - Seamless Docs
  - DocuNet
  - Xerox
  - Application Extender
  - OpenText with App Extender

- Spool Flex – Utility Program used by Regional Centers to print documents from SANDIS.

- Statewide Search Application - DDS app used by Regional Centers to search for Consumers across RC systems via link in SANDIS and pulled from all SANDIS instances. Power BI report.

- Early Start Report - DDS app used for Federal reporting requirements. Uses Early Start data from SANDIS.

- Robotic Process Automation – IBM, Neudesic product for Inland Regional Center and Blue Prism product for Alta Regional Center. Pulls Consumer UCI information from SANDIS database and provides Consumer with status via Service bots.

UFS/eBilling existing system data exchanges/interfaces:

The Uniform Fiscal System (UFS) plays a central role in the DDS service delivery. The UFS interfaces with SANDIS and eBilling systems, updating data either nightly or on-demand. DDS maintains separate UFS instances for production, development, and testing in the IBM I cloud and pushes updates and client master file error records to all 21 Regional Center databases.

The following existing data exchanges/interfaces are **within scope** of the proposed project:

- Data from SANDIS and eBilling systems sent to UFS nightly or via on demand by the Regional Centers.

- DDS Federal Program and Information Billing System (FPIBS) (Mainframe hosted at California Department of Technology) receives waiver data from UFS for Federal Reimbursements (approximately 16 files from each Regional Center) transmitted monthly to DDS FPIBS.
- UFS Financial and eBilling invoice/attendance data extracted and loaded into the DDS Data Warehouse (AWS/Snowflake) for financial reporting.

The following existing data exchanges/interfaces are **not within scope** of the proposed project for future data integrations:

- DDS has a UFS system for development and testing in the IBM I cloud, and they push updates/codes and client master file error records to all Regional Center UFS/eBilling backend 21 databases.

- DDS State Claim Reporting web-based application tool – allows DDS Office of Community Development staff to search and export data from UFS into PDF or Excel reports to monitor and validate claims for personnel funding and Consumer purchase of services.

- Nedasoft company – extracts data from UFS (including some SANDIS data) and manages the following programs and applications for Regional Centers.

  - State Claim Reconciliation processing - Used to assist regional centers in identifying discrepancies that may occur during the processing of invoices; creation, update, edit and posting of journal entries; and the generation of the State Claim files and documents. This program downloads claim data, journal entries, and general ledger information; exports the data to a spreadsheet and

prints the claim. The last step is to ensure the net assets are zero (claim in balance). Extracts data from UFS/does not write back to UFS.

- Laser Forms processing - This program is used to generate paper Turn Around Invoices (only for vendors exempt from eBilling) and paper Authorizations; to email electronic Authorizations; and to convert Authorizations to .pdf for uploading into DocuShare (online document management system). Extracts data from UFS/does not write back to UFS.

- Bank Reconciliation/Outstanding Checks processing - This program automates the check reconciliation/outstanding check process. It downloads checks from the UFS database, downloads information from the bank, pushes out exceptions, and the checks are purged. It then prints a report of outstanding checks. Extracts data from UFS/does not write back to UFS.

- Positive Pay Program - This program downloads check files via batch and standardizes positive pay file according to banking formats, including U.S. Bank, Manufacturer's, Union Bank, and City National.

- Direct Deposit ACH – This program downloads and standardizes client information from Social Security.

- POS ACH – This program provides two sets of routing and account numbers; same NACHA files that UFS creates. Extracts data from UFS/does not write back to UFS.

- Printing of Purchase Orders – This is used to create PDFs of purchase orders (Authorizations). The PDFs are made available via a portal that can be searched and PDFs printed. Extracts data from UFS/does not write back to UFS.

- Electronic Funds Transfer (EFT) - This program is used to generate EFT payments and send files to bank. It downloads the NACHA file, reads it, reformats and regenerates it, and sends it to bank via SFTP. Extracts data from UFS/does not write back to UFS.

- Fixed Assets/Inventory Control - This program keeps track of item cost, reports it to DGS, and obtains the permission necessary to dispose of items (required forms for reporting and disposal). Items include those valued at over $5K and those possibly containing sensitive information. Items are tracked by location and/or employee; each has either a DGS or RC barcode. Extracts data from UFS/does not write back to UFS.

- Vendor Status Notification (VSN) Tracker - This program has two primary functions: one for vendorization staff to keep track of vendor data; and one for case managers to ID proper service codes. This program automated all relevant UFS and SANDIS forms and downloads the relevant data from SANDIS and UFS to populate the forms. Extracts data from UFS/does not write back to UFS.

- Annual Family Cost Statements - This program supports the printing and mailing of Family Cost Statements. The relevant data is downloaded from UFS, is populated into a spreadsheet, sorted and barcoded for mailing. The forms and

envelopes are printed, the envelopes stamped and stuffed, and the statements mailed. Extracts data from UFS/does not write back to UFS.

- New Generation Software, Inc. (NGS) - extracts data from backend IBM iSeries for Regional Centers to query and report on. Used by most of the Regional Centers.

- FormSprint – app which integrates with UFS and allows Regional Centers to print authorizations, checks, invoices, and 1099 forms.

- Account Ability – app which integrates with UFS and allows Regional Centers to manage 1099 forms.

- Spool Flex – Utility Program used by Regional Centers to print documents from UFS.

- Regional Center third party fiscal/accounting/asset management applications – TBD if direct interface or data manually entered from applications into UFS per Regional Center. Not used by all Regional Centers.
    - Concur – app for employee travel and reimbursements.
    - ADP Payroll – app for payroll/HR
    - Paylocity – app for payroll/HR
    - UKG Pro – app for payroll/HR
    - Sage HRMS – app for payroll/HR
    - WASP – app for Asset Management
    - AssetPanda – app for Asset Management
    - Sage Fixed Assets – app for Asset Management

Explain New System Interfaces:

CERMS new system interfaces (other potential interfaces may be determined as part of detailed requirements efforts or future project implementations by DDS)

- Data exchange/interface with UFSM

- Data exchange from CERMS to DDS Data Warehouse (AWS/Snowflake) for reporting and Data Warehouse downstream systems including California Health and Human Services Data Exchange Framework solution (potential data feed to a Qualified Health Information Organization), DDS Service Provider Directory system (ServiceNow), and DDS electronic Health Records system.

- Data exchange/interface with the DDS FedMatch system for waiver eligibility information for federal reimbursements.

- Data exchange/interface with DDS Service Provider Directory system (ServiceNow) for Service Provider information.

- Desirable interfaces with Regional Center third party signature applications for legally required case management documents. Not used by all Regional Centers.
    - Adobe Sign

- o DocuSign
- o SignNow
- o Seamless Docs

UFSM new system interfaces (other potential interfaces may be determined as part of detailed requirements efforts or future project implementations by DDS.)

- Data exchange/interface with CERMS

- Data exchange from UFSM to DDS Data Warehouse (AWS/Snowflake) for reporting and other Data Warehouse downstream systems including and not limited to the Service Provider Directory system (ServiceNow) and CA Department of Education.

- Data exchange/interface with the DDS FedMatch system for waiver billing and invoicing information for federal reimbursements.

- Automated Clearing House and other external Banking institutions for EFT and check payment files and transactions.

- State Controllers' Office for warrant payments as part of DDS Accounting for ICF-SPA billing.

- Social Security Administration for SSA benefit forms.

- CA Department of General Services for State asset reporting.

- CA Franchise Tax Board for 1099 verification.

- Desirable interfaces with Regional Center third party fiscal/accounting/asset management applications (TBD for a one-time data extract or if it will be a persistent direct interface). Not used by all Regional Centers.
  - o Concur – app for employee travel and reimbursements.
  - o ADP Payroll – app for payroll/HR
  - o Paylocity – app for payroll/HR
  - o UKG Pro – app for payroll/HR
  - o Sage HRMS – app for payroll/HR
  - o WASP – app for Asset Management
  - o AssetPanda – app for Asset Management
  - o Sage Fixed Assets – app for Asset Management
  - o Operational Vendor system integrations for purchase order item catalog updates.

Data Center Location of the To-be Solution: Commercial data center

If Other, specify: Click or tap here to enter text.

Security

Access:

Public: Yes

Internal State Staff: Yes

External State Staff: No

Other: Yes Specify: Regional Center staff, Consumers, Service Providers, Operational Vendors

Type of Information (Select Yes or No for each to identify the type of information that requires protection. See the SAM Section 5305.5 for more information.)

Personal: Yes

Health: Yes

Tax: Yes

Financial: Yes

Legal: Yes

Confidential: Yes

Other: No Specify: Click or tap here to enter text.

Protective Measures (Select Yes or No to identify the protective measures used to protect information.)

Technical Security: Yes

Physical Security: Yes

Backup and Recovery: Yes

Identity Authorization and Authentication: Yes

Other, specify: Click or tap here to enter text.

Total Viable Alternative #2 Solution Cost (copy from FAW – Summary tab, cell AL33):

Total Proposed Cost: $180,084,216

3. **Viable Alternative Solution #3**

Name: SANDIS Upgrade, UFSM COTS/MOTS SaaS

Description: DDS engages a Software Development Vendor to upgrade SANDIS to meet CERMS requirements. DDS engages a System Integrator (SI) to implement a UFSM COTS/MOTS SaaS solution and integrate the CERMS and UFSM solutions.

Why is this a viable solution? Please explain:

The Viable Alternative Solution #3: SANDIS Upgrade, UFSM COTS/MOTS SaaS includes upgrading the SANDIS system and implementing a UFSM Commercial Off-The-Shelf (COTS)/Modified Off-The-Shelf (MOTS) Software as a Service (SaaS) solution. This method involves two distinct contracts and projects. The first contract involves DDS collaborating with a Software Development Vendor to upgrade SANDIS to meet the requirements of CERMS. The second contract is with a System Integrator (SI) to execute a UFSM COTS/MOTS SaaS solution and integrate the CERMS and UFSM solutions.

This project spans approximately 9 years, with 4 years for planning and procurement, 4 years for project implementation, and 1 year for maintenance and operations (M&O). Total Viable Alternative #3 Solution Cost are listed at the end of this section. The planning costs include provisions for DDS Program and IT, Regional Centers, CDT, PAL PM, OCM, and Data Management vendors. The project implementation costs encompass expenses related to DDS Program and IT, Regional Centers, CDT, PAL PM, OCM, Data Management vendors, and the Software Development Vendor. Additionally, the M&O costs account for annual subscription, hosting, maintenance, and operations.

This alternative fulfills the project's objectives and meets the CERMS functional and non-functional requirements by upgrading the existing SANDIS case management solution. This alternative builds on existing system knowledge and business processes and may cause less interruptions to end users. It may also offer a less expensive and quicker alternative than a custom developed CERMS+UFSM Custom Cloud solution.

This alternative has several drawbacks. Upgrading SANDIS might require a Non-Competitive Bid (NCB) with the current SANDIS vendor or a purchase of the solution/Intellectual Property, possibly leading to a third RFP. Moreover, it carries the risk of inheriting the current technical and process limitations of SANDIS, potentially hindering DDS and Regional Centers from leveraging the benefits of new technologies and practices provided by an established COTS/MOTS SaaS case management solution.

This alternative is the most complex, requiring the integration of both a SANDIS Upgrade and a UFSM COTS/MOTS SaaS solution. The timeline and costs of this project are likely to fall somewhere between Alternative 1 and Alternative 2. Moreover, managing enhancements and updates could become more complicated, requiring a diverse team able to modify both the SANDIS solution and the UFSM COTS/MOTS SaaS solution.

A variation on this alternative could include securing a single vendor to bear the contractual responsibility for both the SANDIS Upgrade and the configuration/implementation of the UFSM COTS/MOTS SaaS solution. However, the need for two distinct contracts and solicitations might pose a challenge. If successfully managed, DDS would benefit from having a single point of contact during project design, development, implementation, testing, deployment, and maintenance and operations (M&O).

The UFSM COTS/MOTS SaaS solution would likely offer robust user support, while the SANDIS Cloud solution could be limited. This complex alternative, with annual subscriptions and support being the most intricate to manage.

Approach

Increase staff – new or existing capabilities: Yes

Modify the existing business process or create a new business process: Yes

Reduce the services or level of services provided: No

Utilize new or increased contracted services: Yes

Enhance the existing IT system: Choose Yes or No.

Modify Statute/Policy/Regulations: Yes

Please Specify: The Lanterman Act, Section 4631 recognizes the requirement for the uniform accounting, budgeting, encumbrance and reporting system and a systematic approach to administrative practices and procedures. DDS will identify any statutory, regulatory, or policy changes to support the project as needed.

Create a new IT system: Yes

Other: No Specify: Click or tap here to enter text.

Architecture Information

Business Function(s)/Process(es):

CERMS business functions

- Consumer Management
- Service Provider Management
- Services Management
- Reporting

Business Function(s)/Process(es):

UFSM business functions

- General Ledger (GL)
- Purchase to Payment – Operations
- Purchase to Payment – Purchase of Services (POS)
- Consumer Trust
- Accounts Receivable (AR)
- Fixed Assets
- Budget Management
- Audits
- Reporting

Conceptual Architecture

Attach a copy of the conceptual architecture to your email submission.

Accompanying document includes the following:

- Section 2.07_2.08_2.09_Alternatives Analysis and Market Research Report_CERMS_UFSM_1.0, **see Appendix 8-6 CERMS and UFSM Conceptual Architecture**

COTS/SaaS/Cloud Technology or Custom: COTS/SaaS/Cloud Technology

Name/Primary Technology: COTS/SaaS/Cloud Technology for UFSM and SANDIS Upgrade (CERMS)

Explain Existing System Interfaces:

SANDIS Case Management existing system data exchanges/interfaces:

The following existing data exchanges/interfaces are **within scope** of the proposed project:

- Case management data extracted and loaded into the DDS Data Warehouse (AWS/Snowflake) for reporting.
- Regional Center, Consumer, and Service Provider emergency contact information extracted from SANDIS (source) and uploaded to the State Everbridge system for local emergency notifications.
- Data exchange and interface between SANDIS and UFS. SANDIS currently looks up screens/menus from UFS and sends Consumer and Vendor data files to UFS nightly or via on demand process.

The following existing data exchanges/interfaces are **not within scope** of the proposed project for future data integrations:

- San Diego Regional Center SANDIS support staff have a SANDIS test system and push data updates/code changes via jobs to all 21 Regional Center SANDIS instances/data tables.
- Special Incident Reports (SIRS) data extracted from SANDIS (source) and sent to DDS SIRS AWS Application system, DDS Data Warehouse, and DDS Program Office of Community Services (PowerBI report).
- SANDIS Vendor Portal for Service Provider case management functionality (extracts and sends required data to/from SANDIS). Not used by all Service Providers.
- Regional Center third party Case Management applications (extracts and sends required data to/from SANDIS). Not used by all Regional Centers.
  - Virtual Chart – Appian Product
  - SmartChart
  - KEA Live
  - Regional Center Connect – Atticus Product
  - Atlas - IBM, Neudesic Product – built for Inland Regional Center
- Regional Center third party document management systems (embedded link in SANDIS to connect to their external document management system). Not used by all Regional Centers.
  - Therefore
  - OnBase

- Upland FileBound
- DocuShare
- TheGetDoc
- Laserfische
- Seamless Docs
- DocuNet
- Xerox
- Application Extender
- OpenText with App Extender

- Spool Flex – Utility Program used by Regional Centers to print documents from SANDIS.

- Statewide Search Application - DDS app used by Regional Centers to search for Consumers across RC systems via link in SANDIS and pulled from all SANDIS instances. Power BI report.

- Early Start Report - DDS app used for Federal reporting requirements. Uses Early Start data from SANDIS.

- Robotic Process Automation – IBM, Neudesic product for Inland Regional Center and Blue Prism product for Alta Regional Center. Pulls Consumer UCI information from SANDIS database and provides Consumer with status via Service bots.

UFS/eBilling existing system data exchanges/interfaces:

The Uniform Fiscal System (UFS) plays a central role in the DDS service delivery. The UFS interfaces with SANDIS and eBilling systems, updating data either nightly or on-demand. DDS maintains separate UFS instances for production, development, and testing in the IBM I cloud and pushes updates and client master file error records to all 21 Regional Center databases.

The following existing data exchanges/interfaces are **within scope** of the proposed project:

- Data from SANDIS and eBilling systems sent to UFS nightly or via on demand by the Regional Centers.

- DDS Federal Program and Information Billing System (FPIBS) (Mainframe hosted at California Department of Technology) receives waiver data from UFS for Federal Reimbursements (approximately 16 files from each Regional Center) transmitted monthly to DDS FPIBS.
- UFS Financial and eBilling invoice/attendance data extracted and loaded into the DDS Data Warehouse (AWS/Snowflake) for financial reporting.

The following existing data exchanges/interfaces are **not within scope** of the proposed project for future data integrations:

- DDS has a UFS system for development and testing in the IBM I cloud, and they push updates/codes and client master file error records to all Regional Center UFS/eBilling backend 21 databases.

- DDS State Claim Reporting web-based application tool – allows DDS Office of Community Development staff to search and export data from UFS into PDF or Excel reports to monitor and validate claims for personnel funding and Consumer purchase of services.

- Nedasoft company – extracts data from UFS (including some SANDIS data) and manages the following programs and applications for Regional Centers.

  o State Claim Reconciliation processing - Used to assist regional centers in identifying discrepancies that may occur during the processing of invoices; creation, update, edit and posting of journal entries; and the generation of the State Claim files and documents. This program downloads claim data, journal entries, and general ledger information; exports the data to a spreadsheet and prints the claim. The last step is to ensure the net assets are zero (claim in balance). Extracts data from UFS/does not write back to UFS.

  o Laser Forms processing - This program is used to generate paper Turn Around Invoices (only for vendors exempt from eBilling) and paper Authorizations; to email electronic Authorizations; and to convert Authorizations to .pdf for uploading into DocuShare (online document management system). Extracts data from UFS/does not write back to UFS.

  o Bank Reconciliation/Outstanding Checks processing - This program automates the check reconciliation/outstanding check process. It downloads checks from the UFS database, downloads information from the bank, pushes out exceptions, and the checks are purged. It then prints a report of outstanding checks. Extracts data from UFS/does not write back to UFS.

  o Positive Pay Program - This program downloads check files via batch and standardizes positive pay file according to banking formats, including U.S. Bank, Manufacturer's, Union Bank, and City National.

  o Direct Deposit ACH – This program downloads and standardizes client information from Social Security.

  o POS ACH – This program provides two sets of routing and account numbers; same NACHA files that UFS creates. Extracts data from UFS/does not write back to UFS.

  o Printing of Purchase Orders – This is used to create PDFs of purchase orders (Authorizations). The PDFs are made available via a portal that can be searched and PDFs printed. Extracts data from UFS/does not write back to UFS.

  o Electronic Funds Transfer (EFT) - This program is used to generate EFT payments and send files to bank. It downloads the NACHA file, reads it, reformats and regenerates it, and sends it to bank via SFTP. Extracts data from UFS/does not write back to UFS.

  o Fixed Assets/Inventory Control - This program keeps track of item cost, reports it to DGS, and obtains the permission necessary to dispose of items (required forms for reporting and disposal). Items include those valued at over $5K and those possibly containing sensitive information. Items are tracked by location

and/or employee; each has either a DGS or RC barcode. Extracts data from UFS/does not write back to UFS.

- o Vendor Status Notification (VSN) Tracker - This program has two primary functions: one for vendorization staff to keep track of vendor data; and one for case managers to ID proper service codes. This program automated all relevant UFS and SANDIS forms and downloads the relevant data from SANDIS and UFS to populate the forms. Extracts data from UFS/does not write back to UFS.

- o Annual Family Cost Statements - This program supports the printing and mailing of Family Cost Statements. The relevant data is downloaded from UFS, is populated into a spreadsheet, sorted and barcoded for mailing. The forms and envelopes are printed, the envelopes stamped and stuffed, and the statements mailed. Extracts data from UFS/does not write back to UFS.

- New Generation Software, Inc. (NGS) - extracts data from backend IBM iSeries for Regional Centers to query and report on. Used by most of the Regional Centers.

- FormSprint – app which integrates with UFS and allows Regional Centers to print authorizations, checks, invoices, and 1099 forms.

- Account Ability – app which integrates with UFS and allows Regional Centers to manage 1099 forms.

- Spool Flex – Utility Program used by Regional Centers to print documents from UFS.

- Regional Center third party fiscal/accounting/asset management applications – TBD if direct interface or data manually entered from applications into UFS per Regional Center. Not used by all Regional Centers.

  - o Concur – app for employee travel and reimbursements.

  - o ADP Payroll – app for payroll/HR

  - o Paylocity – app for payroll/HR

  - o UKG Pro – app for payroll/HR

  - o Sage HRMS – app for payroll/HR

  - o WASP – app for Asset Management

  - o AssetPanda – app for Asset Management

  - o Sage Fixed Assets – app for Asset Management

Explain New System Interfaces:

CERMS new system interfaces (other potential interfaces may be determined as part of detailed requirements efforts or future project implementations by DDS)

- Data exchange/interface with UFSM

- Data exchange from CERMS to DDS Data Warehouse (AWS/Snowflake) for reporting and Data Warehouse downstream systems including California Health and Human

Services Data Exchange Framework solution (potential data feed to a Qualified Health Information Organization), DDS Service Provider Directory system (ServiceNow), and DDS electronic Health Records system.

- Data exchange/interface with the DDS FedMatch system for waiver eligibility information for federal reimbursements.

- Data exchange/interface with DDS Service Provider Directory system (ServiceNow) for Service Provider information.

- Desirable interfaces with Regional Center third party signature applications for legally required case management documents. Not used by all Regional Centers.
  - Adobe Sign
  - DocuSign
  - SignNow
  - Seamless Docs

UFSM new system interfaces (other potential interfaces may be determined as part of detailed requirements efforts or future project implementations by DDS.)

- Data exchange/interface with CERMS

- Data exchange from UFSM to DDS Data Warehouse (AWS/Snowflake) for reporting and other Data Warehouse downstream systems including and not limited to the Service Provider Directory system (ServiceNow) and CA Department of Education.

- Data exchange/interface with the DDS FedMatch system for waiver billing and invoicing information for federal reimbursements.

- Automated Clearing House and other external Banking institutions for EFT and check payment files and transactions.

- State Controllers' Office for warrant payments as part of DDS Accounting for ICF-SPA billing.

- Social Security Administration for SSA benefit forms.

- CA Department of General Services for State asset reporting.

- CA Franchise Tax Board for 1099 verification.

- Desirable interfaces with Regional Center third party fiscal/accounting/asset management applications (TBD for a one-time data extract or if it will be a persistent direct interface). Not used by all Regional Centers.
  - Concur – app for employee travel and reimbursements.
  - ADP Payroll – app for payroll/HR
  - Paylocity – app for payroll/HR
  - UKG Pro – app for payroll/HR
  - Sage HRMS – app for payroll/HR

- WASP – app for Asset Management
- AssetPanda – app for Asset Management
- Sage Fixed Assets – app for Asset Management
- Operational Vendor system integrations for purchase order item catalog updates.

Data Center Location of the To-be Solution: Commercial data center

If Other, specify: Click or tap here to enter text.

Security

Access:

Public: Yes

Internal State Staff: Yes

External State Staff: No

Other: Yes Specify: Regional Center staff, Consumers, Service Providers, Operational Vendors

Type of Information (Select Yes or No for each to identify the type of information that requires protection. See the SAM Section 5305.5 for more information.)

Personal: Yes

Health: Yes

Tax: Yes

Financial: Yes

Legal: Yes

Confidential: Yes

Other: No Specify: Click or tap here to enter text.

Protective Measures (Select Yes or No to identify the protective measures used to protect information.)

Technical Security: Yes

Physical Security: Yes

Backup and Recovery: Yes

Identity Authorization and Authentication: Yes

Other, specify: Click or tap here to enter text.

Total Viable Alternative #3 Solution Cost (copy from FAW – Summary tab, cell AL50):

Total Proposed Cost: $160,495,756

2.9 Project Organization

Project planning includes the process of identifying how and when specific labor skill sets are needed to ensure that the proposed project has sufficient staff with the appropriate knowledge and experience by the time the project moves into execution. All staff identified in the following sections should be included in the Financial Analysis Worksheet to be completed in Section 2.12.

1. **Project Organization Chart:**

    Attach the Project Organization Chart to your email submission.

    Accompanying document includes the following:

    - Section 2.07_2.08_2.09_Alternatives Analysis and Market Research Report_CERMS_UFSM_1.0, Section 3.4 Project Organization

2. **Is the department running this project as a matrixed or projectized organization?**

    Matrixed

In each of the following sections, provide a concise description of the approach to staffing the proposed project including contingencies for business/program, IT, or administrative areas to maintain ongoing operations in conjunction with the proposed project.

1. **Administrative**

    The project will be implemented using a matrixed organizational structure. Current administrative resources (experienced procurement, contract management, budget staff, and legal staff) will provide limited, targeted advisory and review support.

2. **Business Program**

    The project will be implemented using a matrixed organizational structure. Impacts to the business/program will be minimized by delivering the project through new staff brought on through BCP funding. Current business/program resources will focus on maintaining regular program operations and the project resources will execute project tasks. Current executive business/program resources (Project Sponsors, program executives, and program leaders) will provide limited, targeted advisory and review support. Business process reengineering activities will be carried out by consultants and project resources with limited time commitment from business and program staff.

3. **Information Technology**

    The project will be implemented using a matrixed organizational structure. Impacts to IT and ongoing operations will be minimized by delivering the project through new staff brought on through BCP funding. DDS and Regional Center IT departments will ensure that current resources are able to balance project responsibilities while supporting existing IT operations. Current DDS and Regional Center IT resources will provide limited, targeted advisory and review support.

4. **Testing**

   The project will be implemented using a matrixed organizational structure. Impacts to business and IT will be minimized by delivering the project through new staff brought on through BCP funding. New staff includes IT and business support for the project management and business analysis. All stages of testing will be supported by the DDS and Regional Center staff dedicated to the testing tasks.

5. **Data Conversion/Migration**

   The DDS Data Management Services vendor will be performing data analysis, profiling and cleansing efforts in collaboration with the Regional Centers prior to the SI onboarding. These services also include determining and improving data quality, as well as conducting UAT with Consumers and Service Providers. The Data Management Vendors will develop an initial data conversion/migration approach to be finalized in collaboration with the SI.

6. **Training**

   Training will be delivered through the SI providing train the trainer (TTT) sessions to DDS and Regional Center staff and the TTT trainees delivering training to DDS, all twenty-one (21) Regional Centers, and Service Providers. The SI should provide training for Consumers through the implemented solution (e.g., help functions, FAQs) and online training tutorials. The OCM Vendor will support training development and help ensure training addresses the needs of the stakeholders.

7. **Organizational Change Management**

   The OCM strategy will be implemented through the OCM Vendor under contract, as well as DDS staff, and Regional Center staff secured through BCP funding.

8. **Resource Capacity/Skills/Knowledge for Stage 3 Solution Development**

This narrative should include the experience level and quantity of procurement, contract management, and budget staff who will be responsible for the Stage 3 Solution Development.

   Stage 3 Solution Development will leverage the DDS procurement program and vendor staff, which possess the necessary capacity, skills, and experience to develop and manage the solicitation to procure a SI and the CERMS and UFSM COTS/MOTS solution. The California Department of Technology (CDT) and State Technology Procurement (STP) will provide guidance and support for the overall procurement effort. The governance framework and procurement methodologies, including familiarity with the STP Streamlined Template and handling of procurement-related challenges, have been taken into consideration to help ensure a successful procurement and solution implementation. The governance framework incorporates both project and procurement-related decision-making, ensuring a comprehensive approach alongside project decision-making. The DDS procurement office is well-versed in developing, releasing, and managing RFP based solicitations. The DDS procurement office is experienced utilizing the STP Streamlined Template, enabling an efficient and effective procurement process. The DDS procurement office is acquainted with

various protest types and has adept knowledge of the Public Contract Code (PCC) 6611, ensuring compliance and best practices in our procurement activities.

2.10   Project Planning

1. Project Management Risk Assessment

Updated Project Management Risk Score: 0.8

Attach Updated PM Risk Assessment to your email submission.

See Section 2.03.6_SIMM_45_Appendix_A_2016_0506 CERMS_UFSM.

2. Project Charter

Is your project charter approved by the designated Agency/state entity authority and available for the Department of Technology to review? **Choose**: 'Yes,' 'No,' or 'Not Applicable.' If 'No' or 'Not Applicable,' provide the artifact status in the space provided.

Project Charter (Approved): Yes

> Status: Approved

Attach a copy of the Project Charter to your email submission.

See attached Section 2.10.2 CERMS_UFSM_Project_Charter_2.0

3. Project Plans

Are the following project management plans or project artifacts approved by the designated Agency/state entity authority and available for the Department of Technology to review? **Choose**: 'Yes,' 'No,' or 'Not Applicable.' If 'No' or 'Not Applicable,' provide the artifact status in the space provided.

Note: For Low to medium complexity and cost projects, discuss with your PAO manager the option of submitting a Master Project Management Plan in place of individual plans.

See Attached Project Plans with prefix of "Section 2.10.3_CERMS_UFSM_plan name"

Scope Management Plan (Approved): Yes

> Status: Approved

Communication Management Plan (Approved): Yes

> Status: Approved

Schedule Management Plan (Approved) : Yes

> Status: Approved

Procurement Management Plan (Approved): Yes

Status: Approved

Requirements Management Plan (Approved): Yes

Status: Approved

Stakeholder Management Plan (Draft): Yes

Status: Draft

Governance Plan (Draft): Yes

Status: Draft

Contract Management Plan (Draft): Yes

Status: Draft

Resource Management Plan (Draft): Yes

Status: Draft

Change Control Management Plan (Draft): Yes

Status: Draft

Risk Management Plan (Draft + Risk Log): Yes

Status: Risk and Issue Management Plans combined and Risk Log

Issue and Action Item Management Plan (Draft + Issue Log): Yes

Status: Risk and Issue Management Plans combined and Issue Log

Cost Management Plan (Approved if planning BCP approved): Yes

Status: Click or tap here to enter text.

4. **Project Roadmap (High-Level)**

Attach a high-level Project Roadmap showing remainder of planning phase and transition into execution phase to the email submission.

Accompanying document includes the following:

- Section 2.07_2.08_2.09_Alternatives Analysis and Market Research Report_CERMS_UFSM_1.0, Section 3.4 Project Organization

a) Planning Start Date: 7/23/2021

b) Estimated Planning End Date: 11/28/2025

c) Estimated Project Start Date: 12/1/2025

d) Estimated Project End Date: 12/29/2028

2.11   Data Cleansing, Conversion, and Migration

If in Section 2.3 (above) the answer to the question "Do you have existing data that must be migrated to your new solution?" was marked "Yes," please complete this section.

The California Department of Technology recommends having a Data Consultant start data cleansing, conversion, and migration activities as soon as possible.

Identify the status of each of the following data activities. If "Not Applicable" is chosen, explain why the activity is not applicable or if "Not Started" is chosen, explain when the activity will start and its anticipated duration:

1. **Current Environment Analysis: In Progress**

   Click or tap here to enter text.

2. **Data Migration Plan: Not Started**

   A Data Conversion/Approach Strategy will be developed prior to Vendor onboarding starting in mid-2024 and completing at end of the 2024 fiscal year calendar.

3. **Data Profiling: In Progress**

   Click or tap here to enter text.

4. **Data Cleansing and Correction: Not Started**

   Data cleansing and correction is planned to start the first quarter of 2024 and completing at end of the 2024 fiscal calendar year. The Solution Vendor will also perform data cleansing and correction.

5. **Data Quality Assessment: In Progress**

   Click or tap here to enter text.

6. **Data Quality Business Rules: In Progress**

   Data quality business rules will start to be defined in late 2023 and completing by mid-2024.

7. **Data Dictionaries: Completed**

   Foundational Data Dictionaries are in place and will be updated based on data discovery efforts and changes to the metadata during the project.

8. **Data Conversion/Migration Requirements: Not Started**

   Data Conversion/Migration requirements will be further detailed in 2024.

2.12   Financial Analysis Worksheets

Attach F.2 Financial Analysis Worksheet(s) to the email submission.

See Financial-Analysis-Worksheets-CERMS UFSM

End of agency/state entity document.

Please ensure ADA compliance before submitting this document to CDT.

When ready, submit Stage 2 and all attachments in an email to ProjectOversight@state.ca.gov.

Department of Technology Use Only

Original "New Submission" Date: 1/24/2024

Form Received Date: 1/24/2024

Form Accepted Date: 1/24/2024

Form Status: Completed

Form Status Date: 06/12/2024

Form Disposition: Approved

Form Disposition Date: 06/12/2024