

OFFICE OF INSPECTOR GENERAL

Audit Report

Inspection of the Railroad Retirement Board's Financial Management System's Continuous Monitoring Program

This abstract summarizes the 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

**Report No. 11-11
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RAILROAD RETIREMENT BOARD

REPORT ABSTRACT
**Inspection of the Railroad Retirement Board's Financial Management System's
Continuous Monitoring Program**

The Office of Inspector General for the Railroad Retirement Board (RRB) conducted an inspection to evaluate the activities conducted at the RRB for the continuous monitoring of the Financial Management system to determine adherence with existing policy, procedures, guidance, and standards. This inspection directly supports the Office of Inspector General's mandated Federal Information Security Management Act of 2002 evaluation.

The objective of the continuous monitoring program is to determine if the set of deployed security controls continue to be effective over time in light of the inevitable changes that occur. Continuous monitoring programs provide organizations with an effective mechanism to update certain security documents. In fiscal year 2010, the RRB hired a contractor to perform continuous monitoring testing of the controls over the Financial Management system.

In a separately issued Restricted Distribution report, we communicated that the RRB's continuous monitoring process does not fully comply with existing policy, procedures, guidance, and standards. As a result, the RRB's significant deficiency in internal control over the certification and accreditation process remains in effect because of an ineffective review process for contractor deliverables. We made five detailed recommendations to RRB management for improvement in:

- controls over the review process of the continuous monitoring deliverables;
- the overall planning process for the continuous monitoring program; and
- the Bureau of Fiscal Operations' portion of the RRB's agency-wide plan of action and milestones.

Agency Management has agreed to take corrective actions for all recommendations.