



FEDERAL RETIREMENT THRIFT INVESTMENT BOARD
77K Street, NE Washington, DC 20002

July 27, 2020

**Employee Benefits Security Administration - Performance Audit of Thrift Savings Plan
Computer Access and Technical Security Controls**

Audit Report Date:

June 4, 2020

Audit Scope Period:

January 1, 2019 through December 31, 2019

Audit Objectives:

- Determine whether:
 1. Security management controls had been established, documented, and implemented for in-scope TSP systems
 2. Physical and logical access controls had been established, documented, and enforced for in-scope TSP systems
 3. Privacy controls had been established, documented, and enforced to protect TSP data.
- Determine the status of prior year recommendations

Audit Results:

EBSA concluded that for the period January 1, 2019 through December 31, 2019:

1. Security management controls were not consistently established, documented, and implemented for in-scope TSP systems
2. Physical and logical access controls were not consistently established, documented, and enforced for in-scope TSP systems
3. Privacy controls were established and documented but were not consistently enforced to protect TSP data.

EBSA closed 18 prior year recommendations, presented 14 new recommendations and left open 26 prior year recommendations.

Open recommendations were in the following areas:

- Contractor access management
- Password configuration
- Account administration
- Data encryption

- Logical access including account inactivity
- System security testing, remediation tracking and documentation of system security plans
- Security incident reporting
- Plan of action and milestone monitoring
- Privacy awareness training program
- Risk acceptance process
- Interconnection security agreements