

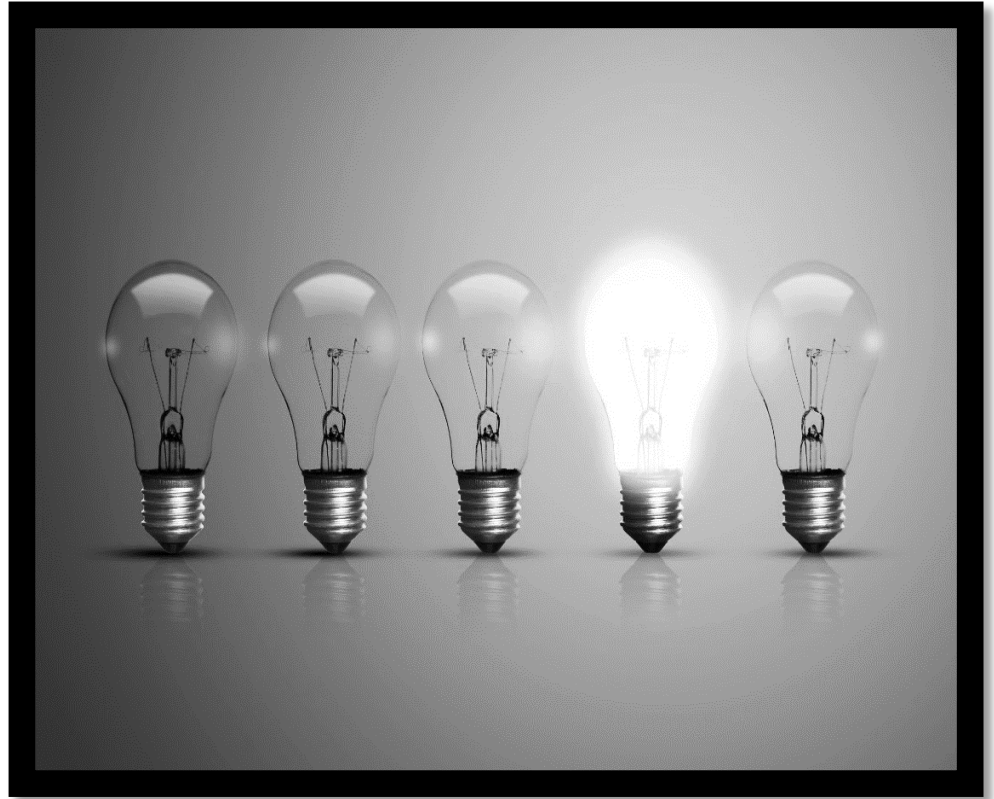
# Quarterly External Audit and Remediation Status

Presented By  
Susan Crowder, Chief Financial Officer  
April 25, 2023

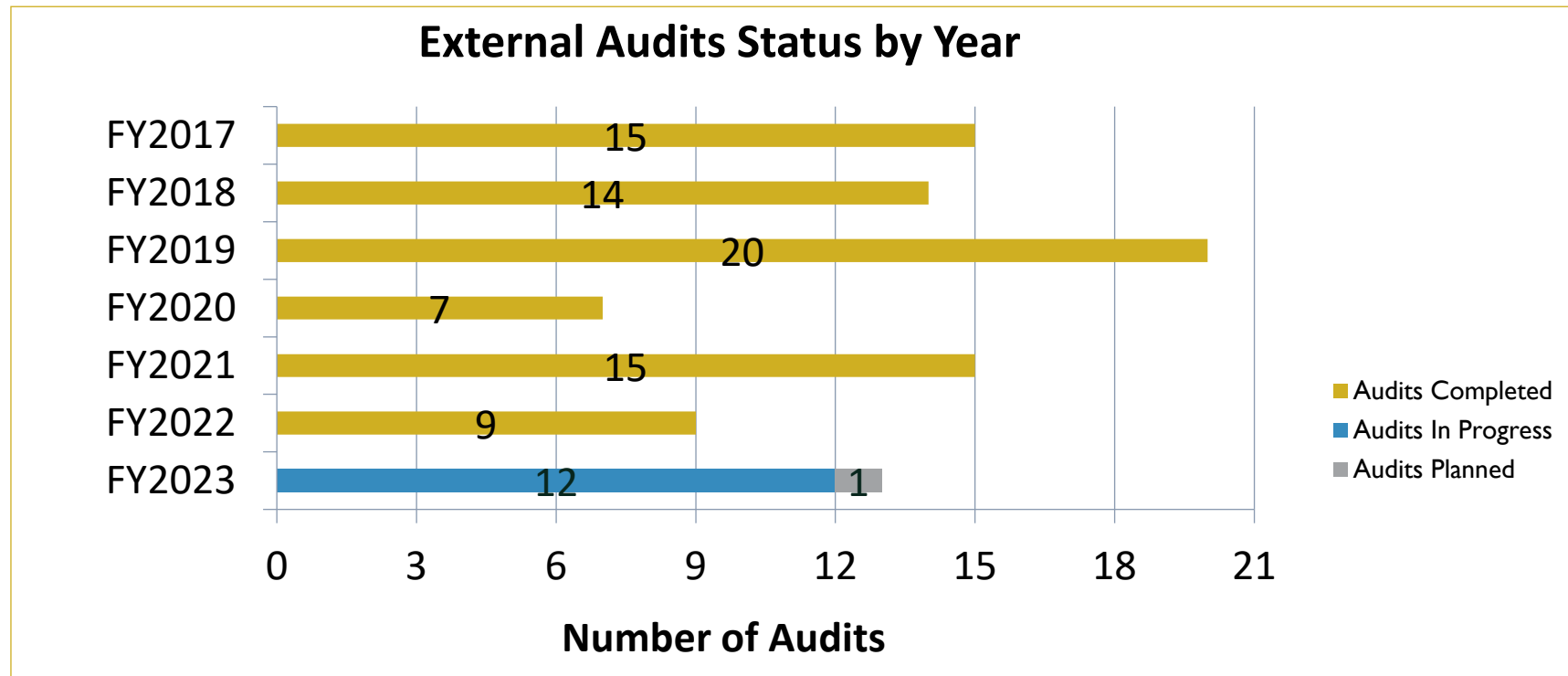
# Agenda

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# External Audit Status



# External Audit Activity (FY2017-2023)



# External Audit Status

## FY 2023 Audits In Progress

- 1) Cyber Policies – Computer Access and Data Security
- 2) Cyber Policies – Information Protection Processes and Procedures
- 3) Cyber Policies – Detection and Monitoring
- 4) Vendor Risk Management and Agency Oversight Controls
- 5) Loan Operations
- 6) Withdrawals
- 7) Status of Prior Year Findings
- 8) Investment Management Operations – State Street
- 9) Participant Support/Contact Center Operations
- 10) GAO Review of TSP System Implementation
- 11) Annual Financial Statement Audit (CY2022)
- 12) FISMA (FY2023)

## FY 2023 Audits Planned

- 1) Mid-Year Financial Statement Review (CY2023)

### Auditor Legend

EBSA

GAO

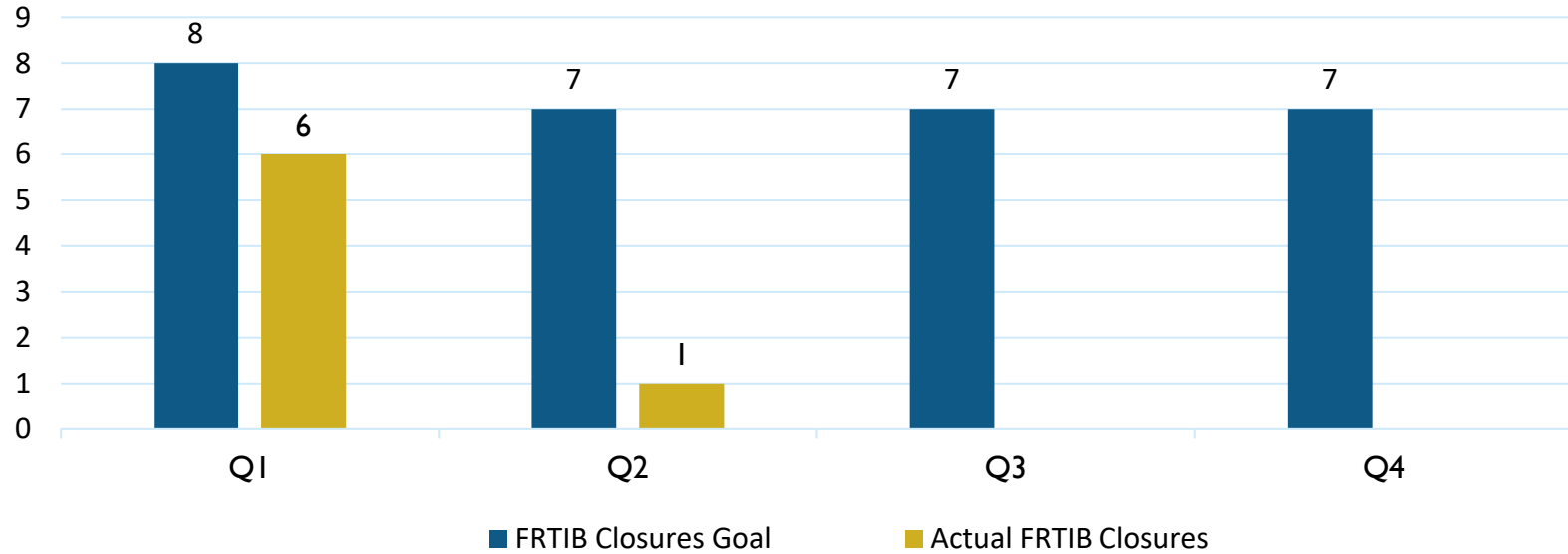
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# Remediation Status



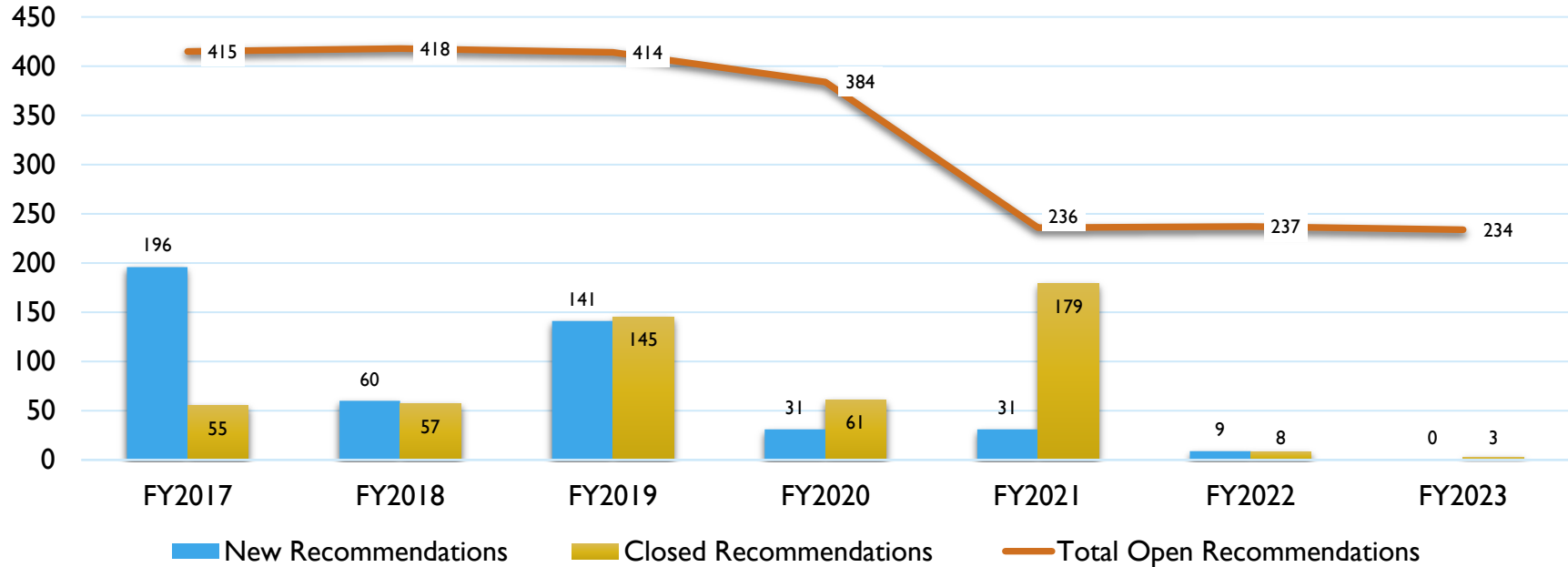
# FY2023 FRTIB Audit Remediation Closures



Our FY2023 goal is to have at least 29 closures.

Includes: Dept. of Labor (EBSA), Financial Statement Audit, GAO, FISMA, and 2015/2016 External Assessment

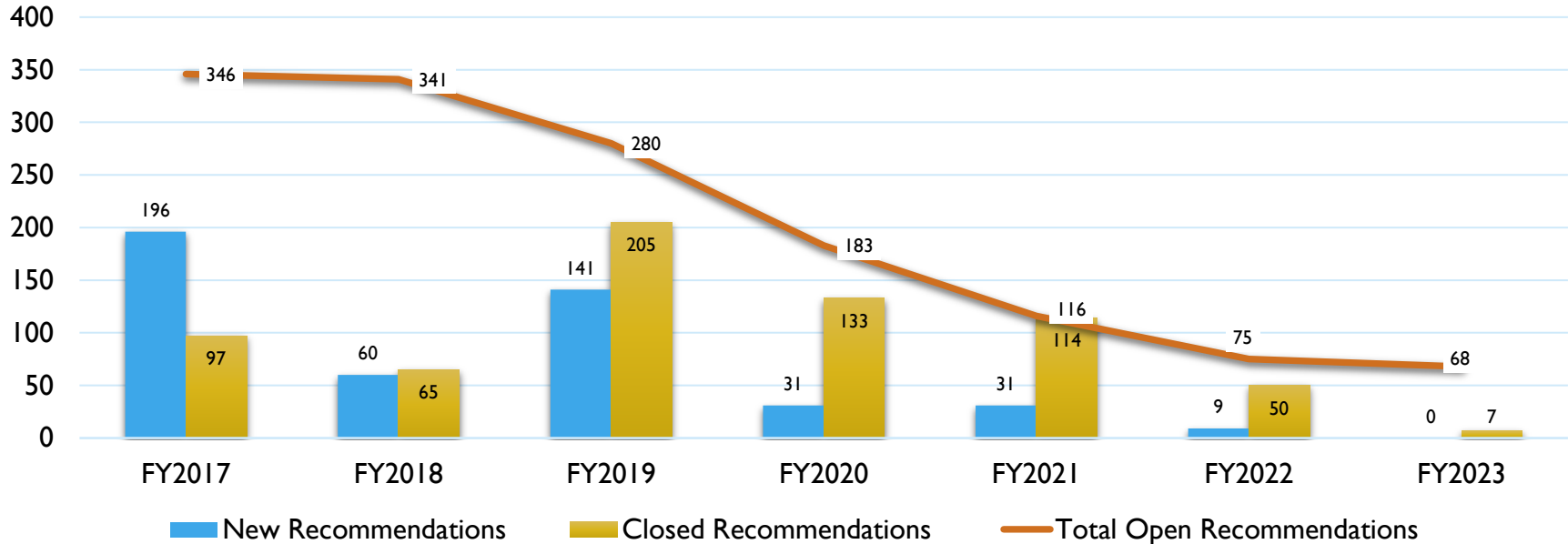
# External Auditor Recommendations FY2017 – FY2023



Auditor Activity includes external audit results from the Dept. of Labor (EBSA), Financial Statement Audit, GAO, FISMA, and 2015/2016 External Assessment FRTIB Activity includes audit remediation results determined by the OCFO Audit Management Division.



# FRTIB Audit Remediation FY2017 – FY2023



Auditor Activity includes external audit results from the Dept. of Labor (EBSA), Financial Statement Audit, GAO, FISMA, and 2015/2016 External Assessment FRTIB Activity includes audit remediation results determined by the OCFO Audit Management Division.

# Questions?