



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

October 28, 2019

**Employee Benefits Security Administration - Performance Audit of Thrift Savings Plan
Dallas Contact Center**

Audit Report Date:

September 6, 2019

Audit Scope Period:

July 26, 2018 to May 31, 2019

Audit Objectives:

Determine whether the Agency:

1. Communicated the TSP technical security requirements necessary to establish the Dallas Contact Center (DCC).
2. Implemented certain procedures for tracking and monitoring DCC compliance with TSP technical security requirements
3. Implemented certain procedures for security management, access controls, configuration management, segregations of duties, and continuity planning specific to the DCC.

Audit Results:

EBSA concluded that for the period July 26, 2018 to May 31, 2019, the Agency:

1. Communicated the TSP technical security requirements necessary to establish the Dallas Contact Center (DCC).
2. Implemented certain procedures for tracking and monitoring DCC compliance with TSP technical security requirements
3. Implemented certain procedures for security management, access controls, configuration management, segregations of duties, and continuity planning specific to the DCC.

EBSA presented 4 new recommendations. The Agency non-concurred on 2 recommendations.

The open recommendations noted the untimely removal of DCC physical access and a weakness in DCC vulnerability scanning.