NC Department of Information Technology

AB201/AP201/RV201: NCDIT Exceptions Request Process

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Content

This document provides Agency Business users with guidance on why and how to submit Procurement, Standards, or Security Exception Requests to NCDIT for approval.

- Purpose of NCDIT Exception Request Process
- Types of NCDIT Exception Requests
- When to submit NCDIT Exception Requests
- Tips for completing Exception Requests
- How to submit Exception Requests
- Support Resources
Learning Objectives

After reviewing this document, you should be able to do the following:

• Understand the purpose of the NCDIT Exception Request process

• Know the three types of NCDIT Exception Requests and when they are needed

• Know how to obtain, complete, and submit Exception Requests to NCDIT

• Know where to go to get more information and support
Purpose of the NCDIT Exception Request Process

The NC Statutes and the State Chief Information Officer require State Agencies to comply with specific Procurement, Standards, and Security requirements to ensure a fair procurement process and protection of State Data.

A Procurement Exception approval is required for situations where the State Agency determines there is limited or no competition, the State Agency wants to enter into a contract beyond 3 years, or if a State Agency wants to use a cooperative agreement or other agency contract

• Conditions for Limited or Waived Competition. 09 NCAC 06B.0901
• Contract Beyond 3 Years. 09 NCAC 06B.0301

A Standards Exception approval is required for situations where the State’s infrastructure will not be used to host data or the State’s Identify and Access Management Solution (NCID) will not be used

• State Agencies are required to use the State infrastructure to host their projects, services, data, and applications pursuant to current guiding authorities/laws. NCGS § 143B-1365
• The SCIO requires all inter-agency and external facing solutions/applications that create content use the State’s Identity and Access Management solution (“NCID”).

A Security Exception Request is required for situations where the State Agency will be deviating from the Statewide Information Security Manual
Streamlined IT Procurement Process

State Agencies can submit applicable Exception Requests for active IT procurements in the NC eProcurement Sourcing Tool during Step 04 and Step 07.

NCDIT IT Procurement Process (enabled in NC eProcurement Sourcing Tool)

Some Standards and Security Exception Requests that are not related to an active IT procurement in the NC eProcurement Sourcing Tool may need to be submitted for NCDIT approval.
Overview of the Procurement Exception Request Form A

The 2-page Procurement Exception Request Form contains multiple sections for the Agency Business user to complete.
Overview of the Standards Exception Request Form B

The Standards Exception Request Form contains an initial page with multiple sections for the Agency Business user to complete and provides detailed instructions on the following pages.
Overview of the Security Exception Request Form C

The Security Exception Request Form contains an initial page with multiple sections for the Agency Business user to complete and provides detailed instructions on the next page.

- **Agency Identification**
- **Agency Contacts**
- **Privacy Threshold Analysis Number**
- **Justification for requested exception**
- **Mitigation Approach**
- **Indication if IT Project**
- **Business Case**
Tips for Completing Exception Request Forms

Applying these tips can help State Agencies complete Exception Request forms faster and provide NCDIT reviewers with the information they need to make a faster approval decision.

- The latest Procurement, Standards, and Security Exception Forms are available in both the NC eProcurement Sourcing Tool Library and on the NCDIT Exception website. State Agencies should always use the latest forms available from either of these two sources.
- When providing the requested information in the Exception Request Form, Agency Business (Product Owner) should be as detailed as possible. This is especially true when providing justification reason(s) for requested exceptions.
- State Agencies should be sure to provide all supporting documentation needed for NCDIT to review and approve the Exception Request Form.
- Early engagement and partnership between Agency Business, Agency IT, Agency Procurement, other applicable agency stakeholders, and NCDIT is key when defining your Exception Request submission.
- Personal Services Contracts pursuant NCGS § 143B-1362 are outside the scope of the exception process. Agency Procurement should work directly with the Statewide IT Procurement Office to discuss what options are available to your agency under current laws.
Submitting Exception Request Forms related to Active IT Procurements

For Exception Requests associated with an active IT procurement that is being conducted in the NC eProcurement Sourcing Tool, State Agencies should submit any Exception Forms and supporting documentation through the Sourcing Tool.

Steps to Submit Procurement, Standards, or Security Exception Request Through Sourcing Tool

• Agency user that wants to submit a Procurement, Standards, or Security Exception Request downloads the latest Standards or Security Exception Request Form from the NCDIT Exception website
• Agency user completes the Procurement, Standards, or Security Exception Request Form and provides the completed form and any required supporting documentation to Agency Procurement
• Agency Procurement attaches the completed Procurement, Standards, or Security Exception Request Form and supporting documentation to the applicable approval task (in Step 04 or Step 07) in the Sourcing Project that was created in the Sourcing Tool for the IT procurement and submits it for approval
• Sourcing Tool will route Standards and Security Exception Requests first to Agency IT Security Liaison for their approval
• Once approved by the Agency IT Security Liaison (if applicable), the Standards or Security Exception Request will be automatically sent to the applicable NCDIT reviewers for their approval in the Sourcing Tool
• NCDIT Reviewers review and provide approval decision, which will be sent to the Agency via the Sourcing Tool
• If denied, Agency Procurement will work with applicable Agency stakeholders to address identified issues and resubmit the Exception Request in the Sourcing Tool for re-review
Submitting Exception Request Forms related to Active IT Contract Amendments

For Exception Requests associated with an active IT Contract Amendment or Renewal that is being submitted to NCDIT through the NC eProcurement Contracts Tool, State Agencies should submit any Exception Forms and supporting documentation through the Contracts Tool.

Steps to Submit Procurement, Standards, or Security Exception Request Through Contracts Tool

• Agency user that wants to submit a Procurement, Standards, or Security Exception Request downloads the latest Standards or Security Exception Request Form from the NCDIT Exception website
• Agency user completes the Procurement, Standards, or Security Exception Request Form and provides the completed form and any required supporting documentation to Agency Procurement
• Agency Procurement attaches the completed Procurement, Standards, or Security Exception Request Form and supporting documentation to the applicable approval task (in Step 02) in the Contract Workspace that was created in the Contracts Tool for the IT contract and submits it for approval
• Contracts Tool will route Standards and Security Exception Requests first to Agency IT Security Liaison for their approval
• Once approved by the Agency IT Security Liaison (if applicable), the Standards or Security Exception Request will be automatically sent to the applicable NCDIT reviewers for their approval in the Contracts Tool
• NCDIT Reviewers review and provide approval decision, which will be sent to the Agency via the Contracts Tool
• If denied, Agency Procurement will work with applicable Agency stakeholders to address identified issues and resubmit the Exception Request in the Contracts Tool for re-review
Submitting Exception Request Forms not related to Active IT Procurements

For Exception Requests not associated with an active IT procurement in the Sourcing Tool or IT contract in the Contracts Tool, State Agencies can either submit any Exception Forms and supporting documentation through the Sourcing Tool or they can email them to dit.exceptions@nc.gov.

**Option A: Steps to Submit Standards or Security Exception Request not related to an active IT procurement through Sourcing Tool**

- Agency user completes the Standards or Security Exception Request Form and provides the completed form and any required supporting documentation to Agency Procurement
- Agency Procurement creates a Sourcing Project (not a Sourcing Request) in the Sourcing Tool, and selects Solicitation Vehicle to be IT: Exception Request Only
- Agency Procurement attaches the completed Standards or Security Exception Request Form and supporting documentation to the applicable approval task in the Sourcing Project and submits it for approval
- Sourcing Tool will route approval request first to Agency IT Security Liaison for their approval
- Once approved by the Agency IT Security Liaison, the Exception Request will be automatically sent to the applicable NCDIT reviewers for their approval in the Sourcing Tool
- NCDIT Reviewers review and provide approval decision, which will be sent to the Agency via the Sourcing Tool
- If denied, Agency Procurement will work with applicable Agency stakeholders to address identified issues and resubmit the Exception Request in the Sourcing Tool for re-review and approval

**Option B: Steps to Submit Standards or Security Exception Request not related to an active IT procurement by Email**

- Agency user completes the Standards or Security Exception Request Form and gathers required supporting documentation
- Agency user emails completed Exception Request form and supporting documentation to dit.exceptions@nc.gov
- NCDIT will create a Sourcing Project in the Sourcing Tool on behalf of the Agency and submit the Exception Request Form and supporting documentation for approval
- Agency IT Security Liaison will be asked to approve the Exception Request in the Sourcing Tool
- Once approved by the Agency IT Security Liaison, the Exception Request will be automatically sent to the applicable NCDIT reviewers for their approval in the Sourcing Tool
- NCDIT Reviewers review and provide approval decision, which will be sent to the Agency via the Sourcing Tool or email
- If denied, Agency Procurement will work with applicable Agency stakeholders to address identified issues and resubmit the Exception Request in the Sourcing Tool for re-review and approval
Support Resources

There are multiple options to help better understand the Exception Request Process.

• Direct specific subject-matter questions to the respective NCDIT team member
  o Procurement Exception: Statewide IT Procurement Office
  o Standards Exception: NCDIT ESRMO, NCDIT EA, NCDIT EPMO
  o Security Exceptions: NCDIT ESRMO

• General questions about the Exception Request process can be sent to dit.exceptions@nc.gov

• For details about the streamlined IT procurement process that is enabled through the NC eProcurement Sourcing Tool and Contracts Tool, please see the IT Procurement Process Playbook / Training Guide

• If you have any questions or issues accessing or using the NC eProcurement Sourcing Tool or Contracts Tool to submit an Exception Request, please contact the NCEP Help Desk at 888-211-7440, option 3, send an email to ephelpdesk@its.nc.gov