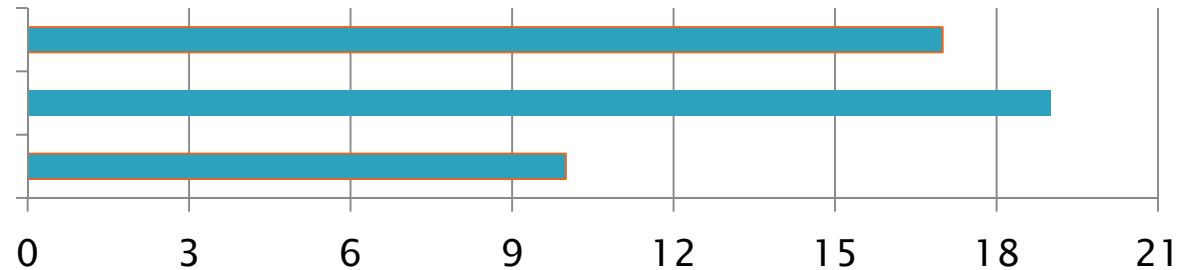


External Audit Activity

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/Completed in FY17 (FY16 & FY17)

- Service Continuity (completed)
- NFC (completed)
- Annuities (completed)
- 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
- Investment Operations (BTC) (FY17)
- 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 Controls
- Remote Contractor Sites
- Technical Security Review
- Blended Retirement Pre-Implementation Review Phase #2
- Computer Access
- Review of Prior Year Audit Recommendations #2
- Penetration Testing*
- Mid-Year F/S Review (CY17)
- FISMA
- Penetration Testing*

Legend

DOL/KPMG Audits

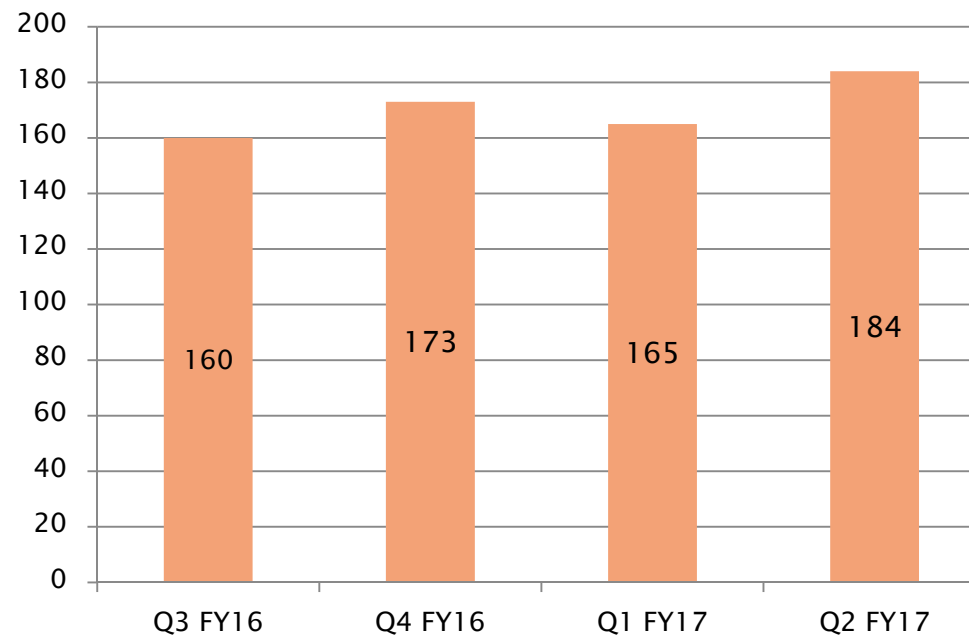
CLA Audits

Other Audits

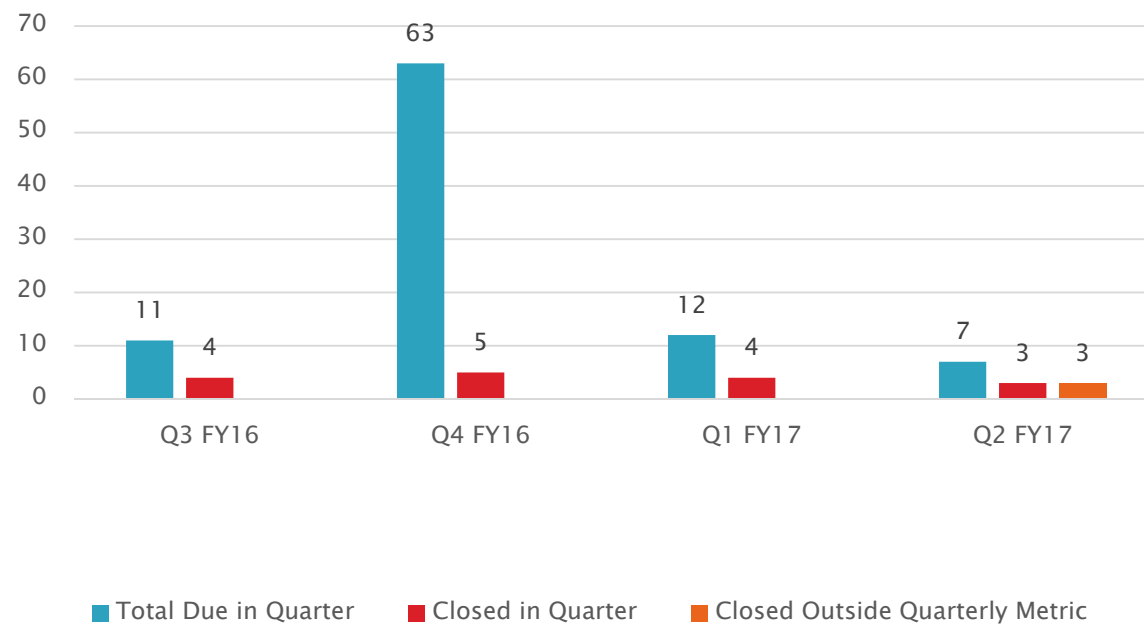
* Not an audit.

As of April 17, 2017

Open Audit Recommendations



Recommendation Closures by Quarter



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