



U.S. RAILROAD RETIREMENT BOARD

## OFFICE OF INSPECTOR GENERAL

*This report summary presents the abbreviated results of the subject audit. The full report includes information protected from disclosure and has been designated for limited distribution pursuant to 5 U. S. C. § 552.*

# Selected General Information System Controls at the Railroad Retirement Board Were Not Always Adequate

Report No. 19-07

May 14, 2019



## What We Found

Our audit determined that the selected information system controls were not always adequate. We determined that the agency did not update all management control review documentation for the change to the Headquarters (HQ) Voice over Internet Protocol (VoIP) system, controls did not ensure that the assessable unit documentation was updated timely, budget allocation prevented necessary reinvestigations, and personal identity verification replacement policy and procedures were not comprehensive and were not implemented. The agency employed a field VoIP system that had vendor support limited after fiscal year 2018.

## What We Recommend

In total, we made four detailed recommendations to Railroad Retirement Board (RRB) management related to:

- updating the management control review documentation for the headquarters voice telecommunications assessable unit to ensure it accurately reflects the RRB's current Headquarters Voice over Internet Protocol environment;
- implementing controls to ensure that assessable unit documentation is updated timely when changes occur and consider whether an acceleration of the assessable unit's control test should be performed;
- reallocating budget dollars to implement reinvestigations based on Title 5, Code of Federal Regulations, Part 731, Suitability;<sup>1</sup> and
- documenting and implementing personal identity verification replacement card policies and procedures that have been approved by management to address control weaknesses that were identified.

Management concurred with two recommendations, to update HQ voice telecommunications documentation, and to document policy and procedures for personal identity verification card replacement. They did not concur with two recommendations. They stated that due to revised agency policy, controls on assessable unit documentation updates were not necessary. For our recommendation regarding reinvestigations, they stated that these responsibilities will be transferred to another agency.

## What We Did

The Federal Information System Controls Audit Manual (FISCAM) provides guidance to auditors in evaluating internal controls over the integrity, confidentiality, and availability of data maintained in information systems.

The objective of this audit was to assess the adequacy of selected information system controls using audit procedures from the Government Accountability Office FISCAM. The FISCAM control areas assessed were security management, access controls, configuration management, and segregation of duties, with selected controls identified from each area. The selected controls were assessed in regards to four technology systems at RRB that include wireless, HQ VoIP, Field VoIP, and virtual private network.

The scope of the audit was control information that was in effect for the four technology systems during fiscal year 2018.

<sup>1</sup> 5 Code of Federal Regulations (C.F.R.) § 731.