



## Risk and Audit Committee

# Agenda Item 6e

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**February 14, 2022**

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

**Program:** Enterprise Compliance

**Item Type:** Information Consent

### **Executive Summary**

This is an update of CalPERS' compliance activity for the period October 1, 2021 - December 31, 2021. 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**

The CalPERS Compliance program promotes continuous improvement in its ability to achieve high ethical and compliance standards, along with the 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 provided key observations and trend information regarding Statements of Economic Interests (Form 700), Personal Trade Monitoring, the Ethics Helpline, and Mandatory Training in Attachment 1, Attachment 2, and Attachment 3.

**Budget and Fiscal Impacts**

Not Applicable

**Benefits and Risks**

Not Applicable

**Attachments**

Attachment 1: Status Report – Enterprise Compliance Activity – October FY 2021-22

Attachment 2: Status Report – Enterprise Compliance Activity – November FY 2021-22

Attachment 3: Status Report – Enterprise Compliance Activity – December FY 2021-22

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