



Memorandum

**U.S. Department of
Transportation**

Office of the Secretary
of Transportation

Office of Inspector General

Subject: **INFORMATION:** Notification of Audit—Delphi Financial
Management System Computer Security and Controls, DOT
Project Number: 03F3002F000

Date: November 1, 2002

From: John L. Meche
Assistant Inspector General for Financial
and Information Technology Audits

Reply To

Attn Of:

To: Assistant Secretary for Budget and Programs
and Chief Financial Officer

The Office of Inspector General (OIG) is initiating a computer security and controls audit of the Department of Transportation (DOT) Delphi Financial Management System. The audit will be conducted at DOT Headquarters and the Mike Monroney Aeronautical Center in Oklahoma City, Oklahoma.

Our audit objectives are to determine whether Delphi operations are adequately secured to ensure the integrity, confidentiality, and availability of fund usage accounting and financial statement reporting. Specifically, we will assess the controls over computer center operations in these areas: (1) security planning to ensure that Delphi was properly assessed for risk; (2) access security to ensure that Delphi files, documents, and facilities are accessible to authorized personnel with proper segregation of duties; (3) system software settings to ensure firewall, network, database, and transmission controls are adequate; (4) configuration management controls to ensure that only authorized changes can be made to Delphi; and (5) business continuity and contingency plans to ensure that the plans are adequate and have been tested.

We will contact your audit liaison to establish an entrance conference to discuss the audit. The Program Director for the audit is Rebecca Leng and the Project Manager is Philip deGonzague. If you have questions, please call Rebecca Leng or Philip deGonzague at 366-1496.

cc: Financial Management Committee Members
Acting Chief Information Officer, DOT