



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

January 28, 2019

**Employee Benefits Security Administration - Performance Audit of Thrift Savings Plan  
Mainframe Configuration and Security Controls**

**Audit Report Date:**

December 7, 2018

**Audit Scope Period:**

March 1, 2017 to February 28, 2018

**Audit Objectives:**

- Determine whether the Agency established, documented and implemented certain controls to:
  1. Monitor and configure the operating system and hardware.
  2. Administer access and segregation of duties for the mainframe.
  3. Detect unauthorized data mining.
- Determine the status of prior EBSA open recommendations.

**Audit Results:**

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

1. Did not establish, document, and implement certain controls to monitor and configure the operating system and hardware.
2. Did not establish, document, and implement certain controls to administer segregation of duties for the mainframe, or detect unauthorized data mining.
3. Did establish, document and implement certain controls for administering access to the mainframe.

EBSA closed 5 prior year recommendations, presented 4 new recommendations and 52 recommendations remain open. A summary of the open recommendations is not provided due to the sensitive nature of the audit.