

AGENDA

Audit, Risk & Compliance Committee Meeting

December 5, 2023 ~ 1:15 P.M. (1 hr. 15 min.)

SERS Board Room, 5th Floor, 30 North 3rd Street, Harrisburg, PA 17101

SERS Livestream Access - <https://www.pacast.com/live/sers>

For meeting updates text "SERS" to 888-665-0184

1. Call to Order
2. Welcome and Roll Call
3. Approval of Minutes of September 19, 2023, Audit, Risk and Compliance Committee Meeting
4. Old Business (None)
5. Special Presentations (None)
6. New Business – Audit, Risk and Compliance Committee Charter Draft Discussion
7. Executive Session
 - a. KPMG's 2023 Audit Plan and Strategy – Report to the Audit, Risk and Compliance Committee
 - b. Internal Audit Office Update
 1. Review of Proposed 2024 Audit Plan
 2. Internal Control and Policy/Procedure Gap Assessment Update
 - c. Chief Compliance Officer Update
 1. Quarterly Report as of September 30, 2023
 - d. Chief Information Security Officer Update
 1. 2024 Network Vulnerability Assessment Clarification
 - e. Theft, Fraud, and Abuse Hotline Update
 - f. Update on 2023 Internal Audit Director Performance Goals – *Informational Item Only*
 - g. Update on 2023 Chief Compliance Officer Performance Goals – *Informational Item Only*
8. Public Session Resumes
9. Comments/Concerns/Questions
10. Motion to Adjourn

Committee Members: Treasurer Stacy Garrity (Chair); Representative Brett Miller; Secretary Uri Monson; Chair Gregory Thall

NEXT COMMITTEE MEETING DATE – February 2024