

# 2008 Indian Health Information Management Conference

"Managing Health Information Technology to Improve  
Performance and Outcomes"



## UFMS Overview

**December 2008**

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# Agenda

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# Agenda

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# UFMS/The Beginning

Why we began this implementation?

- Mandated to standardize government software programs to commercial products
  - Update technology
  - Improve efficiency and security
  - Better access to information both horizontally and vertically within the Departments
  - Better accountability of taxpayers moneys

Were we started from...

- No on-line funds checking
- No document control for requisitions
- No standardization in how transactions were created and paid
- No unified reporting up through HHS

## UFMS/The Beginning

How did we arrived at the point of implementation?

- Five years of planning and coordination within IHS and with the other OpDivs within HHS
  - Who would be effected?
  - What would need to be done to make the conversion happen in the most effective manner?
  - Where would IHS fit into the HHS Global concept?
  - How would UFMS be rolled-out to IHS?
- Five years of updating communications network
- Five years of updating computer hardware and software
- ▶ “The World’s Largest Financial Management System Implementation”
- ▶ Transformed the way HHS did business

## UFMS/The Present Audit - Total Volume

<b>Document</b>	<b>Volume</b>
Commitments	36,163
Obligations Converted	197,009
Oracle Obligations Created	428,172
PRISM Obligations	47,288
Payments	579,242
Payments	579,242

## UFMS/The Present

### Audit - Compared to other OPDIVs

- As of September 5, 2008, **IHS had an active user community of more than 2,100**
- **IHS 481,507 payments** since UFMS was implemented. Comparatively, CDC, PSC and FDA had processed 256,028; 182,706 and 67,602 payments, respectively, during the same period after implementation
- IHS PRISM users awarded **15,424 contracts/obligations** over the past eleven months, five times more than FDA at the same point in time

# UFMS/The Present

## Audit - Tickets

- Tickets Assigned to Stabilization
  - In Review & Working Request 62
  - On Hold & Pending Action 23
  - Closed 85
  - Total 170
- Total Change Requests for 2008 - 248



# UFMS/The Present

## Audit Report

- Manual JV totaling in excess of \$900 billion
- Continue development of management information reports
- Data clean-up issues
- Reconciliation and clean-up of data was not completed
  - Fund Balance with Treasury
  - Reconciliation Certifications not done or not done timely
  - Sub module to GL reconciliations not completed
  - Lack of documentation to support transactions

# UFMS/The Present

## Audit - Recommendations

- Improve close-out of old account balances
- Improve internal control for non-routine entries
- Implement corrective action plan
- Improve financial reporting
- Continue training of personnel

# UFMS/The Present

## Fiscal Year 2008 Status

- Year End Closing
  - Coordinated effort with all the other OPDIVs
  - Completed 3 MOCKS
  - Participated in calls at 9:00 am 3:00 pm and 9:00 pm everyday with all the OPDIVs
  - Participated in calls at Noon and 6:00 pm with AO
- Detail Project Plan
  - IHS level
  - Global level

# UFMS/The Present

## Fiscal Year 2008 Status (cont'd)

- Dashboard (data clean-up)
  - Suspense
  - Cash reconciliations
  - Procurement
  - Payables
- Lessons Learned
  - High Level Project Plan
  - Stick to cut-off dates
  - Reconcile sub modules to GL every month
  - Module Specific
    - AP, PA, AR, GL and BE

# UFMS/The Present

## RPMS:

### ■ Solution

- Requirement for detailed reporting from UFMS AR for RPMS transactions
- Every transaction in RPMS an invoice, a receipt and an adjustment was a corresponding transaction in UFMS
- There is a one to one relationship between RPMS and UFMS

### ■ Implementation/Early Stages

- New interface process -- 3 to 6 months to work out the issues

# UFMS/The Near Future

## Technical -- Reporting

- As part of IHS go-live, 30+ operational reports were developed
- During FY 2008 several additional reports were further developed
- Numerous ad hoc queries were written to extract data
- During FY 2009, UFMS Training Team will work with the Area Offices to identify need for:
  - Enhancement to the existing reports and
  - Develop new operational reports
  - Consolidate duplicate reports
- UFMS Training Team will conduct weekly WebEx sessions to go over the enhancement and newly developed reports
- Supporting reports for regulatory reporting requirements will also be developed (Prompt Pay and Receivable Due From Public)

# UFMS/The Near Future

## Technical – FRS

- FRS was implemented as part of IHS go-live
- Due to data extract issues as well as mapping issues within FRS, users were not able to successfully use the tool
- Bearing Point is working closely with OIT Contractors and Headquarters/Area Staff with correctly mapping the UFMS data
- In an effort to have the correct data mapping in FRS, a mapping table was provided that shows the cross references between various documents for the Procure-To-Pay process
- A phased out approach was developed to map data in FRS. For this purpose the following transaction would initially be mapped:
  - IP-Prism-PO-AP/Treasury Confirmation-GL
  - IP-PO-AP/Treasury Confirmation-GL
  - PO-AP/Treasury Confirmation-GL
  - AP/Treasury Confirmation-GL

# UFMS/The Near Future

## Technical – DocView

- DocView functionality was leveraged from FDA
- Enhancements were made to the process to meet requirements for IHS
- Enhanced version of DocView was implemented as part of IHS go-live
- Due to certain scenarios that were not accounted for during the development process the tool is providing incorrect information and as a result users are not able to successfully use this tool
- Several enhancements were made to correct this during FY 2008
- Due to the mandatory code freeze (June 2008), no additional fixes could be implemented until February 2009
- Addressing the users need and issues with DocView functionality is one of the goals for FY 2009



# UFMS/The Present

## Technical – SPS Payment

- Each of the payment ALCs have access to make SPS payments
- SPS system was used for payment due to issues with finding Obligations and issues with entering invoices
- Unable to timely record the SPS payments in UFMS resulted in a huge suspense balance during FY2008
- Suspense balance prevented timely cash reconciliation of FMS 224
- Accurate Prompt Pay Report cannot be generated from UFMS
- Departmental level reporting for Electronic payment cannot be achieved
- Lack of timely cash reconciliation is one of this years audit findings
- Payments made in SPS cannot be automatically sent to UFMS
- Significant development effort would be required for automation
- Reduced use of SPS and make payment out of UFMS

# UFMS/The Near Future

## Technical – P-Card

- JP Morgan Smart Pay was deployed at HHS on November 30, 2008
- GOVTRIP and IHS credit card processes will be affected by this
- Payment Net, credit card charges reconciliation tool, will be deployed for IHS at the same time
- New features with JP Morgan are as follows:
  - Centralized weekly/monthly charge download process
  - Monthly file to assist with reconciliation process
- UAT has been successfully completed
- Currently coordinating with the Area Offices on Connectivity
- US Bank's Access Online system will continue to be available for up to 6 months after JP Morgan go-live
- Would like to request Area Offices to approve and import US Bank charges by January 31, 2009

# UFMS/The Near Future

## Upgrade - 11.5.10 Upgrade

- UFMS at HHS is scheduled for an upgrade from Oracle 11.5.09 to 11.5.10 UFMS/The Beginning of 2009.
- The following are important dates for the release of 11.5.10 at IHS:
  - **November 3 to December 12, 2008** – IHS 11.5.10 UFMS User Acceptance Testing by IHS UFMS Federal Leads
  - **November 17 to 19, 2008** - IHS UFMS Training from UFMS O&M. Participants from the Federal, BearingPoint, and Deloitte
  - **January 12 to February 13, 2009** - IHS UFMS WebEx training conducted by module
  - **January 15, 2009 COB EST** - close down for upgrade
  - **January 21, 2009** - IHS goes live on the upgraded version of UFMS
- 11.5.10 Training will consists of the following:
  - Desktop job aids by module
  - WebEx training by module on the enhancements
- On-Site

# UFMS/The Near Future

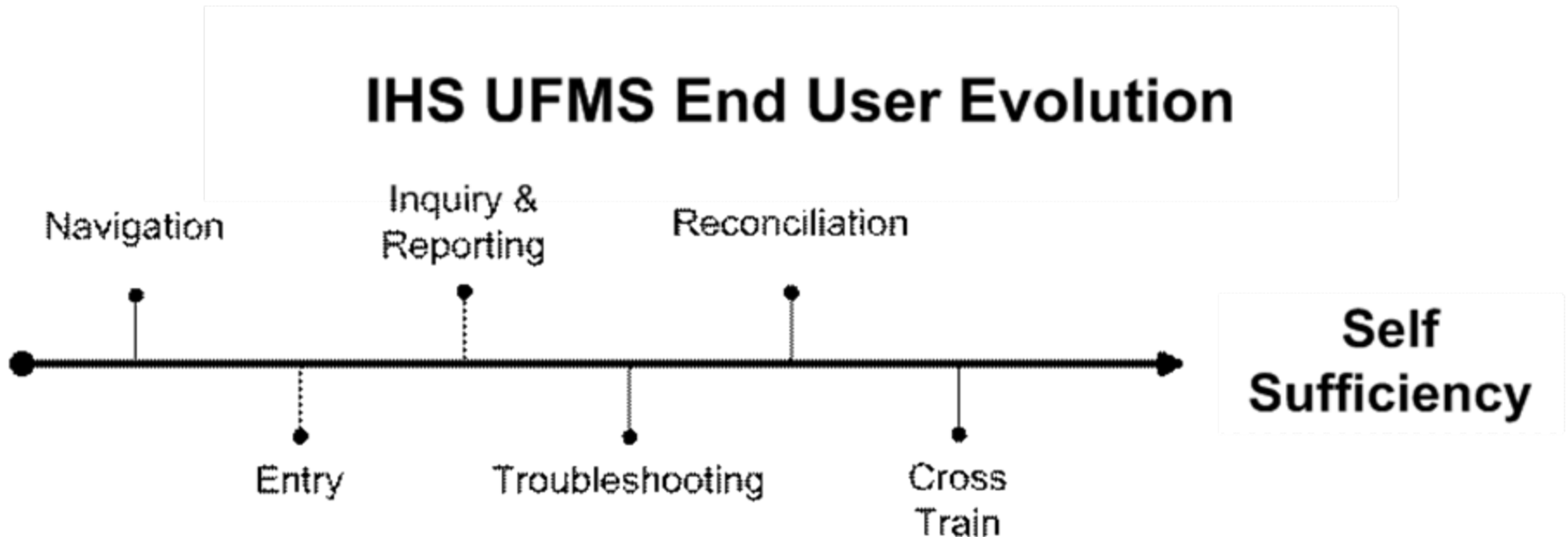
## Upgrade - 11.5.10 Upgrade (cont'd)

- The expected changes by module are:
  - iProcurement
    - Ability to print requisition
    - Ability to save a shopping cart and return to it at a later date to complete
    - Streamlined navigation
    - Consolidated screens allowing for quicker entry of requisition data
  - Accounts Payable
    - Streamlined navigation
    - Major cosmetic changes
  - All Other Modules (BE, GL, PO, AR and PA)
    - Streamlined navigation
    - No major changes
  - Training will begin in mid Jan 09 through the first of Feb 09
    - ▶ Web sessions
    - ▶ Quick Reference Guides

# UFMS/The Near Future

## Training - UFMS End-User Evolution

The IHS UFMS Business Transformation Team, specifically the UFMS Training Team supports the progression and evolution of the IHS UFMS end-user as depicted in the diagram below.



# UFMS/The Near Future

## Training - Goals and Expected Outcomes

- As IHS enters its second year on UFMS, the major goals that the IHS UFMS Training team have been set are to:
  - Establish self sufficient and knowledgeable end-users
  - Identify and close UFMS learning gaps
  - Enhance end-user skills and skills sets to transact within UFMS proficiently and efficiently
  - Facilitate knowledge transfer from BearingPoint to Federal Training counterparts and Area Office TASSs
- The following are expected IHS UFMS outcomes from attaining the training goals above:
  - Development and identification of IHS specific “Best Practices” by Module
  - Development and identification of standard operation procedures
  - Modification and introduction of policies to support UFMS processing

# UFMS/The Near Future

## Training - Focus and Initiatives

- As the IHS UFMS stabilization effort continues, three distinct tiers are being supported simultaneously:
  - IHS Organization as a whole from Headquarters
  - Area Offices
  - Individual IHS UFMS End-User
- In order to meet the training goals for the second year, the following initiatives are currently being supported by the UFMS Training Team:
  - Support the Oracle 11.5.10 Upgrade
    - ▶ Development
    - ▶ Delivery
  - Training and Support Specialists (TASS) structure
  - PO Clean-Up Workshops by Area
  - AP Invoices On Hold Workshops by Area
  - IPAC Workshops by Area
  - eTravel Workshops
  - iP Training

# UFMS/The Near Future

## Training and Support Specialists (TASS)

- As an integral part of the original Training Approach, a structure of localized UFMS specialists were to be established as the first line of support in parallel with the IHS UFMS Helpdesk.
- The goals of the Training and Support Specialist (TASS) structure will allow:
  - IHS UFMS to achieve self-sufficiency sooner
  - The UFMS Training Team to multiply its efforts through this network
  - Reduce helpdesk ticket
  - Facilitate widespread UFMS knowledge transfer
- For the second year, the UFMS project management has initiated the re-training of Area Office TASSs by module
- The first module TASSs to be trained is iProcurement which is currently under way at Albuquerque, Aberdeen, Phoenix, and Navajo.
- Other module TASS training will continue in February of 2009 and beyond



# UFMS/The Near Future

## Training - PO Clean-Up Workshops

- As a continuation of the FY 2008 Year-End clean-up efforts, the training team will continue to conduct virtual workshops for Area Offices on:
  - Identify and monitor purchase orders with no activities from:
    - ARMS (Converted POs)
    - CHSMIS
    - eTravel
    - Scholarship
  - Identify duplicate purchase orders
  - Understand the associated funding on each purchase order
  - Determine if funds can be re-used if the PO is cancelled
  - Identify associated matched or incorrectly matched invoices
  - Determine the necessary course of action to either cancel, close, perform a G-Schedule/G-Batch, or modify up or down

**Important** - Action item for each area (including their Service Units) is to identify individuals that will make up your PO Clean-Up Tasks Force. The UFMS Training Team will meet with them on a regular basis (weekly or bi-weekly, TBD) to reduce the number of open POs with no activity to a more manageable number/amount.

# UFMS/The Near Future

## Training - AP Invoices On Hold Workshops

- As a continuation of the FY 2008 Year-End clean-up efforts, the training team will continue to conduct virtual workshops for Area Offices on:
  - Manage the invoices “on hold” process
  - Understand the different types of holds
  - Determine the necessary course of action to either cancel, reverse, perform a G-Schedule/G-Batch, contact receiver, etc
  - Reduce interest paid on late invoices

**Important** - Action item for each area (including their Service Units) is to identify individuals that will make up your AP Invoices on Hold Clean Up Tasks Force. The BearingPoint Training Team will meet with them on a regular basis (weekly or bi-weekly, TBD) to reduce the number of holds to a more manageable number/amount.

## Training - Other Training and Workshops

- > The IHS UFMS training team will continue to conduct training on the following:
  - IPAC – will be facilitated by instructor-led training
  - GovTrip to UFMS – WebEx sessions with the FATAs
  - iProcurement – will be facilitated by WebEx to increase our reach across IHS. Training will be conducted short sessions by responsibility
    - o Requisitioner
    - o Approver
    - o Receiver
- > Your iP TASSs should start conducting internal workshops
- > Training resources are still available:
  - IHS UFMS Sandbox
    - <https://ihs2.ufms.hhs.gov>
  - IHS UFMS Module Training Manuals:
    - <http://intranet.hhs.gov/ufms/ihs/ILTMaterials.html>
  - IHS UFMS Module Online Training:
    - <http://home.ihs.gov/Admin/UFMS/index.cfm>
  - IHS UFMS Procedure Guides
    - <http://intranet.hhs.gov/ufms/ihs/ProcedureGuides.html>
- > Other future training will be provided based on needs and corresponding resources.

## Funds Control - X and FY09 Annual Accounts

### For each Budget Level:

Appropriation – Absolute

Apportionment – Absolute

Allotment – Absolute (Advisory for Payroll Transactions)

Allowance – Advisory (Absolute for Albuquerque)

- Absolute Funds Checking – Hard Funds control, transactions won't pass if funds are not available or deficient.
- Advisory Funds Checking – Soft Funds Checking, transactions pass with a warning message.
- Appropriation and Apportionment levels are entered by IHS Headquarters and represent IHS-wide total funds approved by OMB.
- Allotment level – Funds distributed down to the Budget Activity Program (example: Phoenix H&C)
- Allowance level – Funds distributed down to the Location (example: PIMC Service Unit).
- For all Areas except Albuquerque, one service unit can spend another service unit's funds as long as it doesn't drive the overall balance at the BAP level negative.

## Funds Control - Expired Annual and Slash Accounts

### **For each Budget Level:**

Appropriation – Absolute

Apportionment – Absolute

Allotment – Advisory

Allowance – Advisory

Year-End Balances for expired funds are at a rolled up level hence funds checking has been set to advisory for allotments and allowances

## Funds Control - Location Segment

Location Segment of the BACS (Segment # 10) was defined to comprise of 5 unique components i.e.

Accounting Point (AP)	Service Unit (SU)	State Code	Facility Code	Future Use (000)
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Accounting Point (AP): The two character accounting point for the area.

Service Unit (SU): Three Character code signifying the Service unit including the main facility/hospital with its associated clinics or satellite clinics.

State Code: This is a two character postal state code representing the state in which the facility is located.

Facility Code: This is a four character code with a prefix representing Area Office Divisions, Tribal Programs, Urban Programs, Hospitals or Clinics.

Future Use: Available for future expansion.

## Funds Control – (Example: Albuquerque Funds Control)

### ACL Service Unit

This Service Unit comprises of one main hospital and two health centers:

53204NMH000000	Acoma-Canoncito-Laguna Service Unit.
53204NMC010000	Laguna Health Center
53204NMC020000	Canoncito Health Center

- Sequence “53204” denotes ACL SU and is shared by the hospital and its clinics.
- Albuquerque distributes budgets to the ACL Service unit and these funds become automatically available to all three facilities.
- These funds are not available for use by any other service units.
- Funds are controlled and managed for every combination of 5320X where X denotes a unique code for each Albuquerque Service Unit.
- Similar structure has been setup for each tribe managed by Albuquerque (in this case 5330X denotes the tribal codes).
- However, Area Office Divisions are not managed individually and funds checking is at the aggregate level (531X)

## Allowance Funds Checking – Pros/Cons

### Pros

- Each Service Unit can best manage their individual allowed funds without worrying about the possibility of other service units eating into their shares.
- Achieves Area Office objectives of effective management of distributed funds and eases reporting of funds usage by service unit.
- Prevents Service Units from spending AO or tribal money.

### Cons

- Timely entries of Allowances becomes necessary as without funds at the location level (SU), that facility would not be able to make any payments in UFMS. This could lead to potential shutdown of facility due to lack of funds.
- Service Units with negative or zero carry-forward balances will not be able to use any carryover dollars. Only FY09 funds (once distributed down to allowances) can be used.
- Its imperative to have a uniform structure across all areas otherwise existence of various rollup combinations causes degradation of system performance.



## UFMS Review Board

### Purpose:

- > Review proposed changes to UFMS policies and procedures
- > Provide short and long-term strategic planning
- > Recommend major changes impacting the enhancement of UFMS

### Responsibilities:

- > Assess UFMS-related proposals and their impact on program performance
- > Prioritize proposals and assess their costs and funding
- > Prepare for changing requirements within the federal financial community

## UFMS Review Board (con't)

### Meetings:

- > Meets quarterly; at least once per year in person
- > Members will make recommendations to the CFO

### Current Status:

- > The UFMSRB charter was sent out for comment on November 7, 2008
- > Comments were due to Headquarters by COB November 21, 2008
- > The first official meeting is currently scheduled for the 2<sup>nd</sup> Quarter of FY09

## UFMS Review Board (con't)

### Goals:

- > Facilitate Finance and Acquisitions planning across all 12 Areas and HQ to improve healthcare efforts at all levels
- > Provide guidance on UFMS policies and procedures to facilitate standardization across IHS
- > Promote accountability and responsibility across IHS to ensure a clean audit annually
- > Support the development of enhancements to improve accessibility of UFMS data to applicable end-users
- > Expand and maintain partnerships across IHS to ensure the optimum operation of UFMS

### Membership:

- > 1 Chairperson (CFO)
- > 14 members divided between Headquarters and Area Offices

## FY2009 Expectations

- > Performance Plan Metrics for Area Directors
  - Performing monthly cash reconciliations within the established timeframe
  - Reviewing Undelivered Orders (UDO) to ensure their validity and accuracy
- > Lowering the Suspense Balance
- > Reporting 224 Numbers from UFMS
- > Sub-Ledger Reconciliation
- > Monitoring UFMS Dashboard Items

## FY2009 Upcoming Activities

Streamlining existing UFMS processes and establishing Standardized Operating Procedures (SOP)

Strengthening internal controls, specifically regarding manual Journal Voucher entries

11.5.10 Oracle upgrade expected January 21, 2009

- Combination of cosmetic and functional changes
- Training to commence in early January

Training and Support Specialists (TASS) being trained in each Area to in turn support and train end-users in their Area Offices and Service Units

Review Board will evaluate requested enhancements to UFMS

## FY 2009 – Important Announcements

- > November 30, 2008 – JP Morgan go-live
  - Area Offices will be using Payment Net system for all their PCard activities
- > January 21, 2009 – Release 4.1 (11.5.10) Upgrade
  - **UFMS comes down COB January 15, 2009**
  - 11.5.10 upgrade activities takes place on January 16,17,18 and 19
  - UFMS comes up on January 20, 2009 for validation and verification
  - UFMS opens for regular OPDIV business on January 21, 2009
- > January 2009 Month End Close – UFMS will come down COB **January 30, 2009** in order to prepare for PSC go-live
- > February 9, 2009 – PSC go-live on iProcurement and PRISM

## Comments/Questions?