



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

January 26, 2021

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

Audit Report Date:

November 4, 2020

Audit Scope Period:

April 1, 2019 to March 31, 2020

Audit Objectives:

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

Audit Results:

EBSA concluded that for the period April 1, 2019 to March 31, 2020, the Agency:

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

EBSA closed 11 prior year recommendations, presented 0 new recommendations and 45 recommendations remain open. The Agency non-concurred with 10 recommendations that remain open. A summary of the open recommendations is not provided due to the sensitive nature of the audit.