

AGENDA

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**Audit, Risk & Compliance Committee Meeting**

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**February 27, 2024 ~ 1:40 P.M.** (0 hr. 50 min.)  
SERS Board Room, 5<sup>th</sup> Floor, 30 North 3<sup>rd</sup> 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 December 5, 2023, January 9, 2024, and February 1, 2024 Audit, Risk and Compliance Committee Meeting
4. Old Business – None
5. Special Presentations – None
6. New Business
  - a. Review of the Audit, Risk and Compliance Committee's 2024 Work Plan
  - b. 2024 Internal Audit Plan
  - c. External Audit Update
7. Executive Session
  - a. Chief Information Security Officer Update
  - b. Internal Audit Office Update
    1. Internal Control and Policy/Procedure Gap Assessment Update
  - c. Quality Assurance Review of Year End Print Jobs
    1. 1099-R and 1042-S Review
    2. Annuitant Statement Review
  - d. Review of Due Diligence Performed on Board Approved Investments for the period December 31, 2023
  - e. Chief Compliance Officer Update
    1. Quarterly Report as of December 31, 2023
  - f. Theft, Fraud, and Abuse Hotline Update
  - g. 2024 Internal Audit Director Performance Goals – *Informational Item Only*
  - h. 2024 Chief Compliance Officer Performance Goals – *Informational Item Only*

8. Public Session Resumes

- a. Audit, Risk and Compliance Committee Charter – Current – *Informational Item Only*
- b. Audit, Risk and Compliance Committee Charter – Appended and Recommended to SERS Board – *Informational Item Only*
- c. Audit, Risk and Compliance Committee Charter Draft 02.12.24 Red-Line – *Informational Item Only*
- d. Audit, Risk and Compliance Committee Charter Amendment Memo – *Informational Item Only*
- e. Internal Audit Office Charter for Committee Review – *Informational Item Only*

9. Committee Comments/Concerns/Questions

10. Motion to Adjourn

**Committee Members:** Donald Enders Jr.; Treasurer Stacy Garrity (Committee Chair); Representative Brett Miller (Assistant Committee Chair); Secretary Uri Monson; Secretary Wendy Spicher

NEXT COMMITTEE MEETING DATE – April 30, 2024