



Defining Information System For the Baseline Inventory

- Goal 1 – Establish a baseline inventory of all unclassified automated (electronic) information systems.**
- Goal 2 – Identify which systems in the inventory collect or maintain Social Security numbers (SSNs), including legal and regulatory authority, system owner, etc.**
- Goal 3 – Review holdings of Personally Identifiable Information (PII).**

OMB Circular A-130 defines an information system as follows:

The term "information system" means a discrete set of information resources organized for the collection, processing, maintenance, transmission, and dissemination of information, in accordance with defined procedures, whether automated or manual.

Recognizing the ongoing debate/confusion associated with this term, the following guidance is provided for identifying automated (i.e. IT, electronic) information systems:

1. All information technology (IT) assets must be accounted for (captured) in a *named* system that has a *named system owner* with the authority, responsibility and accountability for said IT assets and the information contained within those assets.
2. While reported systems for this inventory may also be the same as FISMA reportable systems, there is not necessarily a one-to-one (1:1) ratio. This data call does not recognize enclave reporting, unless the enclave is a general support system containing only infrastructure or common desktop environment assets. **Subsystems must be named to ensure all information can be traced to a named system and named system owner.** No distinction is made with regard to whether the system is inward facing or outward facing.
3. As required by OMB, this data call will include all information systems operated by DOE or by a contractor on behalf of DOE. This includes contractor-owned systems that contain Federal data/information.
4. Office productivity software, such as Word, Excel and Access should be reported in the larger general support system as in the example of the DOE Common Operating Environment unless the application has become its own managed and reportable entity.
5. **This inventory is for unclassified information systems only.**



Defining Information System for the Baseline Inventory

Traditionally, OMB has grouped systems according to the following taxonomy. This categorization may be helpful for organizations in identifying their information systems and system owners.

- "general support system" or "system" means an interconnected set of information resources under the same direct management control which shares common functionality. A system normally includes hardware, software, information, data, applications, communications, and people. A system can be, for example, a local area network (LAN) including smart terminals that supports a branch office, an agency-wide backbone, a communications network, a departmental data processing center including its operating system and utilities, a tactical radio network, or a shared information processing service organization (IPSO).
- "major application" means an application that requires special attention to security due to the risk and magnitude of the harm resulting from the loss, misuse, or unauthorized access to or modification of the information in the application. Note: All Federal applications require some level of protection. Certain applications, because of the information in them, however, require special management oversight and should be treated as major. Adequate security for other applications should be provided by security of the systems in which they operate.