

Application Guidelines

Version 3
August 24, 2020

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).

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.

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.]

1. List applications used by the agency to achieve their mission, goals and objectives with the exception of:
 - a. Websites that are purely static in content.
 - b. Social media applications, unless used for data collections such as surveys, opinion polls, etc.
 - c. Desktop productivity software (e.g. Office, Visio, etc.) since this type of software is assumed standard part of all agency desktop configurations.
 - i. If your desktop productivity software has move to M365, then you will need to include the M365 product licenses in your agency inventory.
2. How to register platform or intermediary software used to develop application including but not limited to SharePoint, Salesforce, ArcGIS, SSIS, Windows Communication Foundation, Web services, APIs.

If an application is developed using an intermediary software, include the application name on the list and identify the intermediary software in the key technology field of the application inventory.
3. Agencies owning central service applications or shared services will need to include the application in their agency portfolio submittal.
4. Agencies using the central service applications/shared service do not need to list the application in their portfolio.
5. For agencies wanting to capture and include the central service application or shared service in their application portfolio, please preface the entry with Centrally Managed – [Application Name]

Examples:

- Centrally Managed – AFRS
- Centrally Managed – HRMS
- Centrally Managed – CAMS
- Centrally Managed – Exchange
- Centrally Managed – Enterprise Active Directory

6. For large information 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:
- a. 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).
 - b. 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 management decisions (tolerate, invest, migrate, eliminate) at the module or the entire system level?
 - c. 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).
 - d. 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.

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.

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.

7. Associating infrastructure items to applications:
- a. In the 2020 application inventory template, agencies are asked to list all infrastructure unique identifiers associated with the application. This is accomplished by entering each infrastructure unique identifier starting in column CJ and going to column DC. If the application is associated with more than 20 infrastructure items, agencies are asked to add additional columns to accommodate.

