



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

October 28, 2019

**Employee Benefits Security Administration - Performance Audit of Thrift Savings Plan
Service Continuity Controls**

Audit Report Date:

August 22, 2019

Audit Scope Period:

January 1, 2018 to March 31, 2019

Audit Objectives:

- Determine whether the Agency implemented procedures to:
 1. Establish, document, and implement technology backup and recovery of data to an alternate processing facility.
 2. Perform an annual continuity plan exercise and contingency plan test and incorporate the results and lessons learned into the respective continuity and contingency plans.
 3. Regularly monitor and test primary and secondary backup technologies to confirm confidentiality, integrity, and accessibility of the data backed.
- Determine the status of prior year recommendations.

Audit Results:

EBSA concluded that for the period April 1, 2018 to April 30, 2019 the Agency implemented certain procedures to:

1. Establish, document, and implement technology backup and recovery of data to an alternate processing facility.
2. Perform an annual continuity plan exercise and contingency plan test and incorporate the results and lessons learned into the respective continuity and contingency plans.
3. Regularly monitor and test primary and secondary backup technologies to confirm confidentiality, integrity, and accessibility of the data backed up, but did not implement certain procedures to incorporate continuity plan exercise and contingency plan test results and lessons learned into respective continuity and contingency plans

EBSA closed 16 prior year recommendations, presented 13 new recommendations and left open 20 prior year recommendations. The Agency non-concurred on 5 recommendations.

The open recommendations noted a lack of plans and procedures and weaknesses in separation of duties, system and application logs, restoration process, data center physical security, capacity management, and recovery plans.