



Risk and Audit Committee Agenda Item 5e

November 17, 2020

Item Name: Status Report - Enterprise Compliance Activity

Program: Enterprise Compliance

Item Type: Information

Executive Summary

Enclosed is the Status Report on CalPERS compliance activity for the period of June 1, 2020 – September 30, 2020. This report provides activity regarding four components of the Enterprise Compliance program. Those components are Form 700 filings, Personal Trading Monitoring, Ethics Helpline Complaints and Mandatory Training completion rates.

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

This item supports our goals of creating a risk intelligent organization. The report provides the Risk and Audit Committee with compliance monitoring and oversight analytics to aid in fulfilling their role in overseeing key compliance and ethics activities.

The Enterprise Compliance Office reports compliance related information 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, and the Ethics Helpline in Attachment 1, Attachment 2, Attachment 3, and Attachment 4.

Budget and Fiscal Impacts

Not Applicable.

Benefits and Risks

Not Applicable.

Attachments

Attachment 1: Status Report – Enterprise Compliance Activity – June FY 2019-20

Attachment 2: Status Report – Enterprise Compliance Activity – July FY 2019-20

Attachment 3: Status Report – Enterprise Compliance Activity – August FY 2019-20

Attachment 4: Status Report – Enterprise Compliance Activity – September FY 2019-20

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