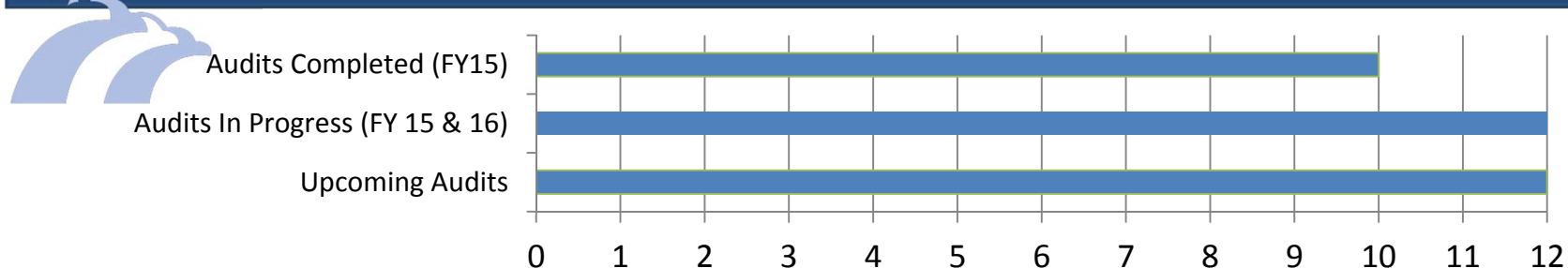


FY 2016 External Audit Activity



Audits Completed (FY15)	Audits in Progress (FY15)	Audits in Progress (FY16)	Upcoming Audits (FY16)	Legend
<ul style="list-style-type: none"> • Special Projects II • Mainframe • Computer Access • G-Fund • Loans • Annuity Operations • Lifecycle Funds • BlackRock • Mid-Year F/S Review • Annual F/S Audit 	<ul style="list-style-type: none"> • Participant Support • System Enhancements • IT Operations • TSP Website • Board Staff • Account Maintenance • Withdrawals • IRS Form 945 Audit • Penetration Testing* 	<ul style="list-style-type: none"> • Service Continuity • NFC • Annuities • BlackRock 	<ul style="list-style-type: none"> • Loans • Mobile Device Security • Remote Contractor Sites • Computer Access • Mainframe • System Enhancements • Defending Public Safety Employees Retirement Act • Participant Support • Vulnerability Assessment • Lifecycle Funds • Mid-Year F/S Review • FISMA 	<p>DOL/KPMG Audits</p> <p>CLA Audits</p> <p>Other Audits</p> <p>* Not an audit.</p>



External Audit Findings FY16 Activity (Oct 2015 – Mar 2016)

Auditor	Findings as of Dec 31, 2015	New Audit Findings	Total Audit Findings as of March 31, 2016		Cumulative Findings Closed by Agency as of March 31, 2016	Open Audit Findings as of March 31, 2016
DOL/KPMG	125	0	125		79 (5*)	46
CLA	4	0	4		0	4

Auditor	Findings as of Sept 30, 2015	New Audit Findings	Total Audit Findings as of Dec ember 31, 2015		Cumulative Findings Closed by Agency as of December 31, 2015	Open Audit Findings as of December 31, 2015
DOL/KPMG	123	2	125		74	51
CLA	4	0	4		0	4

* = Closed by Agency in the quarter



Composition of External Audit Findings

Majority of open audit findings can be grouped in the following categories:

- IT Policies and Procedures
- Access Controls
- Information Security System Authorization
- Segregation of Duties