AUDIT STATUS / SECURITY & REMEDIATION STATUS

PRESENTED BY

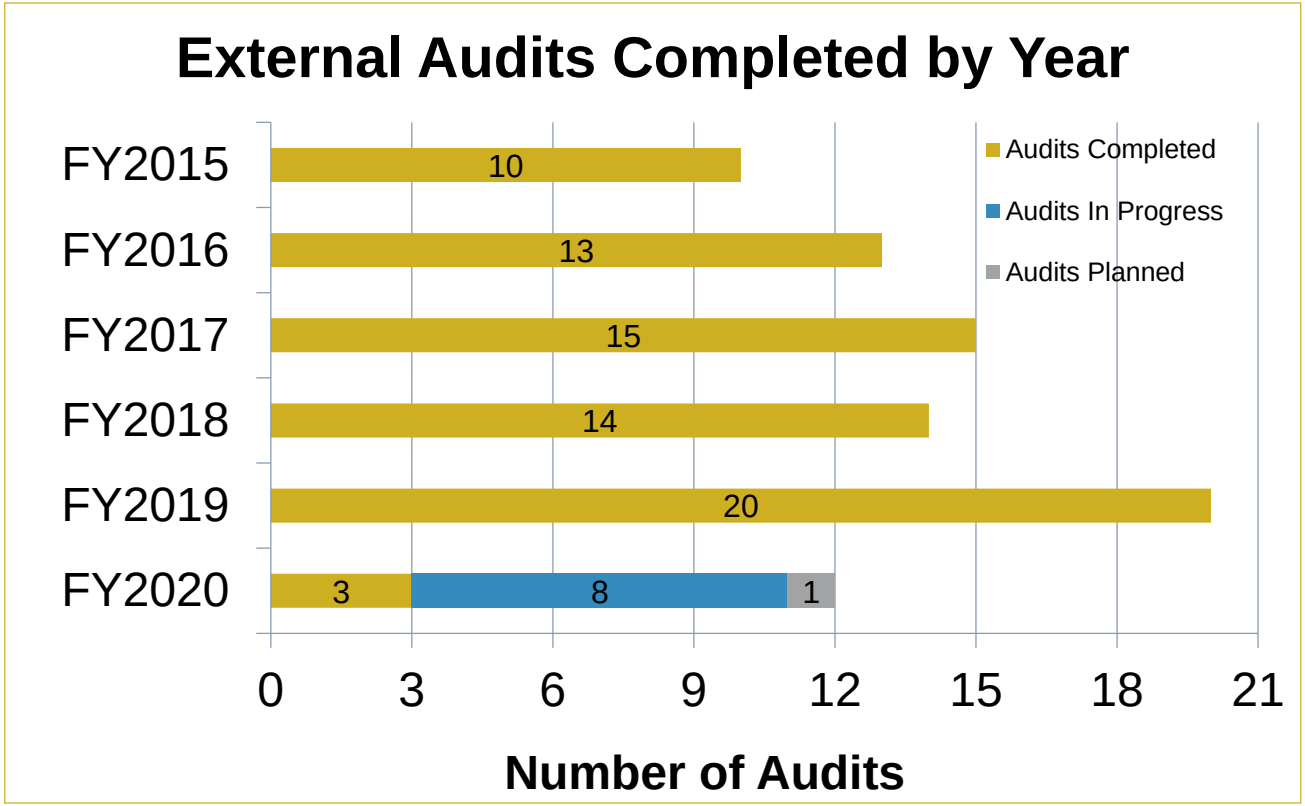
OFFICE OF ENTERPRISE RISK MANAGEMENT (OERM)
and EXECUTIVE DIRECTOR

July 27, 2020

AGENDA

- **AUDIT STATUS**
- REMEDIATION STATUS

EXTERNAL AUDIT ACTIVITY (FY2015-2020)



EXTERNAL AUDIT ACTIVITY (FY2020)

Audits Completed (FY2020)	Audits in Progress (FY2020)	Audits Planned (FY2020)
1. FISMA (FY2019) 2. Annual F/S Audit (CY 2019) 3. Computer Access	1. Annuity Operations 2. Board's Staff 3. Insider Threat 4. Investment Management Operations 5. Mainframe 6. Status of Prior Year Recommendations 2020 7. Withdrawals 8. FISMA (FY2020)	1. Mid-Year F/S Review (CY2020)

Auditor Legend
EBSA
CLA
Williams Adley

COMPUTER ACCESS AND TECHNICAL SECURITY CONTROLS

Audit Objectives:

- Determine whether:
  - Security management controls had been established, documented, and implemented for in-scope TSP systems
  - Physical and logical access controls had been established, documented, and enforced for in-scope TSP systems
  - Privacy controls had been established, documented, and enforced to protect TSP data.
- Determine the status of prior year recommendations

COMPUTER ACCESS AND TECHNICAL SECURITY CONTROLS

Audit Scope Period: January 1, 2019 through December 31, 2019

Audit Report Date: June 4, 2020

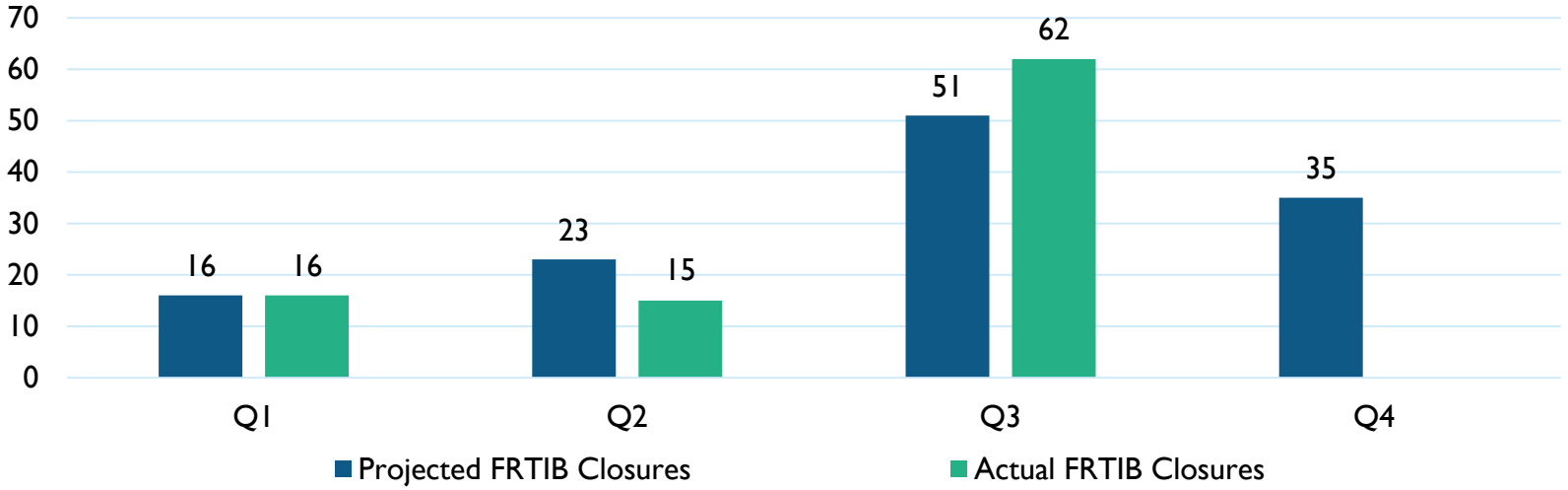
Audit Results:

- 18 closed recommendations
- 14 new recommendations
- 26 open prior year recommendations
- Open recommendations were in the following areas: contractor access management, password configuration, account administration, data encryption, logical access including account inactivity, system security testing, remediation tracking and documentation of system security plans, security incident reporting, plan of action and milestones monitoring, privacy awareness training program, risk acceptance process and interconnection security agreements.

AGENDA

- AUDIT STATUS
- **REMEDIATION STATUS**

FY2020 PROJECTED AND ACTUAL FRTIB CLOSURES



Our goal is to have at least 125 closures in FY2020.

Includes: Dept. of Labor (EBSA), Financial Statement Audit, GAO, FISMA and 2015/2016 External Assessment

OPEN AUDIT RECOMMENDATIONS
FY2016 – FY2020

Auditor Activity	FY 2016	FY 2017	FY 2018	FY2019	FY2020
Auditor Start	183	274	415	418	414
Auditor Add	117	196	60	141	25
Auditor Closed	-26	-55	-57	-145	-44
Auditor End	274	415	418	414	395

FRTIB Activity	FY 2016	FY 2017	FY 2018	FY2019	FY2020
FRTIB Start	116	247	346	341	280
Auditor Add	117	196	60	141	25
FRTIB Closed	14	-97	-65	-205	-98
FRTIB Closed Reversal				3	5
FRTIB End	247	346	341	280	212

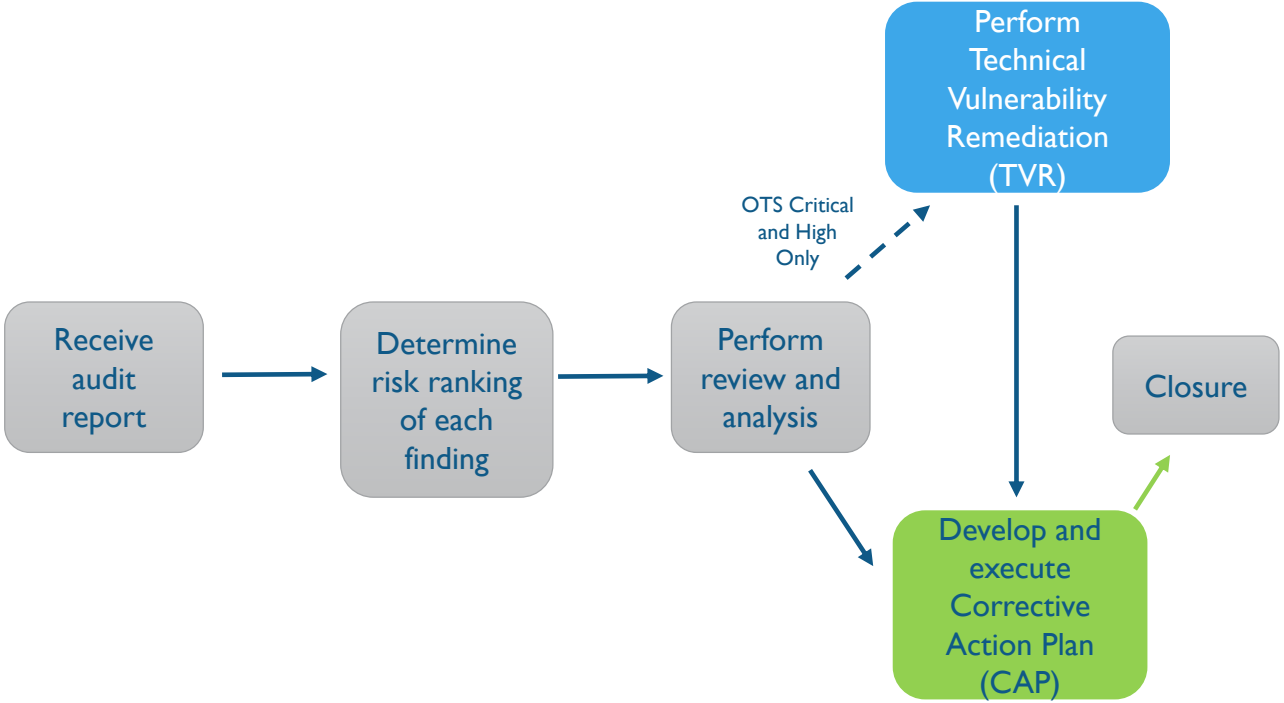
Includes: Dept. of Labor (EBSA), Financial Statement Audit, GAO, FISMA and 2015/2016 External Assessment

OPEN AUDIT RECOMMENDATIONS BY YEAR (as of 06/30/2020)

Calendar Year	Open Recommendations	%
2007	1	0%
2008	0	0%
2009	0	0%
2010	0	0%
2011	1	0%
2012	0	0%
2013	19	9%
2014	21	10%
2015	28	13%
2016	64	30%
2017	12	6%
2018	13	6%
2019	39	18%
2020	14	7%
Total	212	100%

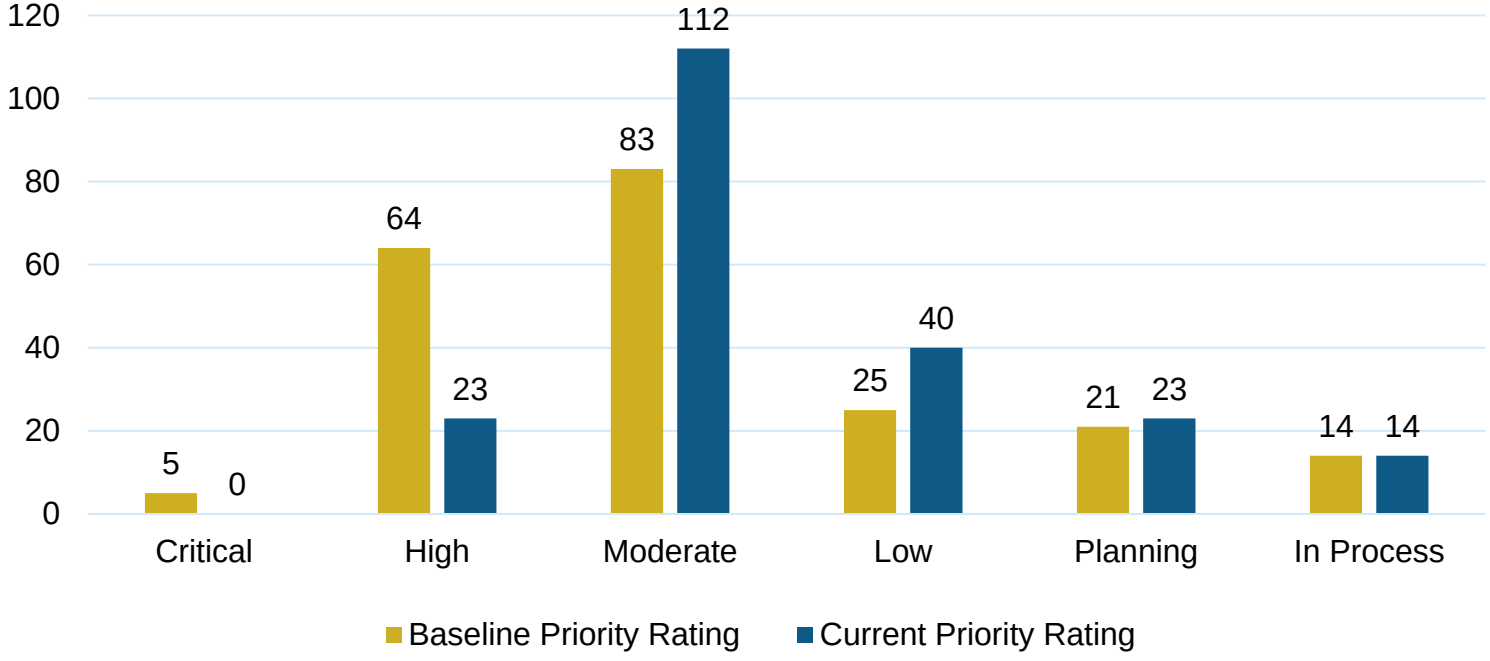
Includes: Dept. of Labor (EBSA), Financial Statement Audit, GAO, FISMA and 2015/2016 External Assessment

WE USE A RISK-BASED APPROACH TO ADDRESS AUDIT FINDINGS*



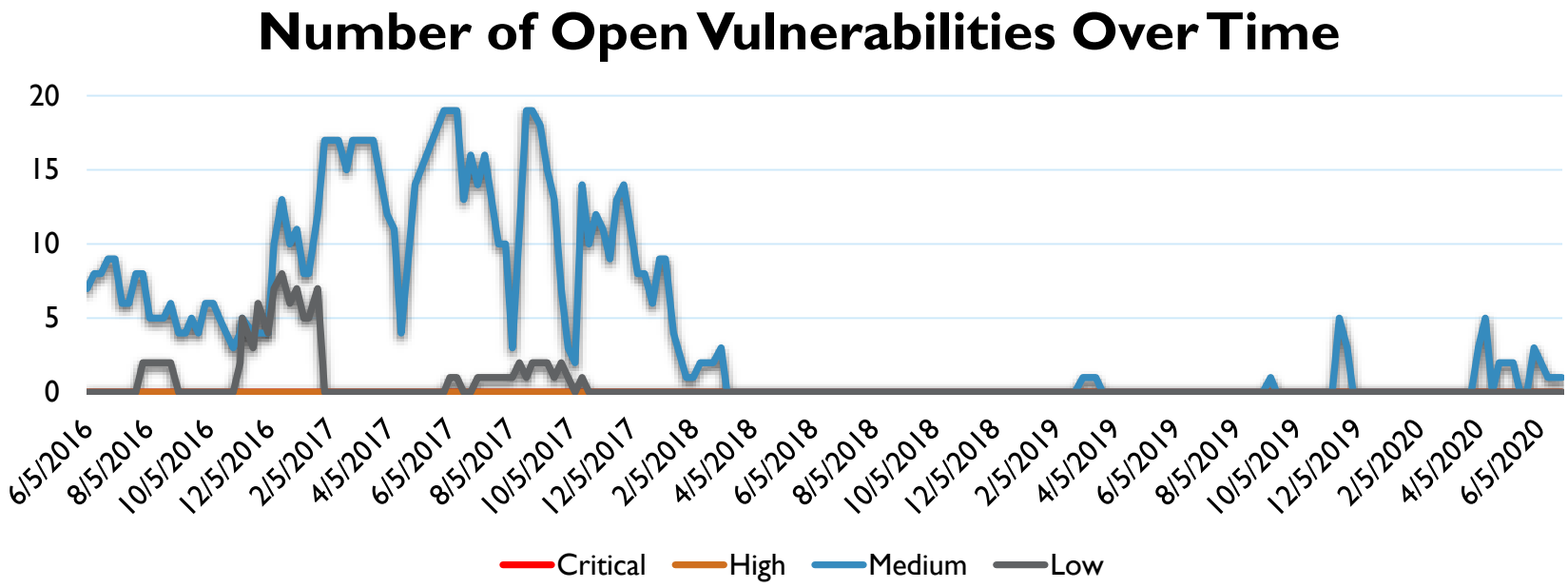
**All findings stored and managed in AuditNow case management repository*

OPEN RECOMMENDATIONS BY PRIORITY RATING (as of 06/30/2020)



Includes: Dept. of Labor (EBSA), Financial Statement Audit, GAO, FISMA and 2015/2016 External Assessment

FRTIB NCATS PERFORMANCE
(as of 06/30/2020)



Note: FRTIB has never had any Critical or High vulnerabilities