



Information Technology Assessment of the Consolidated American Payroll Processing System

The Office of Inspector General (OIG) contracted with Leonard G. Birnbaum and Company, LLP (LGB), an independent certified public accounting firm, to audit the Department of State's (Department) financial statements. Federal guidance requires that auditors assess the adequacy of the audited entity's internal controls, including those on automated systems processing financial data, during the audits of financial statements.

On behalf of LGB, EWA Information and Infrastructure Technologies, Inc. (IIT) performed an assessment of the Consolidated American Payroll Processing System (CAPPS). The majority of CAPPS processing is performed at the Global Financial Services (GFS) Center in Charleston, South Carolina. CAPPS and the Regional Financial Management System (RFMS) share a user environment at the GFS Center. This user environment was evaluated during IIT's vulnerability assessment of RFMS (*Information Technology Vulnerability Assessment of the Regional Financial Management System*, AUD/FM-07-13). Outside of the GFS Center in Charleston, there is one small CAPPS user enclave in the Washington, D.C., area.

Because of the recent RFMS technical vulnerability assessment at the GFS Center in Charleston and the small number of additional users in the Washington, D.C. area, IIT did not conduct a formal technical vulnerability assessment. The findings included in the RFMS report are also applicable to CAPPS. IIT did note that the Washington-area CAPPS users benefited from a full Microsoft Active Directory implementation, which was not the case at the GFS Center in Charleston. During its limited assessment of CAPPS and its components, IIT did not identify any additional significant weaknesses that had not already been included in the RFMS report.

The fieldwork for OIG Report AUD/FM-07-35 was conducted by EWA Information and Infrastructure Technologies, Inc. This is an unclassified summary of a full report, which may receive limited official distribution.

Office of Inspector General

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