Exception Requests (IT)

Introduction

If a need exists for an agency to submit a Standards or Security Exception Request to NCDIT for approval when no active IT Procurement is being conducted, Sourcing Project Owners can create a Sourcing Project (SP) with a **Solicitation Vehicle** type of **IT: Exception Request Only**. After uploading the completed Standards or Security Exception Request Form (available at the NCDIT IT Procurement Exceptions website) and any required supporting documents into the Sourcing Tool, the Sourcing Project Owner can submit the approval task to NCDIT for review and approval. Completed Standards and Security Exception Request Forms and supporting documents not associated with an active IT Procurement may also be submitted via email to dit.exceptions@nc.gov. NCDIT will enter the Standards and Security Exception Requests into the Sourcing Tool on the agency's behalf.

For guidance on submitting a Procurement Exception Request in an active IT Procurement, please see **Section 6** of the **Publishing a Sourcing Event (IT) Job Aid**. For guidance on submitting Standards and Security Exception Requests in an active IT Procurement, please see **Section 6** of the **Managing and Awarding a Sourcing Event (IT) Job Aid**.



Learning **Objectives**

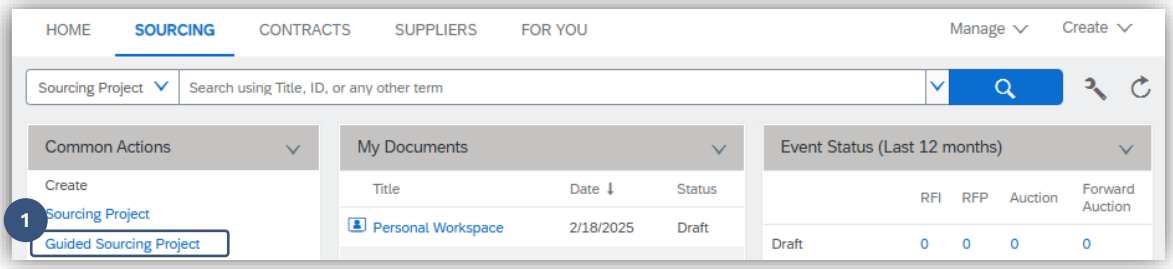
At the end of this job aid, **you will be able to**:

- Understand how to select the IT: Exception Request Only Solicitation Vehicle when creating a Sourcing Project.
- Understand how to manage the Team, Documents, and Tasks associated with the Exception Request.
- Understand how to Submit the Exception Request to NCDIT for approval.

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Initiate Sourcing Project and Complete the Create guided sourcing project page

1 In the **Common Actions** portlet on the left side of the screen, click the **Guided Sourcing Project** link.

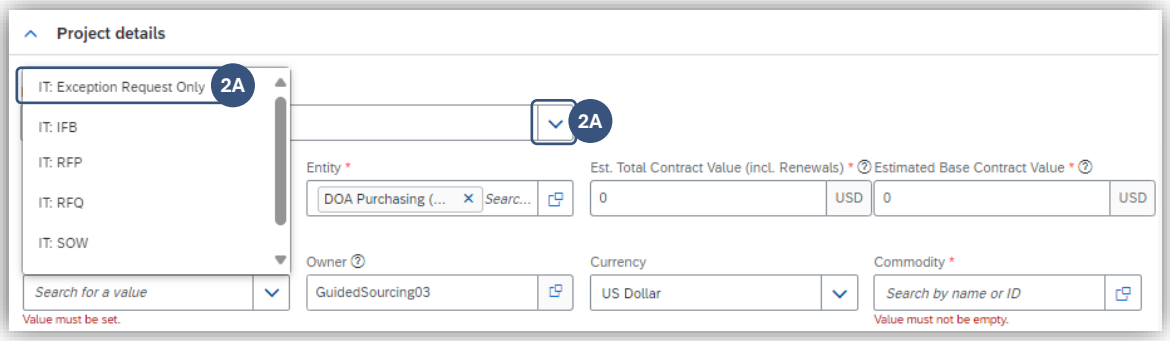


2 The **Create guided sourcing project** page will display. Populate all relevant fields, including the required fields, as noted by a red asterisk (*). Some fields are conditional, and information entered in this portion of the SP determine later options.

A. Select **IT: Exception Request Only** in the **Solicitation Vehicle** field.

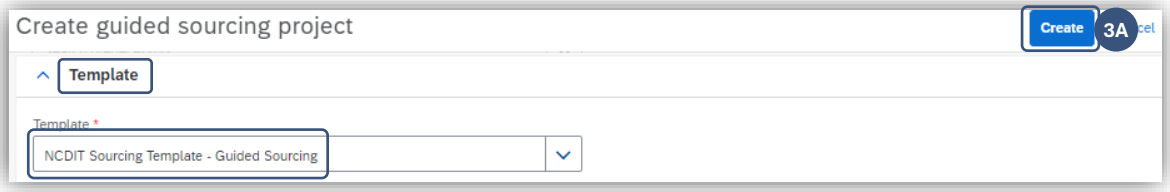
It is not advised to include the word "Project" in the **Name** field as it is for active IT Solicitations.

It is okay to input "$0" in the money fields if that is accurate.



3 After filling out the **Project Details** fields, scroll down the screen to the **Template** section. The **NCDIT Sourcing Template – Guided Sourcing** template will automatically populate. There are no questions to answer.

A. Click the **Create** button at the top right of the screen.



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Navigate to the Team Section and Confirm Sourcing Team Members

1 After clicking **Create** on the **Create guided sourcing project** page, the Sourcing Project (SP) is saved. Navigate to the **Team** section and add any other users who need access to the SP. By default, only the Sourcing Project Owner who clicked **Create** can edit the SP at this point.

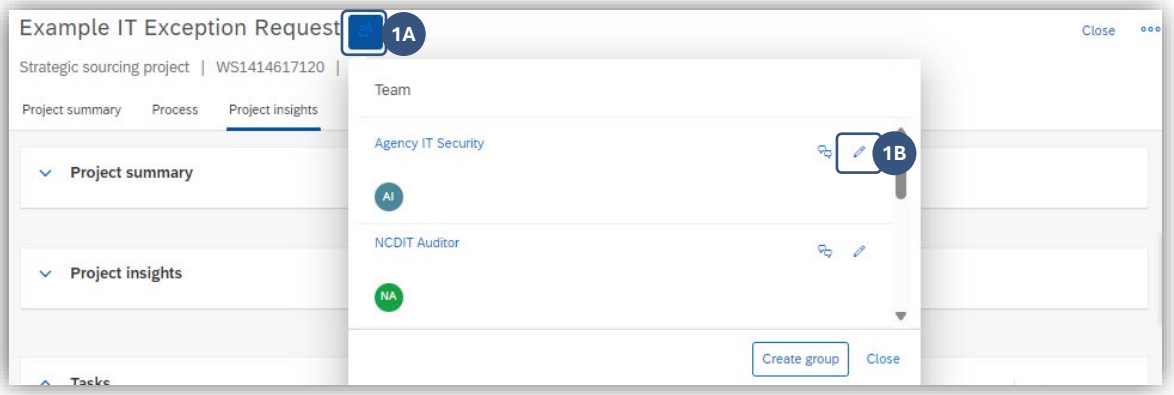
A. Click the two-person icon to the right of the SP title to access the **Team** section.

B. Click the pencil icon next to a preloaded group to add other users as team members if necessary.

Users added to the **Project Owner** group will be able to edit the SP.

It is very important that the **Agency IT Security** group be populated with at least one user for approval purposes. If this group is not automatically populated with users, the Sourcing Project Owner should manually add an appropriate user(s).

The **Agency CIO** group is not automatically added to SPs with **IT: Exception Request Only** as the **Solicitation Vehicle**. If they need visibility, add that group manually.



It is encouraged that the main project owner add at least one other user to the **Project Owner** group to serve as a backup with edit access should the main owner be unavailable.

Any changes made to the **Team** section within a SP only apply to that SP. They do not apply to other SPs also created by the same user.

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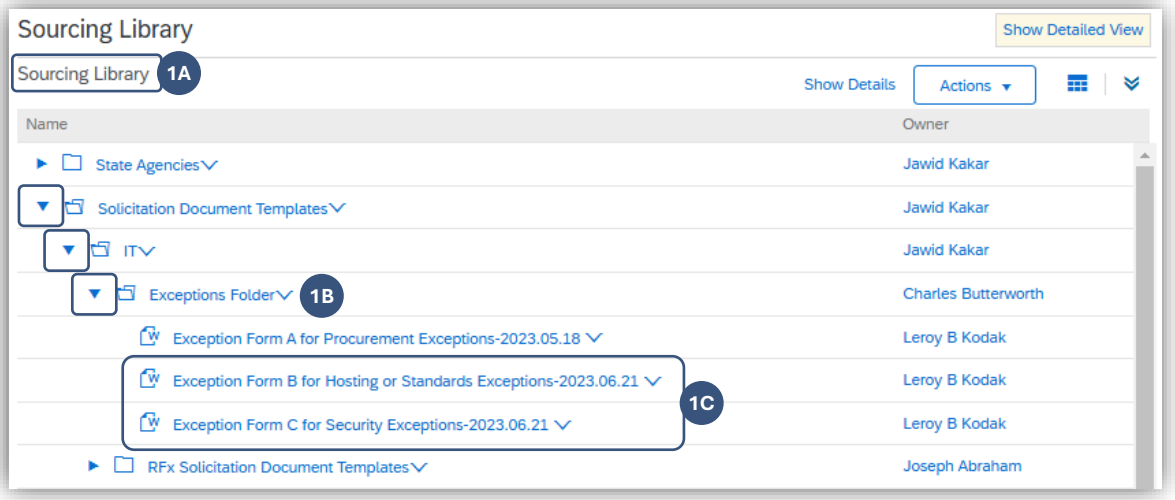
Navigate to the Events and other documents Section to Upload Exception Request Form

1 The **Events and other documents** section will have two folders for Exception Requests; the **Standards Exception Folder** and the **Security Exception Folder**. Before sending the Exception Request to NCDIT for review and approval via the **Tasks** section, the Sourcing Project Owner will have to upload the applicable form and any supporting documentation to the relevant folder.

A. To start the Exception Request process, the Sourcing Project Owner will need to upload a completed **Standards Exception Request – Form B** or **Security Exception Request – Form C** to the relevant folder in the **Events and other documents** section. These forms are often completed by Agency Business. Agency Procurement may have to download a blank Exception form to provide to Agency Business. To download a blank **Exception Request Form X** to provide to Agency Business, the Sourcing Project Owner will have to access the **Sourcing Library**.

B. From there, open the **Solicitation Document Templates** folder, then the **IT** folder, then the **Exceptions Folder**.

C. Click on the relevant Word document form – either **Form B** or **Form C** – and select **Download Draft**.

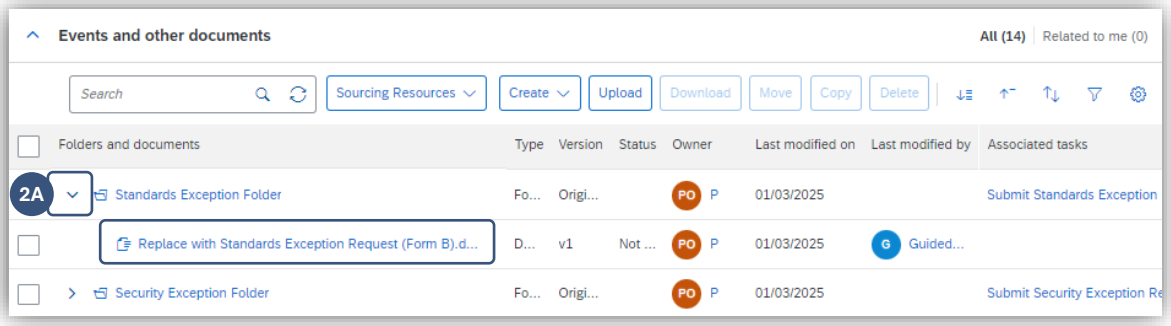


The **Sourcing Library** can be found by clicking **Manage** in the top right of the Ariba home page

Exception Requests (IT)

2 When the Agency Business user has provided the Sourcing Project Owner with a completed version of the relevant Exception form, the Sourcing Project Owner will need to upload it to the Sourcing Project back in the **Events and other documents** section.

A. Click the blue arrow to the left of relevant Exception folder and click on the **Replace with XXX Exception Request (Form X)** Word document to open it up.



B. Click the three dots in the top right and select **Replace document** from the dropdown. Select the **Upload a new document** option, choose the completed version of the form, then select **Yes** and click **Replace**. The document's status will update from **Not Edited** to **Draft** when replaced.



If the Sourcing Project Owner needs to add supporting documentation to complement their Exception form, check the box to the left of the relevant Exception folder and click **Upload** at the top of the section to select any relevant files for NCDIT to consider. Repeat this process for as many documents that need to be uploaded.

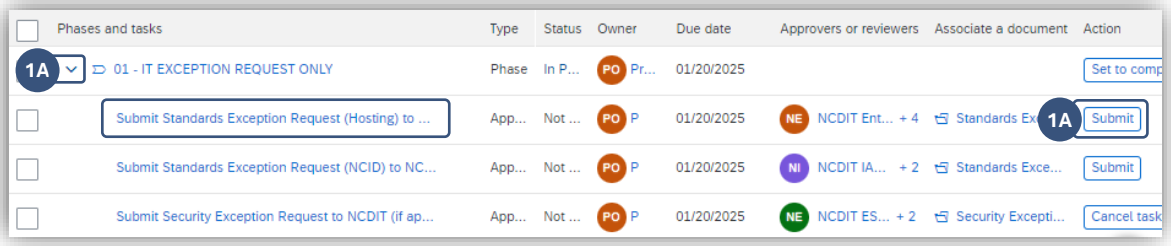
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Submit Exception Request Form for Approval

1 The **Tasks** section contains three approval tasks, two to **Submit Standards Exception Request (Hosting/NCID) to NCDIT (if applicable)** and another to **Submit Security Exception Request to NCDIT (if applicable)**.

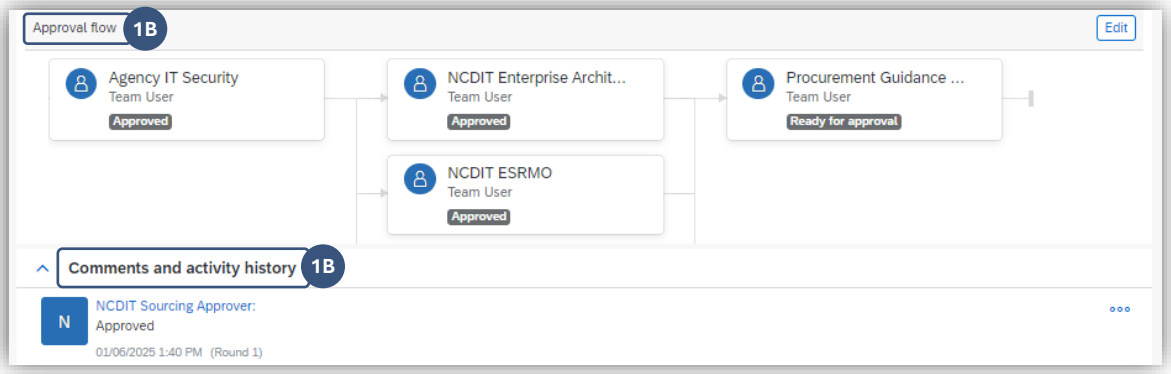
A. In the **Tasks** section, click the blue arrow next to **Phase 01** and either scroll to the right and click **Submit** in the **Action** column or click on the **Submit XXX Exception Request to NCDIT (if applicable)** task and click **Submit** in the top right of the task. The approval flow and **Due Date** will be pre-populated.

If the **Due Date** needs to be altered, click into the task and click the **Edit** button to do so.



B. When the task has been submitted, its status in the **Tasks** section will automatically update to **In Approval**. To monitor the process of the review, click on the task and scroll down the page. The **Approval flow** portion will show who has or has not approved the task, and the **Comments and activity history** section will provide timestamps for when approvals happened and track any comments provided by the approvers. The status on the **Tasks** section will automatically update to **Approved** when all groups have approved.

Prior to going to NCDIT approvers, the Agency IT Security group that should be automatically added at the beginning of the approval flow will have to approve the request in the Sourcing Tool. They will be sent an email notifying them of the approval task with a link to access the specific approval task in the Sourcing Tool.



C. Once NCDIT has approved the Exception Request, the Sourcing Project Owner can mark the SP as **completed** in the NC eProcurement Sourcing Tool.