

Audit Findings Remediation Activity

PRESENTED BY
THE OFFICE OF ENTERPRISE RISK MANAGEMENT (OERM)



Thrift Savings Plan

FEDERAL RETIREMENT THRIFT INVESTMENT BOARD
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Open Audit Findings by Fiscal Year

Auditor Activity

Auditor Activity	FY2014	FY 2015	FY 2016	FY 2017
Auditor Start	92	119	184	275
Auditor Add	62	101	117	196
Auditor Closed	35	36	26	55
Auditor End	119	184	275	416

FRTIB Activity

FRTIB Activity	FY2014	FY 2015	FY 2016	FY 2017
FRTIB Start	35	53	116	247
Auditor Add	62	101	117	196
FRTIB Closed	44	38	-14	97
FRTIB End	53	116	247	346

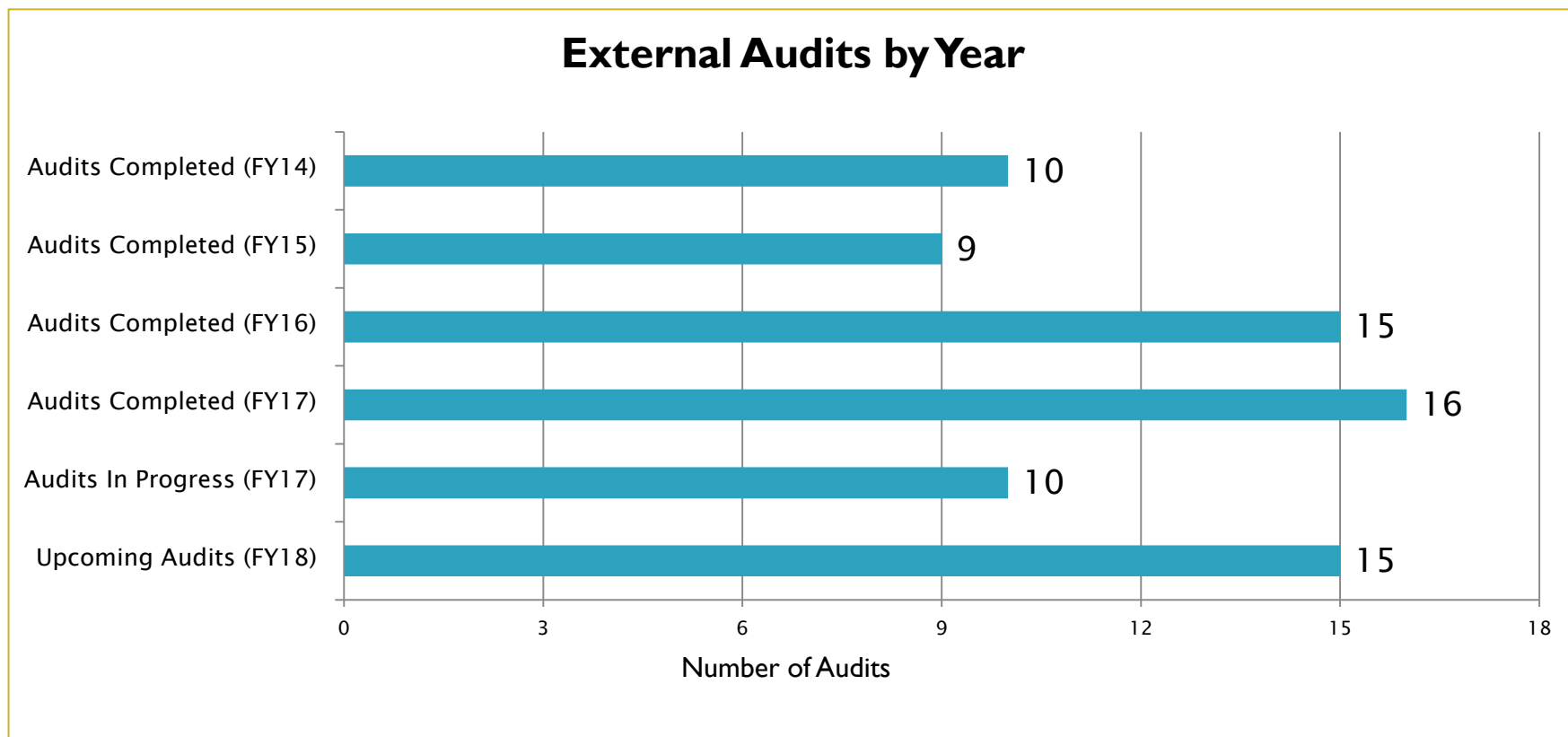


Open Audit Findings by Office (FY 2017)

Office	Open Findings	% of Total
OTS	321	93%
ORM	10	3%
OPS	4	1%
OCFO	4	1%
OGC	3	1%
OEP	3	1%
OCE	1	0%
Total	346	100%



External Audit Activity



External Audit Activity

Audits Completed (FY16)	Audits Completed (FY17)	Audits in Progress (FY17)	Upcoming Audits in FY18
<ul style="list-style-type: none"> Account Maintenance Annuity Operations Board Staff Investment Operations (BTC) (FY15) IT Operations Lifecycle Funds Participant Support System Enhancements TSP Website Withdrawals Mid-Year F/S Review (CY15) Annual F/S Audit (CY15) Mid-Year F/S Review (CY16) FISMA (FY16) IRS Form 945 Audit 	<ul style="list-style-type: none"> Annuity Process Computer Access Investment Operations (BTC) (FY16) Lifecycle Funds Loans Mainframe Mobile Device Security NDAA Pre-Implementation Review Phase #1 NFC Participant Support Review of Prior Year Audit Recommendations I Service Continuity Mid-Year F/S Review (CY16) Annual F/S Audit (CY16) Mid-Year F/S Review (CY17) OGE Ethics Program Inspection* 	<ul style="list-style-type: none"> Account Maintenance Defending Public Safety Employees Retirement Act Insider Threat Controls Investment Operations (BTC) (FY17) NDAA Pre-Implementation Review Phase #2 Review of Prior Year Audit Recommendations 2 Withdrawals OPM Review of Use of Certain Personnel Management Authorities* OPM Suitability Executive Agent Programs Review* FISMA (FY17) 	<ul style="list-style-type: none"> Account Maintenance Agency Operations Annuity Process Certain Remote TSP Contractor Sites Computer Access (FY17) G Fund Investment Operations Loans Mainframe Mobile Device Security NDAA Post-Implementation Review Participant Support Status Determination of Accelerated IT Security Effort Annual F/S Audit (CY17) Mid-Year F/S Review (CY18) FISMA (FY18)

Legend

DOL/KPMG Audit

CLA Audit

Other Audit



Thrift Savings Plan