



ARCHER USER'S GUIDE

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Introduction

Archer is the tool of record for maintaining an agency's information related to their applications and associated business processes, devices and data set names.

Within the Archer User's Manual, you will find the following:

1. Workflow on how to add, modify, retire, search and report on applications
2. Definitions on what is to be included in the Agency's portfolio
3. Drop down values on the application forms
4. Entering Exceptions
5. Preparing/Managing the document for the Agency Head Signature

2. Definitions

2.1. Application

In general, an Application is an automated solution designed to perform one or more business functions. It may be a single program designed for a single business function, or it may be a multi- module/program or multi-sub-system entity with modules/programs/components that support multiple business functions. An Application may be purchased (COTS, GOTs or Software-as-a-Service [SaaS]), custom-developed in-house, or reused from another entity.

Please enter in Archer all applications that:

1. Are owned or licensed by the agency
2. Are deployed on server type platforms (see exclusion below)
3. Are desktop applications that automate a substantial or mission critical part of an agency business process (core business or back-office)
4. Any hosted application that your agency uses. A hosted application could belong to another state agency, locality, federal government, organization or private company.
For instance:

- If your agency uses CARDINAL (an application owned by the Department of Accounts), you should include it in your application inventory (even though your agency is not the system owner or administrator of the application). Also include any other applications that your agency uses that are hosted at other agencies or

organizations.

- If your agency uses a cloud provider to provide a service, you should also include that as an application in your inventory.
 - If your agency out-sources a service, such as credit card processing, you must include that as an application in your inventory.
5. Please include your agency public website and, separately, any web applications that may be accessed via your public website.

Please do **not** include:

1. Small productivity tools such as spreadsheets and Access databases residing only on personal workstations. These should only be listed if they have risen to the status of being “Mission Critical” or are major contributors to automation or support of a business process.
2. Products like Microsoft SQL Server, Oracle or Windows XP. While these are technically applications, they are considered here to be “Software Tools” rather than Applications. This is because these types of applications do not perform direct, mission-oriented business functions, but play a system support role and often host, support, or otherwise facilitate end-user applications.

In general, if you question whether something should be included, make an entry in Archer and add an explanation in the Description field.

2.2. Device

Device is defined as the hardware that supports the application. Devices can be associated to the application it supports in Archer. Most server devices in Archer are already included in your agency’s device inventory.

In general, if you question whether something should be included, make an entry in Archer and add an explanation in the **Description** field.

2.3. Business Processes

A **business process** or **business function** refers to a wide range of structured, often chained, activities or tasks conducted by people or equipment to produce a specific service or product for a particular user or consumer.

A defined business process can be associated to a supporting application within Archer.

In general, if you question whether something should be included, make an entry in Archer and add an explanation in the **Description** field.

2.4. Dataset Name

A data set can be associated to a supporting application within Archer. A data set describes and classifies the data within an application. A data set can also be referred to as a “data asset” or “information”. Within Archer, it is referred to as “information”.

In general, if you question whether something should be included, make an entry in Archer and add an explanation in the **Description** field.

3. Overview of Archer

Disclaimer: The information displayed in the screen shots within this document is only display data, and does not imply any accuracy.

3.1. AITR Role

The AITR will be able to enter **NEW** applications; **MODIFY** existing applications; **RETIRE** existing applications; and **CERTIFY** their agency’s application information.

The AITR will also be able to conduct searches for specific information.

The AITR will be able to report on varying information associated with the agency’s portfolio.

3.2. ISO Role

The ISO can update existing Applications by adding/updating Business Processes, Data Sets and Devices.

ISOs can also conduct searches and create reports.

3.3. Accessing Archer

Archer may be accessed by going to <https://itgrcs.vita.virginia.gov/apps/ArcherApp/Home.aspx#home>

If you cannot access the link, please email commonwealthsecurity@vita.virginia.gov



For access or processing issues in Archer, please email commonwealthsecurity@vita.virginia.gov

3.4. Archer AITR Dashboard

The “AITR dashboard” appears as below. The AITR dashboard has been designed to include the functions and reports that an AITR will most frequently need to use:

The screenshot displays the Archer AITR Dashboard with the following components:

- Dashboard:** AITR Dashboard
- Welcome:** Welcome, [User Name]
- AITR Application iVIEW:**
 - COVa: Application Master List
 - COVa: Apps that are NOT CERTIFIED
 - COVa: RETIRED Applications
 - Applications - New Record
 - Applications - Records
- AITR: Data Asset (Information) iVIEW:**
 - COVa: Data Asset Inventory (Information Inventory)
 - Information - New Record
 - Information - Records
- AITR: Device iVIEW:**
 - COVa: Device Master List
 - Devices - New Record
 - Devices - Records
- AITR: Business Process iVIEW:**
 - COVa: Business Process Master List
 - Business Processes - New Record
 - Business Processes - Records
- NCSR Questionnaire:**

Agency Name	Questionnaire ID	Progress Status	Submission Status	Submit Date
Virginia Information Technologies Agency	256400	Submitted		
- Agency Findings:**

Findings by Status

Status	Count
(No Selection)	1
Closed	19
Underway	36
Not Started	779
- Actionable Application Information:**

COV: Sensitive System Reconciliation Report

Agency	Applica Name	Applica Inheren Risk	Sensitiv System	Contain Confide	Contain Data to	Data Last IT	Last Agri	Last Agri
- Actionable IT Security Audit Information:**

COV: Scheduled IT Security Audit Issues

No Records Found
- Actionable Finding Information:**

COV: Overdue Findings

Finding ID	Agency	Affected Applications	Name	Status	Criticality
FND-124	Virginia Information Technologies Agency	VITA Archi	Improve the V&R System	Underway	High
- Actionable Business Process Information:**

COV: Actionable Business Processes

No Records Found
- Actionable IT Risk Assessment:**

COV: Sensitive Systems Missing a Agency IT Risk Assessment

Application ID	Application Name	Criticality Rating	Sensitive System	Last Agency IT Risk Assessment	Next Agency IT Risk Assessment
- Agency Datapoints:**

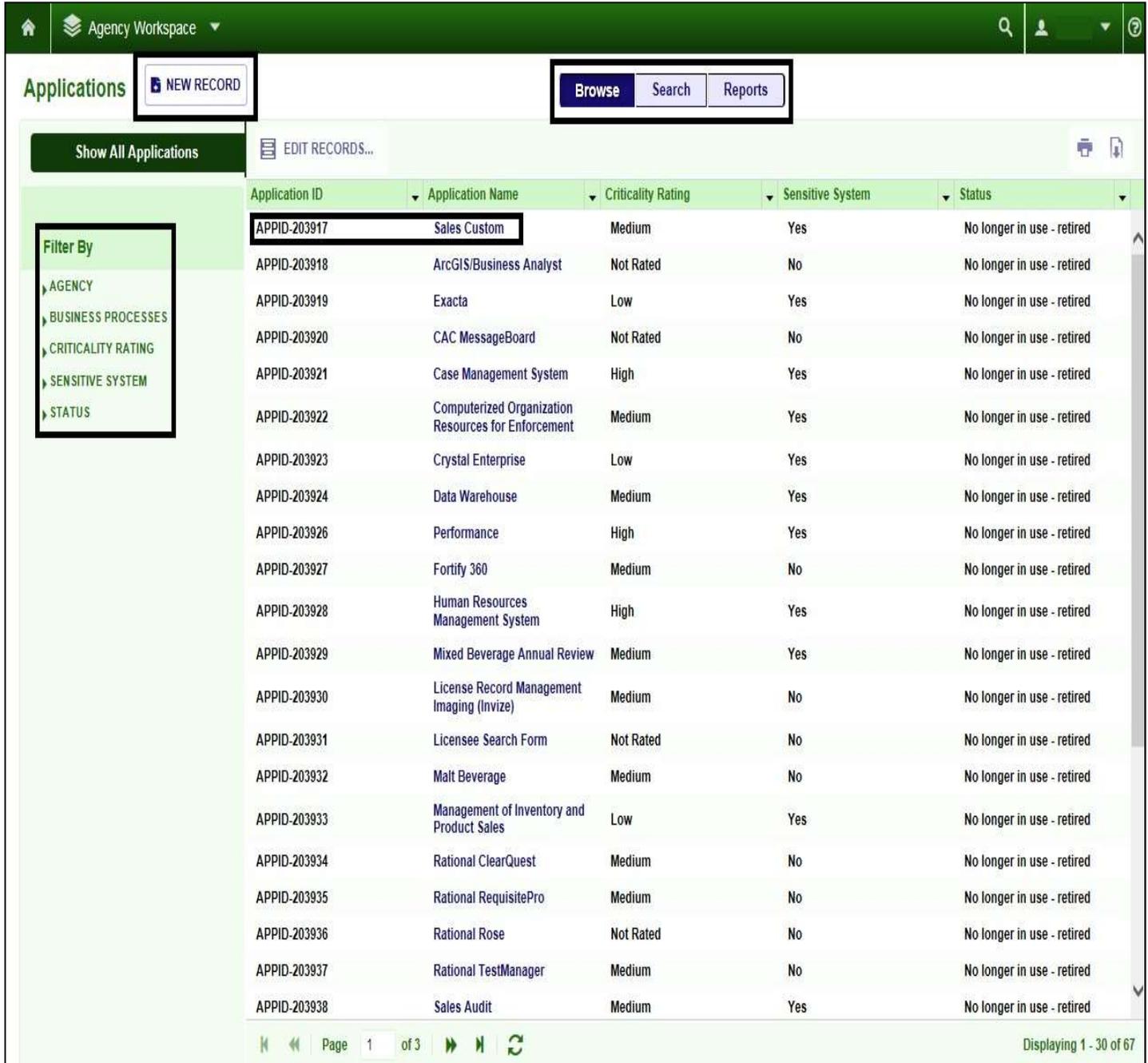
Agency Name	ISO Certifi Status	Audit Plan Status	Year of Auc	Perce	3 Year of Audit	Risk Assess	3 Year Assess	IDS Assess	Quart	Vulner Scanni	Zip Code

3.4.1. Menu Navigation



- When a “Workspace” is selected in Archer, you will see a menu type listing of the various dashboards, quick links and solutions that are available.
- The “Dashboard” section in the Workspace allows you to view the various “dashboards” that have been made available. You may find working with a dashboard easier than working through a menu.
- The “Quick Links” section in the Workspace allows you to quickly choose certain reports or functions without having to navigate your way through the dashboards or solution menus.
- The “Solutions” section of the work space includes links to the various modules that have been made available to you. To access your agency’s application information, click on **Agency Management** under **Solutions**; click on **Applications** under the **Applications** menu.

3.4.2. Browse:



Agency Workspace

Applications **NEW RECORD** **Browse** Search Reports

Show All Applications EDIT RECORDS...

Application ID	Application Name	Criticality Rating	Sensitive System	Status
APPID-203917	Sales Custom	Medium	Yes	No longer in use - retired
APPID-203918	ArcGIS/Business Analyst	Not Rated	No	No longer in use - retired
APPID-203919	Exacta	Low	Yes	No longer in use - retired
APPID-203920	CAC MessageBoard	Not Rated	No	No longer in use - retired
APPID-203921	Case Management System	High	Yes	No longer in use - retired
APPID-203922	Computerized Organization Resources for Enforcement	Medium	Yes	No longer in use - retired
APPID-203923	Crystal Enterprise	Low	Yes	No longer in use - retired
APPID-203924	Data Warehouse	Medium	Yes	No longer in use - retired
APPID-203926	Performance	High	Yes	No longer in use - retired
APPID-203927	Fortify 360	Medium	No	No longer in use - retired
APPID-203928	Human Resources Management System	High	Yes	No longer in use - retired
APPID-203929	Mixed Beverage Annual Review	Medium	Yes	No longer in use - retired
APPID-203930	License Record Management Imaging (Invize)	Medium	No	No longer in use - retired
APPID-203931	Licensee Search Form	Not Rated	No	No longer in use - retired
APPID-203932	Malt Beverage	Medium	No	No longer in use - retired
APPID-203933	Management of Inventory and Product Sales	Low	Yes	No longer in use - retired
APPID-203934	Rational ClearQuest	Medium	No	No longer in use - retired
APPID-203935	Rational RequisitePro	Medium	No	No longer in use - retired
APPID-203936	Rational Rose	Not Rated	No	No longer in use - retired
APPID-203937	Rational TestManager	Medium	No	No longer in use - retired
APPID-203938	Sales Audit	Medium	Yes	No longer in use - retired

Filter By: AGENCY, BUSINESS PROCESSES, CRITICALITY RATING, SENSITIVE SYSTEM, STATUS

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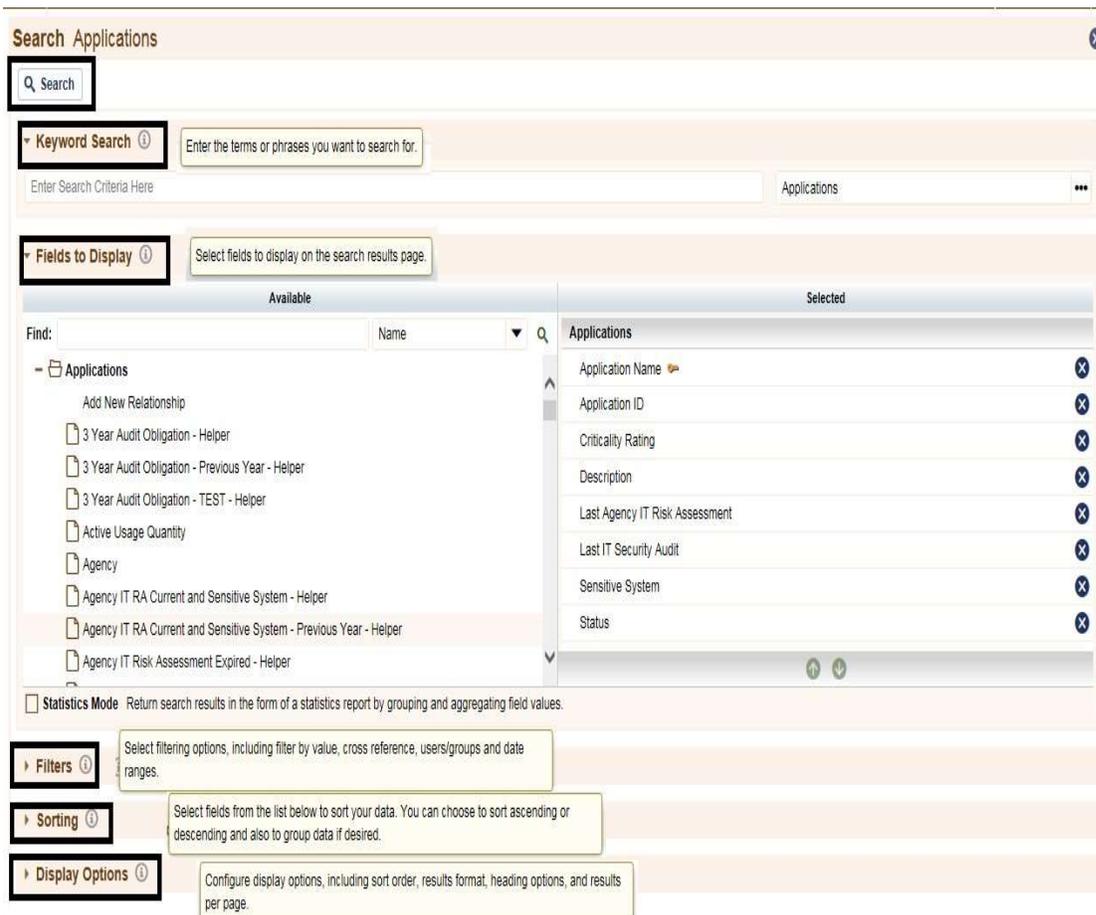
- In this area you may select a specific application for viewing or editing. By default, the Application page loads with all of your applications displayed.
- By clicking New Record, you will be able to open a page to enter a New Application.

- By clicking Search, you will be able to narrow your selection by entering additional information.
- By clicking on Reports, you will be able to select from a canned report list to view your agency's information.
- You can also narrow the list down by using the Filter menu on the left side of the page.
- Use the page controls at the bottom of the grid to navigate through the pages presented.

3.4.3. Search:

The Search area is used to locate agency specific application information.

- Enter the **Search** criteria desired and click **Search**
- Each area of **Keyword Search**, **Fields to Display**, **Filters**, **Sorting** and **Display Options** allows you to customize the list of applications displayed.



Search Applications

Keyword Search
 Applications

Fields to Display

Available	Selected
Find: <input type="text"/> Name <input type="text"/>	Applications
<ul style="list-style-type: none"> Applications Add New Relationship 3 Year Audit Obligation - Helper 3 Year Audit Obligation - Previous Year - Helper 3 Year Audit Obligation - TEST - Helper Active Usage Quantity Agency Agency IT RA Current and Sensitive System - Helper Agency IT RA Current and Sensitive System - Previous Year - Helper Agency IT Risk Assessment Expired - Helper 	<ul style="list-style-type: none"> Application Name Application ID Criticality Rating Description Last Agency IT Risk Assessment Last IT Security Audit Sensitive System Status

Statistics Mode Return search results in the form of a statistics report by grouping and aggregating field values.

Filters

Sorting

Display Options

3.4.4. Reports:

Applications - Report Listing

NEW EMAIL

1 to 20 (of 103)

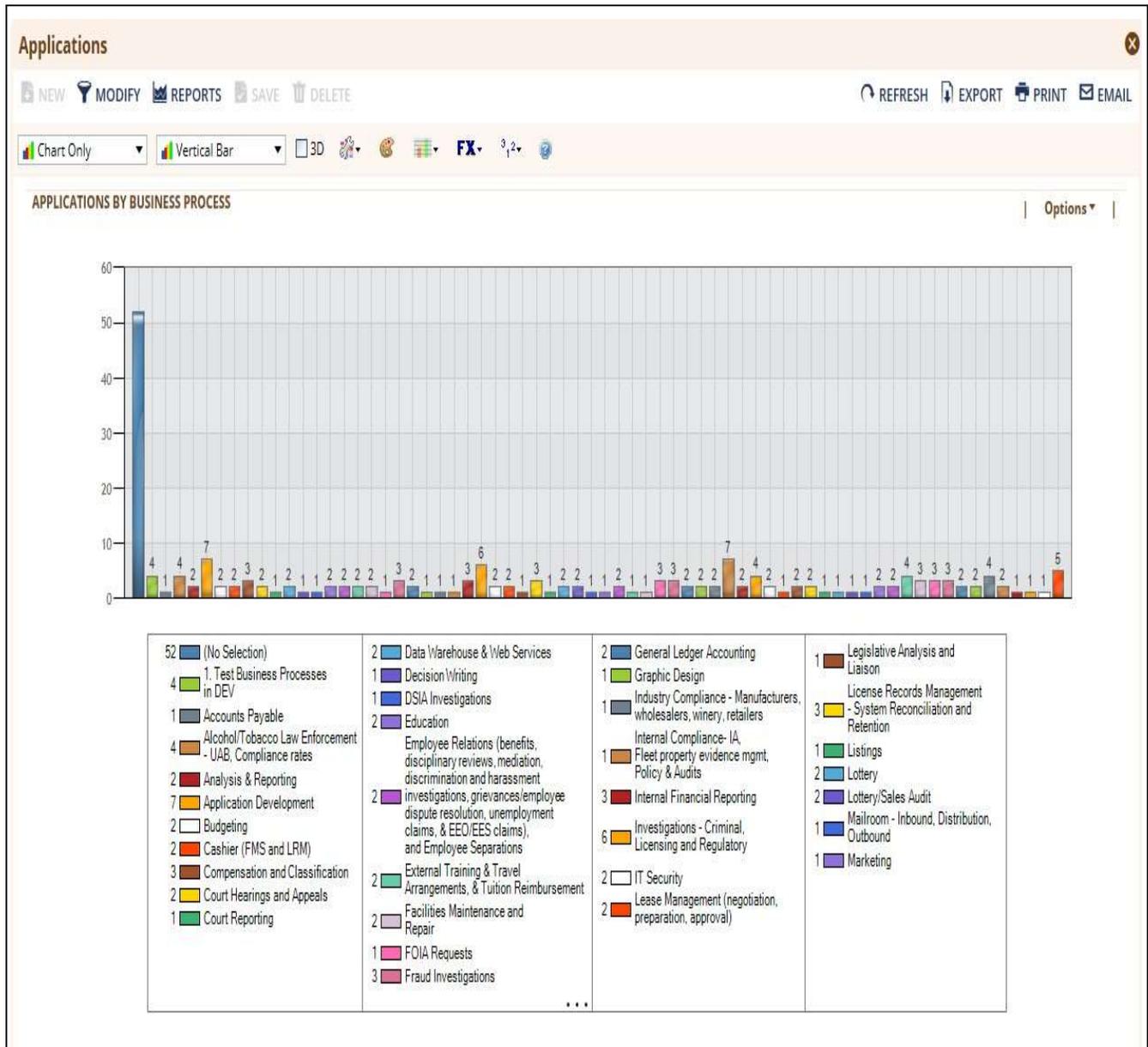
REPORTS Show Filters

Drag a column name here to group the items by the values within that column.

Name ▲	Type	Last Updated	Updated By	Created By
Agencies Missing Data Sets or Business Processes	Global	11/15/2016 4:17:16 PM	Martens, Mark	Martens, Mark
Agencies with applications not associated with a data set	Global	7/1/2016 9:26:36 AM	Martens, Mark	Martens, Mark
Andy's Report	Global	4/11/2016 11:25:39 AM	Martens, Mark	Martens, Mark
App Search1	Global	8/2/2013 11:09:34 AM	Administrator, System	Administrator, System
Applications by Agency	Global	6/2/2016 1:29:54 PM	Martens, Mark	Administrator, System
Applications by Business Process	Global	8/2/2013 11:09:34 AM	Administrator, System	Administrator, System
Applications by Business Unit	Global	8/2/2013 11:09:34 AM	Administrator, System	Administrator, System
Applications by Compliance Rating	Global	8/2/2013 11:09:34 AM	Administrator, System	Administrator, System
Applications by Criticality Rating	Global	8/30/2013 12:32:33 PM	Watson, Michael - DNU	Administrator, System
Applications by Devices	Global	8/2/2013 11:09:34 AM	Administrator, System	Administrator, System
Applications by License Model	Global	8/2/2013 11:09:34 AM	Administrator, System	Administrator, System
Applications by Platform	Global	8/2/2013 11:09:34 AM	Administrator, System	Administrator, System
Applications by Risk Rating	Global	8/2/2013 11:09:34 AM	Administrator, System	Administrator, System
Applications by Type	Global	8/2/2013 11:09:34 AM	Administrator, System	Administrator, System
Applications mission Business Processes or Data Sets	Global	10/31/2016 1:35:50 PM	Martens, Mark	Martens, Mark
Applications without Business Processes or Data Sets	Global	11/18/2016 11:15:00 AM	Martens, Mark	Martens, Mark
Applications Without Devices	Global	12/8/2016 2:14:57 PM	Watson, Michael	Watson, Michael
Apps in Agency Name Order	Global	8/22/2013 11:10:51 AM	Miller, Edward	Miller, Edward
Audit Services Agencies	Global	11/21/2016 12:18:09 PM	Martens, Mark	Martens, Mark
Availability Sensitive Apps to Devices	Global	10/1/2015 10:40:07 AM	Freda, William	Freda, William

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- This report list allows you to select a canned report, enter the required criteria if necessary, and execute the report.
- The reports can then be **Exported, Printed** or **Emailed**
- Below is a sample report:



4. Modify or Add an Application

The Applications application stores all business applications used by the organization to perform business operations. Examples of applications include payment intake systems and customer account information systems. This repository allows you to view how an application is being used, the people who are using it and the devices supporting it.

Through the Applications application, you can:

- Track risk rating, business impact, customer impact, licensing details, and personnel for various applications.
- Relate software applications to the business processes they support.
- Classify and prioritize applications based on their value and criticality to your business.
- Identify how applications are being used, who manages them, and where they are located within the business.

4.1. Modifying an Existing Application

From the **Application Browse** page, click on the **Application Name** to begin the modifications.

To modify the selected application, click on the **EDIT** button. This will display the application information.

The display will change to allow you to modify the information and **Save** the modifications.

Full field explanations are in Section 4.3.

4.2. Adding a New Application

Adding a new application will display a blank form, allowing you to enter the information.

The form has **Required (*)** fields that must be completed before the application information can be saved.

As you are entering information, you may save your work at any time (provided you have entered or selected data for all ***Required**) click on the **Save** button. This will allow you to save and continue editing or adding information.

Note: Archer does not assume your agency identity. If you are using the **Lookup** function, you must first select your agency.

Full field explanations are in Section 4.3.

4.3. Field Entry and Definitions

4.3.1. General Information Field Definitions:

Field Name	Description
Agency Number:	This field is assigned by Archer based on the Agency name that has been selected, and when the application is saved successfully. (NOTE: "Assigned" fields are fields that may be calculated and/or updated by Archer or completed by a VITA security analyst. You will not be able to directly update an assigned field).
*Agency:	Your agency name. Click on the . . . This will bring up the Record Lookup table. Select your agency and click OK . When editing an application, you will not be able to edit this field.
Application ID:	The Application ID is assigned when the application is saved successfully.
*Application Name:	The name of the application. Include only those applications owned, licensed, or directly managed by the agency.
Application Type:	Identify the software type. Valid values: <ul style="list-style-type: none"> • No Selection • Enterprise Software • Embedded Software • Information Worker Software • Content Access Software • Enterprise Infrastructure Software • Product Engineering Software
Customer Impacting Information:	Enter any information relative to any impacts the customers may incur if the application was unavailable during a scan.
Customer Impacting:	Assigned when it is determined if the IT Security Audit Scan activity will have an impact on the customer.
Customer of Centralized Audit Services:	Assigned field: Yes , if your agency participates in the Centralized Audit Services program. No , if your agency does not participate in the Centralized Audit Services program.

Field Name	Description
Customer of Centralized ISO Services:	Assigned field: Yes , if your agency participates in the Centralized ISO Services program. No , if your agency does not participate in the Centralized ISO Services program.
*Description:	Describe the purpose of the application and how it is used.
IT Security Audits (IT Systems Scheduled to Audit):	This is a list of systems that have been identified for audit.
Last Updated:	Assigned with the date the last time this application was saved.
Scan Window:	Enter the time that you would like the IT Security Audit Scan to occur. Take into consideration the impact of the application on the business; the most opportune time for the scan to occur without impacting the business and the users of the application. Valid values: <ul style="list-style-type: none"> • No Selection • After Hours • Anytime • Business Hours (9-5) • Weekends Only
Scheduled Scan:	This is the date when the next scan will occur.
Sensitive System:	Assigned field: Yes , if this application has been identified as being sensitive to confidentiality, integrity, and availability and has been placed on the agency's IT Security Audit Plan and submitted to commonwealthsecurity@vita.virginia.gov with agency head acknowledgement. No , if this application does not deal with information sensitive to confidentiality, integrity, or availability.
Service Model:	Select the type of service model. Valid values: <ul style="list-style-type: none"> • No Selection • IaaS – Infrastructure as a Service • PaaS – Platform as a Service • SaaS – Software as a Service

Field Name	Description
Vital Business Function:	Calculated based on selected impact values within the business process.
Web URL:	Enter the *URL(s) for your web site or public web application. For scanning purposes, all publicly facing web applications must list all URLs associated with this application.

4.3.2. Device Field Definitions:

Field Name	Description
Devices:	To attach Devices to this application, click on the Lookup tab and select all devices needed.

4.3.3. Application Risk Information Field Definitions:

Field Name	Description
Application Risk Information:	<p>Assigned information for:</p> <ul style="list-style-type: none"> • Application Inherent Risk • Application Residual Risk • Criticality Rating • Sensitive as to Confidentiality - Calculated based on associated data sets and or business processes. • Sensitive as to Availability - Calculated based on associated data sets and or business processes. • Sensitive as to Integrity - Calculated based on associated data sets and or business processes. • Last Agency IT Risk Assessment • Next Agency IT Risk Assessment • Last IT Security Audit • Next Scheduled IT Security Audit • Default Records at risk - Calculated directly from either the number of records processed annually or the number of stored records • Records at Risk Override

Field Name	Description
	<ul style="list-style-type: none"> • Application Inherent Risk: Calculated by either the information on the data sets associated with this application or the Records at Risk Override field • Application Residual Risk

4.3.4. Business Risk Information Field Definitions:

Field Name	Description
Business Risk Information:	Assigned information for: <ul style="list-style-type: none"> • Highest Business Function Confidentiality Rating • Highest Business Function Availability Rating • Highest Business Function Integrity Rating • Lowest Business Process RTO • Count of Critical Business Functions • Lowest Business Process RPO

4.3.5. Business Processes Field Definitions:

Field Name	Description
Business Processes:	To attach Business Processes to this application, click on the Lookup tab and select all Business Processes needed.

4.3.6. Critical Network Locations:

Field Name	Description
Critical Network Locations:	<p>AITRs will select which facilities are critical network locations in archer by going to their applications and selecting the associated facility under the mappings tab.</p> <p>The facility determines whether it is a critical network location, stored in simple YES/NO format. This calculation checks for any active applications that indicate that the facility is a Critical Network Location.</p>

4.3.7. Information – Data Set Names Field Definitions:

Field Name	Description
Information – Data Set Name:	To attach Data Sets to this application, click on the Lookup tab and select all Data Sets needed.

4.3.8. Application Information – CETR Field Definitions:

Field Name	Description
Additional Comments:	Enter additional information if needed.
Allows Anonymous Access:	Select Yes if any user has access to this application without logging on with a username and password. Select No if a user name and password is required for access
Annual Cost to Support:	<p>Select the range that comes closest to reflecting the annual cost to support the application. In your estimate, include software, licenses, hardware, staff, contractors, etc. Ranges:</p> <ul style="list-style-type: none"> • Less than \$10,000 • \$10,000 - \$100,000 • \$100,000 - \$1,000,000 • Over \$1,000,000
Application Acronym:	The acronym (if any) used to refer to this application.

Field Name	Description
Application Category:	<p>The category of the application. These coincide with definitions in ProSight. Valid values:</p> <ul style="list-style-type: none"> • Enterprise: a centrally administered application that acts as the authoritative source of data or processing for the Commonwealth. • Collaborative: a business application or service that provides organizations and/or political subdivisions the opportunity to work together, in a substantive, mutually beneficial relationship, with a common integrated solution. • Agency: an application that supports a unique agency requirement or mission.
Application ID CETR:	This is the ID assigned by CETR if the application was originally entered through CETR.
Application Identifier:	This is the identifier if the application was originally entered through CETR.
Can Consume Data as a Service:	Can the Application, without additional software, easily receive XML messages that follow the SOAP standard? Select Yes if it can and No if it cannot.
Can Publish Data as Service:	Can this Application easily send (i.e., publish), without additional software, XML messages that follow the SOAP standard? Usually includes a machine readable description of the operations supported by the server written in the Web Services Description Language (WSDL). Select Yes if it can and No if it cannot.
Cannot Certify due to:	If you are unable to certify your application it is either due to one of the missing associations listed in this field or due to a sensitivity conflict that must be resolved.

Field Name	Description
Certify Data:	<p>Before your Agency Head (or Designee) may certify your agency portfolio, all information regarding business processes, data sets, devices, and applications must be complete. Additionally, there can be no conflicts in sensitivity ratings between applications, data sets, and business processes. The agency's audit plan is used as the agency's sensitive system list, and if an application is not on the audit plan, it is not considered sensitive. If a value of "Unable to certify" is showing, that is due to a sensitivity conflict between audit plan, business process, and or data set. The conflict must be resolved before the data can be certified. See fields "Sensitivity Conflict" and "Cannot be certified due to" for details.</p> <p>Valid values:</p> <ul style="list-style-type: none"> • Yes • No • Unable to Certify
Client Type:	<p>Select the value that best describes the desktop components of this application:</p> <ul style="list-style-type: none"> • No Selection • Desktop Only • Emulator • Not Applicable • Thick/Fat Client • Thin Client – browser only • Thin Client – plug-in required
Cost of Annual Maintenance:	<p>Estimated cost of maintaining this application: Break/fix; Enhancements; Upgrades; and Production patches.</p>
COT/GOTS/SaaS Customization Level:	<p>This field applies only when Source is set to COTS, GOTS or SaaS. Select the level of customization that applies:</p> <ul style="list-style-type: none"> • No Selection • Configuration changes only • Very limited customization • More than a little customization • Some customization • None • Not Applicable

Field Name	Description
COT/GOTS/SaaS Product Name:	Enter the name of the 3rd party product
COT/GOTS/SaaS/ Open Source:	Select the source of the application: <ul style="list-style-type: none"> • No Selection • COTS: Commercial Off-the-Shelf product • Custom coded: developed from scratch, specifically for the agency • GOTS: Government Off-the-Shelf product licensed or procured from another government entity • SaaS: Software as a Service, typically hosted by a third party and accessed over the Web via a subscription license. • Open Source: developed as Open Source software • Other: anything not listed above • Not Applicable
Deployment Type:	Describe how the application is deployed. Valid values: <ul style="list-style-type: none"> • No Selection • Clustered servers • IBM Mainframe • Distributed servers • Single desktops • Single server • Unisys Mainframe • Other
External Users:	Describes the classes of users outside of the agency that owns the application. Select all that apply from the list provided: <ul style="list-style-type: none"> • No Selection • Clients – Specific members of the public • Constitutional Officers • COV Agency • General Public • Local Government • No External Users • Other

Field Name	Description
General Public:	Select Yes if the general public uses this application and select No if the general public has no access to the application.
Hosted by (additional information):	Enter additional information if needed.
Hosted by:	<p>The platform that primarily hosts this application. Valid values:</p> <ul style="list-style-type: none"> • No Selection • 3rd Party • Agency in-scope • Agency not in-scope • eGOV <ul style="list-style-type: none"> ○ American Internet Services (AIS) ○ Cyberdata Technologies ○ SiteVision • Virginia Interactive • VITA
Interface:	Is this application an interface (an application used only to share or exchange information)? Select Yes if it is and No if it is not.
Lifecycle Stage:	<p>Select the appropriate value:</p> <ul style="list-style-type: none"> • No Selection • Contained: further major enhancements of the application are being discouraged or frozen and the agency is developing plans for its retirement or the application has been scheduled for retirement, consolidation or replacement within the next 2 years. • Replace in 2 to 5 years: the application will probably be retired, replaced or consolidated within 2 to 5 years. • Strategic: the application is intended to be in use for 5 years or longer. • Not Applicable: The application is no longer in use



Field Name	Description
Max Number of Concurrent Users:	<p>The maximum number of users that can be using the application. Select from the list provided:</p> <ul style="list-style-type: none"> • No Selection • 10 or less • 11 to 25 • 26 to 500 • 51 to 100 • 101 to 200 • 201 to 500 • 501 to 1,000 • 1,001 to 2,500 • 2,501 to 5,000 • More than 5,000 • Unknown
Parent Application Name:	<p>If this is a Sub-system or a Component, select the parent Application or System. For example, if this is the AP or AR sub-system then the parent name might be Accounting System. This dropdown will be empty if this is the first application added for your agency.</p>
*Primary Business Application Domain:	<p>The primary business domain for this application. Valid values: Agency Core Business Activity</p> <ul style="list-style-type: none"> • Financial Management • Human Resource Management Information and Technology Management Planning and Budgeting • Supply Chain Management <p>Note: If your agency core business is one of the central functions (e.g., Financial Management or Planning and Budgeting), select the Business Domain of the central function. For example, for PMIS, the Business Domain is Human Resource Management; for CARS the Business Domain is Financial Management.</p>
Sensitivity Conflict:	<p>Calculated – conflicts occur when an application is not listed as sensitive but is associated with business processes and or data sets that have been rated as sensitive.</p>

Field Name	Description
Shares Data:	Does this application share/exchange information or data (does it interface)? This can be between applications within an agency, between agencies, between an agency and an outside vendor, or between an agency and some other government entity. Data exchanged between process modules within an application should NOT be included and is not considered an interface. Select Yes if the application exchanges data and No if it does not.
Status Reason:	Enter additional information to support the Status you selected, if needed.
*Status:	<p>The current status of the application. Valid values:</p> <ul style="list-style-type: none"> • In production - with little or no changes • In production - with frequent business changes • In production - with major business/system changes • No longer in use – Retired • Under development/procurement • DO NOT USE

Field Name	Description
Total Number of Named Users:	<p>The total number of users assigned a username and password. Select from the list provided:</p> <ul style="list-style-type: none"> • No Selection • 10 or less • 11 to 100 • 101 to 500 • 501 to 1,000 • 1,001 to 2,500 • 2,501 to 5,000 • 5,001 to 7,500 • 7,501 to 10,000 • 10,001 to 25,000 • 25,001 to 50,000 • 50,001 to 100,000 • More than 100,000 • Unknown
Used for Reports:	<p>Is the application used to create or view reports (even if it does more than that)? Select Yes if it is and No if it is not.</p>
Used for Transactional Processing:	<p>Does the application process transactions? Select Yes if it does and No if it does not.</p>
Vendor Name:	<p>For all 3rd party and hosted applications, list the Vendor Name.</p>
Version:	<p>Enter the version of the application.</p>
*Web Category:	<p>Select the value that best describes the application:</p> <ul style="list-style-type: none"> • No Selection • Public Web Site: Application is a web site used by the general public (e.g., DMV web site) • Public Web Application: Application is a web application (possibly accessed via your web site) used by the public (e.g., public-facing driver's license renewal application) • Neither: Application is neither a web site or a public web application
Web Service:	<p>Is this Application a web service (and only a web service)? Select Yes if it is and No if it is not.</p>



Year Last Major Update/Upgrade:	The year that the application was last <i>substantially</i> reengineered. For example, if a mainframe application originally written in 1980 was rewritten as a client/server app in 1999, enter 1999. If you're unsure, enter your best estimate.
*Year Placed in Service:	The year that the application was originally implemented/deployed. If you're unsure, enter your best estimate.

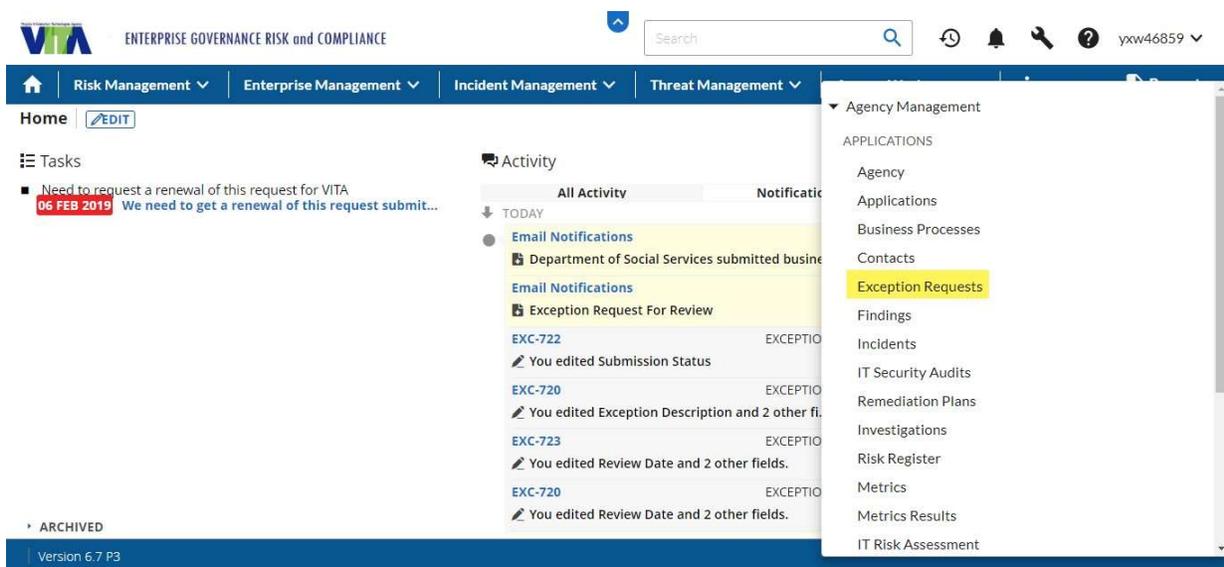
Click on Save at any time during your entry. This allows you to stay on the page for additional input, or you can close the window.

5. Creating and Managing Exception Requests

5.1. Adding an Exception

This section provides directions for how ISOs can submit agency security and enterprise architecture exception requests in Archer.

5.1.1. Login into Archer and navigate to the *Exception Requests*



Click *New* to create a new record.





yxw46859 ▾

Exception Requests

NEW MODIFY SAVE REPORTS DELETE |
 1 to 50 (of 690) |
 REFRESH |
 IMPORT |
 EXPORT |
 PRINT |
 EMAIL |
 SCHEDULES

REFINE BY

SEARCH RESULTS

Manage Columns

CLEAR ALL APPLY

Agency

- Virginia Information Techn...
- Virginia Department of Tra...
- Department of Behavioral ...
- Virginia State Police (29)
- Department of Motor Vehi...
- Jamestown-Yorktown Fou...
- Alcoholic Beverage Contro...
- Department of Social Servi...

Drag a column name here to group the items by the values within that column.

Excep... ID	Agency	Agency Contact	Overall Status	Exception Description	Exception Type	Submit Date	Days to Expir...
EXC-634			Awaiting Submission for Feedback	VDSS has X number of servers that operate with Microsoft Server 2008 operating system. This	SEC 501	12/17/2020	
EXC-723	Department of Social Services	Barry Davis Steve Mccauley	Awaiting Submission for Feedback	Requesting an exception to use Zoom for non-sensitive administrative meetings.	SEC 501	4/10/2020	
EXC-724	Virginia Department of Health	Stephanie Williams-Hayes	Draft	The Commonwealth of Virginia, Virginia Department of Health (VDH) is requesting an exception to Section 19.2-201.16	SEC 501	4/9/2020	



5.1.2. Enter the new record information

Note that fields marked with * are required fields

Add New Record Exception Requests

NEW COPY SAVE SAVE AND CLOSE VIEW DELETE PRINT EMU

Exception Declaration | Review and Approvals | Extension Request

▶ ABOUT

▼ GENERAL INFORMATION

Exception ID:

Submission Status:

Agency:

Overall Status:

Submit Date:

Expiration Date:

Days to Expiration:

Requested Expiration Date:

The requested duration of the exception should not exceed twelve months.

Initial Creation Date:

Risk Rating:

Agency Contact:

Architect Type:

Exception Type:

▼ EXCEPTION DECLARATION

Enterprise Architecture

SEC 501

SEC 525 (Hosted Environments/Cloud)

Exception Description:

Business and Technical Justification:

Business Impact and Risks:

▼ AFFECTED APPLICATIONS

Affected Applications:

▼ ASSOCIATED FINDINGS

Associated Findings:

▼ ASSOCIATED POLICIES

Associated Policies:

▼ COMPENSATING CONTROLS

Additional Compensating Controls:

▶ EXCEPTION REQUEST ATTACHMENTS

▼ AFFECTED DEVICES

Affected Devices:

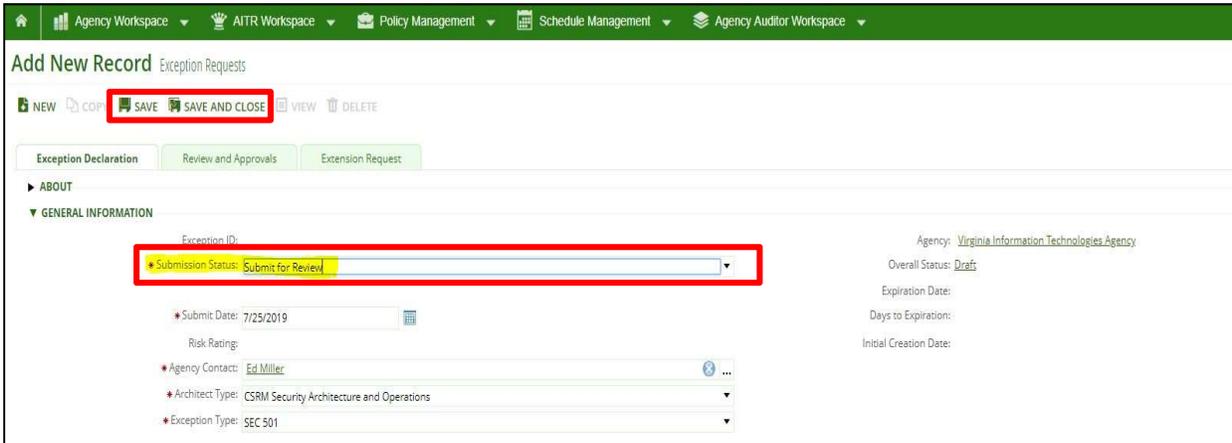
▼ AGENCY HEAD APPROVAL

Name	Size	Type	Upload Date
No Records Found			

| Add New |

5.1.3. Update the submission status and submit for review

When the new record is completed and ready for architectural review change the “Submission Status” to “Submit for Review” and click SAVE.



The screenshot shows the 'Add New Record' form for Exception Requests. The 'Submission Status' dropdown menu is highlighted with a red box and set to 'Submit for Review'. The 'SAVE' button is also highlighted with a red box. Other fields include 'Submit Date' (7/25/2019), 'Risk Rating', 'Agency Contact' (Ed Miller), 'Architect Type' (CSRM Security Architecture and Operations), and 'Exception Type' (SEC 501).

The request is submitted to the Architecture team for review and the overall status will update to “In Architecture Review”

Overall Status: [In Architecture Review](#)

During the Architectural review the Security Architecture team, Operations team and ISOs will discuss the exception and finalize the exception for Agency Head approval. Agency ISOs can attached additional documentation if required to the Archer record under the “Exception Request Attachments” by clicking Add New (just make sure the submission status is set to DRAFT).

EXCEPTION REQUEST ATTACHMENTS				Add New
Name	Size	Type	Upload Date	
No Records Found				

Once Architectural Review is complete, the exception status will be changed to “Ready for Agency Head Approval” and the agency ISO will receive a notification email to obtain Agency Head approval.

5.1.4. Print the “Exception Request Template” to obtain Agency Head approval

The ISOs can print the “Exception Request Template” for Agency Head Signature from the EXPORT option within the exception record.

EXC-642 Exception Requests



At the "Exception Request: Export Options" window select *EXCEPTION REQUEST TEMPLATE*



At the "Export Document" Window select "Method: Run job immediately" click OK

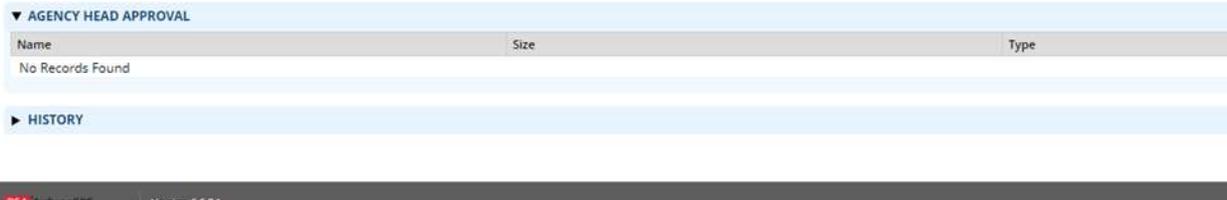


At the "Export Complete" Window click the "Click Here" link to download the file





Once the Agency Head approval is ready, scan the signed document and upload it to the exception record as PDF file under the "Agency Head Approval" section (make sure the Submission Status is set to "DRAFT").



Change Submission Status to "Submit for Approval" and SAVE.

Agency head approval can also be obtained by emailing the agency head. The email must include the following exception information:

✓ Agency	✓ Associated Policies
✓ Submit Date	✓ Exception Description
✓ Agency Contact	✓ Business Justification
✓ Exception Type	✓ Business Impact and Risks

The agency head will need to email approval to the ISO, acknowledging and accepting all the risks. Remember, emails containing exception information must be encrypted!

Attach the agency head email approval to the exception record as PDF file under the "Agency Head Approval" section (make sure the Submission Status is set to "DRAFT").



Once the Agency Head approval has been attached, then the exception can be submitted for approval. Change "Submission Status" to "Submit for Approval" and click "SAVE" to submit for approval.



5.1.5. CSRM review and decision

The architectural team is notified that the exception was submitted for approval, the architectural team updates the “CSRM Architect Review” field as “Architectural Review Complete” and the exception is routed to the CSRM approvers for CSRM review.



▼ SECURITY ARCHITECTURE REVIEW

CSRM Architect Review: Architect Review Complete

Architect Recommendation:

Review Date: 2/3/2020

Request Priority:

Once CSRM approvers complete the review the “CSRM Review Status” field is updated to either “Approved”, “Denied” or “Returned to Reviewer”.



▼ CSRM REVIEW

CSRM Review Status:

CSRM Explanation of Denial: No Selection, Awaiting Review, Approved, Denied, Returned to Reviewer

CSRM Review Date: 12/2/2019

CSRM Reviewer:

Initial Expiration Date:

If the exception is marked as “Returned to Reviewer” the architectural team is notified to take additional actions needed.

If the exception is either Approved or Denied the agency head and ISO will receive an email notification.

Appendix C: Request Addition of a New Selection Option to an ARCHER field

Please complete section 1 and 2 and email to address at end of form. You will be notified when the new option is available in ARCHER or if another action was taken.

1. Requesting Agency Contact Information	
a. Requesting Agency:	
b. Request Date:	
c. Agency Contact Person:	
d. Contact Person's Phone #(s):	
e. Contact Person's E-Mail:	

2. ARCHER Field Information	
a. ARCHER component type:	Application, Data Asset, Business Process, etc..
b. Name of ARCHER field on the screen:	
c. New option (drop down or radio button):	
d. Describe why new option is needed	

3. Enterprise Architecture Analysis (to be completed by VITA)	
a. Analysis:	
b. Recommended Actions:	
c. Lead Enterprise Architect:	
d. Analysis Completion Date:	
e. Action Completed Date:	
f. Agency Notified Date:	

Email agency completed form to commonwealthsecurity@vita.virginia.gov

Appendix D: Software Tool categories, types and definitions

Placeholder for CSRM Software Tool definitions