(12)(9) A copy of the filing shall ~~must~~ be submitted to the NCCI. To assure that premium deviation filings are acted upon on a timely basis, such filings should be submitted electronically to https://iportal.fldfs.com ~~to the Bureau of Property and Casualty Forms and Rates, Office of Insurance Regulation~~, 90 ~~ninety~~ days in advance of the proposed effective date. ~~Filings shall be accompanied with a self-addressed, stamped envelope for return of final order.~~

Specific Authority 624.308(1) FS. Law Implemented 624.307(1), 627.211 FS. History–New 6-4-92, Formerly 4-189.004, Amended _____.

69O-189.007 Insurer Experience Reporting – Excessive Profits, Workers' Compensation Insurance.

(1) Any insurer authorized to transact workers' compensation and employer's liability insurance in Florida shall report the data required by Section 627.215, Florida Statutes, by completing and submitting to the Office form OIR-B1-15 "Workers' Compensation Excessive Profits Reporting Form" in accordance with the instructions provided therein.

(2) Data submitted on form OIR-B1-15 is to be for Florida policyholders and shall be direct with respect to reinsurance.

(3) Form OIR-B1-15 is to be filed on or before July 1 of each year.

(4) No change.

(5) For the purposes of form OIR-B1-15, the following definitions shall apply:

(a) through (c) No change.

(6) Form OIR-B1-15 (rev. 1/01), Workers' Compensation Excess Profits Reporting Form F~~, as amended,~~ is hereby incorporated by reference ~~and shall take effect on January 1, 2001~~ and may be obtained from the Office's web site at www.fldfs.com. ~~Bureau of Property and Casualty Forms and Rates, Office of Insurance Regulation, Larson Building, 200 East Gaines Street, Tallahassee, Florida 32399-0330.~~

Specific Authority 624.308(1), 627.215 FS. Law Implemented 624.307(1), 627.215 FS. History–New 6-14-84, Amended 7-1-85, Formerly 4-59.061, Amended 6-1-88, Formerly 4-59.0061, Amended 12-20-00, Formerly 4-189.007, Amended _____.

69O-189.014 Workers' Compensation Rating Plan for Managed Care Premium Credits.

Specific Authority 624.308(1) FS. Law Implemented 440.134, 624.307(1), 624.461, 624.482, 626.9541(1)(a),(b),(e), 627.091, 627.101, 627.191 FS., Section 95 of Chapter 93-415, Laws of Florida. History–New 8-15-94, Formerly 4-189.014, Repealed _____.

NAME OF PERSON ORIGINATING PROPOSED RULE: Jim Watford, Actuary, Bureau of Property and Casualty Forms and Rates, Office of Insurance Regulation
NAME OF SUPERVISOR OR PERSON WHO APPROVED THE PROPOSED RULE: Lisa Miller, Deputy Director, Forms and Rates, Office of Insurance Regulation
DATE PROPOSED RULE APPROVED BY AGENCY HEAD: October 25, 2004

DATE NOTICE OF PROPOSED RULE DEVELOPMENT PUBLISHED IN FAW: May 7, 2004

Section III
Notices of Changes, Corrections and Withdrawals

DEPARTMENT OF COMMUNITY AFFAIRS
Florida Building Commission
RULE NO.:   RULE TITLE:
9B-3.047   State Building Code Adopted
NOTICE OF HEARING CHANGE
Notice is hereby given that the hearing associated with the Notice of Change for the above rule which was published on October 29, 2004, has been changed. It was originally scheduled for 9:00 a.m. on December 7, 2004, and has been rescheduled as follows:
TIME AND DATE: 3:30 p.m., December 7, 2004
PLACE: Rosen Centre Hotel, 9840 International Drive, Orlando, Florida 32819
Any person requiring special accommodations at the hearing because of a disability or physical impairment should contact Ila Jones, Community Program Administrator, Department of Community Affairs, 2555 Shumard Oak Boulevard, Sadowski Building, Tallahassee, Florida 32399-2100, (850)487-1824, at least seven days before the date of the workshop. If you are hearing or speech impaired, please contact the Department of Community Affairs using the Florida Dual Party Relay System, which can be reached at 1(800)955-8770 (voice) or 1(800)955-9771 (TDD).
THE PERSON TO BE CONTACTED REGARDING THE PROPOSED RULE IS: Ila Jones, Community Program Administrator, Department of Community Affairs, 2555 Shumard Oak Boulevard, Sadowski Building, Tallahassee, Florida 32399-2100, (850)487-1824.

BOARD OF TRUSTEES OF THE INTERNAL IMPROVEMENT TRUST FUND
Pursuant to Chapter 2003-145, Laws of Florida, all notices for the Board of Trustees of the Internal Improvement Trust Fund are published on the Internet at the Department of Environmental Protection's home page at http://www.dep.state.fl.us/ under the link or button titled "Official Notices."

DEPARTMENT OF MANAGEMENT SERVICES
State Technology Office
RULE CHAPTER NO.:   RULE CHAPTER TITLE:
60DD-7   Florida Information Technology
                                    Life Cycle Policies and
                                    Standards

NOTICE OF CHANGE

Notice is hereby given that the following changes have been made to the proposed rules in accordance with subparagraph 120.54(3)(d)1., F.S., published in Vol. 30, No. 39, of the September 24, 2004 issue of the Florida Administrative Weekly:

60DD-7.001 Purpose; Definitions; Policy; and Applicability.

(1) Purpose.

(a) Rules 60DD-7.001-7.014, F.A.C., shall be known as the Information Technology Life Cycle Policies and Standards.

(b) It is the intent of this rule chapter to establish an Information Technology (IT) Life Cycle which provides a flexible framework for approaching a variety of information technology projects. Primary emphasis is placed on the information and systems decisions to be made and the proper timing of decisions. The framework enables system developers, project managers, program/account analysts, and business/system owners and users to combine activities, processes and products, as appropriate, and to select the tools and methodologies best suited to the unique needs of each project. The purpose of the Information Technology Life Cycle is to:

1. Establish a common Project Management Methodology identifying the phases of an information technology project, specific processes to be performed within each phase and standard tasks that comprise each process.

2. Establish a common Information Systems Development Methodology outlining procedures, practices, and guidelines governing the initiation, concept development, planning, requirements analysis, design, development, integration and test, implementation, operations, maintenance and disposition of information technology.

3. Define minimum standards and provide a best practice model which establishes the framework and processes for a structured approach to the complete life cycle management of information technology resources. Standards are required administrative procedures or management controls utilizing current, open, non-proprietary or non-vendor specific technologies.

(c) The Project Management Methodology and the Information Systems Development Methodology are two different parts of the Information Technology Life Cycle that work in conjunction with one another: Project Management defines how to manage a project; the Information Systems Development Methodology describes the tasks that must be completed to produce a product or service.

(2) Definitions.

(a) The following terms are defined:

1. Acceptance Management – A process to be used throughout a project to obtain approval from an authorized Customer Decision Maker for work done on the project to date. This process is defined and included in the Project Plan. The approval at each phase means the deliverable(s) are completed to the satisfaction of the Customer. In order for a deliverable to be considered "complete" and "acceptable" it is measured against pre-determined acceptance criteria.

2. Agency – Those entities described in Section 216.011(1)(qq), F.S.

3. Availability Date – The date, as established by a holding agency, on which information technology equipment to be released as surplus will be removed from the operational environment.

4. Best Practice – A technique or methodology that, through experience and research, has proven to reliably lead to a desired result. A commitment to using the best practices in any field is a commitment to using all the knowledge and technology at one's disposal to ensure success.

5. Change Control Board (CCB) – A formally constituted group of Sstakeholders (including the Project Sponsor) responsible for approving or rejecting changes to the project.

6. Change Management – Provides methods to identify, track, evaluate, and integrate requested changes to the scope of the project. Each change request is documented and submitted for approval by the project's Change Control Board (CCB). All requests (approved or not) are logged and tracked by the Project Manager.

7. Comprehensive Risk Analysis – A process that systematically identifies valuable system resources and threats to those resources as defined in rule subparagraph 60DD-2.001(2)(a)47., F.A.C., quantifies loss exposures (i.e. loss potential) based on estimated frequencies and costs of occurrence, and recommends how to allocate resources to countermeasure so to minimize total exposure. The analysis lists risks in order of cost and criticality, thereby determining where countermeasures should be applied first.

8. Communication Plan – Defines how information about the project will be delivered to the Pproject Tteam members, Project Ssponsor(s), Sstakeholders, Customers business owners, and Users. The Communication Plan details the method (i.e., e-mail, reports, meetings) and frequency of communication by whom and to whom.

9. Configuration Management – A discipline applying technical and administrative direction to identify and document the functional and physical characteristics of a system component, control changes to those characteristics, record and report change processing and implementation status, and verify compliance with specified requirements.

10. Customer – members of the Organization(s) that identified the need for the product or service the project will develop. A Customer may or may not be a User.

11. Customer Decision-Makers – Those members of the Customer community of the Organization who have been designated to make project decisions on behalf of major business units that will use, or will be affected by, the product or service the project will deliver.

12. Customer Representatives – Members of the Customer community of the Organization that are identified and made available to the project for their subject matter expertise. Their main responsibility is to accurately represent the Organization's business needs, act as a liaison between the Project Team and the Organization, participate in testing the product or service, and using and evaluating the product or service while providing feedback to the Project Team.

13. Deliverable – A product or service satisfying one or more objective of the project.

14. Digital Divide Council – A State Technology Office program permitting governmental entities in Florida to list surplus equipment to determine whether community centers or not-for-profit entities are eligible to and wish to receive surplus information technology equipment free of charge.

15. Holding Agency – Any agency as defined in Section 282.0041(1), F.S., which has accountability for the information technology equipment to be declared surplus.

16. Information Systems – The application programs and databases used by state agencies to carry out agency missions and responsibilities.

17. Information Systems Development Methodology – A set of principles, practices and procedures which is used to define, develop, and implement information systems. An information systems development methodology guides the sequence of working tasks, defines task prerequisites and results, and establishes key checkpoints. It may also identify the resources, tools and techniques to be used for a task or set of tasks.

18. Information Systems Development Tools and Techniques – Specific strategies or standardized methods or procedures to guide the execution of one or more systems development tasks. Prototyping, joint applications design, structured analysis and design, information engineering, object-oriented design, reverse engineering, and structured programming are examples of systems development methods. Computer-aided software (or systems) engineering (CASE) products, fourth-generation languages and data dictionaries are examples of automated tools and enabling technologies that are used in conjunction with information systems development methodologies.

19. "Information Technology," "Information Technology Resources," "Information Resources," or "Information Technology System" – Any transmission, emission or reception of signs, signals, writings, images, and sounds of intelligence of any nature by wire, radio, optical, or other electromagnetic systems and includes all facilities and equipment owned, leased, or used by all agencies and political subdivisions of state government, and a full-service information-processing facility offering hardware, software, operations, integration, networking and consulting services.

20. Information Technology Equipment – Information technology equipment designed for the automated storage, manipulation, or retrieval of data by electronic or mechanical means, or both, including, but not limited to, central processing units, including mini-processors and micro-processors, and related peripheral equipment such as data storage devices, document scanners, data entry, terminal systems, computer-related word processing systems and equipment and systems for computer networks.

21. Issue Management and Escalation – A process for capturing, reporting, escalating, tracking, and resolving problems that occur as a project progresses.

22. Maintenance Services – The remedial or preventive procedures performed on information technology equipment.

23. Networks or networking – Networks provide design, programming, development and operational support for local area networks ("LANs"), wide area networks ("WANs") and other networks. Networks support client/server applications, telephony support, high-speed or real-time audio and video support and may develop and/or utilize bridges, routers, gateways and transport media.

24. Organization – A business unit ~~within an agency~~ that identifies a business need~~(s)~~ for the product or service the project will develop. Frequently an o~~O~~rganization will identify key Customer Representatives and Customer Decision-Makers.

25. Phase – A series of processes organized into a distinct stage of project development. The end of a project phase usually coincides with the approval of a major deliverable.

26. Platform – The foundation technology of a computer system. The hardware and systems software that together provide support for an application program and the services they support.

27. Process – A series of actions bringing about a result.

28. Project – A temporary endeavor undertaken to create a unique product or service.

29. Project Manager – The person responsible for ensuring that the Project Team completes the project. The Project Manager develops the Project Plan with the Project T~~t~~eam and manages the team's performance of project tasks. It is also the

responsibility of the Project Manager to secure acceptance and approval of deliverables from the Project Sponsor and Stakeholders.

30. Project Sponsor – A manager with demonstrable interest in the outcome of the project who is responsible for securing spending authority and resources for the project. Ideally, the Project Sponsor should be the highest-ranking manager possible, in proportion to the project size and scope. The Project Sponsor initiates the Project Proposal process, champions the project in the Organization, approves major deliverables, signs off on approvals to proceed to each succeeding project phase and is the ultimate decision-maker for the project. The Project Sponsor may elect to delegate any of these responsibilities to other agency personnel.

31. Project Team – One or more resources responsible for executing tasks and producing deliverables as outlined in the Project Plan and directed by the Project Manager, at whatever level of effort or participation that has been defined for them.

32. Provider – A third party such as contractor, vendor or private organization providing products, services or support.

33. Quality Assurance – Evaluation of project performance on a regular basis to ensure that the project will satisfy the established quality standards.

34. Quality Control – Monitoring of project results to ensure compliance with the appropriate established quality standards and to eliminate causes of non-compliance.

35. Quality Standards – Criteria established to ensure that each deliverable created meets a certain level of quality agreed to by the Customer and Project Manager.

36. Repairs required – FAIR – <u>A condition of equipment in which r</u>Required repairs are considerable and are estimated to range from 16 percent to 40 percent of original acquisition cost.

37. Repairs required – GOOD – <u>A condition of equipment in which r</u>Required repairs are minor and should not exceed 15 percent of the original acquisition cost.

38. Repairs required – POOR – <u>A condition of equipment in which r</u>Required repairs are major because property is badly damaged, worn or deteriorated, and are estimated to range from 41 percent to 65 percent of the original acquisition cost.

39. Risk – <u>An uncertain event or condition that, if it occurs, has a positive or negative effect on the project objectives; or t</u>The likelihood or probability that a loss of information resources will occur <u>as defined in subparagraph 60DD-2.001(2)(a)69., F.A.C.</u>

40. Risk Analysis, risk assessment – See: Comprehensive Risk Analysis.

41. Risk Management – Decisions and subsequent actions designed to accept exposure or to reduce vulnerabilities by either mitigating the risks or applying cost effective controls.

42. Systems Development – Refers to all actions, functions or activities performed by agencies for the purpose of defining, acquiring, developing, enhancing, modifying, testing, or implementing information systems.

43. User – An individual or Organization who operates or interacts directly with the system; one who uses the services of a system. <u>A</u> ~~This~~ user may or may not be the <u>c</u>~~C~~ustomer.

(b) Other terms shall have their commonly understood meaning.

(3) ~~Policy. It is the policy of the~~ State <u>agencies shall</u> ~~of Florida that all state~~ follow a structured Information Systems Development Methodology in managing information technology resources. Due to a wide variance in methods, techniques and tools used to support the evolution of systems, the Information Technology Life Cycle set forth in this rule:

(a) Defines a set of phases, tasks, activities and deliverables that are normally associated with information technology projects;

(b) Identifies a minimal set of tasks and activities that can be used to provide required deliverables;

(c) Provides a flexible set of phases, tasks, activities and deliverables that allow for variations in size, scope and complexity of information technology projects; and

(d) Provides a framework that can accommodate the use of various systems development methodologies, tools and techniques.

(4) Applicability.

(a) The Information Technology Life Cycle Policies and Standards of this rule chapter apply to all entities described in Section 216.011(1)(qq), F.S. As set forth in Section<u>s 282.005(9), and</u> 282.3031, <u>F.S.</u>, the functions of information resources management are assigned to the university boards of trustees <u>for the development and implementation of planning, management, rulemaking, standards, and guidelines for the state universities</u>; to the community college boards of trustees for <u>establishing and developing rules for</u> the community colleges; to the Supreme Court for the judicial branch; to each state attorney and public defender; and to the State Technology Office for the agencies within the executive branch of state government.

(b) Exceptions. The policies and standards set forth in this rule chapter shall not affect the supervision, control, management or coordination of information technology and information technology personnel that any cabinet officer listed in s. 4, Art. IV, Florida Constitution deems necessary for the exercise of his or her statutory or constitutional duties.

60DD-7.002 Project Management Methodology.

(1) Key Principle. The Project Management Methodology set forth in this rule chapter is aligned with the *Project Management Institute's (PMI[©]) Guide to the Project*

Management Body of Knowledge (PMBOK©), the recognized American National Standards Institute standard, incorporated by reference at subsection 60DD-7.014(1), FAC.

(2) Project Management Methodology Overview. While no two projects are alike, all projects should progress through the same five project management phases:

(a) Project Origination – In this phase an individual proposes a project to create a product or develop a service that addresses a need for the Organization. The Organization submits the Project Proposal to an evaluation and selection process. If selected, a budget or further management commitment for the project is required before a Project Manager is assigned and the project is authorized to progress to Project Initiation. Processes include:

1. Develop a Project Proposal – Tasks include developing a Business Case and a Proposed Solution.

2. Evaluate a Project Proposal – Tasks include presenting, evaluating and optionally rating the Project Proposal using predetermined evaluation criteria.

3. Accepting or rejecting the Project Proposal.

(b) Project Initiation – A Project Manager is assigned and works with the Project Sponsor to identify the necessary resources and team members needed to further develop the key project parameters: Cost, Scope, Schedule and Quality. The Project Team documents its charge in the form of a Project Charter, which is based on the Project Proposal, which includes the initial Business Case. Approval of the Project Charter by the Project Sponsor authorizes the designated team to begin the initial planning effort. The initial Project Plan differs in the level of detail and the validity of its estimates from Project Origination, and must be at a level sufficient to acquire any additional resources needed to progress. The Project Plan also includes plans for involving and communicating with all parties that are affected by the project, as well as identification of an initial set of foreseeable risks that can threaten the project. At the conclusion of Project Initiation, based on the initial planning documents, the Business Case is revised and re-evaluated and a decision is made to either halt the project or proceed to Project Planning. Processes include:

1. Preparing for the Project – Tasks include identifying a Project Sponsor, identifying the initial Project Team, reviewing historical information, developing a Project Charter, conducting a Project Kick-Off Meeting and Establishing a Project Repository.

2. Defining the Cost, Scope, Schedule and ~~Quantity~~ Quality – Tasks include defining the Project Scope, developing a high-level Schedule, identifying Quality Standards and establishing a Project Budget.

3. Performing Risk Identification – Tasks include identifying and documenting Risks.

4. Developing Initial Project Plan – Tasks include identifying and documenting Stakeholders' involvement in project, developing a Communication Plan, and compiling/gathering all information to produce the initial Project Plan.

5. Confirming Approval to Proceed to Next Step – Tasks include reviewing and refining the Business Case, preparing Formal Acceptance package, and gaining Approval Signature from Project Sponsor.

(c) Project Planning – This phase builds on the work done is Project Initiation, refining and augmenting Cost, Scope, Schedule, Quality and Project Plan deliverables. A number of key elements are added to the Project Plan, including project-specific items such as change control, acceptance management and issue management, as well as items such as organizational change management and project transition. The initial list of project risks is augmented, and detailed mitigation plans are developed. Project Planning marks the completion of the Project Plan. At the conclusion of Project Planning, the Business Case is revised and re-evaluated based on the completed planning documents and a decision is again made to either halt the project or commit the resources necessary for Project Execution and Control. Processes include:

1. Conducting Project Planning Kick-Off – Tasks include orienting new Project Team Members, reviewing outputs of Project Initiation and current Project Status, and kicking off project planning.

2. Refining the Cost, Scope, Schedule and Quality parameters – Tasks include refining the Project Scope, Project Schedule, Quality Standards and Quality Assurance activities and the Project Budget.

3. Performing Risk Assessment – Tasks include identifying new Risks and updating existing Risks as needed, quantifying the Risks and developing a Risk Management Plan.

4. Refining the Project Plan – Tasks include defining Change Control, Acceptance Management, Issues Management and Escalation processes, refining the Communications Plan, defining the Organizational Change Management Plan, establishing Time and Cost Baseline, developing the Project Team, and developing the Project Implementation and Transition Plan.

5. Confirming Approval to Proceed to Next Phase – Tasks include reviewing and refining the Business Case, preparing the Formal Acceptance package, and gaining Approval Signature from the Project Sponsor.

(d) Project Execution and Control – The phase where most of the resources are applied/expended on the project. The primary task of the Project Manager during this phase is to manage and control the tasks on the defined project Schedule to develop the product or service the project is expected to deliver and manage the project's budget, scope, schedule and risks. The Project Manager uses the processes and plans

prepared during Project Initiation and Project Planning to manage the project, while preparing the business organization for the implementation of the product/service and for transitioning the product/service responsibility from the Project Team to the Organization. Processes include:

1. Conducting Project Execution and Control Kick-Off – Tasks include orienting new Project Team Members (as needed), reviewing outputs of Project Planning, and kicking-off Project Execution and Control.

2. Managing Cost, Scope, Schedule and Quality parameters – Tasks include managing the Project Scope, Project Schedule and Project Budget, and implementing Quality Control.

3. Monitoring and Controlling Risks – Tasks include monitoring and controlling Risks and impact Risks have on Costs, Scope, Schedule and Quality.

4. Managing Project Execution – Tasks include managing Change Control processes, acceptance of Deliverables, managing Issues, executing the Communication Plan, managing Organizational Change, managing the Project Team, and managing the Project Implementation and Transition Plan.

5. Gaining Project Acceptance – Task include conducting the Final Status Meeting and gaining Acceptance Signature from the Project Sponsor.

(e) Project Closeout – In this last phase the Project Team assesses the outcome of the project, as well as the performance of the Project Team and the Organization. This assessment is accomplished primarily through soliciting and evaluating feedback from Customers, Project Team members, Consumers and other Stakeholders. The primary purpose of this assessment is to document best practices and lessons learned for use on future projects. Key project metrics are also captured to enable the business Organization to compare and evaluate performance measurements across projects. Processes include:

1. Conducting the Post-Implementation Review – Tasks include soliciting Feedback, conducting Project Assessment, and preparing the Post-Implementation Report.

2. Performing Project Closeout – Tasks include updating skills inventory, providing performance feedback, and archiving Project Information (repository).

60DD-7.005 Needs Assessment or Feasibility Phase.

(1) Objective. Needs Assessment or Feasibility assessment begins when the Business Case has been formally approved and additional analysis needed prior to the beginning of system development. Depending on the size, scope and complexity of the business need, a Feasibility Study may be required in lieu of a standard Needs Assessment.

(2) Tasks and Activities. The following activities shall be performed as part of the Needs Assessment or Feasibility Phase:

(a) The Project Team, if appointed at this phase, or business or technical experts should analyze all feasible technical, business process, and commercial alternatives which may meet the business need. Each alternative should then be analyzed in terms of life cycle cost, technical capability and schedule availability.

(b) A high-level baseline of schedule, cost, and performance measures should be prepared. The baseline estimates will be refined in subsequent phases.

(c) An Acquisition Strategy shall ~~may~~ be prepared which identifies how ~~who will accomplish~~ the required work will be accomplished (such as in-house staff, external contractors, hosted solution or commercial off-the-shelf (COTS) solution). ~~An Acquisition Strategy may deal with issues such as currently available technologies, or Commercial Off-the-Shelf (COTS) solutions.~~

(d) An initial Risk Analysis should be performed which identifies any programmatic or technical risks and documented in a Risk Management Plan and possibly the Cost Benefit Analysis.

(e) Project Funding, staff and other resources should be clearly identified.

(3) Deliverables. The following deliverables shall be initiated during the Needs Assessment or Feasibility Phase:

(a) A Needs Assessment or Feasibility Study which identifies the scope, high-level requirements, benefits, business assumptions, and program costs and schedules. It records management decisions on the proposed system. If a Feasibility Study is required, it should also address whether feasible solutions exist before full life cycle resources are committed, as well as how the Organization will operate once the approved system is implemented and assess how the system will impact employees and customers.

(b) A Cost Benefit Analysis which identifies cost or benefit information for analyzing and evaluating alternative solutions to a problem and for making decisions about initiating, and continuing, the development of information technology systems. The analysis should clearly indicate the Total Cost of Ownership over the life of the system, or ~~at least~~ projected to five or more years.

(c) A high-level Project Spending Plan which addresses all proposed project and implementation costs.

(d) A Risk Management Plan which identifies project risks and specifies the plans to reduce or mitigate the risks.

(e) Other documents as required by agency.

(4) Approvals. Results of this phase should be presented to all Stakeholders and Customer Decision Makers, along with a recommendation to:

(a) Proceed to next phase; or

(b) Continue additional Needs Assessment or Feasibility analysis; or

(c) Terminate the project.

(5) Phase Review and Approvals. Approval will be annotated on the Business Case by the Project Sponsor, the Agency Chief Information Officer, and any other agency staff as needed (for example, Budget or Planning Officer).

60DD-7.006 Planning Phase.

(1) Objective. To ensure the products or services being acquired or developed provide the required capability on-time and within budget, items such as project resources, activities, schedules, tools, and reviews are clearly defined.

(2) Tasks and Activities. The following activities shall be performed as part of the Planning Phase:

(a) The Acquisition Strategy is reviewed and the role of system development contractors is reviewed and finalized. For example, one strategy option may include system contractors to be used in the Requirements Analysis Phase. In this case, the Planning Phase must include solicitation preparation and source selection of the participating contractors.

(b) The Project Schedule should be refined taking into account risks and resource availability.

(c) All processes to be used for the remainder of the project should be clearly identified. This may result in establishing teams or work groups for creating, gathering or adapting/adopting processes such as quality assurance, configuration management, change management and change control.

(d) Establish relationships and agreements with internal and external organizations that will be involved with the project.

(e) Develop the Project Management Plan, or Project Plan, which will be used to execute the management aspects of the project. A Work Breakdown Structure should also be created at this time.

(f) Study and analyze security implications of the technical alternatives and ensure the alternatives address all aspects or constraints imposed by security requirements. These may be documented in a System Security Plan as needed.

(g) Depending on the Acquisition Strategy, the Planning Phase may be used to plan the solicitation and the selection criteria for awarding all external acquisition solutions, or the Planning Phase may be delayed until the completion of the Requirements Analysis Phase in order to distribute the detailed Functional Requirements Document to prospective vendors.

(3) Deliverables. The following deliverables shall be initiated during the Planning Phase.

(a) An Acquisition Plan which addresses how all state resources, contractor support services, hardware, software, security, telecommunications and other resources as needed will be acquired during the life of the project.

(b) A Configuration Management Plan shall be prepared which describes the process that will be used to identify, manage, control and audit the project's configuration. This plan should also define the configuration management structure, roles and responsibilities to be used in executing these processes.

(c) A Quality Assurance Plan shall be prepared which documents that the delivered products or services satisfy contractual agreements, and meet or exceed quality standards established in the prior phase.

(d) A System Security Plan shall be prepared consistent with the Florida Information Resource Security Policies and Standards detailing the types of information technology security required based, at a minimum, on the type of information being processed and the degree of sensitivity.

(e) A Project Management Plan, or Project Plan, shall ~~be prepared for all projects regardless of size or scope. It shall~~ document the required job tasks, schedule, allocated resources and interrelationships with other projects, milestones and review requirements.

(f) A Performance Management Plan shall be prepared that identifies the performance measurements, and associated metrics, that will be satisfied by completion of the project.

(g) An initial Testing or Validation Plan may be prepared at this phase, or delayed until the Requirements Analysis Phase.

(h) Other documents as required by agency.

(4) Phase Review and Approvals. The Project Manager, together with the Project Team, will prepare and present a Project Status Review for the Project Sponsor and all Customer Decision Makers and Stakeholders (as needed). The review should address:

(a) Planning Phase activities status;

(b) Planning Status for subsequent phases – emphasizing details of next phase;

(c) Resource Availability; and

(d) Outstanding Issues or Risks.

60DD-7.007 Requirements Analysis Phase.

(1) Objective. The Requirements Analysis Phase begins when the Project Sponsor has approved all Planning documents associated with the project. The analysis gathered in this phase may reveal new insights into the overall information systems requirements. When this occurs, all deliverables will be revised to reflect the updated analysis. The emphasis should be on determining what functions must be performed, rather than how to perform those functions. Information gathered in this phase includes:

(a) Inputs;

(b) Processes (described at the functional level);

(c) Outputs;

(d) Interfaces; and

(e) Other agency requirements as needed.

(2) Tasks and Activities. The following activities shall be performed as part of the Requirements Analysis Phase:

(a) Analyze and Document Requirements. Project Team members should analyze the intended use of the system and specify the functional and data requirements. Data and workflow diagrams, entity-relationship diagrams and/or process models may be prepared to represent relationships between business functions and required data. A high-level technical architecture and logical design may be prepared that describes the key processes and data needed to support the desired business functionality. Users and business area experts should be used to evaluate all identified processes and data structures to ensure accuracy and completeness. Items to be evaluated include:

1. Functional and capability specifications, including performance, physical characteristics and environmental conditions;

2. External interfaces;

3. Safety specifications, including those related to operations and maintenance, environment, personal injury;

4. Security specifications;

5. Data definitions and database requirements;

6. Installation and acceptance requirements;

7. User documentation; and

8. User operation and maintenance requirements.

(b) Develop Test Criteria and Plan. If not begun earlier, identify test criteria and prepare Test Plan. The Test Plan will include information about the test environment, what tests will be performed, test procedures, and traceability back to the business requirements.

(c) Develop Interface Control Document. If there are any external interfaces, identify each interface, the data exchanged and security requirements.

(d) Conduct a Functional and Data Requirements Review to validate that all requirements are sufficiently detailed and can be tested.

(3) Deliverables. The following deliverables shall be initiated during the Requirements Analysis Phase:

(a) A Functional Requirements Document shall be prepared which will serve as the foundation for system design and development.

(b) A Test or Validation Plan shall be prepared which ensures that all aspects of the system are properly tested and can be implemented. The Test Plan shall identify the scope, content, methodology, sequence, management of, and responsibilities for test activities. Acceptance tests shall be performed in a test environment that duplicates the production environment as much as possible. Types of testing include:

1. Unit/module testing;

2. Subsystem integration testing;

3. Independent security testing;

4. Functional qualification testing;

5. User acceptance testing; and

6. Beta testing.

(c) An Interface Control Document which provides an outline for use in the specification of requirements imposed on one or more systems, subsystems or other system components.

(4) Phase Review and Approvals. The Project Manager, together with the Project Team, will prepare and present a Project Status Review for the Project Sponsor and all Customer Decision Makers and Stakeholders (as needed). The review should address:

(a) Requirements Analysis Phase activities status;

(b) Planning Status for subsequent phases – emphasizing details on next phase to include pending contract actions;

(c) Resource Availability; and

(d) Outstanding Issues or Risks.

60DD-7.008 Design Phase.

(1) Objective. The objective of the Design Phase is to transform the detailed, defined Functional Requirements into complete detailed Functional Specifications. The decisions made in this phase address, in detail, how the system will meet the defined functional, physical, interface, and data requirements. Design Phase activities may be iterative, producing first a general system design that outlines the functional features of the system, then a more detailed design that expands the general design by providing all technical data.

(2) Tasks and Activities. The following tasks and activities performed during the Design Phase may vary depending on the project:

(a) Identify the Development, Testing and Production Environments. Describe the architecture where the application/software will be developed and tested and who is responsible for this activity.

(b) Design the Application. Identify general system characteristics and data storage and access requirements for any database(s). Also identify all user interfaces, business rules and application logic. A top-level architecture of the system should be documented identifying all hardware, software and manual operations.

(c) Begin written documentation that will ensure continued operation of the system once it is completed.

(d) A Preliminary Design Review may be performed at this point to ensure the initial design concept is consistent with the overall architecture and satisfies the functional, security and technical requirements specified in the Functional Requirements Document.

(e) A User Manual or other user documentation may be initially drafted for all intended end-users. Be sure to address Americans with Disabilities Act (ADA) requirements.

(f) Design Conversion/Migration/Transition Strategies that may be needed when converting current information to the new system.

(g) Conduct a Security Risk Assessment which addresses assets, threats, vulnerabilities, likelihood, consequences and safeguards of all system components. The Risk Assessment should be evaluated for compliance with baseline security requirements.

(h) Conduct a Critical Design Review of all design documents at the end of the Design Phase and verify that all functional, security, and technical requirements are consistent with the overall architecture.

(3) Deliverables. The following deliverables shall be initiated during the Design Phase:

(a) A Security Risk Assessment which will identify the threats and vulnerabilities of the system to determine the risks and address appropriate and cost-effective measures.

(b) A Conversion Plan describing the strategies involved in converting data from an existing system to another hardware or software environment. The original system's functional requirements should be re-examined, if possible, to determine if the original requirements are still valid.

(c) A Systems Design Document which describes the system requirements, operating environment, system and subsystem architecture, files and database design, input formats, output layouts, user interfaces, detailed design, processing logic and all external interfaces. It is used in conjunction with the Functional Requirements Document to provide a complete system specification of all user requirements for the system. The Systems Design Document should reflect the user's perspective of the system design.

(d) An Implementation Plan should be prepared which describes how the information system will be deployed and installed into an operational system. The plan should contain an overview of the system, a brief description of the major tasks required for implementation, the overall resources needed to support the implementation effort (including hardware, software, facilities, materials, staffing resources), and any site-specific requirements.

(e) An Operations Manual or System Administration Manual. Depending on environment (such as mainframes), these manuals include a detailed operational description of the information system and its associated environment.

(f) A Training Plan should be prepared which outlines the objectives, needs, strategy and curriculum to be address when training users on the new or enhanced system.

(g) A User Manual should be prepared (if not already started) which contains all essential information for the user to make full use of the information system. This manual should include a description of the system functions and capabilities, contingencies and alternate modes of operation, and step-by-step procedures for system access and use.

(4) Phase Review and Approvals. The Project Manager, together with the Project Team, will prepare and present a Project Status Review for the Project Sponsor and all Customer Decision Makers and Stakeholders (as needed). The review should address:

(a) Design Phase activities status;

(b) Planning Status for subsequent phases – emphasizing details on the next phase to include pending contract actions;

(c) Resource Availability; and

(d) Outstanding Issues or Risks.

60DD-7.009 Acquisition/Development Phase.

(1) Objective. The objective of the Development Phase is to convert the deliverables of the Design Phase into the complete information system. Although much of the activity is related to computer programs, this phase also puts into place the hardware, software, security and communications environments for the system.

(2) Tasks and Activities. The following tasks and activities performed during the Development Phase may vary depending on the project:

(a) Code and Test Software according to agency standards and approved specifications.

(b) Integrate the software configuration items with hardware configuration items, manual operations and other systems as necessary.

(d) Install software in Development and Test environments in accordance with the Installation Plan. When the installed software product is replacing an existing system, the developer shall support any parallel activities as required. The developer shall ensure that the software code and databases initialize, execute and terminate as specified.

(e) Conduct Software Testing using approved Test or Validation Plan.

(3) Deliverables. The following deliverables shall be initiated during the Acquisition/Development Phase:

(a) A Contingency Plan shall which contains emergency response procedures; backup arrangements, procedures, and responsibilities; post-disaster recovery procedures and responsibilities. Since Contingency Planning is essential to ensure systems are able to recover from processing disruptions in the event of localized emergencies or large-scale disasters, Contingency Plans should be in line with the overall agency Disaster-Preparedness Plan or Continuity of Operations Plan. Contingency Plans shall be routinely reviewed, updated and tested to enable vital operations and resources to be restored as quickly as possible.

(b) A Software Development Document shall be prepared which contains documentation pertaining to the development of each unit or module, including test cases, software, test results, approvals and any other items that will help explain the functionality of the software.

(c) The actual System Software.

(d) Test Files and Data shall be provided by the end of this phase.

(e) An Integration Document which explains how the software components integrate with the hardware components.

(4) Phase Review and Approvals. The Project Manager, together with the Project Team, will prepare and present a Project Status Review for the Project Sponsor and all Customer Decision Makers and Stakeholders (as needed). The review should address:

(a) Acquisition/Development ~~Integration, Testing and Acceptance~~ Phase activities status;

(b) Planning Status for subsequent phases – emphasizing details on the next phase to include pending contract actions;

(c) Resource Availability; and

(d) Outstanding Issues or Risks.

60DD-7.010 Integration, Testing and Acceptance Phase.

(1) Objective. The objective of this phase is to prove that the developed system satisfies the requirements defined in the Functional Requirements Document. Several types of tests may be conducted at this phase, including user acceptance testing, which should be done in a simulated "real" user environment.

(2) Tasks and Activities. The following tasks and activities performed during the Integration, Testing and Acceptance Phase may vary depending on the project:

(a) Establish the Test Environment. If not previously completed, the final test environment should be created and all test teams in place and familiar with Test or Validation Plan.

(b) Conduct Integration Testing<u>, System/Subsystem Testing</u> and Security Testing. The test database(s) should be loaded with appropriate test data and the Test or Validation Plan <u>iteratively</u> executed <u>to ensure program components integrate properly with other systems/subsystems, that all system/subsystem requirements are satisfied (including volumetric and stress tests), and all security mechanisms are tested for completeness and correctness</u> ~~for all system tests~~. All results shall be documented. Failed components shall be migrated back to the Development Phase for rework and passed components moved forward to Acceptance Testing.

(c) Conduct Acceptance Testing. <u>Acceptance Testing</u> ~~Whenever possible, this~~ should be restricted to users only. Failed components should be migrated back to the Development Phase for rework and passed components moved forward to Implementation.

(3) Deliverables. The following deliverables shall be initiated during the Integration, Testing and Acceptance Phase:

(a) A Test Analysis Report which documents each test – unit/module, subsystem integration, system, user acceptance and security. This report should also include a brief summary of the perceived readiness for migration to Production.

(b) A Test Problem Report which documents problems encountered during testing.

(c) A Security Certification and Assessment~~, when appropriate~~ <u>certifying that the System Security Plan, Security Risk Assessment, Configuration Management Plan, and Contingency Plan have been updated, tested, reviewed and approved.</u>

(4) Phase Review and Approvals. The Project Manager, together with the Project Team, will prepare and present a Project Status Review for the Project Sponsor and all Customer Decision Makers and Stakeholders (as needed). The review should address:

(a) Integration, Testing and Acceptance Phase activities status;

(b) Planning Status for subsequent phases – emphasizing details on next phase to include pending contract actions;

(c) Resource Availability; and

(d) Outstanding Issues or Risks.

60DD-7.011 Implementation Phase.

(1) Objective. In this phase the system or system modifications are installed and made operational in a Production environment. This phase is initiated after the system has been tested (which may be an iterative process) and accepted by the Customer Decision-Makers and the Project Manager.

(2) Tasks and Activities. The following tasks and activities performed during the Implementation Phase may vary depending on the project:

(a) Notifying Users of new implementation. An implementation notice shall be sent to all users and organizations directly or indirectly affected by the implementation. The notice shall include:

1. The schedule of the Implementation;

2. A brief summary of the benefits of the system;

3. A summary of the difference between the old and new system;

4. The responsibilities of users affected by the implementation during this phase; and

5. The process to follow for system support (including contact names and phone numbers).

(b) Execute the Training Plan ensuring that all users have received adequate training prior to implementation of new system or major enhancements.

(c) Perform Data Entry or Conversion. Regardless of whether this data is manual or in an automated form, data input and verification are critical activities in this phase. Various verification methods may be used including Parallel Testing of old and new systems.

(d) Install System<u>, including all new hardware and software,</u> in <u>a Secured</u> Production environment. <u>At this point, all changes required must comply with Production security</u>

requirements and processed through approved Change Management processes established for Operations and Maintenance.

(e) Conduct Post-Implementation Review to determine the success of the project through the Implementation Phase, recommend system enhancements and provide feedback for future similar projects. All user requests for changes to the system after Implementation should be carefully documented and evaluated with initial Functional Requirements and System Design.

(3) Deliverables. The following deliverables shall be initiated during the Implementation Phase:

(a) Delivered System. After the Implementation Phase Review, some form of approval shall be signed by the Product Manager.

(b) A Change Implementation Notice which identifies any formal requests and approvals for changes made during Implementation.

(4) Phase Review and Approvals. During the Implementation Phase Review, recommendations may be made to correct errors, improve user satisfaction or improve system performance. For contract development, analysis should be performed to determine if additional activity is within the scope of the Statement of Work or within the original contract. The Project Manager should sign-off on the final Implementation and verify the acceptance of the delivered system by the system users/owner.

60DD-7.013 Disposition Phase.

(1) Objective. The State Technology Office recognizes that as advancements in technology force more information technology products into the waste stream, this equipment could pose significant environmental hazards if not properly disposed or recycled. The purpose of this phase is to encourage the reuse and recycling of used information technology equipment.

(2) Tasks and Activities. The following tasks and activities performed during the Disposition Phase may vary depending on the project:

(a) Prepare Disposition Plan which identifies:

1. How and when the termination of the system/data will be conducted, and when

2. System Termination Date;

3. Software components to be kept;

4. Data to be maintained for audit purposes; and

5. Disposition of remaining equipment.

(b) Archival or Transfer of Data – It is the sole responsibility of each agency in accordance with Rule 60DD-2.009, F.A.C., to erase all confidential or exempt information contained in all electronic memory components from information technology equipment prior to transfer or final disposition.

(c) Archival or Transfer of Software components.

(d) Transfer of Information Technology Equipment.

1. Prior to final disposition of information technology equipment or trade of surplus equipment for new information technology equipment, agencies shall, consistent with the requirements of Chapter 273, F.S., and Auditor General Rule Chapter 10.300, transfer information technology equipment to other agencies, political subdivisions, non-profit corporations or educational institutions. Agencies wishing to transfer such equipment may utilize the placement services of the State Technology Office's Digital Divide Council at www.digitaldividecouncil.com or by writing to:

State Technology Office
Attention: Digital Divide Council
4030 Esplanade Way
Tallahassee, Florida 32399-0950

2. Property containing hazardous materials, including, lead that is contained within the solder on electronic circuit boards, lead in cathode ray tube glass and frit, UPS battery back-up batteries, cadmium and lithium found within rechargeable batteries, and mercury that is found within telecommunications information technology equipment or electrical distribution switching equipment, that cannot be transferred as set forth in subparagraph 60DD-7.013(2)(d)1., F.A.C., should be disposed of consistent with Section 403.705, F.S., and Rule Chapter 62-730, F.A.C., Department of Environmental Protection Rules for Hazardous Waste.

(e) Final Disposition Procedures – The final disposition of information technology shall be in accordance with Chapters 257 and 273, F.S., Bureau of Archives and Records Management General Schedule 1-S (Rule Chapter 1B-24, F.A.C.), and Auditor General Rule Chapter 10.300, and shall include the following information:

1. All items that are recycled or disposed of must be certified as surplus, and be examined by one or more review boards, to make recommendations on approval or disapproval of classification of the information technology items as surplus.

2. Each holding agency must develop and implement rules or guidelines outlining the processes to properly and legally dispose of information technology and must retain all associated documentation to be presented during formal audit procedures.

3. Each holding agency shall document the following information regarding the information technology equipment:

a. Agency Property Identification number, serial number, manufacturer's name, equipment type, and model number.

b. Condition value of the information technology equipment, utilizing definitions set forth in subsection 60DD-7.001(2), F.A.C.

c. Facts and circumstances regarding transfer or disposal of the equipment, including compliance with all applicable environmental protection laws.

d. Documentation of recycling or disposal actions shall be reported to the respective agency Asset Manager/Property Administrator.

e. For any software, hardware, or data that is collected during the disposition, the holding agency shall retain for future use. sSoftware licensing data and any applicable maintenance agreement information shall be adjusted to reflect the transaction(s).

THE PERSON TO BE CONTACTED REGARDING THE PROPOSED RULES IS: Dee Lopez, State Technology Office, Department of Management Services, 4030 Esplanade Way, Suite 280K, Tallahassee, Florida 32399-0950, (850)922-7573, Dee.Lopez@MyFlorida.com

DEPARTMENT OF ENVIRONMENTAL PROTECTION

Pursuant to Chapter 2003-145, Laws of Florida, all notices for the Department of Environmental Protection are published on the Internet at the Department of Environmental Protection's home page at http://www.dep.state.fl.us/ under the link or button titled "Official Notices."

Section IV
Emergency Rules

BOARD OF TRUSTEES OF THE INTERNAL IMPROVEMENT TRUST FUND

Pursuant to Chapter 2003-145, Laws of Florida, all notices for the Board of Trustees of the Internal Improvement Trust Fund are published on the Internet at the Department of Environmental Protection's home page at http://www.dep.state.fl.us/ under the link or button titled "Official Notices."

DEPARTMENT OF THE LOTTERY

RULE TITLE: RULE NO.:

Instant Game Number 566,

   MERRY MILLIONAIRE   53ER04-66

SUMMARY OF THE RULE: This emergency rule describes Instant Game Number 566, "MERRY MILLIONAIRE," for which the Department of the Lottery will start selling tickets on a date to be determined by the Secretary of the Department. The rule sets forth the specifics of the game; determination of prizewinners; estimated odds of winning, value, and number of prizes in the game.

THE PERSON TO BE CONTACTED REGARDING THE EMERGENCY RULE IS: Diane D. Schmidt, Legal Analyst, Department of the Lottery, 250 Marriott Drive, Tallahassee, Florida 32399-4011

THE FULL TEXT OF THE EMERGENCY RULE IS:

53ER04-66 Instant Game Numbers 566, MERRY MILLIONAIRE.

(1) Name of Game. Instant Game Number 566, "MERRY MILLIONAIRE."

(2) Price. MERRY MILLIONAIRE lottery tickets sell for $10.00 per ticket.

(3) MERRY MILLIONAIRE lottery tickets shall have a series of numbers in Machine Readable Code (or bar code) on the back of the ticket, along with a Void If Removed Number under the latex area on the ticket. To be a valid winning MERRY MILLIONAIRE lottery ticket, a combination of essential elements sufficient to validate the ticket must be present as set forth in paragraph 53ER92-63(1)(a), Florida Administrative Code. In the event a dispute arises as to the validity of any MERRY MILLIONAIRE lottery ticket, or as to the prize amount, the Void If Removed Number under the latex shall prevail over the bar code.

(4) The "YOUR NUMBERS" play symbols and play symbol captions are as follows:

1 ONE	2 TWO	3 THREE	4 FOUR	5 FIVE	6 SIX
7 SEVEN	8 EIGHT	9 NINE	10 TEN	11 ELEVN	12 TWELV
13 THRTN	14 FORTN	15 FIFTN	16 SIXTN	17 SVNTN	18 EGHTN
19 NINTN	20 TWENTY	21 TWYONE	22 TWYTWO	23 TWYTHR	24 TWYFOR
25 TWYFIV	26 TWYSIX	27 TWYSVN	28 TWYEGT	29 TWYNIN	30 THIRTY
$$ DOUBLE	(S) WIN $100				

(5) The "LUCKY NUMBERS" play symbols and play symbol captions are as follows:

1 ONE	2 TWO	3 THREE	4 FOUR	5 FIVE	6 SIX
7 SEVEN	8 EIGHT	9 NINE	10 TEN	11 ELEVN	12 TWELV
13 THRTN	14 FORTN	15 FIFTN	16 SIXTN	17 SVNTN	18 EGHTN
19 NINTN	20 TWENTY	21 TWYONE	22 TWYTWO	23 TWYTHR	24 TWYFOR
25 TWYFIV	26 TWYSIX	27 TWYSVN	28 TWYEGT	29 TWYNIN	30 THIRTY