



## Risk and Audit Committee

# Agenda Item 5f

---

**September 25, 2018**

**Item Name:** Quarterly Status Report - Enterprise Compliance Activity

**Program:** Enterprise Compliance

**Item Type:** Information Consent

### **Executive Summary**

Enclosed is the Quarterly Status Report on CalPERS Compliance Activity for the period of April 1, 2018 through June 30, 2018. As part of the Enterprise Compliance plan, the team continues to improve their compliance monitoring and oversight capabilities and expand upon the Risk and Audit Committee reporting information.

### **Strategic Plan**

This item supports the CalPERS 2017- 22 Strategic Plan Goal: *Cultivate a risk-intelligent organization* and the strategic objective of providing enhanced compliance and risk functions throughout the enterprise.

### **Background**

CalPERS Compliance program promotes continuous improvement in our ability to achieve high ethical and compliance standards, along with our ability to detect, correct, and prevent potential instances of noncompliance, and improve compliance reporting.

The Enterprise Compliance Office reports compliance related information each quarter to the Risk and Audit Committee to fulfill the Committee's oversight role in program and policy compliance.

### **Analysis**

The team has provided key observations and trend information regarding the Statement of Economic Interests (Form 700), Personal Trade Monitoring, Ethics Helpline, and Training Compliance in Attachment 1.

**Budget and Fiscal Impacts**

Not Applicable.

**Benefits and Risks**

Not Applicable.

**Attachments**

Attachment 1: Quarterly Status Report – Enterprise Compliance Activity – Fourth Quarter FY 2017-18

---

Kami Niebank  
Deputy Chief Compliance Officer

---

Marlene Timberlake D'Adamo  
Chief Compliance Officer