



Duty Statement

Classification: **Associate Governmental Program Analyst**

Position Number: **275-345-5393-709**

HCM#: **6714**

Branch/Section: **Enterprise Compliance, Risk & Governance / Compliance Disclosure Services**

Location: **Sacramento, CA**

Working Title: **Form 700 Coordinator**

Effective Date: **May 1, 2024**

Collective Bargaining Identifier (CBID): **R01**

Supervision Exercised: Yes No

Telework: Office-Centered Remote-Centered Not Eligible

Enterprise Compliance, Risk & Governance (ECRG) promotes and supports a culture which builds compliance and ethics awareness into the daily business processes for all CalPERS business lines and program areas. ECRG monitors CalPERS business activities and establishes an infrastructure that provides assurance to management and the Board of Administration that program areas abide by all applicable laws, regulations and policies.

Under the direction of the Staff Services Manager I, the Form 700 Coordinator is responsible for assisting with developing, executing, and administering the CalPERS internal Form 700 process; maintaining and administering the Form 700 Automated Solution; and tracking and reporting on mandated Ethics training for Form 700 filers.

Essential Functions

Regular and consistent attendance in the office at least three days a week for teamwork, in-person collaboration, personal interactions with members, stakeholders, and other team members, cross-functional communications within CalPERS. In-person collaboration is essential to promote and foster innovation, creativity, and complete engagement by the team. Coordinating work in person allows the teams to stay functional and aligned with the work of others. Being present in the office is essential to allow for immediate accessibility for discussions, questions, mentoring, or strategy sessions between team members.

35% Onsite¹ and virtually, independently conducts the primary review of all Form 700s filed; provides conflict of interests analyses comparing duty statements and economic interests (e.g., Investment Security Holdings, additional income received, and gift reporting); communicates with ECRG management for further clarity on potential conflicts; and drafts responses to questions from CalPERS-employed Code 87200 filers and those identified through Conflict of Interest Code concerning the Internal Form 700 Process including the CalPERS Gift Policy. Administers the adherence for the mandated Ethics training for Form 700 filers.

- 25% Onsite and virtually, independently performs the administrative duties such as developing, maintaining, and ensuring accuracy of a secure filing system, which includes communications with staff and ECRG management and receipt dates of all Form 700 filings; and preparing and providing oral and written status reports and trend analysis directly to ECRG management and others as needed. Conducts tracking and provides reporting on mandated Ethics training for Form 700 filers to respective filers and management. Prepares agenda items and reports on issues regarding the Internal Form 700 Process to CalPERS Board members and Risk and Audit Committee.
- 20% Onsite, prepares draft memoranda for communications of due dates as needed concerning conflicts, past due items, and supervisors' questions; assists the other Transparency and Disclosure Coordinators in following-up on delinquent certifications and takes necessary action including escalation to management as applicable. Prepares communication notifications regarding mandated training that is associated with the Form 700 process.
- Assists with conducting follow-ups on all individuals identified with possible conflicts of interest; and ensures adherence with all legal and compliance requirements of the Internal Form 700 Process.
- 20% Onsite, prepares and maintains monthly updates for the CalPERS Transparency & Accountability webpage with new and updated content including posting of Form 700. Assists with providing necessary documentation to the Office of Public Affairs and ECOM's webpage master for new and updated information to be posted on CalPERS intranet/internet. Responsible for maintaining and administering the Form 700 Automated Solution; and conducts as needed training for internal ECOM Form 700 filers. Works with the vendor on systems upgrades and enhancements.
- Makes recommendations and implements improvements for the Internal Form 700. Provides support to the Staff Services Manager I in determining compliance with the Contract-Related Disclosure Requirements Policy during the Request for Proposal (RFP) process. Maintains and develops Form 700 policies, process, procedures, and desk reference manual.
- Perform other duties and special projects as assigned by Enterprise Compliance management.

Working Conditions

- ¹ This position is designated as office-centered and works primarily onsite at the Sacramento, CA - Headquarters at least three weekdays.
- Multi-story building in downtown Sacramento
- Low wall cubicle setting

Conduct, Attendance and Performance Expectations

- Ability to maintain consistent attendance.
- Ability to demonstrate punctuality, initiative, and dependability.
- Ability to model and support CalPERS Core Values (Integrity, Accountability, Respect, Openness, Quality and Balance).
- Ability to model CalPERS Competencies and demonstrate proficiency in; Collaboration, Leading People, Leading Change, Driving Results, Business Acumen, Communication, and Leading Self.

I have read and understood the duties and essential functions of the position and can perform these duties with or without reasonable accommodation.

Employee Name (Print):

Employee Signature:_____ **Date:**

I certify that the above accurately represent the duties of the position.

Supervisor Signature:_____ **Date:**



Duty Statement

Classification: **Staff Services Analyst**

Position Number: **275-345-5157-709**

HCM#: **6714**

Branch/Section: **Enterprise Compliance, Risk, and Governance / Compliance Disclosure Services**

Location: **Sacramento, CA**

Working Title: **Form 700 Coordinator**

Effective Date: **May 1, 2024**

Collective Bargaining Identifier (CBID): **R01**

Supervision Exercised: Yes No

Telework: **Office-Centered** **Remote-Centered** **Not Eligible**

Enterprise Compliance, Risk, and Governance (ECRG) promotes and supports a culture which builds compliance awareness into the daily business processes for all CalPERS business lines and program areas. The office monitors CalPERS business activities and establishes an infrastructure that provides assurance to management and the Board of Administration that program areas abide by all applicable laws, regulations, and policies.

Under the supervision of the Staff Services Manager I, the Form 700 Coordinator is responsible for assisting with planning, analyzing, and administering the CalPERS internal Form 700 process; assisting with the maintenance and administering the Form 700 Automated Solution; and tracking and reporting on mandated Ethics training for Form 700 filers.

Essential Functions

Regular and consistent attendance in the office at least three days a week for teamwork, in-person collaboration, personal interactions with members, stakeholders, and other team members, cross-functional communications within CalPERS. In-person collaboration is essential to promote and foster innovation, creativity, and complete engagement by the team. Coordinating work in person allows the teams to stay functional and aligned with the work of others. Being present in the office is essential to allow for immediate accessibility for discussions, questions, mentoring, or strategy sessions between team members.

35% Onsite¹ and virtually, conducts the primary review of all Form 700s filed; provides conflict of interests review comparing statements and economic interests (e.g., Investment Security Holdings, additional income received, and gift reporting); communicates with ECRG management for further clarity on potential conflicts; and drafts responses to questions from CalPERS-employed Code filers and those identified through Conflict of Interest Code concerning the Internal Form 700 process including the CalPERS Gift Policy. Administers the adherence for the mandated Ethics training for Form 700 filers.

- 30% Onsite and virtually, assist performing the administrative duties such as, maintaining, and ensuring accuracy of a secure filing system, which includes: communications with staff and ECRG management and receipt dates of all Form 700 filings; and preparing and providing written status reports and trend analysis directly to ECRG management and others as needed. Conducts tracking and provides reporting on mandated Ethics training for Form 700 filers to respective filers and compliance liaisons throughout the enterprise.
- 20% Onsite and virtually, assists the lead Form 700 Coordinator in following-up on delinquent certifications and takes necessary action including escalation to management as applicable. Prepares communication notifications regarding mandated training that is associated with the Form 700 process.
- 15% Onsite and virtually, makes recommendations and implements improvements for the Internal Form 700. Provides support to the lead analysts in determining compliance with the Contract Review Sheet Requirements Policy during the contracting process. Maintains and develops Form 700 policies, process, procedures, and desk reference manual.

Working Conditions

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Conduct, Attendance and Performance Expectations

- Ability to maintain consistent attendance.
- Ability to demonstrate punctuality, initiative, and dependability.
- Ability to model and support CalPERS Core Values (Integrity, Accountability, Respect, Openness, Quality and Balance).
- Ability to model CalPERS Competencies and demonstrate proficiency in; Collaboration, Leading People, Leading Change, Driving Results, Business Acumen, Communication, and Leading Self.

I have read and understood the duties and essential functions of the position and can perform these duties with or without reasonable accommodation.

Employee Name (Print):

Employee Signature:_____

Date:

I certify that the above accurately represent the duties of the position.

Supervisor Signature:_____

Date: