

# Florida **PALM**

Planning, Accounting, and Ledger Management



# Executive Steering Committee Meeting

Department of Revenue  
Building 2, Room 1250  
May 10, 2016



# Roll Call and Committee Member Introductions

Facilitator: Robert (Budd) Kneip, Chair



# Welcome Remarks

Facilitator: Robert (Budd) Kneip, Chair



# Sunshine Laws Overview

Facilitator: Chasity O'Steen



# Sunshine Laws Overview

## Public Meetings - Scope

### Section 286.011, Florida Statutes, “Sunshine Law”

- ▶ Provides a right of access to governmental proceedings of public boards and commissions at the state and local levels.
- ▶ Applies to elected and appointed boards (limited exception for fact-finding bodies).
- ▶ Applies to any gathering of two or more members of the same board to discuss a matter that will foreseeably come before that board for action.

### 3 Basic Requirements

- ▶ Meetings of public boards or commissions must be **open to the public**; and
- ▶ Reasonable **notice** of the meetings must be given; and
- ▶ Meeting **minutes** must be taken and promptly recorded.

There is a constitutional right of access to meetings of collegial public bodies.  
See Article I, Section 24, Florida Constitution.



# Sunshine Laws Overview

## Consequences of Violations

- ▶ ***Criminal Penalties*** – A **knowing violation** is **second degree misdemeanor**; term of imprisonment up to 60 days and/or a fine up to \$500.
- ▶ ***Removal from Office*** – Governor may suspend a public officer indicted or informed against for any misdemeanor arising out of the officer's official duties in absence of other method provided by Florida Constitution or by law.
- ▶ ***Noncriminal Infractions*** – A **violation** can result in a finding of guilt of a noncriminal infraction; punishable by a fine not to exceed \$500.
- ▶ ***Attorney Fees*** – Assessed against a board or commission found to have violated the Sunshine Law; may be assessed against the individual members except in cases where the body sought, and took the advice of its attorney.
- ▶ ***Civil Actions for Injunctive and Declaratory Relief*** – Circuit courts have jurisdiction; mere showing that Sunshine Law was violated constitutes “irreparable public injury.”
- ▶ ***Action Void and Corrective Action*** – Action taken in violation of the Sunshine Law is void *ab initio*, meaning that the action is invalid and the body must engage in a full and open meeting to cure the violation; limited exception under s. 286.0114(8), F.S., regarding public right to be heard.
- ▶ ***Damages*** – Only remedies are declaration that the wrongful act was void and award of reasonable attorney fees.
- ▶ ***Bad Public Relations & Loss of Public Trust***



# Sunshine Laws Overview

## Issues to Consider

- ▶ Role of Staff Members – To provide factual information and advice. However, commission members cannot use an individual to circulate their thoughts.
- ▶ Delegation – To single member to exercise any decision-making authority, the member is acting on behalf of the commission, and meetings are subject to the Sunshine Law; exception - information gathering or fact-finding function only.
- ▶ Use of Technology – Commission members cannot use electronic means to communicate with each other about matters to come before the commission, i.e., phone, e-mails, text messages, etc.





# Sunshine Laws Overview

## Public Records - Scope

### Section 119.01(1), Florida Statutes

It is the policy of this state that all state, county, and municipal records are open for personal inspection and copying by any person. Providing access to public records is a duty of each agency.

#### What are Public Records? 3 Basic Requirements

- ▶ All **materials made or received** by an agency; and
- ▶ Used in connection with **official business**; and
- ▶ Which are used to **perpetuate, communicate, or formalize knowledge**.

There is a constitutional right to inspect or copy public records made or received in connection with the official business of any public body, officer, or employee of the state, or persons acting on their behalf.

See Article I, Section 24, Florida Constitution.



# Sunshine Laws Overview

## Public Record or Not?

- ▶ Draft of a staff memo to committee members regarding upcoming agenda item.
- ▶ E-mail from staff member to committee member on personal computer that pertains to committee business and that is intended to communicate information regarding an item on an upcoming agenda.
- ▶ Text message from staff to committee member regarding scope of Florida PALM project issue.
- ▶ Voicemail message from committee member to staff to request inclusion of substantive item on upcoming meeting agenda.
- ▶ Handwritten notes taken by a committee member at a Florida PALM meeting.
- ▶ Post on DFS Facebook page regarding Florida PALM committee agenda items and activities.
- ▶ Calendar invitation from DFS staff to committee member regarding upcoming meeting with supporting material attached.



# Sunshine Laws Overview

## Public Records Responses and Exemptions

- ▶ Required to respond within “reasonable time.”
- ▶ Balance the need for government transparency and public trust with the need to protect certain information.
- ▶ May only redact or withhold public records when there is a statutory basis or required by federal law (e.g., HIPAA) or court order.
- ▶ Difference between “exempt” or “confidential”
  - **Exempt**: Agencies are not required to release records, but disclosure is not prohibited. Agencies may decide to release records to satisfy a statutory or substantial policy need for disclosure.
  - **Confidential**: Agencies are prohibited from releasing the records unless disclosure is pursuant to a court order or the statutorily specified circumstances of the exemption.
- ▶ Please notify and seek advice of public records staff or legal counsel prior to production, redaction, or withholding of requested documents.



# Sunshine Laws Overview

## Parameters for Making Records Requests

- ▶ Requesters are entitled to anonymity.
- ▶ People may request records orally, in writing, in person, or through any other medium.
- ▶ Requesters may inspect (and photograph) public records, receive copies of records, or both.
- ▶ We must cite each statutory exemption we rely on to redact information or withhold records. If requested, we must state in writing and with particularity the reasons for the conclusion that the record is confidential or exempt.



# Sunshine Laws Overview

## Duty to Retain and Disposition of Records

- ▶ Retention schedule is governed by content of the communication; the schedule is not governed by the technology that is used to send the message.
- ▶ Understand your obligation to retain records if you use your personal computer or devices to transmit public records.
- ▶ Contact staff to discuss retention schedules that may apply and how best to retain records.



# Sunshine Laws Overview

## Financial Disclosure

- ▶ If you do not currently have a disclosure on file: Within 30 days of appointment or as soon as possible.
- ▶ If you currently have a disclosure on file: Deadline to submit forms for 2015 is no later than July 1, 2016. The 2015 form must include information regarding appointment to this Committee.
- ▶ 2015 forms will be mailed out in the next couple of weeks or may be downloaded from the Commission on Ethics website: [www.ethics.fl.us](http://www.ethics.fl.us). Return directly to:  
Commission on Ethics  
Post Office Drawer 15709  
Tallahassee, Florida 32317-5709
- ▶ Must file a final statement after leaving a position under some circumstances.



# Sunshine Laws Overview

## Helpful Resources

- ▶ Government in the Sunshine Manual:  
[http://myfloridalegal.com/webfiles.nsf/WF/RMAS-A83N4S/\\$file/2016SunshineLawManual.pdf](http://myfloridalegal.com/webfiles.nsf/WF/RMAS-A83N4S/$file/2016SunshineLawManual.pdf)
- ▶ Department of State Records Retention Schedules:  
<http://dos.myflorida.com/library-archives/records-management/general-records-schedules/>
- ▶ Chasity O'Steen at 413-4132 or  
Chasity.O'Steen@myfloridacfo.com
- ▶ Katie Privett, DFS Public Records Attorney, at  
413-4300 or Katie.Privett@myfloridacfo.com



# Florida PALM Project Overview

Facilitator: Melissa Turner





# Florida PALM Project Overview

## Vision

- ▶ Implement a statewide financial management system that enforces standardization, acts as a scalable foundation to evolve as business needs change, and positions Florida for future innovation as it considers true enterprise-wide solution



# Florida PALM Project Overview

## Goals

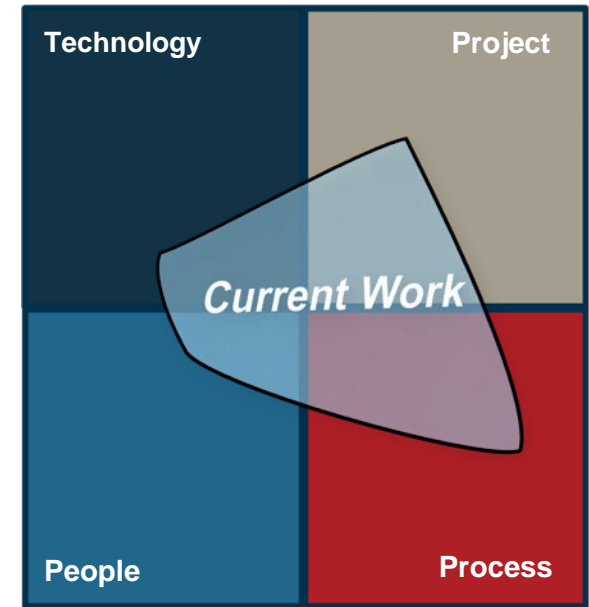
- ▶ Reduce the State's risk exposure by harnessing modern financial management technology built on the premises of scalability, flexibility, and maintainability
- ▶ Improve State and agency-specific decision-making by capturing a consistent and expandable set of data
- ▶ Improve the State's financial management capabilities to enable more accurate oversight of budget and cash demands today and in the future
- ▶ Improve productivity, reduce operational complexity, and increase internal controls by enabling standardization and automation of business processes within and between DFS agencies



# Florida PALM Project Overview

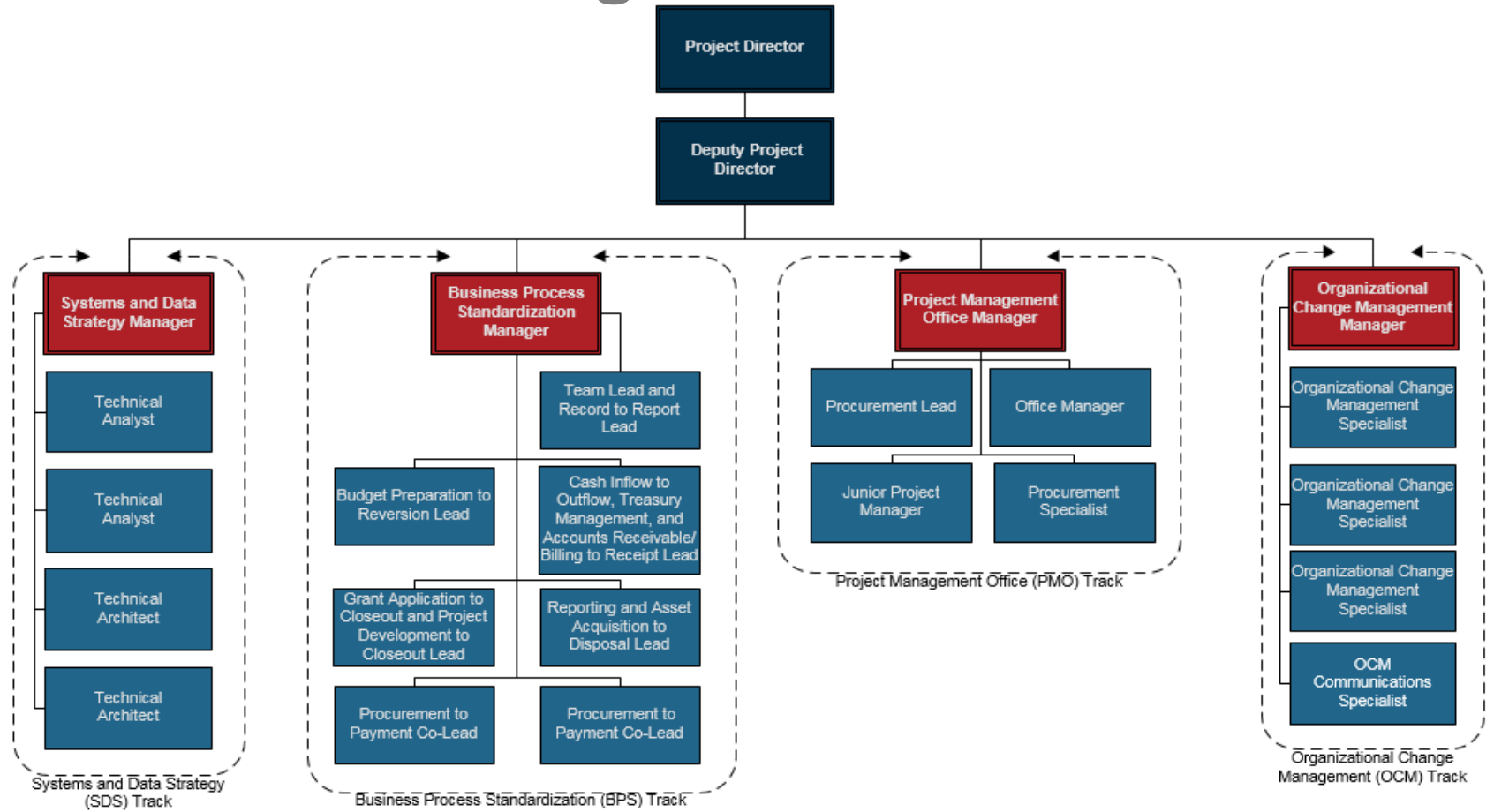
## Tracks

- ▶ Business Process Standardization (BPS)
- ▶ Project Management Office (PMO)
- ▶ Systems and Data Strategy (SDS)
- ▶ Organizational Change Management (OCM)
- ▶ *Oversight*
  - *Agency for State Technology (AST)*
  - *Independent Verification and Validation (IV&V)*



# Florida PALM Project Overview

## FY 2015-2016 Organizational Chart



20 of 25 allocated FTEs for FY2015-16 assigned to four tracks



# Florida PALM Project Overview

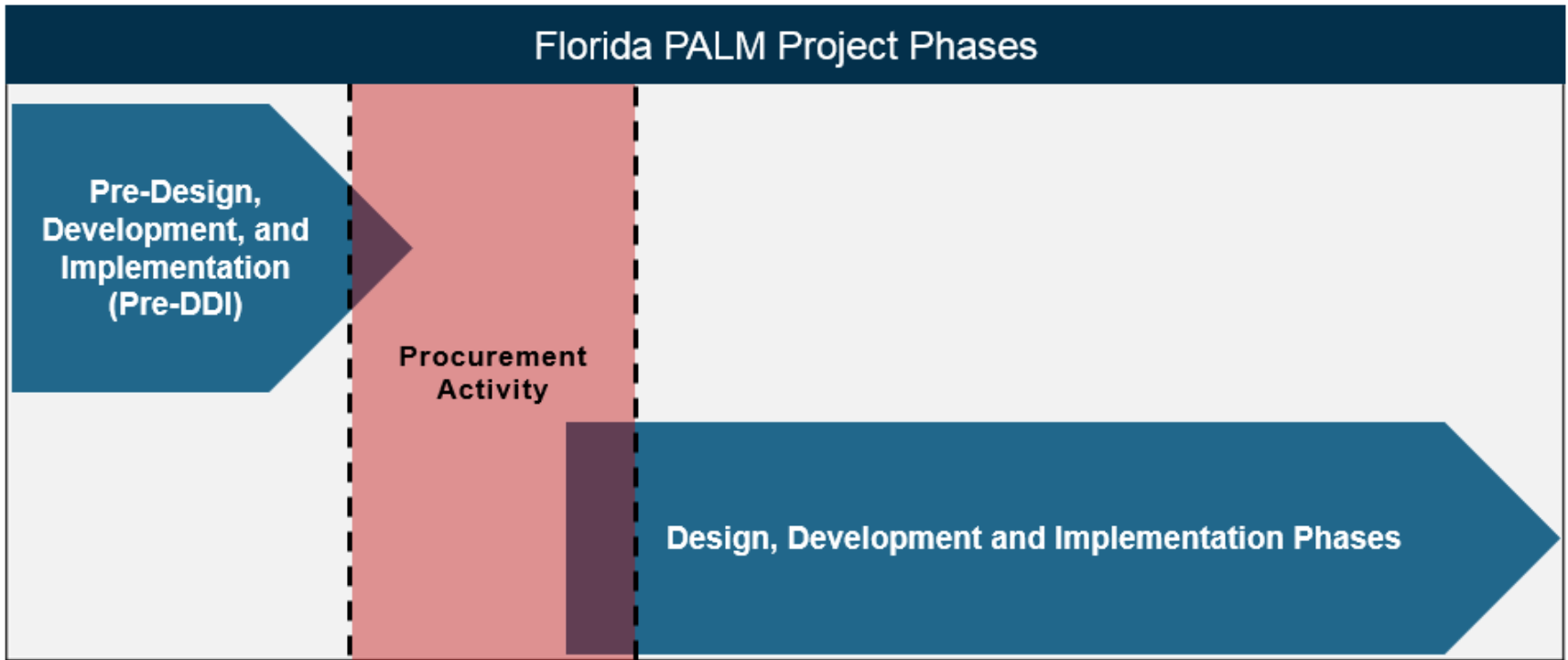
## Budget

- ▶ FY 2014-2015
  - Appropriated: \$8,992,432
  - Actual: \$2,209,546.20
  
- ▶ FY 2015-2016 (through end of March 2016)
  - Appropriated: \$11,328,570
  - Projected:
    - Annual: \$8,441,680
    - Year to Date: \$7,244,941.95
  - Incurred: \$6,512,840.73
  - Actual: \$5,806,145.82
  
- ▶ Spend Plan in progress for FY2016-2017 to reflect Appropriations \$8,777,123 and Projections



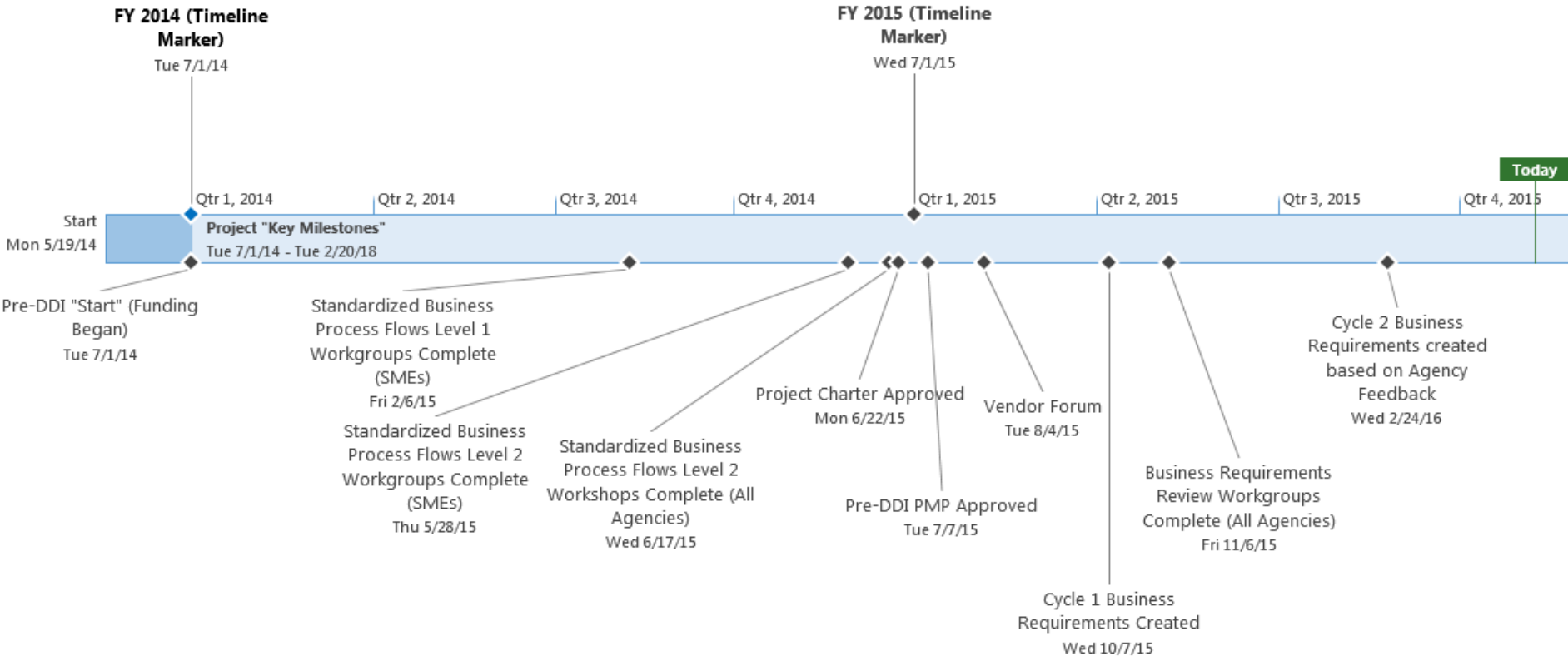
# Florida PALM Project Overview

## Timeline – Project Phases



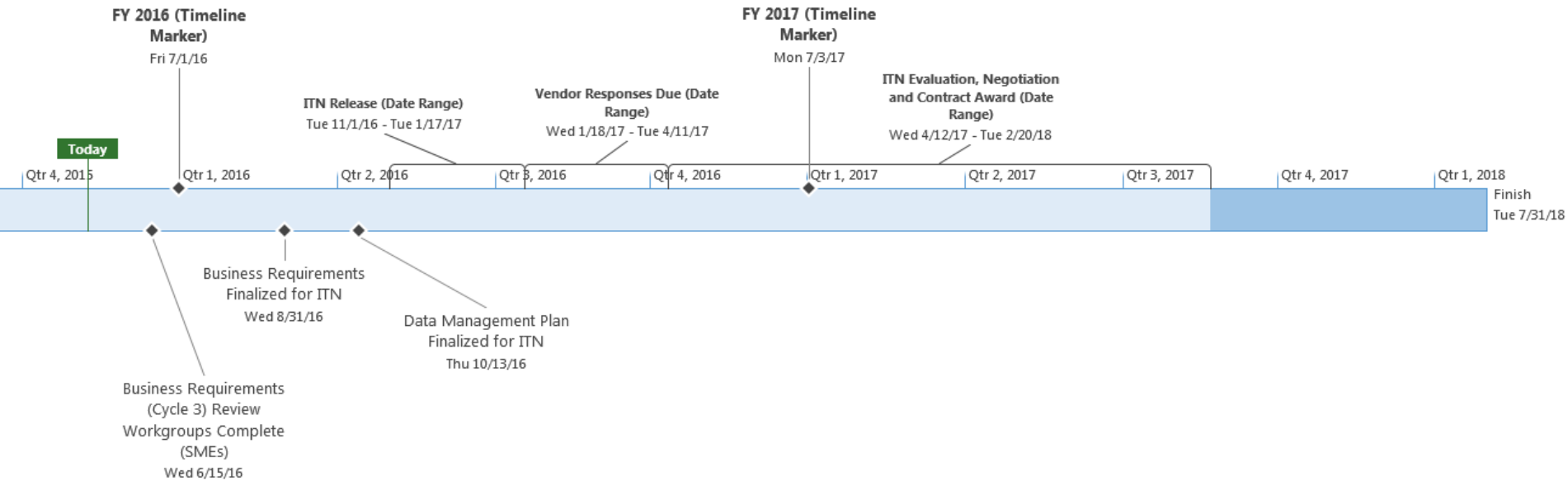
# Florida PALM Project Overview

## Timeline - Project Start to Today



# Florida PALM Project Overview

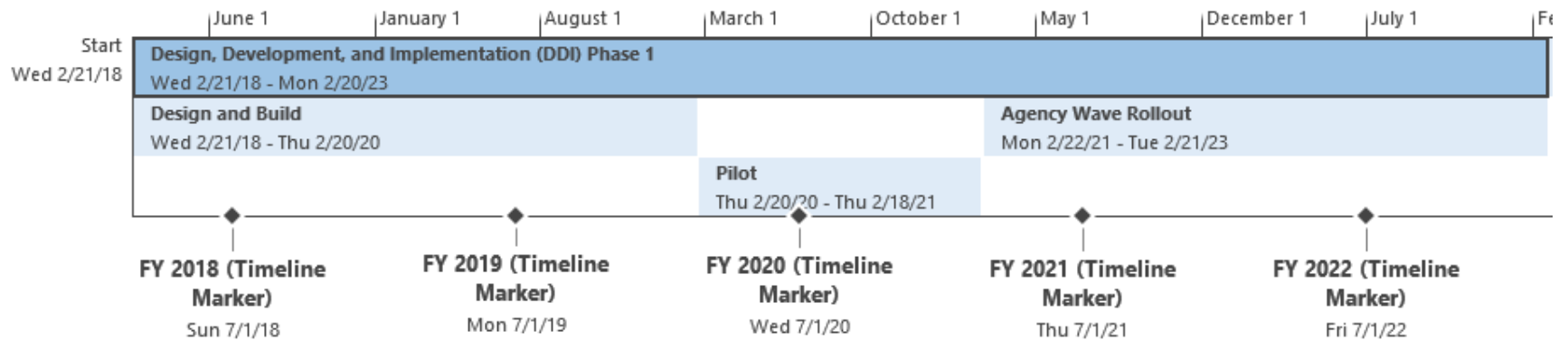
## Timeline - Today Through Procurement





# Florida PALM Project Overview

## Timeline - DDI Phase 1 (*using FLAIR Study durations*)



# Florida PALM Project Overview

## General Appropriations Act – HB 5001 (2014)

- ▶ Contract with a third party consulting firm to review and provide recommendations based on the FLAIR Study
- ▶ Submission of written quarterly Project status reports



# Florida PALM Project Overview

## General Appropriations Act – SB 2500-A (2015)

- ▶ Submission of a project management plan (PMP)
- ▶ Validation and approval of all business requirements
- ▶ Submission of a Data Management Plan (DMP)
- ▶ Contract with an independent third party consulting firm to provide Independent Verification and Validation (IV&V) services
- ▶ Submission of written quarterly Project status reports



# Florida PALM Project Overview

## General Appropriations Act – HB 5001 (2016)

- ▶ Support of IV&V Services provided by third party consulting firm
- ▶ Business Case Study conducted by third party consulting firm of systems identified in Attachment 2 of the FLAIR Study (Version 031) with distribution by November 1, 2016
- ▶ Validation and approval of all business requirements
- ▶ Submission of a data management plan (DMP)
- ▶ Release of SSI ITN no earlier than November 1, 2016
- ▶ Distribution of monthly Project status reports



# Florida PALM Project Overview

## Implementing Bill - HB 5003 (2016)

- ▶ Florida PALM must include replacement of:
  - Central FLAIR
  - Departmental FLAIR
  - Payroll
  - Information Warehouse
  - Select components of CMS
- ▶ Florida PALM shall not include duplication of core functionality provided by other information systems in FFMIS



# Florida PALM Project Overview

## Implementing Bill - HB 5003 (2016)

- ▶ The Project is expanding governance structure, with the following 15-member Executive Steering Committee:

CFO	EOG	DMS	DOR
Executive Sponsor (Chief of Staff)	Two from EOG, one with LAS/PBS experience	One Human Resource representative	One representative with SUNTAX experience
One Treasury Representative	One administrative services director appointed by the Governor from any agency	One Purchasing representative	
One DIS Representative	One administrative services director appointed by the Governor from a health care agency		
Four A&A Representatives	One administrative services director appointed by the Governor from a regulatory and licensing agency		



# Florida PALM Project Overview

## Project Support Accomplishments

- ▶ Four Track strategies developed by priority
  - BPS → PMO → SDS → OCM
- ▶ Created and Updated Project Charter
- ▶ Created and Updated Governance Charter
- ▶ Created and Maintained Master Project Schedule
  - New baseline created in April 2016 to align with new ITN release date
- ▶ Created and Maintained Project Management Plan (PMP)
  - 16 process areas identified for three phases of rollout
  - Rolled out Phase I (six in initial rollout)



# Florida PALM Project Overview

## Project Support Accomplishments

- ▶ Built partnership with Agency for State Technology
- ▶ Received IV&V assessment reports with March 2016 report indicating:
  - Overall risk status as yellow
  - Noted three summary findings as addressed
- ▶ Created Continuous Improvement Plan following IV&V assessments and AST oversight observations





# Florida PALM Project Overview

## Project Support Accomplishments

Since the Project began we have:

- ▶ Completed 223 Action Items
- ▶ Formalized 85 Decisions
- ▶ Resolved 13 Issues
- ▶ Documented 86 Lessons Learned
- ▶ Processed 19 Project Change Requests
- ▶ Mitigated 53 Risks
- ▶ Accepted 27 Deliverables



# Florida PALM Project Overview

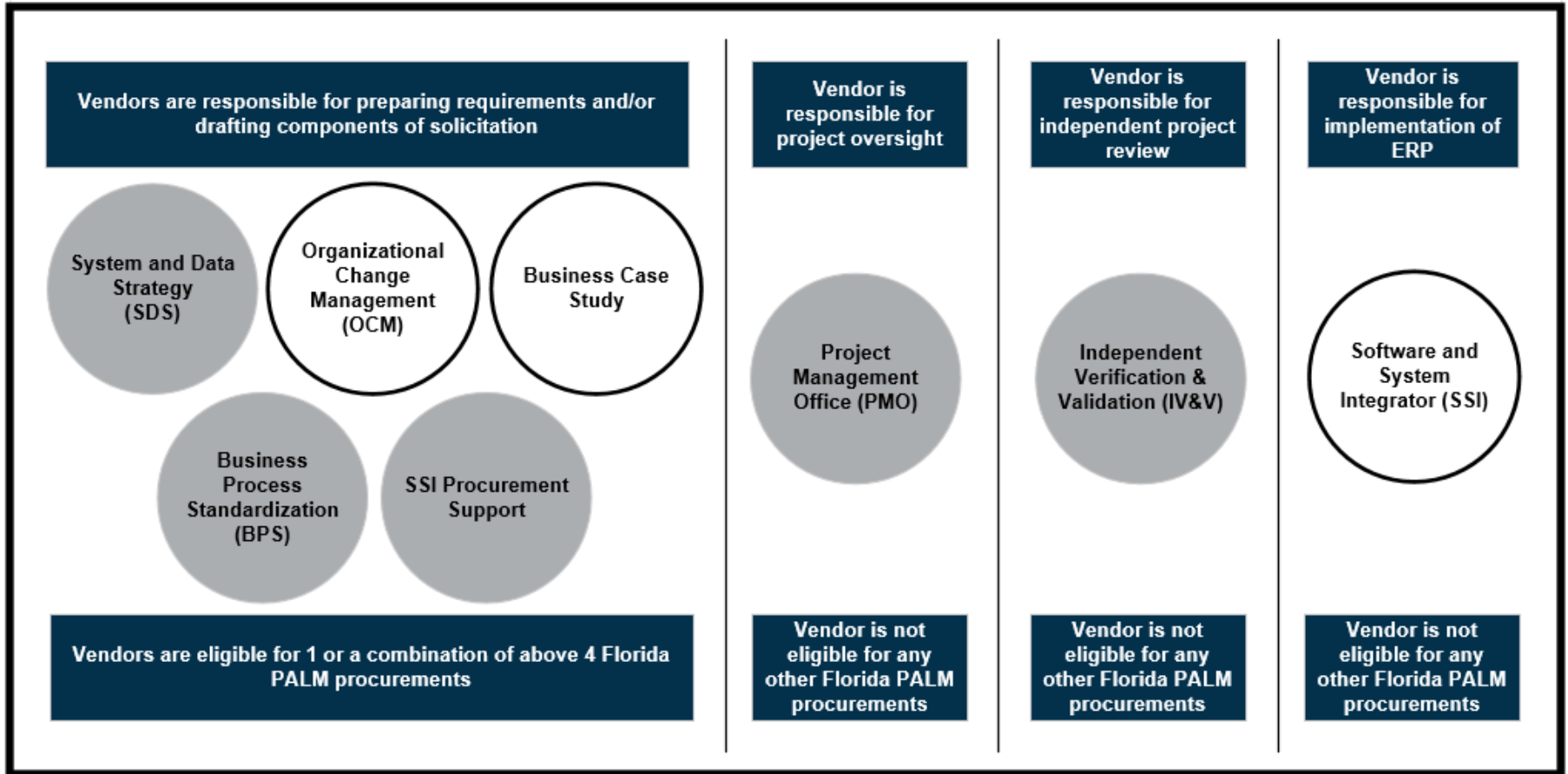
## Procurement and ITN Support Accomplishments

- ▶ Executed eight contracts for support services
  - Business Process Standardization
  - Independent Validation and Verification (IV&V)
  - Outside Legal Counsel (2)
  - Project Management Office Support (2)
  - Systems and Data Strategy Enterprise Architecture Support
  - Software and System Integrator Procurement Support
- ▶ Created initial draft of the SSI ITN



# Florida PALM Project Overview

## Procurements



# Florida PALM Project Overview

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## Business Process Standardization and Requirements Accomplishments

- ▶ **Level 2 Standardized Business Process Models**
  - Conducted 35+ Workgroups and Workshops April – June 2015
  
- ▶ **Over 3,800 Functional and Technical Business Requirements**
  - Completed Cycle 1 based on Level 2 meetings, Project Team, and DFS Divisions input
  - Completed Cycle 2 based on Agency review and feedback
    - Conducted 20 Workgroups, Workshops and Office Hours September – November 2015



# Florida PALM Project Overview

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## Collaboration and Communications Accomplishments

- ▶ Conducted 230 collaboration events:
  - Over 400 individual State agency staff
  - All 34 State agencies that use FLAIR and/or CMS
  - Numerous local municipalities, universities, and other States
  - Two Vendor Forums
- ▶ Accepted Project Pre-DDI Communications Plan
- ▶ Published over 110 documents on the Project's website (including reports, Glossary, FAQs)



# Florida PALM Project Overview

## Upcoming Project Activities

- ▶ Provide orientation to Executive Steering Committee members
- ▶ Complete a procurement to obtain a third party consulting firm who will complete a business case for maintaining any of the agency business systems identified in Attachment 2 of the FLAIR Study
- ▶ Complete assembly of Cycle 3 Business Requirements in preparation for Executive Steering Committee approval of all business requirements
- ▶ Conduct procurement to obtain support services for the Organizational Change Management (OCM) Track



# Florida PALM Project Overview

## Upcoming Project Activities

- ▶ Update Florida PALM website
- ▶ Update Master Project Schedule to identify deliverables for Executive Steering Committee approval (results of Decision # 88)
  - The Project Director will continue to accept all deliverables
  - The Executive Steering Committee will approve those deliverables identified as “major”
- ▶ Update Master Project Schedule to reflect any changes in acceptance of the Data Management Plan (Project Change Request # 21)



# Voting

Facilitator: Robert (Budd) Kneip, Chair





# New Business & Open Discussion

Facilitator: Robert (Budd) Kneip, Chair



# Next Meeting

June 8, 2016; 1 – 3 p.m.  
Department of Revenue  
Building 2, Room 1250



# Contact Information

[FloridaPALM@myfloridacfo.com](mailto:FloridaPALM@myfloridacfo.com)

[myfloridacfo.com/FloridaPALM](http://myfloridacfo.com/FloridaPALM)

