



# Risk and Audit Committee Meeting Agenda

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**Location**

Robert F. Carlson Auditorium  
Lincoln Plaza North  
400 P Street  
Sacramento, CA

**November 14, 2017**

3:00 pm

Or upon adjournment of the  
Finance & Administration Committee —  
Whichever is later

**COMMITTEE MEMBERS**

Dana Hollinger, Chair  
Ron Lind, Vice Chair  
Rob Feckner  
Richard Gillihan

Priya Mathur  
Bill Slaton  
Betty Yee

**AGENDA****Open Session**

3:00 p.m.

Or Upon Adjournment of the Finance & Administration  
Committee, Whichever is Later

1. Call to Order and Roll Call
2. Executive Report  
Marlene Timberlake D'Adamo
3. Consent Items  
Marlene Timberlake D'Adamo  
**Action Consent Items:**
  - a. Approval of the September 19, 2017 Risk & Audit Committee Meeting Minutes
4. Consent Items  
Marlene Timberlake D'Adamo  
**Information Consent Items:**
  - a. 2017 Annual Calendar Review
  - b. 2018 Annual Calendar Review
  - c. Draft Agenda for the February 13, 2018 Risk & Audit Committee Meeting
  - d. Quarterly Status Report – Office of Audit Services
  - e. Quarterly Status Report – Enterprise Risk Management
  - f. Quarterly Status Report – Enterprise Compliance Activity

### Action Items

Beliz Chappuie  
Caroline Walsh, David  
Bullock, Debbie Chan,  
Macias Gini & O'Connell

5. Audit
  - a. Independent Auditor's Report – Fiscal Year 2016-17
  - b. Review of Independent Auditor's Management Letter

### Information Agenda Items

Forrest Grimes

6. Enterprise Risk Management
  - a. Enterprise Risk Management Framework Review

Marlene Timberlake D'Adamo

7. Summary of Committee Direction
8. Public Comment

### Closed Session

Upon Adjournment or Recess of Open Session  
**(Government Code sections 11126(a)(1) and (g)(1))**

1. Call to Order and Roll Call

### Action Consent Agenda Items

2. Approval of the September 19, 2017 Risk & Audit Committee Closed Session Meeting Minutes

### Information Agenda Items

Beliz Chappuie

3. Personnel, Employment and Performance – Chief Auditor

Marlene Timberlake D'Adamo

4. Personnel, Employment and Performance – Chief Compliance Officer

Kit Crocker

5. Personnel, Employment and Performance – Investment Director

### Notes

- 1) Items designated for Information are appropriate for Committee Action if the Committee wishes to take action. Any Agenda Item from a properly noticed Committee meeting, held immediately prior to this Board meeting, may be considered by the Board.
- 2) The hour designated as the earliest starting time for this meeting is not intended to communicate the expected duration (or ending time) of the preceding meeting.
- 3) Public comment may be taken on any agenda item. There is a three-minute limitation on each public comment, unless otherwise directed by the Committee Chair. (Cal. Code Regs., tit. 2, § 552.1.)
- 4) Board Members may attend meetings of committees of which they are not members and participate in the discussions during those meetings.