



## Risk and Audit Committee

# Agenda Item 4f

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**November 15, 2023**

**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 August 1, 2023 – September 30, 2023. 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 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 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, the Ethics Helpline, and Employee Mandatory Training in Attachment 1 and Attachment 2.

**Budget and Fiscal Impacts**

Not Applicable.

**Benefits and Risks**

Not Applicable.

**Attachments**

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

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

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