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Correspondence Memorandum

Date: May 31, 2023
To: Audit Committee
From: Yikchau Sze, Director
Office of Internal Audit (OIA)
Subject: Open Audit Issues Report

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

The Open Audit Issues report tracks recommendations raised by the OIA for all internal audits and recommendations raised by independent external auditors. OIA updates the Open Audit Issues report quarterly, based on the status reported by management. Management is responsible for the timely completion of actions that address audit findings. OIA is responsible for tracking progress reported by management and performing follow-up audits to confirm the completion of corrective actions if deemed necessary.

Compared with the status reported in the last quarter, the Open Audit Issues report (see page 2) includes:

- One more Sick Leaving Reporting audit recommendation was closed.
- Third Party Administrator (TPA) Contract Compliance audit of Pre-tax Saving Account Programs was added to the Open Audit Issues Summary report for status monitoring.
- The Action plan to address findings raised in the IT Control Assessment requires further assessment.

Staff will be at the Committee meeting to answer any questions.

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Open Audit Issues Summary - May 2023

Program	Audit Report Date	Audit Performed by	Audit Findings			
			Outstanding #	Complete By	Closed #	Total
Sick Leave Reporting Audit	August 2022	OIA		2/1/2023	1	
			1	2/15/2023 5/15/2023 8/15/2023		
			1	4/30/2023	1	
			1	9/1/2023		
				11/15/2022	1	
				8/12/2022	1	
				8/31/2023		
TPA - Optum Financial Audit	February 2023	OIA	1	9/30/2023		
			1	12/31/2023		
			1	6/30/2023		
				5/30/2023 6/30/2023		
				1/31/2023	1	
Total - OIA Audit			7		5	12
Pharmacy Benefit Manager	September 2022	PillarRx	1	Next Audit Cycle; 2023		
Wellness Administrator	August 2022	Segal	3	Next Audit Cycle; 2024	6	
Total - External TPA Audit			4		6	10
IT Control Assessment for ECM and MDM	November 2022	JANUS		Action Plan will be developed by 5/31/2023		