

ENTERPRISE COMPLIANCE DIVISION

Current Status of Activities and Accomplishments

	Activities and Accomplishments	Status
E-1	The recruitment and hiring of the Enterprise Compliance's, Assistant Division Chief – as of August 27, 2012.	Completed
E-2	ECOM, in coordination with FCSD and PAOF, will publish Form 700 disclosure statements and the Travel Information Summaries on the CalPERS webpage for Board members and representatives, Executive Staff, and key investment staff.	Ongoing
E-3	The Personal Trading Regulation (PTR) Status: <ul style="list-style-type: none"> The PTR was presented and approved by the Board at the August 2012 BOA Meeting. The PTR was packaged and sent to OAL for review/processing (Expected submission to Secretary of State is 10/10/12). 	In Progress
E-4	The Personal Trading System Status: <ul style="list-style-type: none"> The project has moved into phase II, implementation Training is on target for November 2012 for Covered Persons We will "go-live" on December 1, 2012 	In Progress
E-5	ECOM and INVO will partner to help ensure staff compliance with the Insider Trading Policy and the PTR.	Ongoing
E-6	OERM/ECOM is moving forward with the concept of the Office of Ethics. Currently in development is an enterprise approach/process for reporting investigations.	In Process
E-6	ECOM will continue to monitor the CalPERS Ethics Helpline and report to the Risk and Audit Committee.	Ongoing
E-7	ECOM, in partnership with OSSD, will monitor consultant disclosures as required in the CalPERS Contract-Related Disclosure Requirements Policy.	Ongoing
E-8	Undue Influence certification process is currently being reevaluated in conjunction with the development of the CalPERS Code of Conduct.	In Process
E-9	Fiduciary Training/Certifications <ul style="list-style-type: none"> LEGO will be conducting an additional Fiduciary Training for Board Members and Designees that are required to obtain certification prior to December 31, 2012. 	In Process
E-10	ECOM will partner with FCSD for the incorporation of the Annual Compliance Report into the CalPERS Comprehensive Annual Financial Report (CAFR). This change will improve the Annual Compliance Report's transparency and readability, and is a natural extension of ongoing quality improvement efforts related to both the Annual Compliance Report and the CAFR.	In Process