

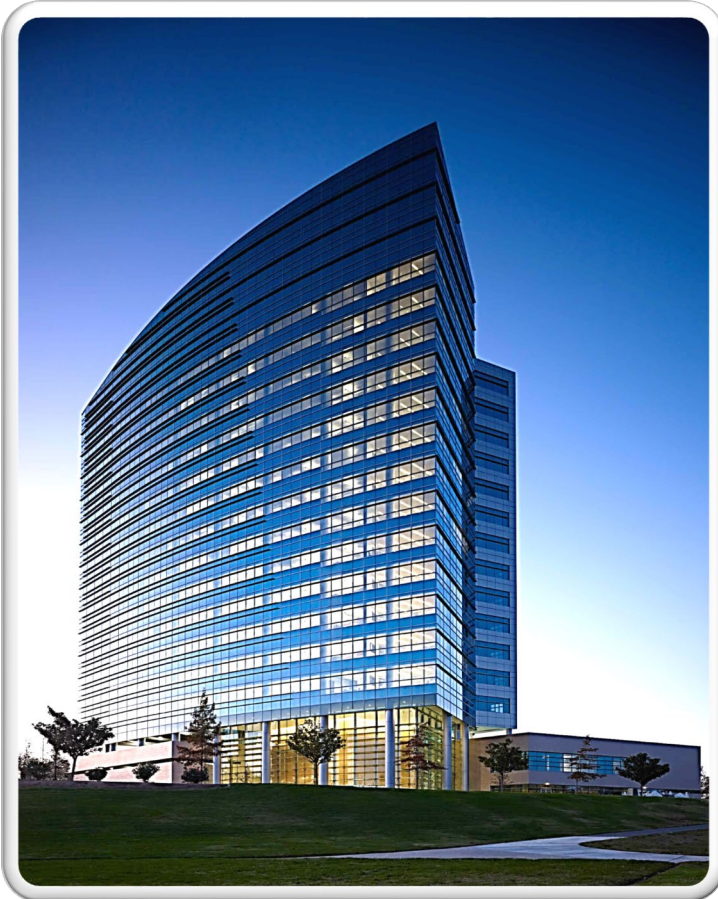


CALSTRS

Enterprise Compliance Services

2021 Enterprise Compliance Services Plan Results

Presentation overview



- Enterprise Compliance Services
- State of CalSTRS Compliance Program
- Highlights of Plan Accomplishments

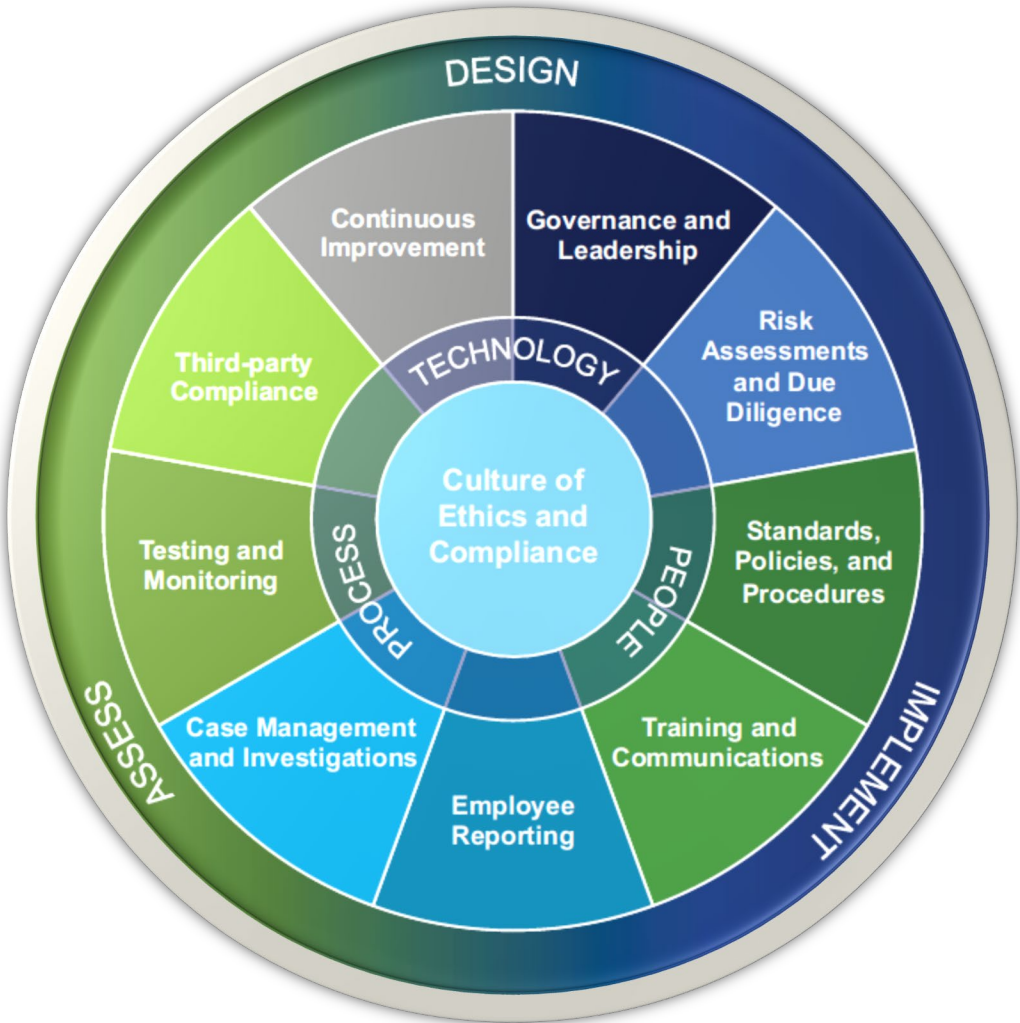
Enterprise Compliance Services

Mission

Enterprise Compliance Services (ECS) supports the organization in maintaining a strong ethical and compliant culture.

Vision

Promote further awareness of CalSTRS compliance requirements and ethical standards through collaboration, communication and coordination.



Compliance program maturity / alignment with FSG



2021 Compliance plan highlights

Aligned Assurance

Compliance Monitoring

Required Training Matrix

Code of Ethics & Business Conduct

Compliance Risk Assessment

External Compliance Reporting Matrix

General Compliance Roles & Responsibilities

Third Party Risk Management

Compliance & Ethics Hotline

Confidential Reporting

Hotline Report Response

Policy Management

Case Management

Code of ethics and business conduct

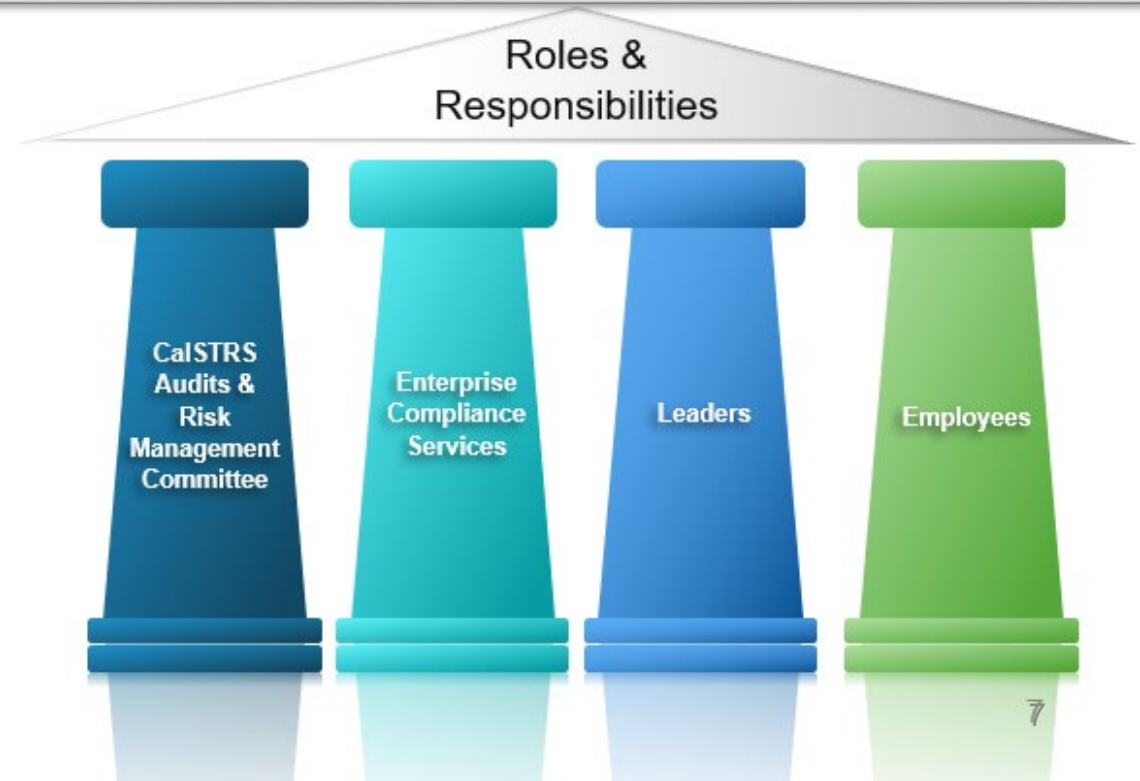
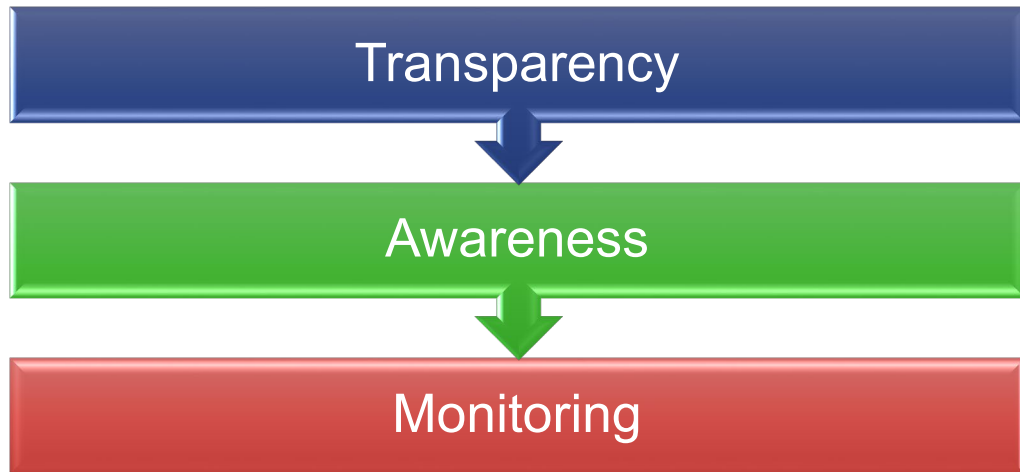
- Inclusive Tone
- Resources
- Risk Topics



External compliance reporting matrix

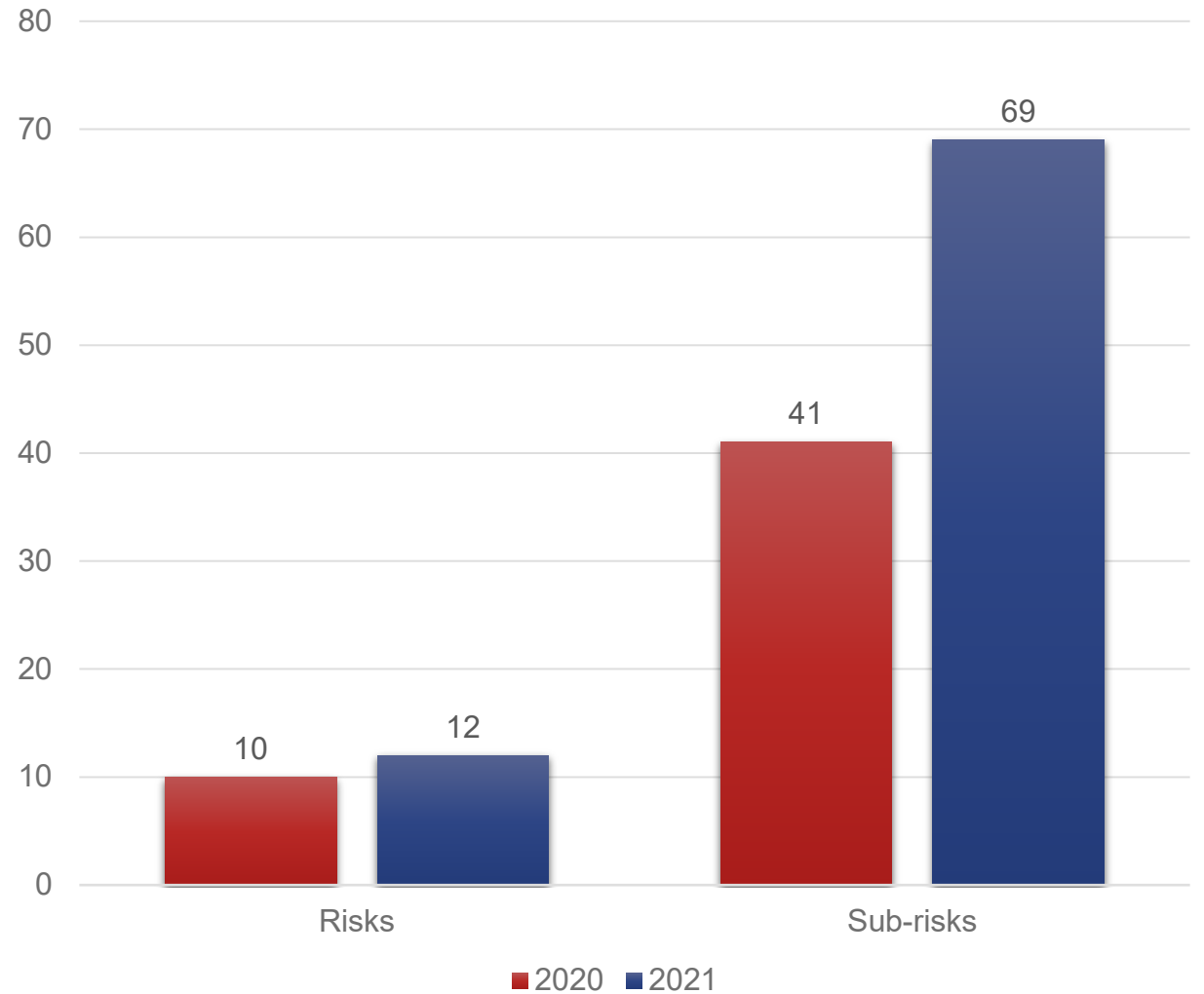
Deadline	Branch	Business Area	Requirement	Compliance Report	Reporting Requirement Description	Submitted to:	Review Frequency
January	Administrative Services	Facilities Management	Public Resources Code § 25722.5 State Administrative Manual 3627 Executive Order B-2-11	Annual Vehicle Miles Traveled	Odometer readings on the organization's fleet	Department of General Services	Annual
January	Administrative Services	Facilities Management	State Policy pursuant to Executive Order S-04-06	Continuity Plan Evaluation Checklist	Self-certification that organization has a continuity plan that reflects the most current state and complies with federal continuity planning standards and best	California Governor's Office of Emergency Services	Annual
January	Administrative Services	Facilities Management	Public Resources Code § 25722.5 State Administrative Manual 3627 Executive Order B-2-11	Petroleum Report	Annual Fuel Consumption	Department of General Services	Annual
January	Administrative Services	Facilities Management	Title 2 California Code of Regulations § 599.808 State Administrative Manual 4109	Vehicle Home Storage Permit	State vehicle stored at or in the vicinity of an employee's home more than 72 nights in a 12-month period, or 36 nights in a 3-month period	Department of General Services	Annual
January	Administrative Services	Human Resources	Title 8, California Code of Regulations § 14300 et seq	Annual Injury Reporting	List of any work place injuries that must be posted on internal and electronic employee bulletin boards	California Department of Industrial Relations, Division of Occupational Safety & Health	Annual

Roles & Responsibilities

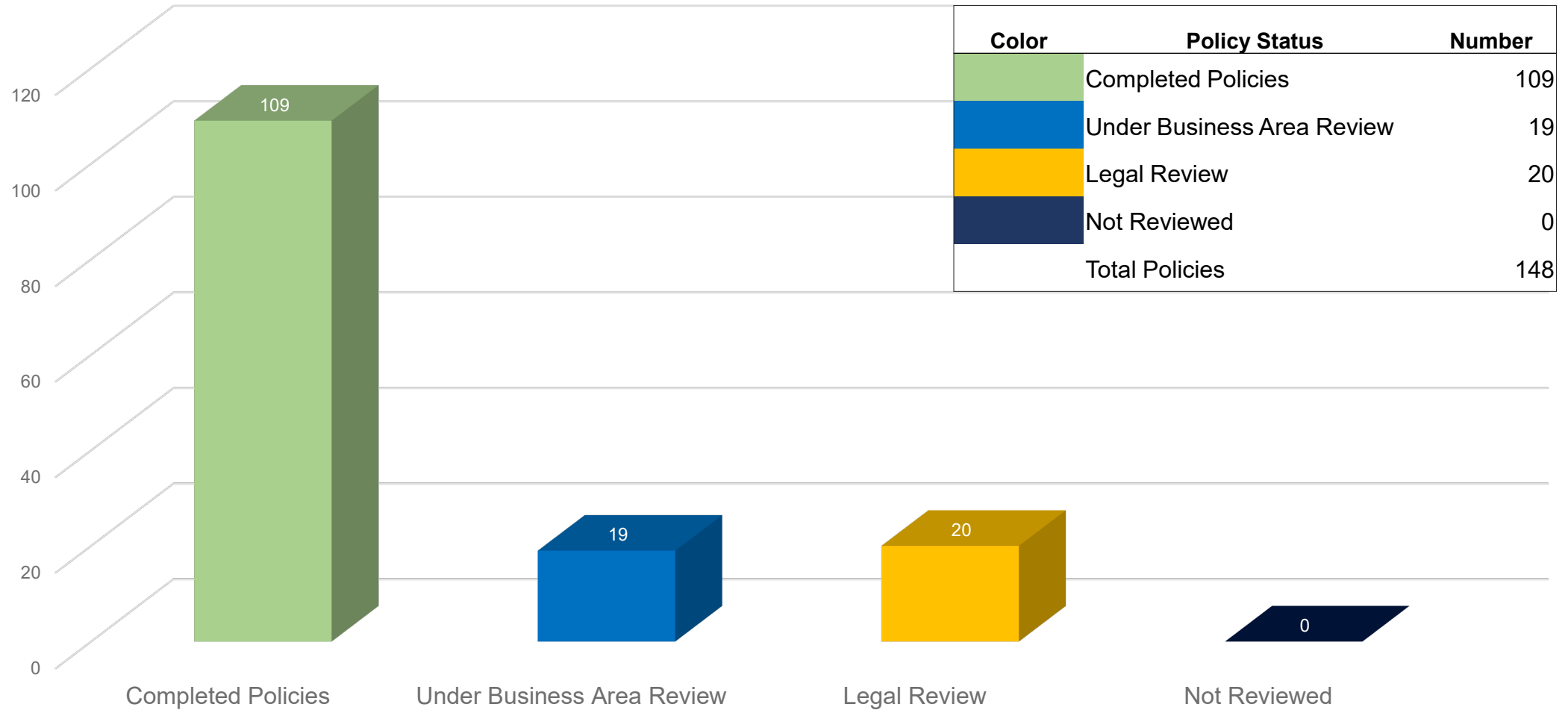


Compliance risk assessment

Expansion of Principal Risks & Sub-Risks



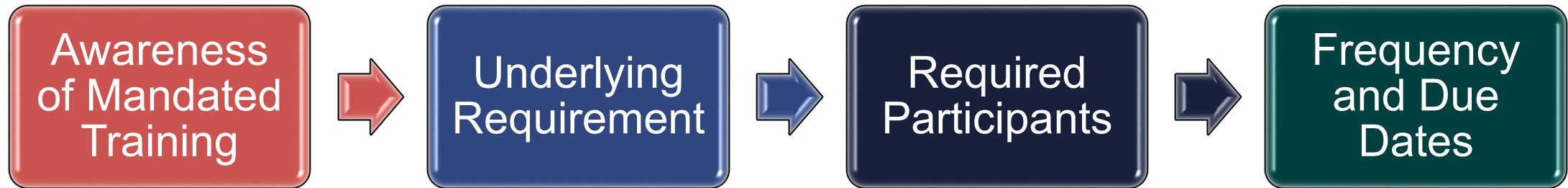
Policy management



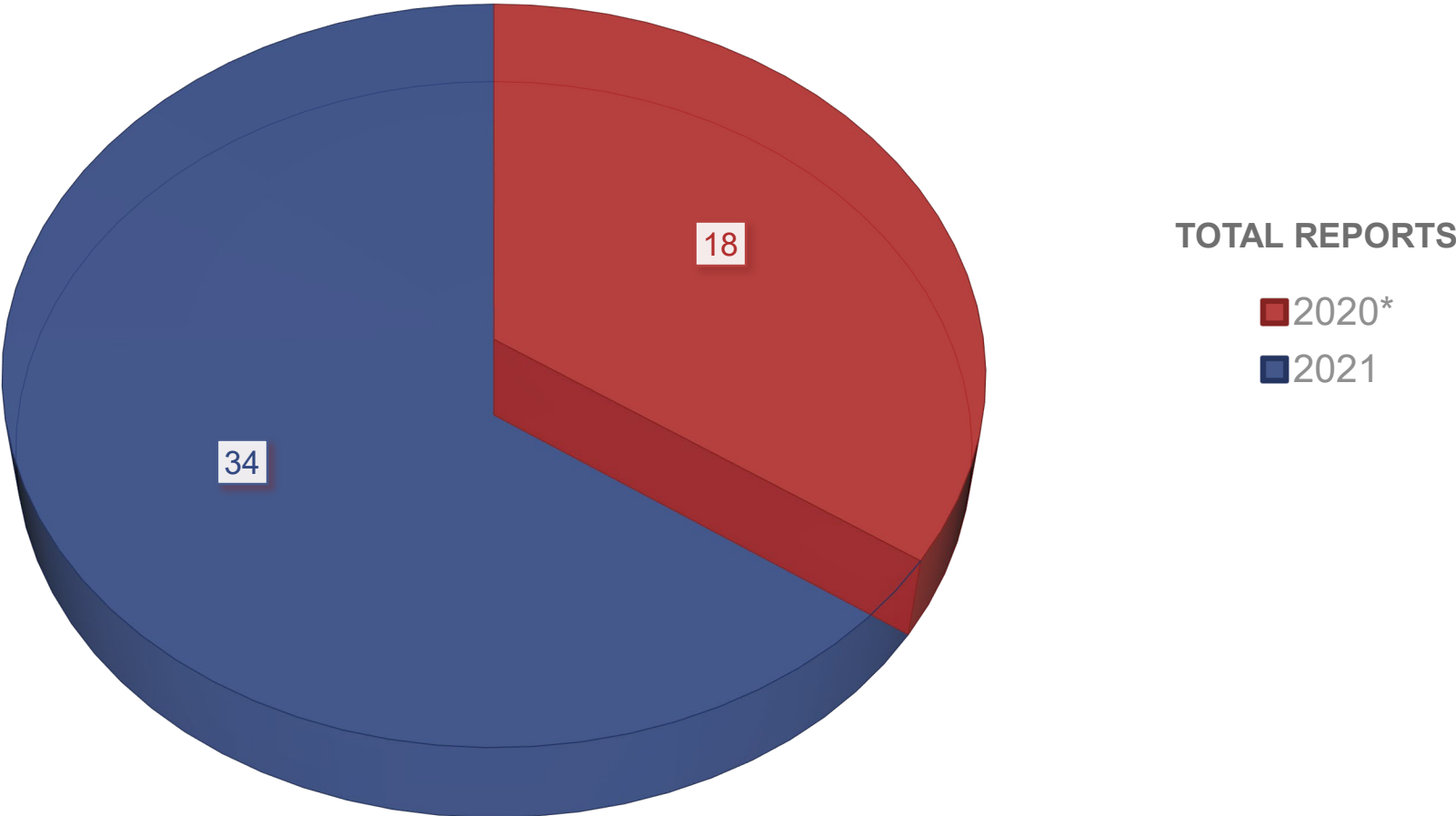
*6 Decommissioned Policies

Training and communication

CalSTRS Organization Wide Training						
Training Topic/Name	Compliance Requirement	Training Owner	Required Staff	Training Frequency	Due Date	Mandatory CalSTRS or CalHR
Enterprise Data Management Training	AB1429	Enterprise Information Management	Employees	Annual	Within Eight (8) Weeks of Launch of Training (December)	CalSTRS
Sexual Harassment Prevention for Employees - Creating a Workplace of Respect	CA Senate Bill 1343	Human Resources (Training Unit)	Employees	Annual	Appointment Date	CalSTRS
CalSTRS New User Security Awareness	Information Security Policy 17-003	Information Security Office	Employees & Leaders	Annual	Appointment Date	CalSTRS
Risk and Internal Controls Awareness	Enterprise Risk Management Policy 17-030	Enterprise Risk Management	Employees & Leaders	Annual	May 31st	CalSTRS
Security Awareness	Information Security Policy 17-003	Information Security Office	Employees & Leaders	Annual	Within eight (8) weeks of launch of Training (January-February)	CalSTRS



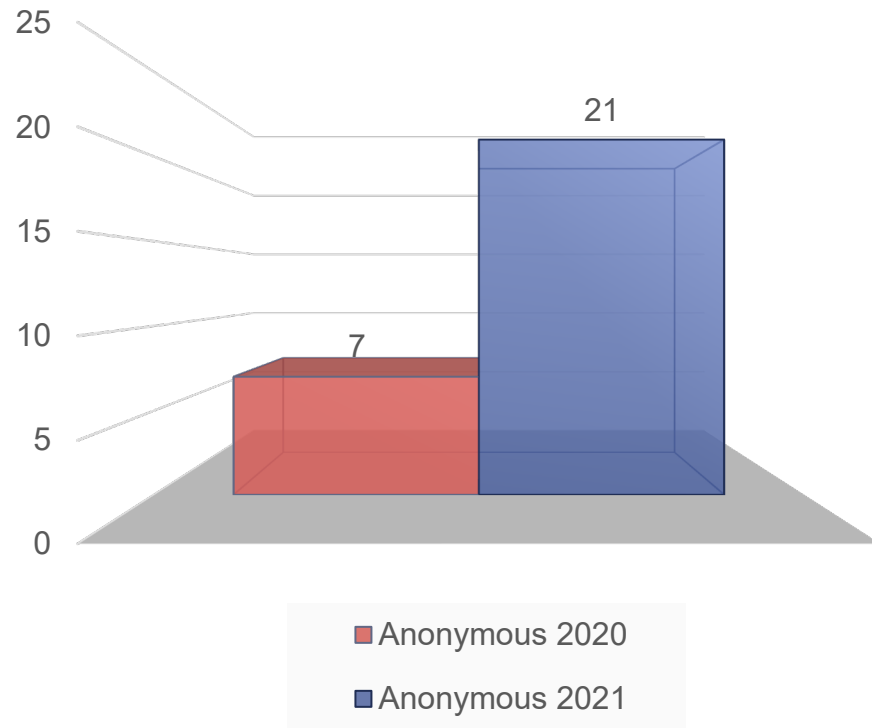
CalSTRS compliance and ethics hotline



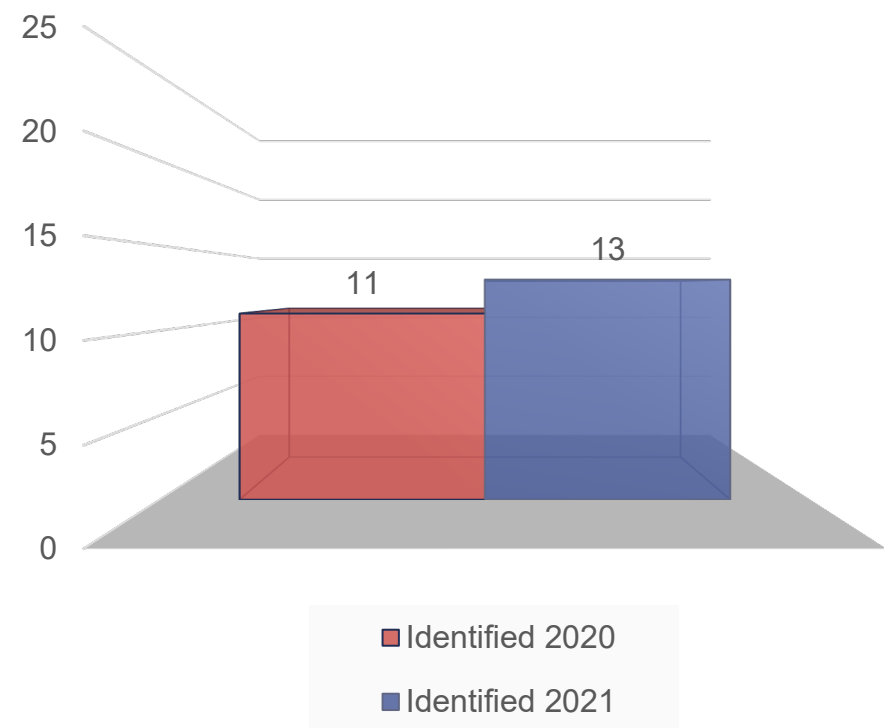
*The CalSTRS compliance and ethics hotline was established in March 2020

2020 / 2021 Hotline reporting

Anonymous Reporters

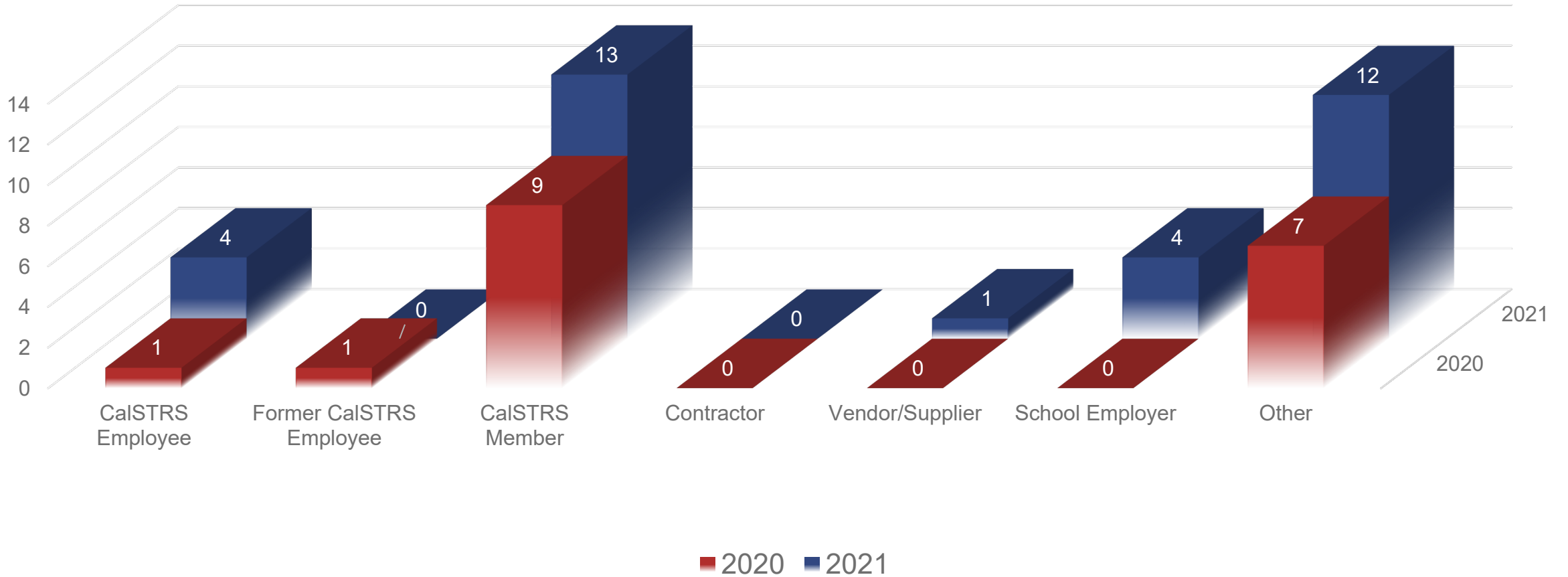


Identified Reporters



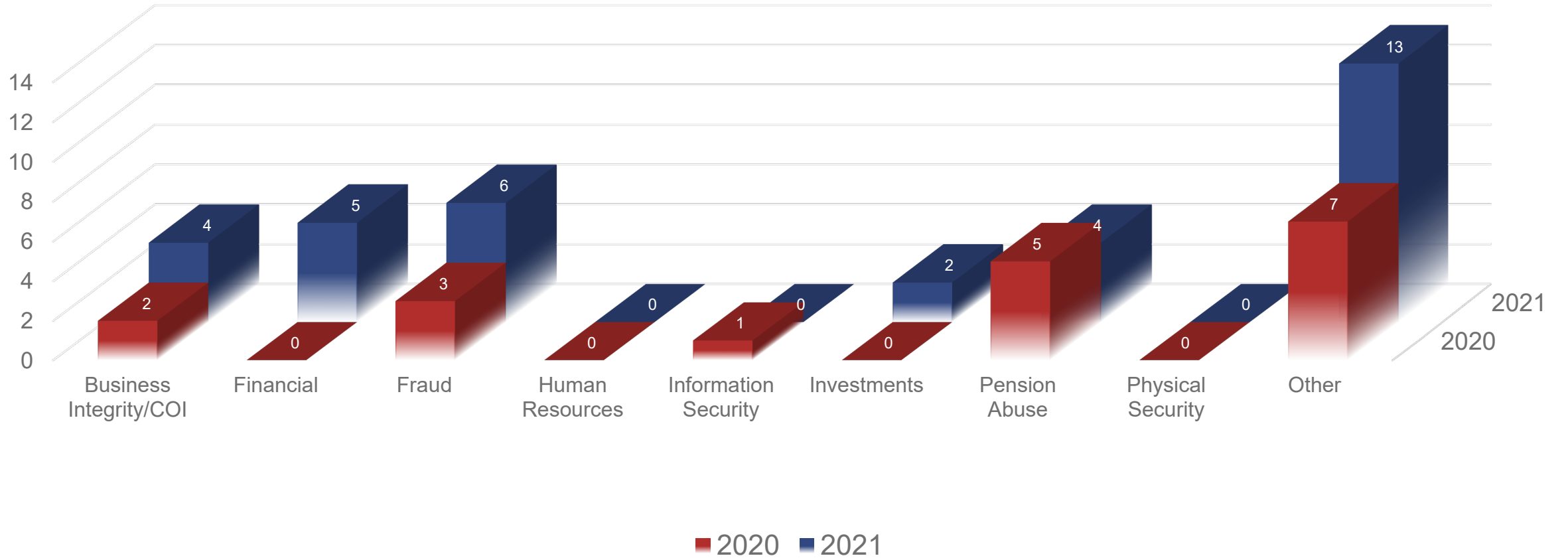
2020 / 2021 Hotline reporting

RELATIONSHIP TO CALSTRS



2020 / 2021 Hotline reporting

REPORTING CATEGORY



Case management system

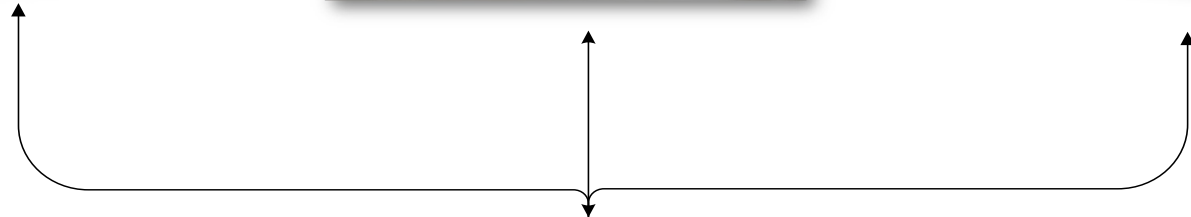
Training



OLEA



Ombuds



ECS

Monitoring



Flow Chart

- Compliance process
- Identify owners

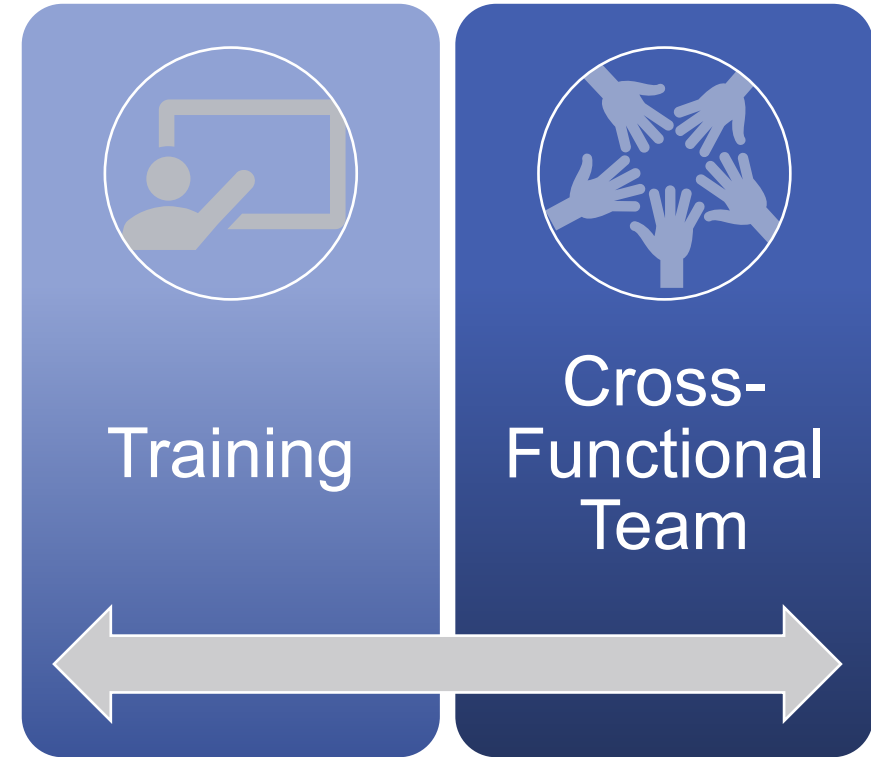
Library

- Compliance requirements
- Associated controls

Analyze & Respond

- Reduce control overlaps
- Remediate control gaps
- Validate compliance

Third party risk management



Questions

