# NC Department of Information Technology

## AB201/AP201/RV201: NCDIT Exceptions Request Process

Revised June 2023

**NCDIT**  NORTH CAROLINA
DEPARTMENT OF
INFORMATION
TECHNOLOGY

# 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 <u>Procurement Exception</u> 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. <u>09 NCAC 06B.0901</u>
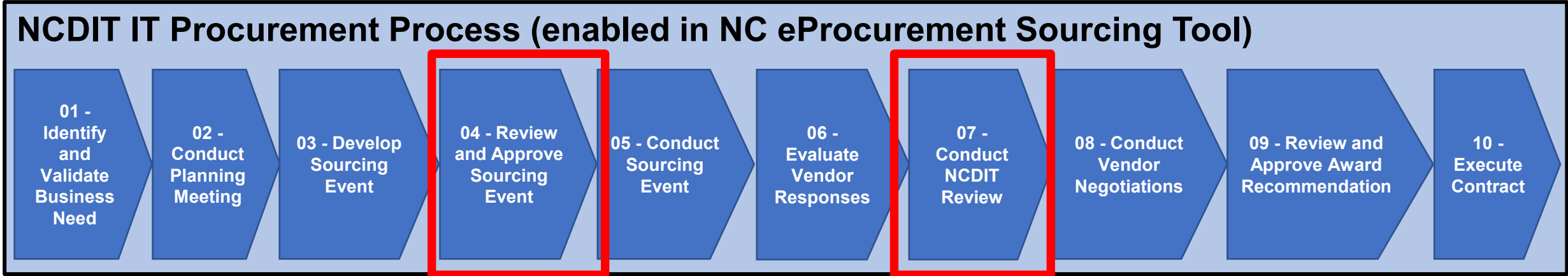- Contract Beyond 3 Years. <u>09 NCAC 06B.0301</u>

A <u>Standards Exception</u> 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. <u>NCGS § 143B-1365</u>
- 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 <u>Security Exception</u> Request is required for situations where the State Agency will be deviating from the <u>Statewide Information Security Manual</u>

# 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)**

| 01 - Identify and Validate Business Need | 02 - Conduct Planning Meeting | 03 - Develop Sourcing Event | 04 - Review and Approve Sourcing Event | 05 - Conduct Sourcing Event | 06 - Evaluate Vendor Responses | 07 - Conduct NCDIT Review | 08 - Conduct Vendor Negotiations | 09 - Review and Approve Award Recommendation | 10 - Execute Contract |

**Procurement Exception Request**

**Standards Exception Request**
**Security Exception Request**

**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.**

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# 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.**

Agency Identification →

Agency Contacts →

Summary of Exception →

Indication if IT Project →

Contract Information →

List of Attachments →



← Justification for requested exception

← Justification for requested exception

← Justification for requested exception

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# 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.**

Summary of Exception →

Privacy Threshold Analysis Number →

← Indication if IT Project

← Business Case

Justification for requested exception →

### Standards Exception Request (Form B)

**Instructions:** State Agencies requesting a Standards Exception should complete this form and submit it to NCDIT for approval through the NC eProcurement Sourcing Tool for active IT solicitations and through the NC eProcurement Contracts Tool for active IT contract amendments or renewals. If this Standards Exception Request is **not** related to an active IT procurement in the Sourcing Tool or an active IT contract amendment or renewal in the Contracts Tool, State Agencies may email the completed form and supporting documentation to dit.exceptions@nc.gov. NCDIT will enter the request into the Sourcing Tool on the State Agency's behalf. More detailed information about the Standards Exception Request process can be found at the end of this Form.

**Summary**

| | |
|---|---|
| Description: | Click or tap here to enter text. |
| Standards Exception Category: | ☐ Hosting<br>☐ Other: Click or tap here to enter text. |
| Hosting Location: | ☐ Vendor<br>☐ Agency<br>☐ Other: Click or tap here to enter text. |
| Is this an IT Project? | ☐ Yes   ☐ No |
| If an IT Project, enter IT Project Name as it exactly appears in Touchdown | Click of tap here to enter IT Project name as it exactly appears in Touchdown (if applicable and known). |
| Estimated Cost: | $Click or tap here to enter text. |
| Privacy Threshold Analysis (PTA) Number: | Click or tap here to enter text. |

**Attachments**

| | |
|---|---|
| Attachment Type: | ☐ Click or tap here to enter text.<br>☐ Click or tap here to enter text.<br>☐ Click or tap here to enter text.<br>☐ Click or tap here to enter text. |

**Business Case**

Please provide context for your request by summarizing your related business need.

Click or tap here to enter text.

☐ Check Here is Business Case is Attached

| Exception Category | Hosting |
|---|---|
| Authority: | NCGS § 143B-1365; Session Law 2016-94, Section 7.9(b) |
| Condition: | ☐ Using an outside contractor would be more cost effective for the State.<br>☐ The Department [NCDIT] does not have the technical capabilities required to host the application.<br>☐ Valid security requirements preclude the use of the State infrastructure, and a vendor can provide a more secure environment.<br>☐ The application is natively or commercially sold and delivered as a cloud-based solution. |

**Justification**

Our agency has reviewed the applicable authority, identified 1 and only 1 condition applicable to our agency, and demonstrates the following in support of this request.

Click or tap here to enter text.

☐ Check Here is Justification is Attached

| Exception Category | Other: | Click or tap here to enter text. |
|---|---|---|
| Authority: | Click or tap here to enter text. | |

**Justification**

Our agency has reviewed the applicable authority and demonstrates the following in support of this request.

Click or tap here to enter text.

☐ Check Here is Justification is Attached

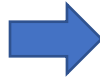NCDIT | NORTH CAROLINA DEPARTMENT OF INFORMATION TECHNOLOGY

# 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

### Security Exception Request (Form C) — 1

**Instructions:** State Agencies requesting a Security Exception should complete this form and submit it to NCDIT for approval through the NC eProcurement Sourcing Tool for active IT solicitations and through the NC eProcurement Contracts Tool for active IT contract amendments or renewals. If this Security Exception Request is <u>not</u> related to an active IT procurement in the Sourcing Tool or an active IT contract amendment or renewal in the Contracts Tool, State Agencies may email this completed form and supporting documentation to dit.exceptions@nc.gov. NCDIT will enter the request into the Sourcing Tool on the State Agency's behalf. More detailed information about the Security Exception Request process can be found at the end of this Form.

**Basic Information**

| | |
|---|---|
| Request Title: | Click or tap here to enter text. |
| Date: | Click or tap here to enter text. |
| Agency: | Click or tap here to enter text. |
| Division: | Click or tap here to enter text. |

**Contacts**

| | Name | Email Address |
|---|---|---|
| Business Owner: | Click or tap here to enter text. | Click or tap here to enter text. |
| CISO/Security: | Click or tap here to enter text. | Click or tap here to enter text. |
| Project Manager: | Click or tap here to enter text. | Click or tap here to enter text. |
| Director: | Click or tap here to enter text. | Click or tap here to enter text. |
| Agency CIO: | Click or tap here to enter text. | Click or tap here to enter text. |

**Summary**

| | |
|---|---|
| Is this an IT Project? | ☐ Yes   ☐ No |
| If an IT Project, enter IT Project Name as it <u>exactly</u> appears in Touchdown | Click of tap here to enter IT Project name as it exactly appears in Touchdown (if applicable and known). |
| Privacy Threshold Analysis (PTA) Number: | Click or tap here to enter text. |

**Reason for Request**

| | |
|---|---|
| Reason: | ☐ Patch Management – (SI-2: Flaw Remediation)<br>☐ Software – (SA-3: System Development Life Cycle / SA-8: Security Engineering Principles)<br>☐ Hardware – (SA-3: System Development Life Cycle / SA-8: Security Engineering Principles)<br>☐ Password – (IA-5: Authenticator Management)<br>☐ Service/Group Account – (AC-2: Account Management)<br>☐ Other: Click or tap here to enter text. |

**Attachments**

| | |
|---|---|
| Attachment Type: | ☐ Click or tap here to enter text.<br>☐ Click or tap here to enter text. |

**Business Case**

Please explain why the waiver is needed (details of the deficiency). Please include the following if applicable: Operation System Details, Version Information, and/or Length of Waiver Requested.

Click or tap here to enter text.

☐ Check Here is Business Case is Attached

**Mitigation Approach**

Please explain how you are mitigating the risk. Please include the following items, if applicable:
- Network Controls (e.g., vlans, non-routable IPs)
- Other access control measures in place
- Current compliance state (e.g., based on recent scan)
- System Hardening
- Monitoring ability (how do you ensure the controls in place remain unchanged)

Click or tap here to enter text.

☐ Check Here is Mitigation Approach is Attached

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# 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



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# 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 <u>not</u> related to Active IT Procurements

**For Exception Requests <u>not</u> 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 <u>dit.exceptions@nc.gov</u>.**

**<u>Option A</u>: Steps to Submit Standards or Security Exception Request <u>not</u> 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, <u>and selects Solicitation Vehicle to be IT: Exception Request Only</u>
- 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

**<u>Option B</u>: Steps to Submit Standards or Security Exception Request <u>not</u> 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 <u>dit.exceptions@nc.gov</u>
- 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

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# 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
  - Procurement Exception: Statewide IT Procurement Office
  - Standards Exception: NCDIT ESRMO, NCDIT EA, NCDIT EPMO
  - 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