

<b>Project Team:</b>	State staff; Accenture; DFS Accounting and Auditing, Treasury, OIT
<b>Period:</b>	October 1, 2022 – October 31, 2022
<b>Submission Date:</b>	November 16, 2022

# 1 – CMS REMEDIATION REPORT

## A. Purpose

Pursuant to Proviso contained in the General Appropriations Act for the 2022-2023 fiscal year, the Department of Financial Services (DFS) is submitting the CMS Remediation Report for the replacement of the Florida Accounting Information Resource (FLAIR) system and Cash Management System (CMS) known as the Florida Planning, Accounting, and Ledger Management (PALM) Project. This report is intended to provide meaningful information related to the efforts completed by the Florida PALM Project and the divisions of Accounting and Auditing, Treasury, and the Office of Information Technology (DFS enterprise divisions), during October 2022 related to CMS remediation and assuming normal business operations. This report also includes information about Deal Management, which is transitioning to a new investment accounting solution.

## B. Summary

No new CMS remediation tickets were created, and the three remaining CMS enhancements were implemented. Four Deal Management tickets were created or resolved: one remains open at the end of the period; one incident and one service request were closed; and one enhancement was implemented.

## C. Production Support Ticket Enhancements

The Solution Center officially moved into production support mode.

## D. System Remediation

The following provides a breakout of the CMS remediation related tickets, and deal management related tickets that were opened and or closed during the period.

### *CMS Remediation Tickets Opened:*

- *Incidents (defects)* – 0 CMS remediation tickets were opened.
- *Service Requests* (e.g., how to, maintenance) – 0 CMS remediation service requests were opened.
- *Enhancements* – 0 CMS remediation enhancements were opened.

### *CMS Remediation Tickets Closed:*

- *Incidents (defects)* – 0 CMS remediation tickets were closed.
- *Service Requests* (e.g., how to, maintenance) – 0 CMS remediation service requests were closed.
- *Enhancements* – 3 CMS remediation enhancements were implemented.

### *Deal Management Remediation Tickets Opened:*

- *Incidents (defects)* – 1 Deal Management ticket was opened.
- *Service Requests* (e.g., how to, maintenance) – 0 Deal Management service requests were opened.
- *Enhancements* – 0 Deal Management enhancements were opened.

### *Deal Management Remediation Tickets Closed:*

- *Incidents (defects)* – 1 Deal Management ticket was closed.

- *Service Requests* (e.g., how to, maintenance) – 1 Deal Management service request was closed.
- *Enhancements* – 1 Deal Management enhancement was implemented.

### **E. Reconciliation Activities**

DFS Divisions of Accounting and Auditing and Treasury have assumed responsibilities for completing transaction and cash balance reconciliations as part of ongoing normal business operations. End users are updating the *Managing Cash Balance Guide* to tailor the guidance for their areas.

### **F. Stabilization Activities**

DFS Divisions of Accounting and Auditing and Treasury are working on their monthly tasks (chart of accounts confirmation, book to bank reconciliation, and error handling) as part of ongoing normal business operations. The September period was closed on 11/2/2022 in Florida PALM. The Project continues to support DFS enterprise divisions, as requested.

No CMS Remediation tickets were opened in October compared to 49 tickets opened from May 1, 2022 – September 30, 2022. As of the end of October, no CMS remediation tickets remained open.

The Project Readiness Coordinators continued to follow-up with agencies who contacted the Florida PALM Solution Center to confirm their end user questions had been answered and additional follow up was not needed.

### **G. Deal Management**

During the initial Florida PALM Cash Management System implementation, the decision was made to only implement the Deal Management module (Investment Accounting) for internally managed investments. After working within the Deal Management solution for over a year, it is apparent that the solution will not meet the Treasury needs related to Investment Accounting. In order to remediate this issue, Treasury has procured a “best of breed” investment accounting solution that will support investing into current as well as more complex securities types that will provide higher rates of return. The contract was executed during September 2022 and work commenced during this reporting period.

Deal Management processes will continue to be monitored and maintained in Florida PALM until Treasury transitions to the new Investment Accounting solution. Summary investment data will be recorded in the Florida PALM General Ledger to support financial reporting requirements after the transition.

### **H. Additional Resources**

There were no additional support materials needed for the month of October.

## **2 – ATTACHMENTS**

- CMS Remediation Report Attachment 1: Service Requests
- CMS Remediation Report Attachment 2: Incidents
- CMS Remediation Report Attachment 3: Enhancements
- CMS Remediation Report Attachment 4: Deliverables
- CMS Remediation Report Attachment 5: Deal Management

Created	Number	Short description	Description	Resolution	Priority	Agreed Resolution Time	Resolved	Closed	Agency	Ticket Type	Hours	Cost
<b>Opened Tickets</b>												
No CMS remediation service request tickets were opened this reporting period												
<b>Closed Tickets</b>												
No CMS remediation service request tickets were closed this reporting period												

Created	Number	Short description	Description	Resolution	Priority	Agreed Resolution Time	Resolved	Closed	Agency	Ticket Type	Hours	Cost
<b>Opened Tickets</b>												
	No CMS remediation incident tickets were opened this reporting period											
<b>Closed Tickets</b>												
	No CMS remediation incident tickets were closed this reporting period											

Created	Number	Short description	Description	Resolution	Priority	Agreed Resolution Time	Resolved	Closed	Agency	Ticket Type	Hours	Cost
<b>Opened Tickets</b>												
<b>No CMS remediation enhancement tickets were opened this reporting period</b>												
<b>Implemented Tickets</b>												
7/19/2022	INC30660215	Modify CMR001 to retrieve all unreconciled bank transactions and transactions with missing distribution code setup	Modify CMR001 to retrieve all unreconciled bank transactions, irrespective of BAI codes and display unreconciled bank data, even when the distribution code setup is missing	Enhancement	3 - Moderate		10/4/2022	10/7/2022	DFS	Enhancement	NA	NA
7/29/2022	INC30821364	Additional logic of the 1st coupon payment to not update any records	Add additional logic of the 1st coupon payment to not update any records, if the transaction has a status of REC	Enhancement	3 - Moderate	9/27/2022	10/25/2022	10/28/2022	DFS	Enhancement	NA	NA
9/2/2022	INC31417911	DMI001 - Cash Management - Unamortized amount is not properly calculating for Partial Sale	Track updates for unamortized amount not calculated per Treasury requirements for Partial Sale. Adding FLP_SELLHST_TBL record to FLP_DM_CUSTOM access group in Query Tree. History table created to maintain track of partial sell amount for calculation AMort and unamort amount properly for Deals where multiple partial sell involved. History record build required and Script required to insert already partial sell entries into history record.	Enhancement	3 - Moderate	9/27/2022	10/27/2022	10/30/2022	DFS	Enhancement	NA	NA

Deliverable ID	Name	Description	Deliverable Acceptance Criteria	Deliverable Amount	Estimated Payment Month
D617	CMS Hypercare and Enhancement Services (June 2022)	This deliverable will document the hypercare services as documented in Amendment 7, beyond those provided in Project Support Services, provided by the Contractor. Services may include assistance with: system configuration and troubleshooting, changes to operational processes, creation of user support materials, creation of project management action lists, redesign of NIC processes, input to month and year end close processes, creation of production queries, and other activities that are mutually agreed to between the parties.	Completion of agreed upon CMS remediation Incident Tickets and enhancements as defined in Amendment 7	\$1,505,265	August 2022 (Paid August 10, 2022)
D618	CMS Enhancement Services (July 2022)	This deliverable will document the enhancement services as documented in Amendment 7 provided by the Contractor. Services include deployment of forms and related workflows.	Completion of agreed upon enhancements as defined in Amendment 7	\$150,000	August 2022 (Paid August 29, 2022)
D619	CMS Hypercare Optional Services (July 2022)	This deliverable will document the hypercare services as documented in Amendment 7, beyond those provided in Project Support Services, provided by the Contractor. Services may include assistance with: system configuration and troubleshooting, changes to operational processes, creation of user support materials, creation of project management action lists, redesign of NIC processes, input to month and year end close processes, creation of production queries, and other activities that are mutually agreed to between the parties.	Monthly report that summarizes the activities completed	\$250,000	August 2022 (Paid August 26, 2022)
D621	CMS Hypercare Optional Services (August 2022)	This deliverable will document the hypercare services as documented in Amendment 7, beyond those provided in Project Support Services, provided by the Contractor. Services may include assistance with: system configuration and troubleshooting, changes to operational processes, creation of user support materials, creation of project management action lists, redesign of NIC processes, input to month and year end close processes, creation of production queries, and other activities that are mutually agreed to between the parties.	Monthly report that summarizes the activities completed	\$250,000	September 2022 (Paid September 26, 2022)
D627	CMS Hypercare Optional Services (September 2022)	This deliverable will document the hypercare services as documented in Amendment 7, beyond those provided in Project Support Services, provided by the Contractor. Services may include assistance with: system configuration and troubleshooting, changes to operational processes, creation of user support materials, creation of project management action lists, redesign of NIC processes, input to month and year end close processes, creation of production queries, and other activities that are mutually agreed to between the parties.	Monthly report that summarizes the activities completed	\$250,000	October 2022 (Paid October 14, 2022)

Created	Number	Short description	Description	Resolution	Priority	Agreed Resolution Time	Resolved	Closed	Agency	Ticket Type	Hours	Cost
<b>Opened Tickets</b>												
10/13/2022	INC32132741	BNY payment files related to Deal Management have Wells Fargo within files?	When we dispatch payments for Bank of New York Mellon (BNY) related to the purchases from Deal Management, I see that the payment file data within the Financial Gateway's Payment Dispatch page has Wells Fargo Bank listed for each Deal's purchase. I understand that no payment files are being sent from PALM to the banks in CMS Wave, but I also do not understand what is filling that payment file with anything Wells Fargo. This would be a low-to-medium priority item, impacting only Treasury right now. Original Email from Blake attached		3 - Moderate	12/13/2022			DFS	Deal Management		
<b>Closed Tickets</b>												
9/1/2022	INC31405481	Certain 08/31/2022 DMI001 sale transactions not processed in Florida PALM	Upon review 8/31 DM transactions, Treasury discovered that certain sale transactions on DMI001 did not actually process in Florida PALM. Two different sales of Security ID 91282CAR2 were not sold out of the Ultra-Short Duration portfolio. I do not see anything on DMI001 that would have caused these transactions to fail, and the errors from yesterday's DMI001 file were not related to these transactions.  Please research and resolve what failed in the processing of the highlighted DMI001 transactions.	Incident - Data	3 - Moderate	11/1/2022	10/6/2022	10/9/2022	DFS	Incident	NA	NA
8/15/2022	INC31102614	Modify DMI001 to implement long-term solution for INC30899024 (TRA accounting entry data lost after posting to GL)	For Day Delayed Deals, modify DMI001 to create custom accounting entries to match accounting entries created online instead of the Initial Payment	Service Request	3 - Moderate	9/22/2022	10/6/2022	10/9/2022	DFS	Service Request	NA	NA
<b>Enhancements Implemented</b>												
9/2/2022	INC31417911	DMI001 - Cash Management - Unamortized amount is not properly calculating for Partial Sale	Track updates for unamortized amount not calculated per Treasury requirements for Partial Sale. Adding FLP_SELLHST_TBL record to FLP_DM_CUSTOM access group in Query Tree. History table created to maintain track of partial sell amount for calculation AMort and unamort amount properly for Deals where multiple partial sell involved. History record build required and Script required to insert already partial sell entries into history record.	Service Request - Enhancement	3 - Moderate	9/27/2022	10/27/2022	10/30/2022	DFS	Service Request	NA	Na