Risk & Audit Committee

Agenda Item 4d

November 17, 2026

Item Name: Status Report - Enterprise Compliance Activity

Program: Enterprise Compliance, Risk & Governance

Item Type: Information Consent

Executive Summary

Enclosed is the Status Report on CalPERS compliance activity for the period of August 1, 2026 – September 30, 2026. As part of the Enterprise Compliance, Risk & Governance plan, the team continues to improve their compliance monitoring and oversight capabilities and expand upon the Risk & Audit Committee reporting information.

Strategic Plan

This item supports the CalPERS 2022-27 Strategic Plan Goal: *Cultivate a risk-intelligent and innovative culture through our team and processes* 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, Risk & Governance office reports compliance related information to the Risk & 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 Mandatory Training in Attachments 1 & 2.

Budget and Fiscal Impacts

Not Applicable.

Benefits and Risks

Not Applicable.

Attachments

Attachment 1: Status Report – Enterprise Compliance Activity – August FY 2026-27

Attachment 2: Status Report – Enterprise Compliance Activity – September FY 2026-27

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