

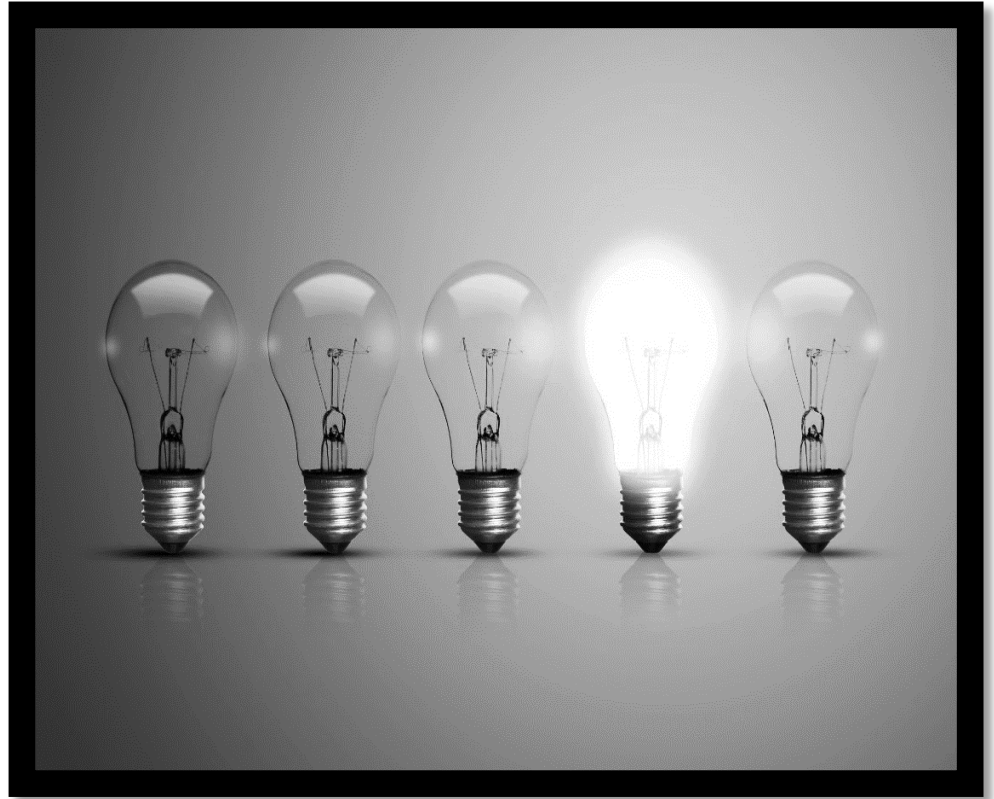
# Quarterly External Audit and Remediation Status

Presented By  
Susan Crowder, Chief Financial Officer  
January 24, 2023

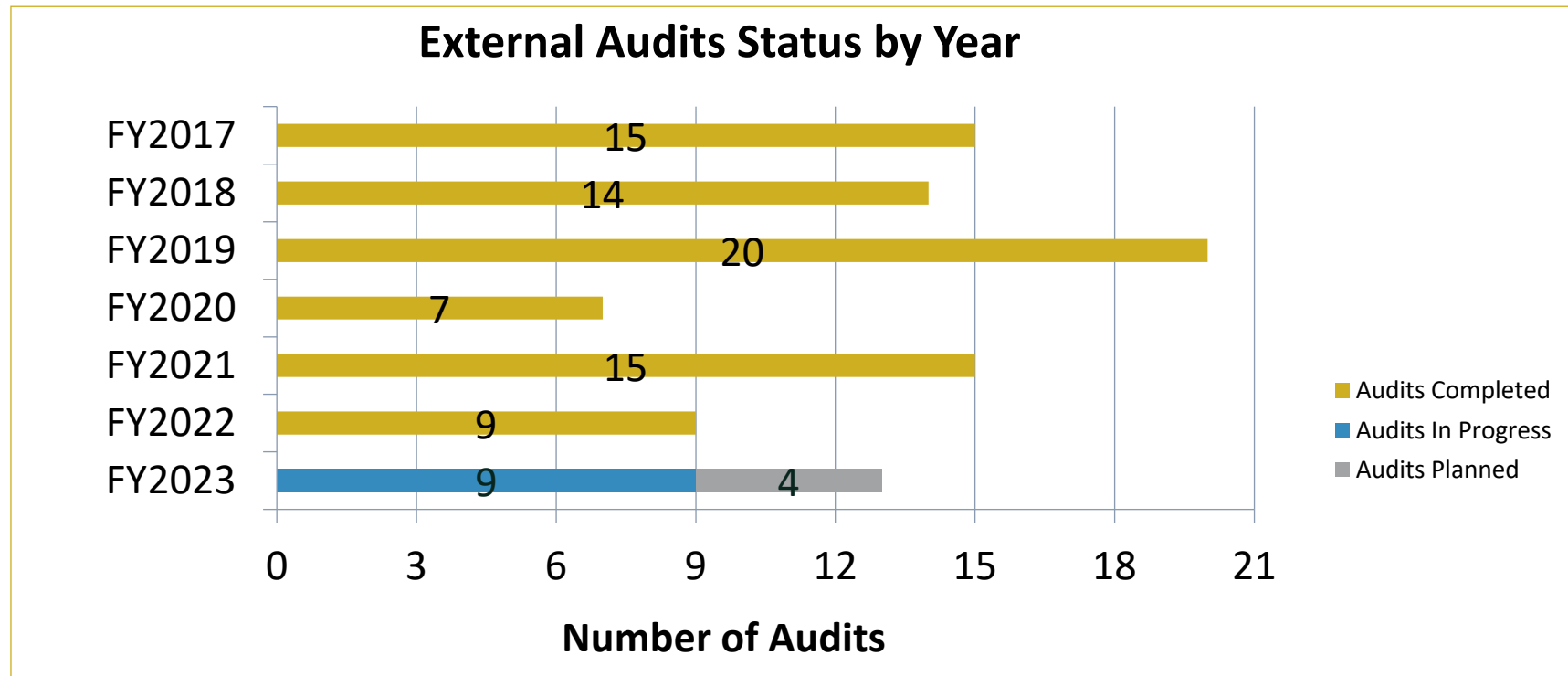
# Agenda

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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) Vendor Risk Management and Agency Oversight Controls
- 4) Loan Operations
- 5) Withdrawals
- 6) Status of Prior Year Findings
- 7) Investment Management Operations – State Street
- 8) GAO Review of TSP System Implementation
- 9) Annual Financial Statement Audit (CY2022)

## FY 2023 Audits Planned

- 1) Cyber Policies – Detection and Monitoring
- 2) Participant Support/Contact Center Operations
- 3) FISMA (FY2023)
- 4) Mid-Year Financial Statement Review (CY2023)

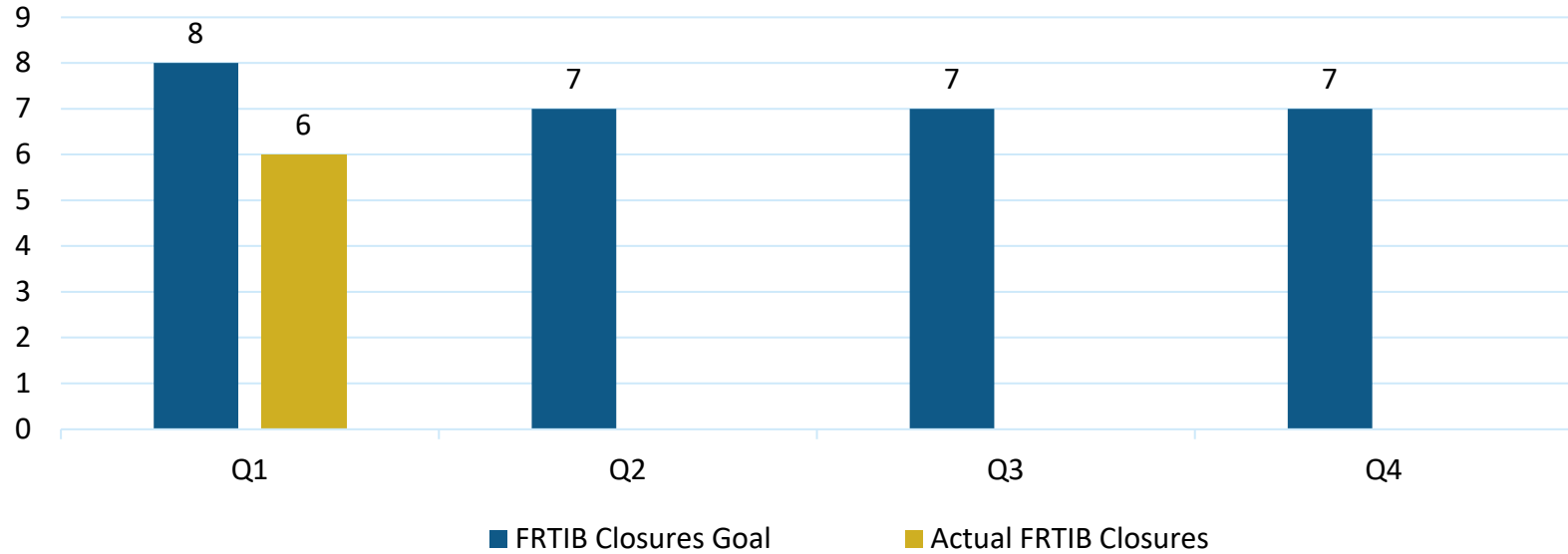
### Auditor Legend

EBSA  
GAO  
CLA  
Williams Adley

# Remediation Status



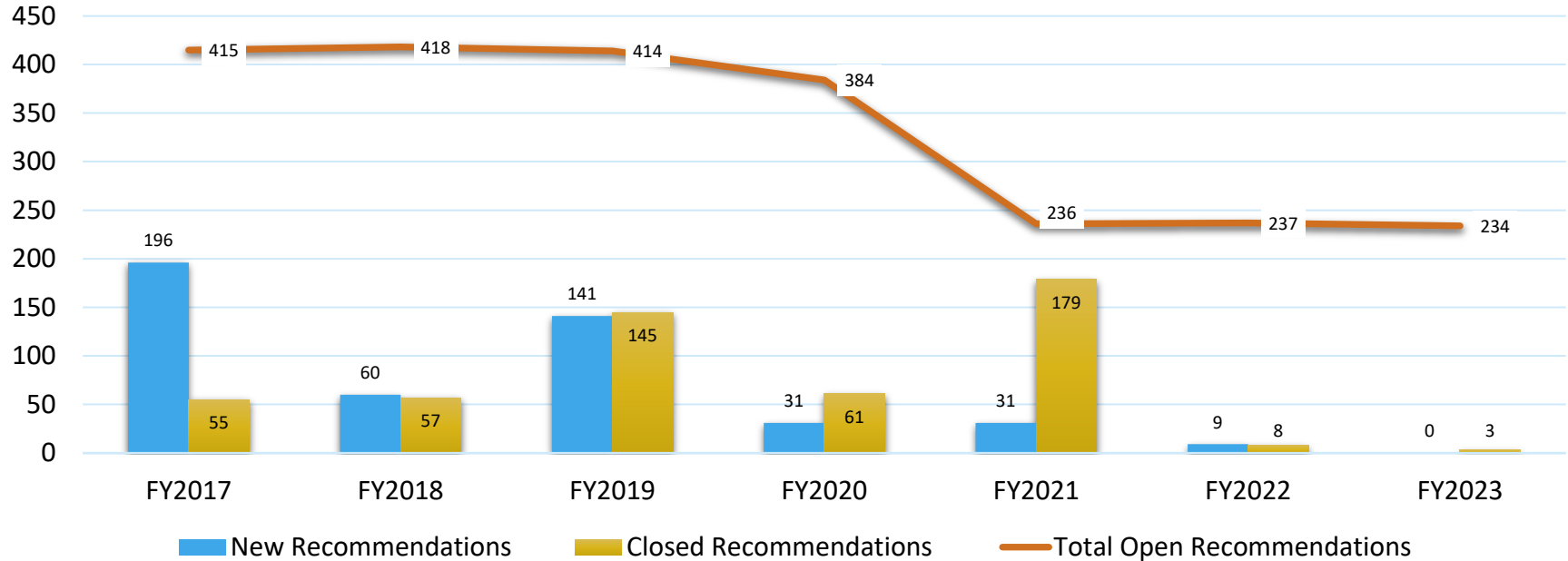
# FY2023 FRTIB Audit Remediation Closures



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

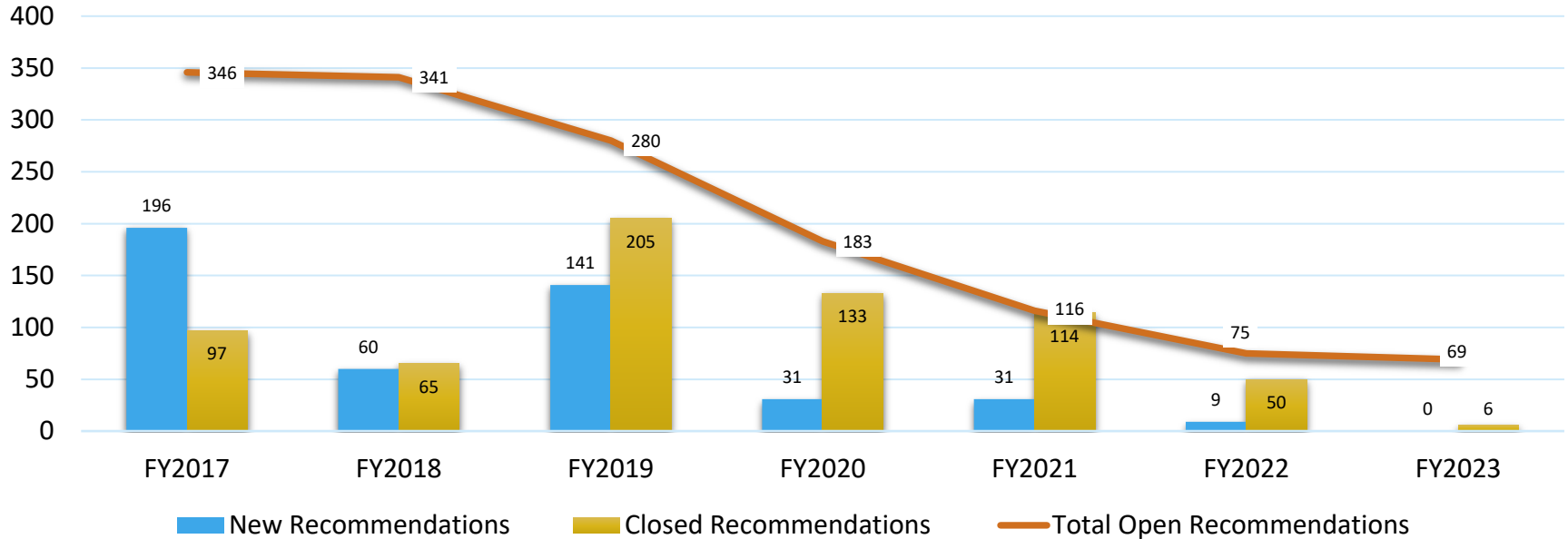
# External Auditor Recommendations FY2017 – FY2023



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?

# Detail Backup



# Open Audit Recommendations

## FY2017 – FY2023

Auditor Activity	FY 2017	FY 2018	FY2019	FY2020	FY2021	FY2022	FY2023
Auditor Start	274	415	418	414	384	236	237
Auditor Add	196	60	141	31	31	9	0
Auditor Closed	-55	-57	-145	-61	-179	-8	-3
Auditor End	415	418	414	384	236	237	234

FRTIB Activity	FY 2017	FY 2018	FY2019	FY2020	FY2021	FY2022	FY2023
FRTIB Start	247	346	341	280	183	116	75
Auditor Add	196	60	141	31	31	9	0
FRTIB Closed	-97	-65	-205	-133	-114	-50	-6
FRTIB Closed Reversed by Auditor			3	5	16	0	0
FRTIB End	346	341	280	183	116	75	69

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.