



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

OFFICE OF
INSPECTOR GENERAL

February 2, 2017

MEMORANDUM

SUBJECT: Project Notification:
Audit of File Server Security
Project No. OA-FY17-0138

FROM: Rudolph M. Brevard, Director *Rudolph M. Brevard*
Information Resources Management Audits
Office of Audit

TO: Steven Fine, Ph.D., Acting Assistant Administrator
Office of Environmental Information

The U.S. Environmental Protection Agency (EPA)'s Office of Inspector General (OIG) plans to begin preliminary research on the subject audit.

The OIG's audit objective is to determine whether the EPA is implementing security controls around the agency's file servers. The OIG plans to conduct work at headquarters and other locations based on preliminary research. Applicable generally accepted government auditing standards will be used in conducting our audit. The anticipated benefit of this audit is help identify opportunities where the EPA could strengthen security controls on servers that store agency data used for decision-making.

We will contact you to arrange a mutually agreeable time to discuss our objective and the purpose of our audit. We would also be particularly interested in any areas of concern that you may have. Throughout the audit, we will answer any questions you may have about the project process, reporting procedures, methods used to gather and analyze data, and what we should expect of each other during the course of the audit. We will provide updates on a regular basis by email and/or during meetings with the Office of Environmental Information, and with other program and regional audit liaisons as appropriate.

Enclosed is a survey to all of the agency's audit liaisons for completion by the information technology director of each program and regional office. Each of the program and regional offices should provide the OIG with the information requested in the enclosure by February 16, 2017.

We respectfully note that the OIG is authorized by the Inspector General Act of 1978 to have timely access to personnel and all materials necessary to complete its objectives. We will request your resolution if an agency employee or contractor refuses to provide requested records to the OIG, or otherwise fails to cooperate with the OIG. We may report unresolved access matters to the Administrator and include the incident in the Semiannual Report to Congress.

The project will be supervised by me. The Project Manager is Charles Dade. Any information related to the project should be addressed to Rudolph M. Brevard at (202) 566-0893 or brevard.rudy@epa.gov, or to Charles Dade at (202) 566-2575 or dade.chuck@epa.gov.

Enclosure

cc: EPA Assistant Administrators
EPA Regional Administrators
EPA Deputy Assistant Administrators
EPA Deputy Regional Administrators
EPA Program and Regional Audit Follow-Up Coordinators
Sean Kelley, Director, Office of Information Security and Privacy, Office of Environmental Information
Harrell Watkins, Director, Office of Information Technology Operations, Office of Environmental Information
Tim Thorpe, Director, Enterprise Hosting Division, Office of Information Technology Operations, Office of Environmental Information
Benita Deane, Agency Follow-Up Coordinator
George Hull, Acting Associate Administrator for Public Affairs
Monica Lee, Press Secretary, Office of Public Affairs
Arthur A. Elkins Jr., Inspector General
Charles Sheehan, Deputy Inspector General
Alan Larsen, Counsel to the Inspector General
Kevin Christensen, Assistant Inspector General for Audit
Carolyn Copper, Assistant Inspector General for Program Evaluation
Patrick Sullivan, Assistant Inspector General for Investigations
Edward Shields, Acting Assistant Inspector General for Management
Rich Eyerhmann, Deputy Assistant Inspector General for Audit
Jennifer Kaplan, Deputy Assistant Inspector General for Congressional and Public Affairs
Jeffrey Lagda, Congressional and Media Liaison, Office of Inspector General

Survey Questionnaire

Please complete the questions for each file server in your organization that exists outside of Active Directory on EPA's network.

1. What is the name of the file server?
2. What is the purpose of the file server?
3. Where is the file server located?
4. Who administers the file server?
5. Does the file server contain any share drives?
 - a. If so, how many share drives does the file server contain?
6. Please provide the following information for each share drive identified in response to question 5 above (these questions need to be answered for each share drive on each file server):
 - a. What is the name of the file server on which the share drive resides?
 - b. What is the name of the share drive?
 - c. Who administers the share drive?
 - d. Who are the authorized users for the share drive?
 - e. What type of information is stored on the share drive?
 - f. Is there sensitive data contained on the share drive?
 - i. If yes, who has access to it?
 - ii. If no, how do you ensure sensitive data does not get added to the share drive?
 - g. If sensitive data is on the share drive, please identify the data.