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

DEFINITIONS:
Proof of Concept (POC) and Pilot: 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.

POLICY:
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 for approval prior to start, to the Chief Information Officer (CIO).

All POC and Pilot Projects shall be submitted for approval, at a minimum, 15 working days prior to the 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 with any participating agencies by the end of the 5 working day period. After the first 5 working days, the CIO’s review of the POC/pilot will start and will be completed within 10 business days.

The CIO will evaluate the proposed POC or Pilot Project for value as an enterprise solution. The CIO 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.

AUTHORITY:
KRS 42.726 authorizes the Commonwealth Office of Technology (COT) to develop policies and compliance processes to support and promote the effective applications of information technology within the executive branch of state government. KRS 42.726(m) authorizes COT to evaluate, participate in pilot studies, and make recommendations on information technology hardware and software.

APPLICABILITY:
All executive branch agencies, and non-executive branch agencies using COT-managed infrastructure or services shall adhere to this policy. This includes employees, contractors, consultants, temporaries, volunteers, and other workers within state government.

RESPONSIBILITY FOR COMPLIANCE:
Each agency shall ensure that 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.

MAINTENANCE:
COT’s Office of Project Management is responsible for maintaining this policy. Organizations may modify this policy to fulfill their responsibilities, but must obtain approval through an exception request.
Organization staff should refer to their internal policy, which may have additional information or clarification.

**REVIEW CYCLE:**
COT will review this policy at least every two years.

**REFERENCES:**
Helpful references can be found on the Enterprise IT Policies webpage.