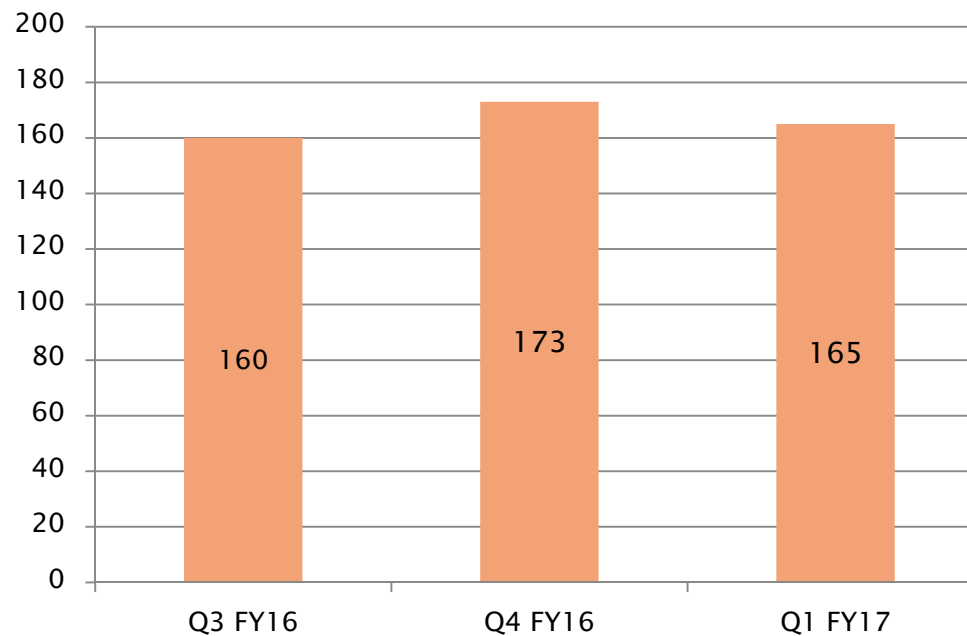


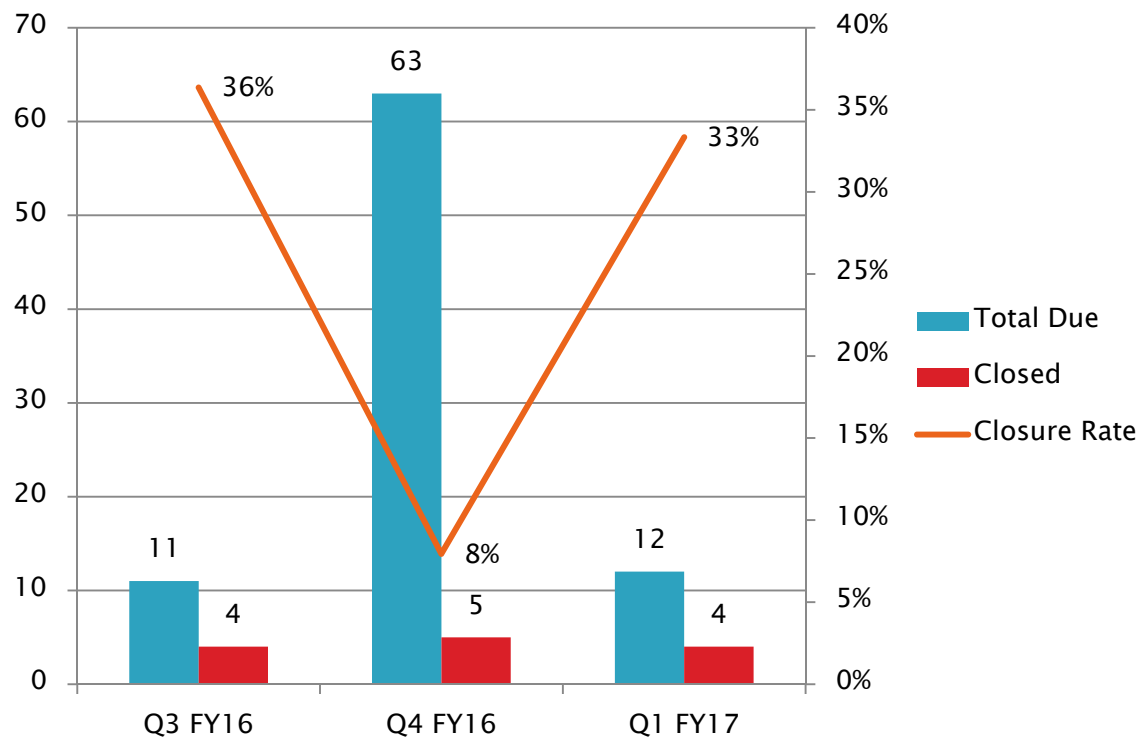
# Audit Remediation Metric

Total Open External Audit Sub-Recommendations



# Audit Remediation Metric

## Sub-Recommendation External Audit Closure Rate



Note: Recommendations not closed in a quarter are re-baselined.

# DOL Audit Reports

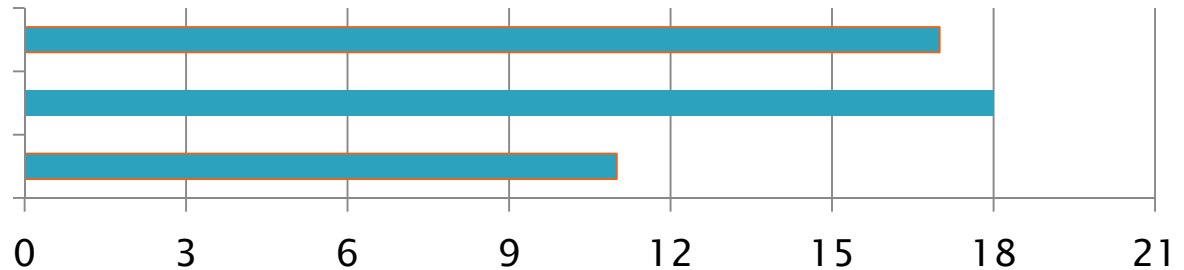
Audit Report	Closed Prior Year Recommendations	Reissued Prior Year Recommendations	New Recommendations	Total Recommendations for Tracking
Withdrawals Process	4	1	2	3
Administrative Staff	1	0	2	2
Account Maintenance	1	0	1	1
Investment Management Operations	0	0	0	0
<b>Total</b>	<b>6</b>	<b>1</b>	<b>5</b>	<b>6</b>

# External Audit Activity

Audits Completed (FY15 & FY16)

Audits In Progress (FY16 & FY17)

Upcoming Audits (FY17)



## Audits Completed in FY16 (FY15 & FY16)

- Annuity Operations
- Lifecycle Funds
- Investment Operations (BTC) (FY15)
- Participant Support
- System Enhancements
- IT Operations
- TSP Website
- Board Staff
- Account Maintenance
- Withdrawals
- Investment Operations (BTC) (FY16)
- Mid-Year F/S Review (CY15)
- Annual F/S Audit (CY15)
- Mid-Year F/S Review (CY16)
- FISMA (FY16)
- IRS Form 945 Audit
- Penetration Testing\*

## Audits in Progress in FY17 (FY16 & FY17)

- Service Continuity
- NFC
- Annuities
- Mainframe
- Mobile Device Security
- Computer Access
- Lifecycle Funds
- Review of Prior Year Audit Recommendations
- Blended Retirement Pre-Implementation Review Phase #1
- Loans
- Participant Support
- Withdrawals
- Defending Public Safety Employees Retirement Act
- Account Maintenance
- Annual F/S Audit (CY16)
- OGE Ethics Program Inspection\*
- OPM Review of Use of Certain Personnel Management Authorities\*
- OPM Suitability Executive Agent Programs Review\*

## Upcoming Audits in FY17 (FY17)

- Insider Threat
- Remote Contractor Sites
- Technical Security Review
- Blended Retirement Pre-Implementation Review Phase #2
- Computer Access
- Investment Operations (BTC)
- Review of Prior Year Audit Recommendations
- Penetration Testing\*
- Mid-Year F/S Review (CY17)
- FISMA
- Penetration Testing\*

## Legend

DOL/KPMG Audits

CLA Audits

Other Audits

\* Not an audit.

External Audit Status\* as of February 17, 2017