

CIO-108: Proof of Concept and Pilot Project Policy

EFFECTIVE DATE: 07/08/2015

REVISED: 11/16/2020,
7/31/2023

REVIEWED: 12/10/2020,
7/31/2023

I. PURPOSE:

This policy establishes controls related to the Commonwealth Office of Technology (COT) Enterprise requirements for Proof of Concepts (POC) and Pilots.

II. DEFINITION:

“Proof of Concept (POC) and Pilot” means a specific activity performed to determine if a concept or technology is feasible for a desired use. It is a sub-process of a broader project and may be performed at any point in the project lifecycle. In most cases, it is performed early on in the project, such as during the requesting or initiation phase as a demonstration that the organization should invest in a full implementation or in order to select the best technology from a number of alternatives.

III. POLICY AND PROCEDURES:

The originator of all new POCs and Pilots employing IT products or, in the case of cloud/vendor hosted products and services, IT use cases that are not currently part of the Kentucky Information Technology Standards (KITS), shall submit the POC or Pilot to the Chief Information Officer (CIO) or the CIO’s designee for approval prior to start acquiring or deploying the product or use case.

All POC and Pilot Projects shall be submitted for approval, at a minimum, 15 working days prior to the anticipated start date of the POC or Pilot Project. Upon submission of the request, the POC or Pilot concept will be shared with other agencies with an invitation to participate in the initiative. Agencies will have 5 business days to work with the requesting agency to determine if they will participate. The requesting agency will update the request to the CIO or the CIO’s designee with any participating agencies by the end of the 5 working day period. After the first 5 working days, the review of the POC/pilot will start and will be completed within 10 business days.

The review will evaluate the proposed POC or Pilot Project for value as an enterprise solution. The CIO or the CIO’s designee will inform the originator of the project if the project is approved, approved with conditions, or not approved with reasons. Such notification may come via a system supporting processes associated with this policy.

IV. CORRECTIVE OR DISCIPLINARY ACTION:

Each agency must ensure that all relevant staff within their organizational authority are made aware of and comply with this policy. The agency is responsible for enforcing it. Unauthorized and/or neglectful actions regarding this policy may result in disciplinary action up to and including dismissal. COT may require additional service charges for remediation efforts due to non-compliance with this policy. IV.

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V. APPLICABILITY:

All executive branch agencies must adhere to this policy. This includes employees, contractors, consultants, temporaries, volunteers, and other workers within state government.

VI. REFERENCES:

Helpful references can be found on the [Enterprise IT Policies webpage](#).