

Office of the Chief Information Officer Enterprise Policy

CIO-108 Proofs of Concept and Pilots Policy

Effective Date: 10/23/2018

Last Revised: 11/16/2020

Last Reviewed: 11/16/2020

Policy Statement

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

Definition

Proof of Concept (POC), Pilot: An activity performed specifically 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 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 any new POC or Pilot employing IT products or, in the case of cloud/vendor hosted products and services, IT use cases, which are not currently part of the [Kentucky Information Technology Standards \(KITS\)](#), shall submit the proposed POC or Pilot to the Chief Information Officer (CIO) for approval prior to start.

All POC and Pilot Projects shall be submitted for approval at a minimum of 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, with any participating agencies, will update the request to the CIO by the end of the 5 working day period. After the first 5 working days, the CIO's review of the proposed 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.

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. Organizations may modify this policy to fulfill their responsibilities, but shall obtain approval through an exception request. Staff should refer to their internal policy, which may have additional information or clarification. 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 Privacy and Audit Support Branch is responsible for administrative coordination to maintain this policy, including review of this policy by the appropriate organizations at least every two years.

References

- [Kentucky Information Technology Standards \(KITS\)](#)
- [Kentucky Information Technology Standards \(KITS\) Library \('Catalog'\)](#)
- [KRS 42.726](#)