

Kentucky Information Technology Standards Exception Request Form Instructions Commonwealth Office of Technology

Agencies requesting the purchase of products and services outside the parameters of the Kentucky Information Technology Standards (KITS) must, regardless of cost, develop an exception business case supporting their request. The request and business case should be approved by the agency's highest ranking IT officer and submitted to the Commonwealth Office of Technology via an electronic form ([COT-F027](#)) or a completed form emailed to the KITS Coordinator (EAStandards@ky.gov). COT will review and respond to requests within five (5) business days. Should the request be denied without agency concurrence, the decision can be appealed to the Commonwealth's Chief Information Officer.

Either the electronic or manual F-027 form must be used in documenting the business case for an exception. The business case must develop specific justification for the temporary procurement of non-compliant IT products and/or services. The justification must make a strong and compelling business case of why the purchase is in the best interest of the Commonwealth. If the proposed technology is a cloud-based, vendor hosted, or subscription product (or relies on such products) and in any case where data is to be stored off-premise, the procurement approval documents (SPR1, APR) must be submitted concurrent with the request.

Requests that are submitted without procurement documents (if appropriate), cost information, or completed business case rationale will be returned without review.

The KITS Coordinator can be reached to assist in the completion of the form. Searching KITS (CTRL-F) for products or categories may help in identifying Domains and Standards. The KITS Coordinator will provide additional support if required.

- Questions about the content of the Kentucky Information Technology Standards Exception Request Form template may be directed to the KITS Coordinator, at (502) 564-8997.
- Submit form to:
KITS Coordinator, COT Office of Data Information and Analytics at: EAStandards@ky.gov or at: the Jones Building, 120 Glens Creek Road, Frankfort KY 40601

Directions for Completing the Exception Request Form

Each field on the form is described below, along with an explanation of what is to be entered.

- 1. Request Type:** Choose whether the request is an addition to KITS (a new category and a new product), a modification to KITS (the addition/deletion of a product to an existing category, a modification of a product in an existing category, the modification of a category) or an exception to KITS (a temporary approval to use a product not in the KITS catalog – exception are normally for no longer than a year while efforts are completed to achieve KITS compliance).
- 2. Date:**
 - List the submission date in mm/dd/yyyy format (ex: 01/01/2000).
- 3. Requesting Agency:**
 - List the name of the requesting agency (ex: Office of State Agency, Department of Agency Name). Names are provided in a drop down list. For those without access to the electronic form, agencies identified here will normally be at the department level (that is, one subordinate level to an Executive Cabinet).
- 4. Business Unit:**
 - Organizational units subordinate to the Requesting Agency. In the electronic form this is a drop down list based on the organizational structure of the Agency.
- 5. Requesting Person:**
 - List the name of the individual requesting the exception (ex: John Doe, Title). In the electronic form this will auto populate when the form is entered.

6. Contact Information:

- List the telephone number and/or email address of the Requesting Person (ex: 502-564-1234, John.Doe@ky.gov). In the electronic form this will auto populate.

7. EAS Domain:

- List the enterprise standard domain number for which this request is being made (ex: 1000-Hardware).

8. EAS Standard:

- List the enterprise standard category number for which this request is being made (ex: 1320 – Servers).

9. KITS Domain Area Category:

- This field will auto populate based on selections that are made in the EAS Domain / EAS Standard.

10. Technology / Product:

- Title or Product name for this exception request (ex: ACME VC Product). If this is a cloud or vendor-hosted offering, include the application name and the platform (Salesforce, AWS, Azure, etc.) in the title.

11. Does this request rely on technology/data that is hosted off-premise (cloud, subscription services, vendor-hosted)? If so, attach the approved SPR1 below. This item should be checked if any of the off-premise conditions apply. The review process for off-premise applications and data will be triggered by the procurement documents but this alerts reviewers for special considerations.

12. Business Justification:

- Briefly describe the solution and provide documentation / links that will assist reviewers in assessing the technology. Attach cost information and procurement forms as available. Request without cost information will be returned without review. Explain why this problem cannot be solved by using products or processes currently included in the Kentucky Information Technology Standards. In the justification, be sure to explore possible alternate approaches and explain why they would not be workable in this instance. Files can be attached if necessary.

13. Business and IT Implications, Benefits, and Consequences (Including Support Cost):

- Discuss any special implications and consequences that would result from the approval of this request. Also include a brief summary of the benefits that would be derived from approval. If consequences include any risk, address the risk mitigation plan. Files can be attached if necessary.

14. Risk Mitigation:

- Describe the agency's plan for mitigating any special risks that would be present as a result of this exception being approved.

15. If relevant, provide URL of web sites(s) where additional product information can be researched:

- If this request is for a specific product please list any web site URLs that would be helpful to the reviewers. Be certain the URL is complete and accurate.