



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

July 27, 2021

**Employee Benefits Security Administration - Performance Audit of the Thrift Savings Plan
IT Operations Management**

Audit Report Date:

May 17, 2021

Audit Scope Period:

January 1, 2020 through December 31, 2020

Audit Objectives:

1. Determine whether the Agency implemented certain procedures to:
 - Support and maintain the overall IT operating environment.
 - Support the operational efficiencies and management effectiveness in job scheduling and batch processing, hardware operations management, and database management.
 - Monitor external threats to participant and other sensitive Agency data.
2. Determine whether the Agency implemented certain procedures over infrastructure changes that supported its response to the coronavirus pandemic.
3. Determine the status of prior year recommendations.

Audit Results:

EBSA concluded that for the period January 1, 2020 through December 31, 2020, the Agency implemented certain procedures:

1. To support and maintain the overall IT operating environment.
2. To support the operational efficiencies and management effectiveness in job scheduling and batch processing, hardware operations management, and database management.
3. To monitor external threats to participant and other sensitive Agency data.
4. Over infrastructure changes that supported its response to the coronavirus pandemic.

EBSA closed 21 prior year recommendations, presented no new recommendations, and left open 9 prior year recommendations.

Open recommendations were in the following areas:

1. Unsupported systems
2. Database software monitoring
3. Asset incident management

4. Data modeling procedures
5. Asset inventory
6. Least privileges