

2016 Application Inventory Instructions

INTRODUCTION:

The Office of Chief Information Officer (OCIO) is gathering Application Inventory information to support multiple legislative requirements such as:

- Strategic Information Technology Plan - Biennial Performance Report
- Technology Business Management Program (TBM) - IT Cost to Business Value
- IT Portfolio Management

Agencies are asked to fill out and submit an Application Inventory spreadsheet for their agencies. The Application Inventory information will be aggregated into a global file and loaded into the OCIO TBM Program reporting software (Apptio) where data can be analyzed and assembled to meet OCIO reporting requirements.

DUE DATE:

Agencies are expected to complete and submit the Application Inventory to the OCIO by no later than August 31, 2016. Address for submittal is OCIOTBMprogram@watech.wa.gov.

AGENCY OPPORTUNITIES:

The OCIO recognizes the importance for agency technology leaders to have a clear view into the applications they provide and the intricate relationship these applications have with agency business strategies (both current and future). To support agencies who want access to application inventory data to meet their own internal reporting needs, the TBM Program will distribute copies of the global Application Inventory file into all agency instances currently in Apptio. This provides agencies an opportunity to analyze and report on application data applicable to their agency.

For agencies interested in using real time tracking of their application inventory within Apptio please contact the OCIO TBM Program. The program currently supports monthly statewide (global) data loads in Apptio and can support including agencies application inventory in the monthly load.

QUESTIONS:

Questions about Application Inventory can be directed to OCIOTBMprogram@watech.wa.gov

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1. DEFINITIONS:

The definition of 'Application' and 'Information System' we are electing to follow are from [National Institute of Standards and Technology \(NIST\)](#) and captured in the [National Institute of Standards and Technology \(NIST\) Key Terms](#) - US Dept of Commerce (May 2013)

- 1.1. **Application** – A Software Program hosted by an information system, Software program that performs a specific function directly for a user and can be executed without access to system control, monitoring, or administrative privileges.
- 1.2. **Information System** - A discrete set of information resources organized for the collection, processing, maintenance, use, sharing, dissemination, or disposition of information.

[Note: Information systems also include specialized systems such as industrial/process controls systems, telephone switching and private branch exchange (PBX) systems, and environmental control systems.]

2. INCLUSIONS:

In order to ensure uniform interpretation of applications across the state, agencies are to include applications that are:

- 2.1. Interacting with Category 3 or Category 4 data.
- 2.2. Used by the public.
- 2.3. Considered by the agency to be mission-critical or business essential.
- 2.4. Developed using platform or intermediary software such as SharePoint, ArcGIS.

3. EXCLUSIONS:

Applications to be excluded are:

- 3.1. Websites that are purely static in content.
- 3.2. Productivity software (e.g. Office, Visio, etc.) since costs for this type of software would generally appear under the User Service/Workspace IT Resource subtower rather than the Applications IT Resource tower.
- 3.3. Platform or intermediary software including but not limited to SharePoint, ArcGIS, SSIS, Windows Communication Foundation, Web services, APIs.

4. INFORMATION SYSTEMS:

For large systems that could be reported as a collection of application components, agencies have discretion to identify a Parent application as part of an Information System followed by associated child applications, systems or components. For large systems it is recommended agencies use the following advisement:

- 4.1. Preference and expectation for reporting is for individual modules of a system, but there may be situations where the business requirements lead you to treat a legacy system as monolithic (one entry rather than broken into separate modules).
- 4.2. Agencies are advised to report at the smallest decision-making point for the agency. Guiding question: Would the agency (for various risk or financial reasons) approach portfolio

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management decisions (tolerate, invest, migrate, eliminate) at the module or the entire system level?

- 4.3. It is anticipated that this guidance would likely result in large legacy systems in particular being reported at the system level, whereas more modern applications might be reported at the functional module level. If reporting at the functional module level, modules should still be material (see risks to consider).
- 4.4. Risks to consider include: visibility of failure, impact of failure on agency mission, ability to resource/staff, ability to update, dependence on 3rd party software, etc.
 - 4.4.1.E.G: TRAINS is a legacy accounting system that could be broken into various modules, but rather than tweak or replace individual modules, WSDOT would be likely to seek funding or initiate a project to replace the entire system (all modules). This would lead them to report TRAINS at the larger system level even if the modules within vary in terms of platform, deployment, specific business capability, etc. The system that replaces TRAINS would likely be reported at the module level.
 - 4.4.2.E.G: LCB, reporting their large system (considerably newer than TRAINS), would likely break it into consumable modules (e.g. licensing, enforcement, GIS, authentication) as they may take action to modify just one module.

5. REQUIRED APPLICATION INVENTORY ATTRIBUTES/ELEMENTS:

5.1. Agency Number

5.2. Agency Name

5.3. Application Name

5.4. Is this Application considered a subsystem of another application?

- 5.4.1. If this application is not a standalone application and is dependent upon another application for its existence, mark yes. If not, mark no.

5.5. If Yes to 5.3, list application;

5.6. Core or Critical (Y/N)

5.7. Business Criticality (allowable categories below)

5.7.1.Business Essential

5.7.2.Historical

5.7.3.Mission Critical

5.7.4.User Productivity

5.8. Type of Application (allowable categories below)

5.8.1.Custom/In-House

5.8.2.SaaS

5.8.3.COTS

5.8.4.Hybrid

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5.9. User Base (allowable categories below)

- 5.9.1. Agency (run/used only within the agency)
- 5.9.2. Partner (helps operate the system)
- 5.9.3. Public (end users providing or receiving data)

5.10. User Count (estimated)

5.11. Business Owner (Y/N)

- 5.11.1. Designated Business Owner identified. Business Owner defined as the entity (Agency Administration, Program, Division, etc.) funding and governing changes to this application.

5.12. Updateability (Y/N) – N = Legacy

5.13. Resource Availability (Y/N) – N = Legacy

5.14. Unsupported Version (Y/N) – N = Legacy

5.15. Other Risk (Y/N) – Y = Legacy

5.16. Legacy Indicators (Legacy/Not Legacy) (Field calculation based on response to question 5.12 – 5.15)

5.17. Mobility (Y/N)

- 5.17.1. OCIO definition: **Mobile application is** “an application that is intended to deploy to a small-format mobile device like a tablet or a smartphone. Some web applications may have been built with adaptive web technology that allows the content to scale/display on tablets or smartphones, and those should also be considered mobile applications for purposes of this inventory.”

5.18. Location Data (Y/N)

- 5.18.1. Application uses location-based data (GIS data such as x,y coordinates or mapping functionality).

5.19. Application In Service Date: Date in production (optional)

- 5.19.1. Date application went into production which is generally associated with the date used for tracking useful life in agency asset tracking system. (See SAAM 30.20.70 - Depreciation Policy and SAAM 30.50.10.A Subsection 80 - Capital Asset Class Codes and Useful Life Schedule.)

5.20. Application Lifecycle:

- 5.20.1. In development
- 5.20.2. In service
- 5.20.3. Retirement in progress
- 5.20.4. Retired from inventory

5.21. Application Retirement Date

- 5.21.1. Initial capture of retirement date. Ongoing tracking of retired applications will be aligned with individual agency records retention policy.

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