



## Risk and Audit Committee

# Agenda Item 4e

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**September 18, 2024**

**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 May 1, 2024 – July 31, 2024. 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 and 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.

Enterprise Compliance, Risk, & Governance 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, Ethics Helpline, and Mandatory Training in Attachment 1 through Attachment 3.

**Budget and Fiscal Impacts**

Not Applicable.

**Benefits and Risks**

Not Applicable.

**Attachments**

Attachment 1: Status Report – Enterprise Compliance Activity – May FY 2023-24

Attachment 2: Status Report – Enterprise Compliance Activity – June FY 2023-24

Attachment 3: Status Report – Enterprise Compliance Activity – July FY 2024-25

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