

THOMAS P. DiNAPOLI
STATE COMPTROLLER



110 STATE STREET
ALBANY, NEW YORK 12236

STATE OF NEW YORK
OFFICE OF THE STATE COMPTROLLER

May 23, 2008

Ms. Astrid C. Glynn
Commissioner
New York State Department of Transportation
50 Wolf Road, 6th Floor
Albany, NY 12232

Re: Report 2008-F-4

Dear Ms. Glynn:

Pursuant to the State Comptroller's authority as set forth in Article V, Section 1 of the State Constitution and Article II, Section 8 of the State Finance Law, we have followed up on the actions taken by officials of the Department of Transportation to implement the recommendations contained in our audit report, *Network Security Controls* (Report 2005-S-71).

Background, Scope and Objective

The Department of Transportation (Department) has created a computer network (Network) to help carry out its duties. The Network facilitates access to applications the Department uses to manage the State's transportation system. Such applications include the Construction Management, Fleet Management, Electronic Bidding, Highway Sufficiency Planning, Bus Inspection, Highway Performance Monitoring, Capital Planning, and Highway and Bridges systems. Department employees also use the Network to access the Internet and e-mail, as well as shared files. The Department's Office of Information Systems maintains the Network. This includes supporting all servers, providing network connectivity for all business units, and managing network devices.

The Department maintains a central office in Albany along with 11 regional offices, 62 "Transportation Maintenance Residencies" (a location with an office, a garage, Department trucks, and equipment), 11 equipment maintenance offices, and 25 additional remote locations such as salt distribution centers. In addition, there are between 300 and 500 construction sites throughout the State. The Department's 11 regional offices are connected to its central office Network by dedicated communication lines. The Department uses a mixture of leased lines, dial-up, and cable broadband to connect its residencies and other remote locations to the Network.

The Department must comply with the New York State Office of Cyber Security and Critical Infrastructure Coordination's Cyber Security Policy that defines a set of minimum information security requirements that all State entities must meet related to securing systems and data. In addition, the Security Policy requires that each agency establish a framework to initiate and control the implementation of information security within the State entity.

Our initial audit report, which was issued on December 19, 2006, examined selected aspects of the security controls in place over the Network. The objective of our follow-up was to assess the extent of implementation as of May 20, 2008 of the recommendations included in our initial confidential report. Due to the sensitivity of the information and the potential risk associated with the release of such information, the details of the recommendations and their implementation status are not included in this report. However, we discussed the detailed results of our follow-up work with Department officials during the conduct of the follow-up.

Summary Conclusions

Overall, we found that Department officials have taken actions to implement the recommendations contained in the confidential draft report. Further, the officials have developed a remediation plan to fully implement the report's recommendations.

Major contributors to this report were Nadine Morrell, Mark Ren, Jennifer Van Tassel, and Corey Harrell.

We thank Department management and staff for the courtesies and cooperation extended to our auditors during this process.

Very truly yours,

Brian Reilly
Audit Manager

cc: Thomas Lukacs, Division of Budget
Tina Kim, Department of Transportation
John Samaniuk, Department of Transportation
Theresa Vottis, Department of Transportation