



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

August 27, 2019

**Employee Benefits Security Administration - Performance Audit of Thrift Savings Plan
Systems Enhancement and Software Change Controls**

Audit Report Date:

June 7, 2019

Audit Scope Period:

January 1, 2018 through December 31 2018

Audit Objectives:

- Determine whether the Agency implemented certain procedures:
 1. Control the development, alteration, and configuration of TSP software applications and supporting infrastructure.
 2. Authorize, test, approve, and implement changes to existing software applications and supporting infrastructure.
 3. Control the processes for creating, storing, and accessing TSP production data used to test application changes.
- Determine the status of prior EBSA open recommendations.

Audit Results:

EBSA concluded that for the period January 1, 2018 through December 31 2018, the Agency implemented certain procedures to:

1. Control the development, alteration, and configuration of TSP software applications and supporting infrastructure.
2. Authorize, test, approve, and implement changes to existing software applications and supporting infrastructure.
3. Control the processes for creating, storing, and accessing TSP production data used to test application changes.

EBSA closed 6 prior year recommendations, presented 13 new recommendations and left open 10 prior year recommendations. The Agency non-concurred with 2 recommendations.

The open recommendations noted weakness in configuration management, change management, access controls, and system security plan; and that information technology contracts should support implementation of the EISRM policy.

