



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

September 14, 2020

**Employee Benefits Security Administration - Performance Audit of the Thrift Savings Plan
Status Determination of Certain Prior Year Recommendations**

Audit Report Date:

July 22, 2020

Audit Scope Period:

October 1, 2018 through December 31, 2019

Audit Objectives:

1. Determine whether the Agency developed and implemented certain policies and procedures to assess, classify, monitor, and mitigate risks related to penetration testing results and other IT-related findings and recommendations.
2. Determine the status of certain prior penetration testing recommendations and EBSA sub-recommendations.

Audit Results:

EBSA concluded that for the period October 1, 2018 through December 31, 2019, the Agency developed and implemented certain policies and procedures to assess, classify, monitor, and mitigate risks related to penetration testing results and other IT-related audit findings.

EBSA closed 16 prior year recommendations, presented 3 new recommendations and left open 13 prior year recommendations. The Agency previously non-concurred and continued to non-concur on 8 prior year recommendations.

Open recommendations were in the following areas:

1. Weakness in third party connection risk assessments
2. Device patching
3. Access credentials
4. Criticality rating process
5. Non-concur documentation
6. Remediation and criticality revision documentation