



STATE OF WISCONSIN
Department of Employee Trust Funds
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CORRESPONDENCE MEMORANDUM

DATE: January 26, 2016
TO: Group Insurance Board
FROM: Yikchau Sze, Director
Office of Internal Audit (OIA)
SUBJECT: 2015-2017 Audit Plan Status

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

The following is a summary of the audit engagements completed or in progress and the status of other OIA activities from September 1, 2015 to the report date of November 20, 2015. This information was presented to the Audit Committee of the Employee Trust Funds Board on December 10, 2015.

Audit Engagements – Completed

- Dependent Spouses and Domestic Partners Health Insurance Eligibility Audit – Report and cover memo were distributed to the Audit Committee members electronically on November 4, prior to reporting the audit result to the Group Insurance Board on November 17, 2015. This audit was originally planned for 2013–2015 and extended into the Audit Plan for 2015-2017.

Audit Engagements – In-Progress

- Wisconsin Retirement System Employer Reporting – Fieldwork is in progress
- Annuitant Payroll – Fieldwork has been completed; started report writing
- Full File Compare (file comparing process between ETF's records and health plans' records) – Initial planning

Other OIA Activities

Reviewed and approved by Robert J. Conlin, Secretary

Electronically signed 1/28/16

Board	Mtg Date	Item #
GIB	2.17.16	8M

- Initiated and facilitated discussions of a cross-functional team for fraud prevention/detection that includes strengthening the ethics policy, evaluating the feasibility of a fraud hotline and other relevant documents and processes
- Identified and developed OIA initiatives for the ETF 2015-2019 Strategic Plan
- Redesigned OIA intranet page, including developing new content
- Attended following major trainings:
 - Risk Based Auditing: A Value Add Proposition – Jackie Van Marter, Rick Onasch, Mary Statz, and Yikchau Sze attended these e-learning classes offered by the Institute of Internal Auditors in September
 - Audit Report Writing – Jackie Van Marter, Rick Onasch, Mary Statz, and Yikchau Sze attended the e-learning classes offered by the Institute of Internal Auditors in October
 - 2015 Wisconsin Cybersecurity Summit – Yikchau Sze attended the conference in Milwaukee in October
 - 2015 Association of Public Pension Fund Auditors Conference – Yikchau Sze attended the conference in Hilton Head, SC in November
- Continued involvement in the Transformation, Integration and Modernization effort with
 - Risk management monitoring
 - Change management discussion
 - Data Integrity Rollout 1 reconciliation process review
 - Security policy sub-committee discussion
- Tracking open audit issues and report status of the open issues to the Audit Committee quarterly through Open Audit Issue Report
- Presented audit results of Income Continuation Insurance audit and Health Care Eligibility audit to the Group Insurance Board on November 17, 2015.

Staff will be available at the Group Insurance Board meeting to answer any questions.