



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

January 28, 2019

Employee Benefits Security Administration - Performance Audit of Certain General Information Technology Controls at Thrift Savings Plan Remote Contractor Sites

Audit Report Date:

October 4, 2018

Audit Scope Period:

March 1, 2017 to February 28, 2018

Audit Objectives:

Determine whether the Agency had:

1. Communicated TSP technical and security requirements to contractor-operated sites.
2. Established controls for tracking and monitoring remote site compliance with TSP technical and security requirements.
3. Established controls for security management, access controls, configuration management, segregation of duties, and continuity planning for contractor-operated sites.

Audit Results:

EBSA concluded that for the period March 1, 2017 through February 28, 2018, the Agency had:

1. Communicated TSP technical and security requirements to contractor-operated sites.
2. Established controls for tracking and monitoring remote site compliance with TSP technical and security requirements.
3. Established controls for security management, access controls, configuration management, segregation of duties, and continuity planning for contractor-operated sites.

EBSA presented 2 recommendations. The recommendations noted a weakness with remote site Plan of Action and Milestones remediation and inadequate retention of required Authority to Operate documentation.