




U.S. Department of
Transportation
Office of the Secretary
of Transportation
Office of Inspector General

Memorandum

Subject: **INFORMATION**: Audit Announcement – Assessment of DOT’s Protection of Privacy Information
Department of Transportation
Project Number: 17F3013F002

Date: February 1, 2017

From: Louis C. King 
Assistant Inspector General for Financial and Information Technology Audits

Reply to Attn. of: JA-20

To: Acting Chief Information Officer

In the Fiscal Year 2005 Consolidated Appropriations Act for Transportation, Treasury, Independent Agencies, and General Government,¹ Congress required agencies to enhance the protection of personally identifiable information (PII) that they collect and use. The act also requires inspectors general to periodically conduct reviews of their agencies’ implementation of the requirements.

Accordingly, we are initiating an audit of the Department of Transportation’s (DOT) information management practices for protection of PII. The audit objectives are to determine whether (1) DOT has established adequate procedures for the collection, use, and security of PII; (2) DOT ensures compliance with its own privacy and data protection policies and applicable laws and regulations to prevent unauthorized access to or unintended use of PII; and (3) DOT’s Operating Administrations properly evaluate the necessity of using PII to process system data. OIG has contracted with KPMG LLP, an independent public accounting firm, to conduct this review, subject to OIG’s oversight.

KPMG’s auditors will begin this review in February 2017, and conduct it at selected DOT Operating Administrations in Washington, DC. We will contact your audit liaison to schedule an entrance conference. If you have questions, please call me at (202) 366-1407, or Abdil Salah, Program Director, at (202) 366-8543.

¹ Public Law No. 108-447, Div. H, Title V, § 522 (2004), as amended by Public Law No. 110-161, Div. D, Title VII, § 742(b) (2007).

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cc: DOT Chief Privacy Officer
DOT Audit Liaison, M-1