



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

October 28, 2019

**Employee Benefits Security Administration - Performance Audit of Thrift Savings Plan  
Corrective Action Plans Process and the Status Determination of Certain Prior Year  
Recommendations**

**Audit Report Date:**

September 6, 2019

**Audit Scope Period:**

Testing performed as of April 18, 2019

**Audit Objectives:**

1. Determine whether the Agency implemented certain procedures to review and assert closure of Corrective Action Plans (CAPs) and related prior year recommendations
2. Determine the status of certain prior recommendations.

**Audit Results:**

EBSA concluded as of April 18, 2019:

1. The Agency implemented certain procedures to review and assert closure of CAPs and related prior year recommendations.
2. On the status of the 12 recommendations. In summary, all 12 recommendations were implemented and closed.

EBSA closed 12 recommendations and presented 12 new recommendations. The Agency non-concurred on 8 recommendations.

The open recommendations noted weakness in device patching and access credentials.