



Risk and Audit Committee Meeting Agenda

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

June 20, 2018
 8:30 am

COMMITTEE MEMBERS

Dana Hollinger, Chair
 Bill Slaton, Vice Chair
 Margaret Brown
 John Chiang

Richard Costigan
 Priya Mathur
 Betty Yee

AGENDA

Open Session
 8:30 am

Open Session	#	Item	Time in minutes	Q & A	Cumulative Time
	1.	Call to Order and Roll Call			
Dana Hollinger	2.	Approval of the June 20, 2018 Risk & Audit Committee Timed Agenda	2	2	4
Marlene Timberlake D'Adamo	3.	Executive Report	1	1	6
Marlene Timberlake D'Adamo	4.	Consent Items	1	1	8
		Action Consent Items:			
	a.	Approval of the February 12, 2018 Risk & Audit Committee Meeting Minutes			
Marlene Timberlake D'Adamo	5.	Consent Items	1	1	10
		Information Consent Items:			
	a.	2018 Annual Calendar Review			
	b.	2019 Annual Calendar Review			
	c.	Draft Agenda for the September 25, 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 Agenda Items					
Marlene Timberlake D'Adamo	6.	Enterprise Compliance	10	10	30
		a. 2018-19 Enterprise Compliance Plan			
		b. Proposed Amendments to the Personal Trading Regulation (First Reading)			
Forrest Grimes	7.	Enterprise Risk Management	5	5	40
		a. 2018-19 Enterprise Risk Management Plan			
	8.	Audit	10	5	55
Beliz Chappuie		a. 2018-19 Office of Audit Services Plan			
Beliz Chappuie Matt Jacobs Marlene Timberlake D'Adamo		b. Independent Auditor's 2018 Annual Plan			
Information Agenda Items					
Forrest Grimes	9.	Enterprise Risk Management	5	5	65
		a. Enterprise Risk Management Framework Review			
Marlene Timberlake D'Adamo	10.	Summary of Committee Direction	2	3	70
	11.	Public Comment			
Total Open Session Time: 1h 10m					

Closed Session		Topic (Government Code sections 11126(a)(1) and (g)(1))	Time in minutes	Q & A	Cumulative Time
	1.	Call to Order and Roll Call			
	Action Consent Items				
	2.	Approval of the February 12, 2018 Risk & Audit Committee Closed Session Meeting Minutes	1	1	2
	Information Agenda Items				
Marlene Timberlake D'Adamo	3.	Personnel, Employment and Performance – Chief Compliance Officer	5	5	12
Beliz Chappuie	4.	Personnel, Employment and Performance – Chief Auditor	5	5	22
Kit Crocker	5.	Personnel, Employment and Performance – Investment Director	5	5	32
Total Closed Session Time: 32m					

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.