Federal Retirement Thrift Investment Board – Thrift Savings Fund

Status of Prior Recommendations

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CliftonLarsonAllen

cliftonlarsonallen.com

Thomas Rey, Principal

Status of Prior Recommendations

- As part of our review procedures, we updated our understanding of internal controls
  - We did not test operating effectiveness of the controls
  - We did not test any changes made to improve areas commented on in previous years

- We did update our understanding of status of prior recommendations (summarized in following table)

Summary – June 30, 2017 Interim Review Status of Prior Recommendations (continued)

Prior Comment/ Recommendation	Status per Discussions with Agency Personnel
2016-01 Unsupported Operating Systems	The Agency is in the process of decommissioning the remaining legacy servers with the planned completion date of October 31, 2017. FRTIB Information Assurance Division (IAD) has the Plans of Actions registry list (POA&M) and Risk Acceptance (RA) memorandum to accept the risk until the servers are decommissioned and removed from the network.
2016-02 Change Management	TESS Change Management Guidelines document was updated and outlines the requirements for pre and post deployment verification steps for Operations Changes to the Production environment. FRTIB has submitted and signed a closure package as of August 9, 2017.

Summary – June 30, 2017 Interim Review Status of Prior Recommendations (continued)

Prior Comment/ Recommendation	Status per Discussions with Agency Personnel
2016-03 POA&M Remediation	FRTIB has created an IT Security Acceleration effort in order to remediate critical issues promptly and efficiently. As part of the effort, 11 projects are currently underway. The Agency will reassess POA&M remediation once the IT Security Acceleration effort has been completed. The IT Security Acceleration effort is scheduled to be completed October 31, 2017.
2016-04 System Security Plans Updates	The Agency will reassess the issue regarding SSPs remediation once the IT Security Acceleration effort has been completed. The IT Security Acceleration effort is scheduled to be completed October 31, 2017.
2016-05 Continuous Monitoring	The Agency will reassess the issues regarding authorizations, risk assessments, and security control assessments once the IT Security Acceleration effort has been completed. The IT Security Acceleration effort is scheduled to be completed October 31, 2017. The Agency has addressed the issue regarding FRTIB ensuring that each system that is currently operating has an ATO. The Agency closed this issue 9/12/2017.

Summary – June 30, 2017 Interim Review Status of Prior Recommendations (continued)

Prior Comment/ Recommendation	Status per Discussions with Agency Personnel
2016-06 Omni Segregation of Duty	The Agency is currently working with the Omni Business Owner to develop a user matrix for OmniPay. Contractor support is providing listings of other Omni systems and their interconnections for authentication. Contractor support will provide user listings for Omni systems to require a user matrix. The Agency expects to remediate this issue by 7/31/2018.
2016-07 Inactive accounts	The Agency is in the process of collecting artifacts to show that accounts are being disabled after 90 days of inactivity and ensuring all separated user do not have information system access. The Agency anticipates this issue to be closed by 7/31/2018. The Agency has submitted a closure package for FRTIB to refine their system account management review policies and procedure to include documenting the results of account recertification and disabling of identified inactive accounts. The policies were submitted for review 9/17/2017 and expect sign off by 9/30/2017.

Summary – June 30, 2017 Interim Review Status of Prior Recommendations (continued)

Prior Comment/ Recommendation	Status per Discussions with Agency Personnel
2016-08 Audit Log Review	The Agency is working the Audit Level Logging task order. Upon completion and results of the gap analysis, a plan for ingesting logs from major applications into SPLUNK will be developed, which will be accompanied by any applicable policies and procedures. The SPLUNK implementation effort is part of the IT Security Accelerated Initiative. Reporting for gap analysis was completed on 9/18/2017. FRTIB is in the process of the looking at the dashboard and reviewing what it is currently being logged.
2016-09 Interconnection Security Agreements	The Agency is in the process of reviewing external connection policies and processes. The Agency now has ISAs in place for 41 of their interconnections. They are currently waiting to complete 8 more ISAs with external partners. The completion date is contingent upon when the external parties sign and return the ISA agreement.

Summary – June 30, 2017 Interim Review Status of Prior Recommendations (continued)

Prior Comment/ Recommendation	Status per Discussions with Agency Personnel
2016-10 Contingency Plans	ORM has recently completed the process oriented BIA, which analyzed all of the Agency's services and business processes and assessed the impacts for failing to perform over time. ORM has determined that the Agency needs to update the BIAs to reflect the current environment. The Agency will conduct disaster recovery testing in the near future. Upon completion the Agency will complete after action analysis and determine, which documents need updated. The Agency is currently in the planning process to determine how to update or create their BIAs and Contingency Plans. Updates and creation will be staggered. Greater risk system will be addressed first. The Agency intends to complete this project by 12/31/2018.
2016-11 Incident Response	Incident Response Policy and Procedures have been developed and are currently in effect. The Agency is currently working additional remediation efforts, which were identified in the FRTIB Closure Analysis report, by collecting evidence and artifacts that have been outlined in the Incident Response Policy. The closure and of the issue is expected to be completed 12/31/2017.

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Summary – June 30, 2017 Interim Review Status of Prior Recommendations (continued)

Prior Comment/ Recommendation	Status per Discussions with Agency Personnel
2016-12 Participant Transactions Level Reporting	The Agency has developed automatic standard audit sweeps that run after the final processing cycle each year. The Agency considers this issue to be closed.

Questions?