

Kentucky Information Technology Standards (KITS) Exception Request eForm Instructions Commonwealth Office of Technology

Agencies requesting the purchase of products and services outside the parameters of the 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 or their designee and submitted to the Director of Enterprise Architecture of COT's Office of Enterprise Technology (OET). (A list of the approved designees is maintained by COT's Office of IT Service Management – ITSM - and can be found on the Office of ITSM page at technology.ky.gov). Upon receipt, OET will review and respond to requests within five (5) business days. Exceptions/Additions/Modifications to KITS are made by the Information Technology Standards Committee (ITSC) with the approval of the Chief Information Officer - CIO. (The CIO may approve or deny requests for Exception/Addition or Modification to KITS independently of ITSC decisions).

The Exception/Addition/Modification Request Form (eForm) shall be used for documenting the business case and requesting an exception or a change to standards. The business case must develop specific justification for the limited 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.

Note: the approval for an exception, addition, or modification to KITS does not address whether a procurement vehicle exists or whether an existing vehicle may be used by the requestor.

- Questions about the content of the KITS Exception Request template may be directed to the Director of Enterprise Architecture.
- Submission of eForm will generate an email to the selected Requesting Agency Officer to approve.
- Once the Agency Officer has approved, and email will be sent to:
COT Office of Enterprise Technology at: EAStandards@ky.gov. This email is the equivalent of an electronic signature.

Directions for Completing the Exception/Addition/ Modification Request Form

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

- 1. Request Type:**
 - Select the type of request from the dropdown box. An exception request is a request to temporarily use an alternative technology when a standard exists. An addition request is a request to add a standard where none currently exists. A modification request is a request to change an existing standard (normally to add, remove, or change products or product specifications).
- 2. Request Date:**
 - Select the submission date from the dropdown calendar or type in mm/dd/yyyy format (ex: 01/01/2000). This will default to current date.
- 3. Requesting Agency** (Requesting Agency selection and Business Unit selection are governed by the IT Contact list managed by the Office of ITSM. If your agency and/or business unit is not found, please contact the Commonwealth Service Desk):
 - List the name of the requesting agency (ex: Office of State Agency, Department of Agency Name).
- 4. Business Unit** (Requesting Agency selection and Business Unit selection are governed by the IT Contact list managed by the Office of ITSM. If your agency and/or business unit is not found, please contact the Commonwealth Service Desk):
 - Select the appropriate business unit from the drop down list. (Note: this selection cannot be made until the Requesting Agency (Step 3) is selected).
- 5. Requesting Person:**
 - This field is auto-populated from the login ID of the individual making the request (ex: John Doe, Title).
- 6. Contact Information:**
 - This field is auto-populated from the login ID of the individual making the request (ex: 502-564-1234, John.Doe@ky.gov), defaulted with information from Active Directory.
- 7. Agency CIO or Equivalent:**
 - The request must be approved by the agency's highest ranking IT officer, usually the ITO or CIO or their designee, before the request goes to the ITSC Committee. This contact is identified on the agency contact list. If a contact is not found you will be directed to contact the appropriate BRM.
- 8. Agency BRM:**
 - The Agency Business Relationship Manager (BRM) field is auto-populated from the login ID of the individual making the request (ex: John Doe, Title).

Based on the selection in Step 1, either Exception Request, (Steps 9-13), Modification Request (Steps 14-17), or Addition Request (Steps 18-21) items must be completed.

Exception Request A KITS Exception Request is a request to temporarily deviate from the KITS to satisfy a compelling business requirement. If the request is not for a short-lived (12 months) requirement, a Modification or Addition to KITS is probably a better choice.

This section is to be completed for exceptions to existing KITS only.

9. EAS (LEGACY) Domain Number – Name (Optional):

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

10. EAS (LEGACY) Standard Number – Name (Optional):

- List the enterprise standard category number - name for which this request is being made (ex: 1100 - Video Conferencing).

11. Exception Request Title/Product:

- Title or Product name for this exception request (ex: ACME VC Product).

12. KITS Domain Area Category:

- List the KITS Domain Area Category – number/name for which this request is being made (ex: I01.001.104 - Platform > Hardware > Personal Computer – Laptop).

13. Technology/Product:

- Describe the technology/product for which the request is being made. Note: Each technology/product request will require a unique request. If a single product is being requested with quantities greater than 1, specify the quantities but a single request is sufficient.

Modification Request A KITS Modification Request is a request to modify an existing KITS. Normally this will be to add a technology product, delete a technology product or to modify the specifications/descriptions of a technology product (including life-cycle dates such as sunset or versioning milestones) to ensure KITS reflects the installed and planned Commonwealth technology base. A Modification Request may also be made, in some circumstances, to tailor the Federal Enterprise Architecture Framework (FEAF) taxonomy to conform to Commonwealth of Kentucky practice (To tailor FEAF, consult the Division of Enterprise Architecture). A Modification Request may be used to request the deletion/removal of an existing KITS.

This section is to be completed for modifications to existing KITS only.

14. EAS (LEGACY) Domain Number – Name (Optional):

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

15. EAS (LEGACY) Standard Number – Name (Optional):

- List the enterprise standard category number - name for which this request is being made (ex: 1100 - Video Conferencing).

16. KITS Domain Area Category:

- List the KITS Domain Area Category – number/name for which this request is being made (ex: I01.001.104 - Platform > Hardware > Personal Computer – Laptop).

17. Technology/Product:

- Describe the technology/product for which the request is being made. Note: Each technology/product request will require a unique request. If a single product is being requested with quantities greater than 1, specify the quantities but a single request is sufficient.

Addition Request A KITS Addition Request is a request to add a new standard to the KITS. These additions will require the proper identification of the reference model to be cited (Business Reference Model - BRM, Application Reference Model - ARM, Infrastructure Reference Model - IRM, Data Reference Model - DRM, Performance Reference Model - PRM, and/or Security Reference Model – SRM).

This section is to be completed for additions to existing KITS only

18. EAS (LEGACY) Domain Number – Name (Optional):

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

19. KITS Domain Area Category:

- List the KITS Domain Area Category – number/name for which this request is being made (ex: I01.001.104 - Platform > Hardware > Personal Computer – Laptop).

20. Requested KITS Domain Area Category Name (Optional):

- Normally, a new KITS Domain Name will only be required when the Commonwealth of Kentucky chooses to extend the FEAF taxonomy to support Commonwealth business functions. (Consult with the Division of Enterprise Architecture when proposing a new name).

21. Requested Product Addition:

- Describe the technology/product for which the request is being made. Note: Each technology/product request will require a unique request

Project: For requests that are related to a specific project or Capital Project:

22. Project Name:

- List the name of project or Capital Project (ex: Alpha Beta Conference Project).

23. Project Mgr.:

- List the name of project manager (ex: Jane Doe, Project Manager).

24. Phase:

- List the phase the project is currently in (ex: Requirements Gathering Phase).

25. Was this issue / request placed on Hold during the SPR approval process?

- Select: Yes or No
- If yes, provide the Document ID (SPR reference number) as referenced in the notice (email).

26. Was this issue discussed in an internal architecture design review meeting and/or an ITSC meeting?

- Select: Yes or No
- If yes, select the meeting type(s) and list the date(s):
Internal Architecture Design Review Meeting Date: (Date of the meeting – mm/dd/yyyy format)
ITSC Mtg. Date: (Date of the meeting – mm/dd/yyyy format)

27. Business Justification:

- 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.

28. 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.

29. Risk Mitigation:

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

30. 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 review committee during the research process. Be certain the URL is complete and accurate.

Agency Officer Approval:

The exception request must be approved by the agency's highest ranking IT officer, usually the ITO or CIO, before submission.

Only the person identified as the Requesting Agency Officer will be able to approve the form to submission to COT Office of Enterprise Technology. Login and approval date/time will be captured.

[Follow this link to the KITS Exception/Addition/Modification Form\(s\)](#)