



STATE OF WISCONSIN
Department of Employee Trust Funds
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CORRESPONDENCE MEMORANDUM

DATE: November 15, 2012

TO: Audit Committee Members

FROM: John Vincent, Director
 Office of Internal Audit

SUBJECT: Open Action Plan Report

This memo is for informational purposes only. No action is required.

The Office of Internal Audit is providing a report of open audit action plans as of November 14, 2012.

The following table outlines the number of open action plans by division/office.

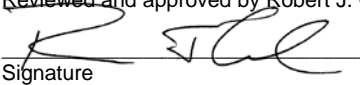
Year	DIS	DMS	DRS	OBTF	OIA	OPPC	Totals
2005		4					4
2006							
2009		9				1	10
2010	2				1		3
2011	1		1	7			9
2012	1						1
Totals 11/14/12	4	13	1	7	1	1	27
Totals 6/01/12	14	14	2	8	1	1	40

Remarks for the open action plans are provided below.

- DIS – Division of Insurance Services: Management has successfully worked with the respective third party administrator to address the most of the findings. Work continues on the remaining action plans.
- DMS – Division of Management Services: The Bureau of Information Technology has been developing a System Development Life Cycle (SDLC) methodology that is to be applied to each application development project. In addition, the

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Reviewed and approved by Robert J. Conlin, Secretary

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 Signature Date 11/21/12

Project Management Office, within the Office of Enterprise Initiatives, has been developing a component of the SDLC related to business area responsibilities. The SDLC will address the open action plans.

- DRS – Division of Retirement Services: Recommendation was for DRS to reestablish the audit review of estimates on a sample basis. The division anticipates that during the first quarter of 2013 resources will be available to conduct the random audits barring any unforeseen circumstances such as law changes to the Wisconsin Retirement System (WRS). In the mean time, audit training is provided to new employees.
- OBTF – Office of Budget and Trust Finance: These action plans relate to the 2011 5-Year Actuarial Audit, with completion dates set in 2013.
- OIA – Office of Internal Audit: This single plan of action relates to the establishment of documented follow-up procedures. This project will be assigned to the new Auditor-Advanced employee for completion June 2013.
- OPPC – Office of Policy, Privacy and Compliance: The Department's Security Council will establish a Roll-Based Access Policy in early 2013.

I will be available at the Audit Committee meeting to answer any questions.