



## Risk and Audit Committee

# Agenda Item 6e

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**February 17, 2021**

**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 October 1, 2020 – November 30, 2020. In addition to the Status Report, additional information is being provided regarding the Personal Trading program. 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 month 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 Attachments 1 and 2.

**Budget and Fiscal Impacts**

Not Applicable.

**Benefits and Risks**

Not Applicable.

**Attachments**

Attachment 1: Status Report – Enterprise Compliance Activity – October FY 2020-21

Attachment 2: Status Report – Enterprise Compliance Activity – November FY 2020-21

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