

## District of Columbia Retirement Board (DCRB) Response to Performance Oversight Hearing Questions – February 18, 2019

1. Please provide, as an attachment to your answers, a current organizational chart for your agency with the number of vacant and filled FTEs marked in each box. Include the names of all senior personnel, if applicable. Also include the effective date on the chart.

**Please see Attachment #1 for the current organizational chart.**

2. Please provide, as an attachment, a Schedule A for your agency which identifies all employees by title/position, current salary, fringe benefits, and program office as of February 1, 2019. The Schedule A also should indicate all vacant positions in the agency. Please do not include Social Security numbers.

**Please see Attachment #2 for the Schedule A.**

3. Please list as of February 1 all employees detailed to or from your agency, if any, anytime this fiscal year (up to the date of your answer). For each employee identified, please provide the name of the agency the employee is detailed to or from, the reason for the detail, the date the detail began, and the employee's actual or projected date of return.

**There are no employees detailed to or from DCRB.**

4. (a) For fiscal year 2018, please list each employee whose salary was \$125,000 or more. For each employee listed provide the name, position title, salary, and amount of any overtime and/or bonus pay.

<b>Last Name</b>	<b>First Name</b>	<b>Position Title</b>	<b>\$ Salary</b>	<b>\$ Bonus</b>
Morgan Johnson	Sheila	Executive Director	256,490	22,390
Sampson	Erie	General Counsel/Compliance Officer	249,963	22,390
Barnette	Jeffrey	Chief Investment Officer	215,000	-
Shelborne	Anthony	Chief Financial Officer	208,681	16,695
Bond	Johnetta	Chief Benefits Officer	208,216	-
Passerino	Joan	Director, Stakeholder Communication and Outreach	201,026	14,070
King	Leslie	Senior Counsel	192,209	19,220
Copelin	Lillian	Benefits Systems Manager	182,211	-
Hernandez	Daniel	Director of Benefits Special Projects	179,794	-
Sahm	Patrick	Sr. Investment Strategist	166,258	11,640
Valentine	Lawrence	Director of Human Resources	156,000	10,920
Frimpong	Ferdinand	Database and Security Group Manager	148,512	-
Burnett	Michaela	Applications Development Group Manager	138,558	-
Treadwell	Sylvia	Retirement Services Manager	134,971	-
Poku	Adu	Cyber Security Administrator	130,206	-

(b) For fiscal year 2019, please list each employee whose salary is or was \$125,000 or more. For each employee listed provide the name, position title, salary, and amount of any overtime and/or bonus pay as of the date of your response.

<b>Last Name</b>	<b>First Name</b>	<b>Position Title</b>	<b>\$ Salary</b>	<b>\$ Bonus</b>
Morgan Johnson	Sheila	Executive Director	256,490	-
Sampson	Erie	General Counsel/Compliance Officer	249,963	-
Barnette	Jeffrey	Chief Investment Officer	215,000	-
Shelborne	Anthony	Chief Financial Officer	208,681	-
Passerino	Joan	Director, Stakeholder Communication and Outreach	201,026	-
King	Leslie	Senior Counsel	192,209	-
Hernandez	Daniel	Director of Benefits Special Projects	179,794	-
Sahm	Patrick	Sr. Investment Strategist	166,258	-
Valentine	Lawrence	Director of Human Resources	156,000	-
Frimpong	Ferdinand	Database and Security Group Manager	148,512	-
Burnett	Michaela	Applications Development Group Manager	138,558	-
Treadwell	Sylvia	Retirement Services Manager	134,971	-
Poku	Adu	Cyber Security Administrator	130,206	-

5. Please list, in descending order, the top 15 overtime earners in your agency for fiscal year 2018. For each, state the employee's name, position or title, salary, and aggregate overtime pay.

**In fiscal 2018, only eight DCRB employees earned overtime pay:**

<b>Last Name</b>	<b>First Name</b>	<b>Position Title</b>	<b>\$ Annualized Salary</b>	<b>\$ Overtime</b>
Morgan	Dennis	Records Management Specialist	54,066	1,913
Carver	Sean	Member Services Representative	46,283	1,383
Harris	Johniece	Administrative Specialist	68,831	802
Meagher	Dylan	Member Services Representative	46,736	638
Pugh	Alisha	Member Services Representative	49,980	365
Bridgers	Nina	Administrative Assistant	47,730	155
Ross	Anita	Quality, Compliance & Projects Specialist	54,710	132
McSears	Denice	Administrative Coordinator	51,997	75

6. For fiscal years 2018 and 2019 (through January 31), please provide a list of employee bonuses or special award pay granted that identifies the employee receiving the bonus or special pay, the amount received, and the reason for the bonus or special pay.

<b>Last Name</b>	<b>First Name</b>	<b>\$ Amount</b>	<b>Reason</b>
Morgan-Johnson	Sheila	22,390	FY17 Performance
Sampson	Erie	22,390	FY17 Performance
King	Leslie	19,220	FY17 Performance
Shelborne	Anthony	16,695	FY17 Performance
Passerino	Joan	14,070	FY17 Performance
Reaves	Deborah	12,100	FY17 Performance
Dorch	Adina	11,795	FY17 Performance
Sahm	Patrick	11,640	FY17 Performance
Valentine	Lawrence	10,920	FY17 Performance
Carson	Rabinai	7,210	FY17 Performance
Smith	Yolanda	6,650	FY17 Performance
Rivers	Bonnie	5,405	FY17 Performance
Greene	Joyce	4,770	FY17 Performance
Morgan	Ricardo	3,985	FY17 Performance
Xanthopoulos	Michael	3,430	FY17 Performance
Schultz	Katie	2,475	FY17 Performance
McSears	Denice	1,560	FY17 Performance

**No employee bonuses have been awarded in FY 2019, year-to-date.**

7. For fiscal years 2018 and 2019 (through January 31), please list each employee separated from the agency with separation pay. State the amount and number of weeks of pay. Also, for each, state the reason for the separation.

<b>Last Name</b>	<b>First Name</b>	<b>\$ Amount</b>	<b># of Weeks</b>	<b>Reason</b>
Baker	Justin	12,720	5	Reduction in force (DCRB IT Department)
Kazmi	Tahir	17,207	6	Reduction in force (DCRB IT Department)

8. For fiscal years 2018 and 2019 (through January 31), please state the total number of employees receiving worker's compensation payments.

**DCRB did not have any employees receiving workers' compensation payments during FY 2018 and FY 2019.**

9. Please provide the name of each employee who was or is on administrative leave in fiscal years 2018 and 2019 (through January 31). In addition, for each employee identified, please provide: (1) their position; (2) a brief description of the reason they were placed on leave; (3) the dates they were/are on administrative leave; (4) whether the leave was/is paid or unpaid; and (5) their current status (as of January 31, 2019).

<b>Last Name</b>	<b>First Name</b>	<b>Position</b>	<b>Reason</b>	<b>Administrative Leave Dates</b>	<b>Leave Type</b>	<b>Current Status</b>
Bond	Johnetta	Chief Benefits Officer	Personnel Action	10/09/2018 - 11/19/2018	Paid	Separated

10. For fiscal years 2018 and 2019 (through January 31), please list, in chronological order, all intra-District transfers to or from the agency. Give the date, amount, and reason for the transfer.

**We did not make intra-District transfers in fiscal years 2018 and 2019, however, we have negotiated MOU agreements with the District's Office of the Chief Technology Officer (OCTO).**

11. Please list, in chronological order, every reprogramming of funds into or out of the agency for fiscal years 2018 and 2019 (through January 31). Include a "bottom line" that explains the revised final budget for your agency. For each reprogramming, list the reprogramming number (if submitted to the Council for approval), the date, the amount, and the rationale.

**DCRB did not reprogram any funds.**

12. Please list, in chronological order, every reprogramming within your agency during fiscal year 2019 to date. Include known, anticipated intraagency reprogrammings. For each, give the date, amount, and rationale.

**DCRB did not have any intra-agency reprogrammings.**

13. For fiscal years 2018 and 2019 (through January 31), please identify each special purpose revenue fund maintained by, used by, or available for use by your agency. For each fund identified, provide: (1) the revenue source name and code; (2) the source of funding; (3) a description of the program that generates the funds; (4) the amount of funds generated annually by each source or program; and (5) expenditures of funds, including the purpose of each expenditure. For (4) and (5) provide specific data for fiscal years 2017, 2018, and 2019 (as of January 31) and give starting and ending balances. You may wish to present this information first as a list (for numbers 1-5) and then as separate tables for numbers 4 and 5.

**DCRB does not have any special purpose revenue funds.**

14. Please provide a table showing your agency Council-approved original budget, revised budget (after reprogrammings, etc.) for fiscal years 2017, 2018, and the first quarter of 2019. In addition, please explain the variances between fiscal year appropriations and actual expenditures for fiscal years 2017 and 2018.

Dept/Program Activity	S Variance			S Variance			YTD - Bud			Act*		
	BUDGET FY 2017	Actual FY 2017	Bud-Act* FY 2017	BUDGET FY 2018	Actual FY 2018	Bud-Act* FY 2018	BUDGET FY 2019	Actual FY 2019	as of Jan 31 FY 2019	as of Jan 31 FY 2019	Bud-Act* FY 2019	S Variance FY 2019
<b>3000 DCRB AGENCY MANAGEMENT</b>												
3001 EXECUTIVE	1,611	1,196	415	2,004	1,545	459	1,713	348	570	1,365	222	
3002 INVESTMENTS	13,240	16,293	(3,053)	13,734	14,053	(319)	16,099	3,001	5,361	13,098	2,360	
3003 TRUSTEES	594	469	125	558	456	102	567	255	189	312	(66)	
3004 LEGAL	1,572	1,315	257	1,615	1,325	290	1,594	631	531	963	(100)	
3005 BENEFITS	2,952	2,771	181	3,522	2,841	681	3,809	570	1,268	3,239	698	
3006 OPERATIONS / FINANCE	3,721	3,444	277	4,302	3,578	724	4,086	1,174	1,361	2,912	187	
3007 INFORMATION TECHNOLOGY	6,724	5,819	905	8,305	5,592	2,713	8,397	795	2,796	7,602	2,001	
3008 PROJECTS	8,682	2,546	6,136	7,604	1,044	6,560	7,314	138	2,436	7,176	2,298	
SUBTOTAL -- DCRB	39,096	33,853	5,243	41,644	30,434	11,210	43,579	6,912	14,512	36,667	7,600	
<b>TOTAL</b>	<b>39,096</b>	<b>33,853</b>	<b>5,243</b>	<b>41,644</b>	<b>30,434</b>	<b>11,210</b>	<b>43,579</b>	<b>6,912</b>	<b>14,512</b>	<b>36,667</b>	<b>7,600</b>	

\*Includes encumbered funds for requisitions currently in place. If the encumbered amounts are not spent; they may be de-obligated at the end of the fiscal year.

**Some departments had underspending as a result of not moving forward with the Pension Information Management System (PIMS). This helped to offset Investment Management Fees in the Investments Department.**

**Executive:** FY 2017 and 2018 - Most underspending was in Professional Services as a result of the delayed execution of DCRB's strategic planning contract.

**Investments:** FY 2017 and 2018 - Investment management fees, which were a significant portion of the departmental budget, fluctuate annually based on the performance of the investments under management.

**Trustees:** FY 2017 and 2018 - There were savings as a result of lower costs for some activities, e.g. insurance and risk premiums.

**Legal:** FY 2017 and 2018 - Most underspending was in the area of Professional Services Fees.

**Benefits:** FY 2017 and 2018 - There was underspending in Personal Services, largely due to vacancies. There were also lower than expected costs in Professional Services Fees.

**Operations/Finance:** FY 2017 and 2018 - There was underspending in Personal Services, largely due to vacancies. There were also lower than expected costs in Professional Services Fees.

**Information Technology:** FY 2017 and 2018 – As part of the new direction in the IT Department, some projects were paused and some support services contracts were terminated. We are developing more partnerships with OCTO for FY 2019 and beyond, with less focus on private contractor support.

**Projects:** FY 2017 and 2018 – Most Professional Services were related to the PIMS and other associated costs that did not occur as planned in FY 2017 and FY2018.

15. Please list all memoranda of understanding (MOU) either entered into by your agency or in effect during fiscal years 2018 and 2019 (through January 31). For each, describe its purpose, indicate the date entered, and provide the actual or anticipated termination date.

<b>MOUs As of January 31, 2019</b>	<b>Purpose</b>	<b>Date Entered</b>	<b>Termination Date</b>
<b><u>Fiscal Year 2018:</u></b>			
OCTO Web Maintenance	DCRB.gov web services	10/1/2017	9/30/2018
OCTO Pinsafe & VPN Services	VPN access for essential staff	10/1/2017	9/30/2018
OCTO Data Circuit	WAN connectivity	10/1/2017	9/30/2018
OCTO WebEx	Voice, desktop and video conferencing	10/1/2017	9/30/2018
OCTO SSL Certificate	Secure certificates for web sites	10/1/2017	9/30/2018
OCTO DC-Net	Network upgrade and deployment of new telephone and call center solutions	6/15/2018	9/30/2018
U.S. Department of the Treasury	Payment of administrative expenses related to administration of Federal and District benefit payments	10/1/2017	9/30/2018
U.S. Department of the Treasury	Interconnection and enabling access security agreement	9/27/2016	9/27/2019
<b><u>Fiscal Year 2019:</u></b>			
OCTO Web Maintenance	DCRB.gov web services	10/1/2018	9/30/2019
OCTO Pinsafe & VPN Services	VPN access for essential staff	10/1/2018	9/30/2019
OCTO Data Circuit	WAN connectivity	10/1/2018	9/30/2019
OCTO WebEx	Voice, desktop and video conferencing	10/1/2018	9/30/2019
OCTO SSL Certificate	Secure certificates for web sites	10/1/2018	9/30/2019
OCTO DC-Net	Network upgrade and deployment of new telephone and call center solutions	10/1/2018	9/30/2019
U.S. Department of the Treasury	Payment of administrative expenses related to administration of Federal and District benefit payments	10/1/2018	9/30/2019
U.S. Department of the Treasury	Interconnection and enabling access security agreement	9/27/2016	9/27/2019
OCTO	Microsoft Office 365 Enterprise E1 and E3 licenses, Project Professional & Visio Professional	11/1/2018	11/29/2019

16. D.C. Law requires the Mayor and the Chief Financial Officer to submit to the Council, simultaneously with a proposed budget submission, actual copies of all agency budget enhancements requests, including the "Form B" for all District agencies (See D.C. Code§ 47-318.0Sa). In order to help the Committee understand agency needs, and the cost of those needs for your agency, please provide, as an attachment to your answers, all budget enhancement requests submitted by your agency to the Mayor or Chief Financial Officer as part of the budget process for fiscal years 2017 and 2018.

**DCRB did not submit budget enhancement requests during this period.**

17. Please list all currently open capital projects for your agency (as of January 31st) including those projects that are managed or overseen by another agency or entity. Include a brief description of each, the total estimated cost, expenditures to date, the start and completion dates, and the current status of the project. Also, indicate which projects are experiencing delays and which require additional funding.

**DCRB does not currently have any capital projects.**

18. Please list all pending lawsuits that name your agency as a party. Please identify which cases on the list are lawsuits that potentially expose the city to significant liability in terms of money and/or change in practices. The Committee is not asking for your judgment as to the city's liability; rather, we are asking about the extent of the claim. For those claims identified, please include an explanation about the issues for each case.

**There are no pending lawsuits involving DCRB that potentially expose the District to significant liability in terms of money and/or change in practices.**

19. (a) Please list and describe any investigations, studies, audits, or reports on your agency or any employee of your agency that were completed at any time in fiscal years 2018 or 2019 (through January 31).

<b>Name:</b>	<b>Purpose:</b>	<b>Completed:</b>
Thirty-Year Projection Study as of October 1, 2017	To develop a picture of each Plan's funding progress over time and to estimate the future assets, liabilities, contributions and benefit payments for each of the Plans	02/18
DCRB Classification and Compensation Study	To assess the overall competitiveness of DCRB's compensation structure and market value of DCRB positions	05/18
DCRB Information Technology and Information Security Processes Audit	To perform an Information Technology (IT), Information Security (IS), and IT Procurement assessment of DCRB to provide the DCRB Board of Trustees and leadership with valuable insight into areas of the IT Department operations and acquisition function that require further attention and future improvement	10/2018
Actuarial Valuation as of October 1, 2018, for Fiscal Year 2020 Employer Contribution	To fulfill the requirements of DC Code § 1-907.02(a) and (c), 1-907.03 (a), and 1-907.04	12/2018
Audited Financial Statements for Fiscal Year 2018	To determine the effectiveness of existing internal financial controls, payroll and personnel position controls	01/2019

(b) Please list and describe any pending investigations, audits, or reports of your agency or any employee of your agency.

**None.**

20. How many grievances have been filed by employees or labor unions against agency management? Please list each of them by year for fiscal years 2017, 2018, and 2019 (through January 31). Give a brief description of each grievance, and the outcome as of January 31, 2019. Include on the chronological list any earlier grievance that is still pending in any judicial forum.

**Ms. Johnetta Bond, formerly DCRB's Chief Benefits Officer, filed an appeal against DCRB on December 11, 2018, to challenge her November 19, 2018 removal from DCRB. DCRB filed its Agency Answer on February 8, 2019. This matter is pending.**

21. (a) Please describe the agency's procedures for investigating allegations of sexual harassment or misconduct committed by or against its employees.

**DCRB's process for investigating allegations of sexual harassment or misconduct follows the processes outlined in the District's training "EEO Laws and Sexual Harassment" (delivered by DCHR to DCRB staff and Trustees in 2017 and 2018). Staff are trained to report allegations of sexual harassment or misconduct to a supervisor, DCRB/HR, or DCRB's EEO Officer. Staff also have been made aware that employees have the right to report allegations of sexual harassment directly to the DC Office of Human Rights. Upon receiving an allegation, DCRB/HR (or the EEO Officer) will listen confidentially to the facts of the allegation. If warranted, confidential interviews may be conducted with the involved parties, with findings presented to senior management, to achieve an appropriate resolution and agency response.**

(b) List and describe each allegation received by the agency in FY18 and FY19, to date, and the resolution of each as of the date of your answer.

**For fiscal years 2018 and 2019 (to date), DCRB received no allegations of sexual harassment or misconduct.**

22. In table format, please list the following for fiscal years 2018 and 2019 (through January 31, 2019) regarding the agency's use of SmartPay (credit) cards for agency purchases: (1) individuals (by name and title/position) authorized to use the cards; (2) purchase limits (per person, per day, etc.); and (3) total spent (by person and for the agency).

**DCRB has two SmartPay (credit) cards issued in the name of the agency. The Executive Director and the Chief Financial Officer (CFO) are authorized to approve and use DCRB's SmartPay credit cards for small acquisitions not exceeding \$5,000. After the small acquisitions have been authorized in writing by the Executive Director and CFO, the individuals listed below obtain all required documentation and may use the DCRB SmartPay credit cards. A summary of expenses for DCRB's SmartPay (credit) cards is below:**



<u>Employee/Title</u>	<u>FY 2018 \$ Amount</u>	<u>FY 2019 \$ Amount</u>
<b>Procurement Card</b>		
Nina Bridgers/Administrative Assistant	425	-
Wukyanos Gebremeskel/Database Admin.	20,090	1,735
Johniece Harris/Administrative Specialist	32,170	1,505
Denice McSears/Office Coordinator	5,973	60
Bonnie Rivers/Financial Specialist	19,421	4,560
Yolanda Smith/Contract Specialist	2,492	-
Robin White/Executive Assistant	1,225	-
<b>Procurement Card Total</b>	<b>81,797</b>	<b>7,859</b>
<b>Travel Card</b>		
Johniece Harris/Administrative Specialist	43,619	10,578
Florence Jones/Investment Specialist	2,404	-
Bonnie Rivers/Financial Assistant	509	-
Robin Chester/Executive Assistant	785	-
<b>Travel Card Total</b>	<b>47,317</b>	<b>10,578</b>
<b>Grand Total</b>	<b>129,114</b>	<b>18,437</b>

23. Please provide a list of all procurements for goods or services for use by your agency over \$10,000 for fiscal years 2018 and 2019 (through January 31). Give a brief explanation of each, including the name of the contractor, purpose the contract, and the total dollar amount of the contract. Exclude from this answer purchase card (SmartPay) purchases.

**Please see Attachment #3 regarding DCRB's contracts over \$10,000.**

24. (a) Please describe how your agency manages and limits its mobile, voice, and data costs, including cellular phones and mobile devices.

**The agency does not issue cellular phones. DCRB manages its data costs by engaging in enterprise contracts with two carriers that offer unlimited data plans at discounted government pricing negotiated by the District.**

(b) In table format and as an attachment, please provide the following information for fiscal years 2018 and 2019 (through January 31), regarding your agency's use of cellular phones and mobile devices: (1) individuals (by name and title/position) authorized to carry and use such devices; (2) total annual expense (FY) for each individual's use; and (3) justification for such use (per person). If the list is more than 20 individuals, group the answer by program, giving the total number of FTEs for that program as well as the number of cellular phones and mobile devices.

Name	FY 2018		FY 2019 (as of 01/31/2019)		Justification
	Number of Mobile Devices	\$ Amount	Number of Mobile Devices	\$ Amount	
Information Technology	15	6,720	9	1,440	Improve productivity
Trustees	11	5,280	10	1,480	Board communication
Benefits	5	2,400	3	480	Improve productivity
Executive	4	1,920	4	640	Improve productivity
Finance	4	1,920	4	640	Improve productivity
Investment	4	1,440	4	480	Improve productivity
Legal	3	1,440	3	480	Improve productivity
HR	2	960	2	320	Improve productivity
Procurement	1	480	-	-	Improve productivity

**DCRB does not have any cellular phones.**

25. (a) Does your agency have or use one or more government vehicle? If so, for fiscal years 2018 and 2019 (through January 31), please list any vehicle the agency owns, leases, or has assigned to it. You may group the vehicles by category (e.g., 15 sedans, 33 pick-up trucks, three transport buses, etc.).

**DCRB does not own nor lease any vehicles.**

(b) Please list all vehicle accidents involving your agency's vehicles for fiscal years 2017, 2018, and 2019 (through January 31). Provide: ( 1) a brief description of each accident; (2) the type of vehicle involved; (3) the name and title/position of the driver involved; (4) the justification for using such vehicle; and (5) whether there was a finding of fault and, if so, who was determined to be at fault.

**Not applicable.**

26. Please list every lawsuit against the agency that was settled or decided by a trial court in FY2018 and FY 2019 to date. Briefly describe each and the sanction, if any.

**In May 2018, DCRB filed for a voluntarily dismissal from a multi-party litigation and paid plaintiffs approximately \$154,000 as full settlement and release of DCRB from all claims related to the Tribune Litigation.**

27. D.C. Law requires the Mayor to pay certain settlements and judgements from agency operating budgets if the settlement is less than \$10,000 or results from an incident within the last two years (see D.C. Code § 2-402(a)(3)). Please itemize each charge-back to your agency for a settlement or judgment pursuant to D.C. Code§ 2-402.

**DCRB has no claim or judgment subject to an agency charge-back.**

28. (a) D.C. Law prohibits chauffeurs, take-home vehicles, and the use of SUVs (see D.C. Code §§50-203 and 50-204). Is your agency in compliance with this law?

(b) Please explain all exceptions, if any, and provide the following: (1) type of vehicle (make, model, year); (2) individuals (name/position) authorized to have the vehicle; (3) jurisdictional residence of the individual ( e.g., Bowie, MD); and ( 4) justification for the chauffer or take-home status.

**DCRB is in compliance with D.C. Code §§ 50-203 and 50-204.**

29. In table format, please provide the following information for fiscal years 2018 and 2019 (through January 31) regarding your agency's authorization of employee travel: (1) each trip outside the region; (2) individuals (by name and title/position) authorized to travel outside the region; (3) total expense for each trip (per person, per trip, etc.) and 4) justification for the travel (per person and trip).

**Please see Attachment #4 regarding DCRB's authorization of employee travel outside the region.**

30. Please provide and itemize, as of January 31, 2019, the current number of When Actually Employed (WAE), term, and contract personnel within your agency. If your agency employs WAE or term personnel, please provide, in table format, the name of each employee, position title, the length of his or her term or contract, the date on which he or she first started with your agency and the date on which his or her current term expires.

**As of January 31, 2019, DCRB had no WAE or term personnel.**

**The following is a list of contract personnel performing services for DCRB:**

<b>Name</b>	<b>Position/Title</b>	<b>Length of Term</b>	<b>Start Date or Current Term</b>	<b>Term Expiration</b>
Woods, Kimberly	Investment Compliance Risk Consultant	3 Years	6/14/2016	4/26/2019

31. What efforts has your agency made in the past year to increase transparency? Explain.

**DCRB's Board conducts open meetings, the schedule for which is posted on our website and in the D.C. Register, on a monthly basis and we regularly post the minutes of those meetings within three (3) business days, as required. In addition to the Board minutes, we post our Comprehensive Annual Financial Report (CAFR); our annual Actuarial Valuations Report; monthly, quarterly, and annual investment performance reports; our quarterly newsletters; and copies of the Summary Plan Descriptions, which are updated every five (5) years. We also regularly update information on the Board's Trustees related to their**

**background, terms of service on the Board, and their service as Board officers and committee chairs and members. During FY 2018, we added a link on our website to the DCHR Whistleblower Protections and Obligations of Employees Notice, along with a District of Columbia Retirement Board Whistleblower Protections Complaint Form.**

32. What efforts will your agency be making to increase transparency? Explain.

**DCRB has been in discussions with OCTO to explore ways of leveraging their services and existing applications to expand DCRB's ability to communicate with Plan members and the public via our website on matters related to our operations and our mission.**

33. Please identify any legislative requirements that your agency lacks sufficient resources to properly implement. Explain.

**DCRB has adequate resources to properly implement legislative requirements.**

34. Please identify any statutory or regulatory impediments to your agency's operations.

**DCRB accomplishes its operational responsibilities under the current statutes and regulations.**

**We sincerely appreciate the Council's recent enactment of the "Teachers, Police, and Firefighters Retirement Benefits Technical Amendment Act of 2018". (Act A22-0516 Projected Law Date is Feb 26, 2019.)**

35. Did your agency receive any FOIA requests in fiscal year 2018? If yes, did the agency file a report of FOIA disclosure activities with the Secretary of the District of Columbia? If available, please provide a copy of that report as an attachment. Also state here the total cost incurred by your agency for fiscal years 2017 and 2018 as stated in the reports.

**On December 7, 2018, DCRB filed the attached report of FOIA disclosure activities with the Secretary of the District of Columbia. Please see Attachment #5.**

36. For purposes CBE agency compliance purposes, what is your agency's current adjusted expendable budget; how much has been spent with SBEs; and what percent of your agency's expendable budget was spent with SBEs? Further, where SBEs were not available, how much has been spent with CBEs, and what percent of CBE spending, relative to your current expendable budget? How many CBE waivers (including dollar amount) did the agency submit? What efforts has the agency taken to reduce the number of CBE waivers submitted? What is the CBE spending goal for your agency per the DSLBD SBE Opportunities Guide (Green book)? Give this answer for fiscal years 2017, 2018 and 2019 (through January 31).

QUESTION:	ANSWER:
For CBE agency compliance purposes, what is your agency's current adjusted expendable budget?	For FY 2019: \$3,928,456
How much has been spent with SBE's?	\$9,197
What percent of your agency's expendable budget was spent with SBEs?	0.23%
Further, where SBEs were not available, how much has been spent with CBEs?	

What percent of spending, relative to your current expendable budget?			
How many CBE Waivers (including dollar amount) did the agency submit?		None	
What efforts has the agency taken to reduce the number of CBE waivers submitted?		Not applicable.	
<b>What is the CBE spending goal for your agency per the DSLDB SBE Opportunities Guide (Green book)?</b>	<b>Annual Goal (Adjusted)</b>	<b>Annual Spend</b>	<b>% Spend</b>
FY 2017	\$1,213,723	\$1,365,661	112.5%
FY 2018	\$1,167,412	\$637,072	54.6%
FY 2019 (through January 31)	\$1,964,228	\$9,197	0.5%

37. Please provide, as an attachment, a copy of your agency) current annual performance plan as submitted to the Office of the City Administrator.

**DCRB, as an independent agency, does not submit an annual performance plan to the Office of the City Administrator.**

38. (a) What are your agency's key performance indicators and what has been your agency's performance (for each of these KPIs) in fiscal year (or calendar year) 2017, 2018, and 2019 (through the first quarter).

**DCRB, as an independent agency, does not submit key performance indicators to the Office of the City Administrator.**

(b) What KPIs have been dropped (or changed) since 2015? List each specifically and explain why it was dropped or changed.

**DCRB, as an independent agency, does not submit key performance indicators to the Office of the City Administrator.**

39. What are your top five priorities for the agency? Please provide a detailed explanation for how the agency expects to achieve or work toward these priorities in fiscal years 2018 and 2019.

**DCRB's top five priorities for fiscal years 2018 and 2019, as well as explanations as to how the Agency expects to achieve or work toward them are as follows:**

**i. Prudently invest Fund assets to provide long-term sustainable risk-adjusted returns.**

One of DCRB's major ongoing responsibilities is to prudently manage Fund assets, with the goal of earning a return that meets or exceeds our actuarial investment return assumption of 6.5%. This target is intended to sustain the Fund's viability over the long-

term investment horizon. As of September 30, 2018, the Fund has generated an annualized gross return of 8.8% since its inception in October 1982.

In building a solid foundation for achieving long-term, sustainable risk-adjusted returns, the Board routinely reviews investment manager performance against benchmark returns and rebalances the portfolio to maintain compliance with asset allocation targets and ranges. During FY 2018, the Board's actuary completed a projection study that serves as a planning tool to guide investment decisions and assist in estimating our liquidity needs in the near term. In FY 2019, we will initiate a project to validate investment management fees and to ensure that our investment managers and service providers are performing in line with expectations and within their guidelines.

## **ii. Safeguard the integrity of the Fund.**

The Board's independent actuary conducts an actuarial valuation each year to determine the funded status of the Plans, and to identify the District's contribution to the Fund two years hence. In addition, DCRB's financial statements are audited annually, and we continue to strive to obtain clean audit opinions and report our financial activities according to required governmental accounting standards. During FY 2018, an independent IT audit was performed to assure that our IT footprint is consistent with the needs of the Agency. Further, we conducted annual training on privacy and cybersecurity practices.

During FY19, DCRB will expand our investment risk management program. We plan to hire new staff to support investment operational due diligence and internal audit. Also, in support of the expansion of the risk management program, the Board plans to hire a consultant that will focus on operational due diligence of new and existing investment managers. This initiative will enhance the existing due diligence program and will support the Board in its fiduciary responsibility.

## **iii. Expand and improve benefits administration capabilities to ensure that benefits are paid to our members accurately and timely.**

DCRB continues to improve benefits administration by collaborating with our District partners to increase the quality of data used to calculate benefits, and by automating the transfer of that information to DCRB, where possible. During FY 2019, we will begin a project to review and document the steps in our major benefits processes, followed by an analysis of those processes to determine whether there are changes that could or should be made to streamline or accelerate the payment of initial benefits. Those processes, which were developed in a paper environment, have not been reviewed from end-to-end recently, and many are not currently documented.

During FY 2017, DCRB completed a benchmarking project to determine how our benefits administration operations compared to best practices and to other public pension systems of our size. The results revealed that DCRB significantly lags its peers in the adoption of member focused technology. For example, DCRB currently lacks an

annuitant self-service website portal, where retired members can update their personal information and receive timely and targeted communications from DCRB. During FY 2018, we began discussions with U. S. Treasury and the District's Office of the Chief Technology Officer to explore the development of a self-service application that will allow annuitants to access their benefit and tax-related information. In FY 2019 this initiative is a priority for three (3) reasons: 1) it will improve customer service and enhance our members' experience when contacting us, 2) it will move DCRB closer to its retirement system peers in providing annuitants with easy access to their personal information, and 3) it should serve to reduce the number of member calls and visits we receive for routine questions and member record updates.

**iv. Foster member and stakeholder trust through enhanced communications and collaborative outreach.**

A few years ago, DCRB's newsletters were increased from semi-annual (published in the spring and fall) to quarterly. The spring and fall newsletters, which are sent to all members, provide financial information on the status of the Fund, along with articles on general benefits administration matters, such as, cost-of-living adjustments, open enrollments, and year-end tax considerations. The winter and summer publications provide police officers/firefighters and teachers, respectively, with information aimed explicitly toward the provisions of their Plans, as well as particular issues of importance to each of the groups. While we continue to provide paper copies of the newsletters to annuitants, in FY 2019, DCRB distributed them electronically to all active members.

During FY 2018, DCRB issued estimated benefit statements to all active members (police officers, firefighters, and teachers), and Summary Plan Descriptions (SPDs), which are updated every five (5) years. Although, like the newsletters, the SPDs were distributed in paper form to annuitants, unlike prior updates, this time, active members were provided with a link to an electronic version. This change, as well as that for the newsletters, resulted in a significant savings to the Fund.

As before, a Benefits Community of Interest (comprised of District agencies that are involved in the pension process), continues to meet periodically to discuss subjects and issues of mutual concern and interest. We will work closely with these benefits partners as DCRB implements its strategic planning initiatives later this year.

Finally, DCRB continues to collaborate with DCPS, DCHR, FEMS and MPD to offer retirement workshops for retiring Plan members.

**v. Refine DCRB's organizational structure to meet agency responsibilities and needs.**

In late summer 2018, DCRB began a project to update its five-year Strategic Plan. To date, we have developed a Strategy Map to serve as our guide over the next five years, and we are currently involved in both identifying and prioritizing initiatives that will

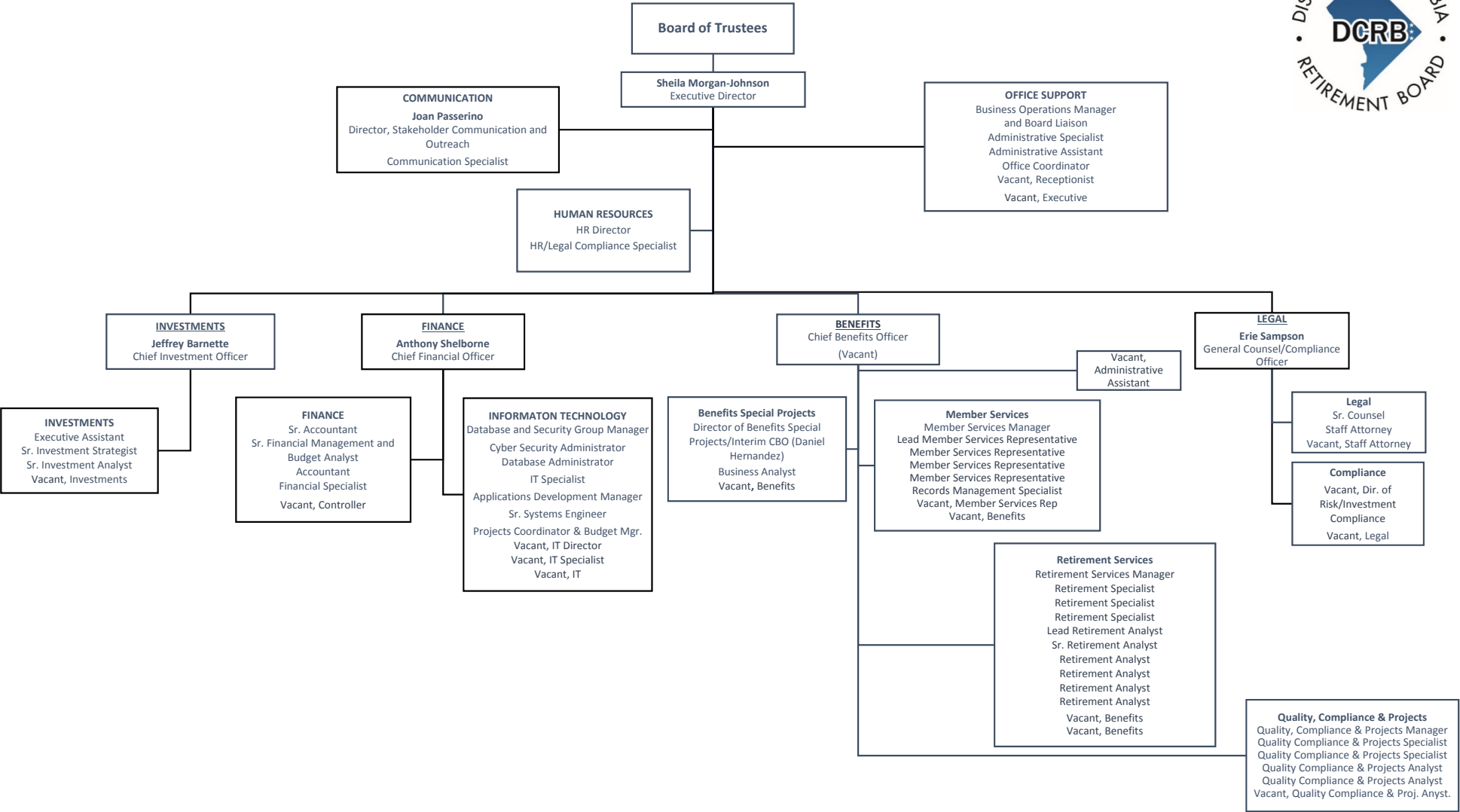
assist us in reaching our goals. Along with the initiatives, we are identifying metrics that will let us know if and how well we are reaching those goals.

Once our Strategic Plan has been completed in late spring, we will identify an organizational structure geared toward supporting our efforts.



Question 1 – Attachment 1

The District of Columbia Retirement Board (DCRB)



## Question 2 – Attachment 2 - Schedule A

Department	Position Title	Last Name	First Name	\$ Salary	\$ Fringe	\$ Total
Benefits	Director of Benefits Special Projects	Hernandez	Daniel	179,794	44,949	224,743
Benefits	Lead Retirement Analyst	Ashford	Pamela	86,919	21,730	108,649
Benefits	Lead Member Services Representative	Brown	Shalanda	54,066	13,517	67,583
Benefits	Member Services Representative	Carver	Sean	46,283	11,571	57,854
Benefits	Business Analyst	Chandler	Valerie	93,730	23,433	117,163
Benefits	Retirement Specialist	Fauntleroy	Anjanette	65,901	16,475	82,376
Benefits	Retirement Analyst	Graham-Keith	Sharon	73,425	18,356	91,781
Benefits	Quality, Compliance & Projects Specialist	John	Thomas	89,487	22,372	111,859
Benefits	Retirement Analyst	Johnson	Bridgette	70,000	17,500	87,500
Benefits	Quality, Compliance & Projects Analyst	Jordan Richardson	Lisa	86,349	21,587	107,936
Benefits	Member Services Representative	LaPrade	India	49,500	12,375	61,875
Benefits	Retirement Analyst	Marshmon	Giovanni	70,380	17,595	87,975
Benefits	Quality, Compliance & Projects Analyst	Massie-Armstrong	Paralee	90,168	22,542	112,710
Benefits	Retirement Analyst	Maynard	Paul	70,000	17,500	87,500
Benefits	Member Services Representative	Meagher	Dylan	46,736	11,684	58,420
Benefits	Records Management Specialist	Morgan	Dennis	54,066	13,517	67,583
Benefits	Member Services Manager	Oliver	Jacqueline	86,896	21,724	108,620
Benefits	Quality, Compliance & Projects Specialist	Ross	Anita	91,183	22,796	113,979
Benefits	Retirement Specialist	Short	Terry	70,640	17,660	88,300
Benefits	Senior Retirement Analyst	Thomas	Lovely	83,018	20,755	103,773
Benefits	Manager, Quality Compliance & Projects	Thomas	Jacqueline	114,726	28,682	143,408

## Question 2 – Attachment 2 - Schedule A (Continued)

Department	Position Title	Last Name	First Name	\$ Salary	\$ Fringe	\$ Total
Benefits	Retirement Services Manager	Treadwell	Sylvia	134,971	33,743	168,714
Benefits	Retirement Specialist	Weedon	Kiana	57,183	14,296	71,479
Benefits	Vacant (Chief Benefits Officer)					
Benefits	Vacant (Administrative Assistant)					
Benefits	Vacant (Member Services Representative)					
Benefits	Vacant (Quality Compliance & Projects Analyst)					
Benefits	Vacant					
Benefits	Vacant					
Benefits	Vacant					
Benefits	Vacant					
Executive	Executive Director*	Morgan Johnson	Sheila	256,490	55,971	312,461
Executive	Administrative Assistant	Bridgers	Nina	47,730	11,933	59,663
Executive	Administrative Specialist	Harris	Johniece	68,831	17,208	86,039
Executive	Administrative Coordinator	McSears	Denice	51,997	12,999	64,996
Executive	Director, Stakeholder Communication and Outreach	Passerino	Joan	201,026	50,257	251,283
Executive	Business Operations Manager and Board Liaison	Reaves	Deborah	121,000	30,250	151,250
Executive	Communication Specialist	Schultz	Katie	82,482	20,621	103,103
Executive	Vacant (Receptionist)					
Executive	Vacant					

## Question 2 – Attachment 2 - Schedule A (Continued)

Department	Position Title	Last Name	First Name	\$ Salary	\$ Fringe	\$ Total
Finance	Chief Financial Officer	Shelborne	Anthony	208,681	52,170	260,851
Finance	Accountant	Morgan	Ricardo	79,700	19,925	99,625
Finance	Sr. Financial Management and Budget Analyst	Nichols	Ortencia	108,150	27,038	135,188
Finance	Senior Accountant	Oneal	Rhonda	122,051	30,513	152,564
Finance	Financial Specialist	Rivers	Bonnie	77,226	19,307	96,533
Finance	Vacant (Controller)					
Information Technology	Senior Systems Engineer	Andrade	Diego	119,600	29,900	149,500
Information Technology	Applications Development Group Manager	Burnett	Michaela	138,558	34,640	173,198
Information Technology	Database And Security Group Manager	Frimpong	Ferdinand	148,512	37,128	185,640
Information Technology	Database Administrator	Gebremeskel	Wukyanos	107,291	26,823	134,114
Information Technology	It Specialist (Systems Network Services)	Jackson Sr.	Mark	112,000	28,000	140,000
Information Technology	Projects Coordinator & Budget Manager	Podesta	Sebastian	118,976	29,744	148,720
Information Technology	Cyber Security Administrator	Poku	Adu	130,206	32,552	162,758
Information Technology	Vacant (Director)					
Information Technology	Vacant (IT Specialist)					
Information Technology	Vacant					
Information Technology	Vacant					
Information Technology	Vacant					
Information Technology	Vacant					

## Question 2 – Attachment 2 - Schedule A (Continued)

Department	Position Title	Last Name	First Name	\$ Salary	\$ Fringe	\$ Total
Investments	Chief Investment Officer	Barnette	Jeffrey	215,000	53,750	268,750
Investments	Executive Assistant	Greene	Joyce	68,104	17,026	85,130
Investments	Sr. Investment Strategist	Sahm	Patrick	166,258	41,565	207,823
Investments	Sr. Investment Analyst	Xanthopoulos	Michael J.	114,330	28,583	142,913
Investments	Vacant					
Legal	General Counsel*	Sampson	Erie	249,963	55,971	305,934
Legal	Staff Attorney	Dorch	Adina	117,936	29,484	147,420
Legal	Senior Counsel	King	Leslie	192,209	48,052	240,261
Legal	Vacant (Staff Attorney)					
Legal	Vacant (Dir. of Risk/Investment Compliance)					
Legal	Vacant					
Operations/HR	Director Of Human Resources	Valentine	Lawrence	156,000	39,000	195,000
Operations/HR	HR/Legal Compliance Specialist	Carson	Rabinai	102,983	25,746	128,729
Operations/Procurement	Vacant					
Operations/Procurement	Vacant					
Operations/Procurement	Vacant					

\* Notes: Schedule A reflects AIA (Administrative Income Allowance) for Executive Director and General Counsel; all budgeted FTEs as of 1/31/2019.

### Question 23 - Attachment 3

FY 2018

Vendor Name	Description	\$ Amount
Advent Software Inc.	Software Licenses, Maintenance & Support	33,970
AIG - Illinois National Insurance Co.	Cyber Liability Insurance	28,542
American Arbitration Assoc.	Board Election (Retired Teacher)	36,876
ASI Government, Inc.	Contracting Specialist Professional Services	98,843
Capitol Document Solutions LLC	Office Supplies & Services	41,548
Carahsoft Technology Corporation	Kofax Scanning Licenses & Annual Maintenance	45,176
Cavanaugh Macdonald Consulting	Actuarial Services	176,000
CellCo Partnership (Verizon Wireless)	Communication Services	21,552
CEM Benchmarking Inc.	Benchmarking and Analysis	30,000
CliftonLarsonallen LLP	Auditing Services	57,200
Convergence, Inc.	Investment Subscription Service	80,000
Dell	Office 365 E3 & E1 license	46,151
Diamond Toles Dba Dime Solutions, LLC	Contracting Specialist Professional Services	81,000
Diligent Corporation	Software Licenses, Maintenance & Support	31,575
DLT Solutions LLC	SolarWinds - Software Licenses, Maintenance & Support	11,447
DLT Solutions LLC	NetBackup - Software Licenses, Maintenance & Support	28,320
DLT Solutions LLC	Red Hat Linux - Software Licenses, Maintenance & Support	40,421
EC America, Inc.	Secret Server- Software Licenses, Maintenance & Support	31,825
Ectam LLC	IT Professional Services	183,420
Equinix, Inc.	Data Center	58,889
Evestment Alliance, LLC	Investment Data Access Subscription	22,932
Federal Insurance Company - Chubb	Fiduciary Liability Insurance	106,307
Groom Law Group, Chartered	Legal Professional Services	80,000
Hartford Casualty Insurance Company	Insurance	10,884
HBP, Inc.	Printing Services	101,975
Insightful Pension Consulting Group LLC	Investment Consulting Services	328,604
Institutional Shareholder Services, Inc.	Investments Software Subscription	12,000
Iron Mountain	Offsite Records Storage	30,660
Kastle Systems LLC	Access Control System for DCRB Offices	14,442
Level 3 Communications LLC	Data Center Link - IT Professional Services	81,836
Mango Global Holdings, Inc. Dba Sandirect	EMC Storage - IT Hardware	63,965
Mark Jackson	IT Professional Services	80,963
Meketa Investment Group	Investment Consulting Services	620,000
Metropolitan Life Insurance Company	Disability (Long-term and Short-Term) Insurance	51,545
Midtown Personnel, Inc. Dba The Midtown Group	Temporary Staffing Support	22,479
Mobomo LLC	Mobile Application Development Services	28,311
Mobomo LLC	SharePoint Development Services	94,580
Morgan, Lewis & Bockius LLP	Legal Professional Services	521,384
Networking For Future	Second Wireless/App Response/SourceFire - IT Professional Services	11,003
Networking For Future	SPLUNK - Software Licenses, Maintenance & Support	14,815
Networking For Future	Cisco Switches/Routers/IDS - Software Licenses, Maintenance & Support	91,813
NGEN LLC	IT Audit Services	189,000
Orion Development Group	Strategic Planning - Professional Services	107,205
Pitney Bowes Inc.	SendPro 2000 Mail Machine	16,287
PRM Consulting Inc.	HR Professional Services	61,275
Project Made Easy, Inc.	Project Server - IT Professional Services	16,800
RSM US LLP	Financial Professional Services	23,586
SHI International Corporation	Symantec SSL Certificates Annual Renewal	13,040
Softech & Associates, Inc.	FileNet Enhancement, Maintenance & Support	103,000
Softech & Associates, Inc.	Kofax Enhancement, Maintenance & Support	107,000
Software Information Resource Corporation	Symantec Products - Software Licenses, Maintenance & Support	50,606
Software Information Resource Corporation	Oracle Database - IT Professional Services	205,390
Staples Business Advantage	Office Supplies	30,060
Taborda Solutions, Inc.	EMC Storage System Support Renewal (11/13/17 - 12/31/18)	25,976
The Newberry Group, Inc.	Websense Security Gateway - Software Licenses, Maintenance & Support	13,353
Vonage Business Networks, Inc.	Telephone Services	72,238
Wilshire Associates Inc.	Investments Software Subscription	36,000
XO Holdings	Data Center Redundant Link	27,600
Yared Tesfaye Desta	Deskside Support Services - IT Professional Services	94,934
Zeno Consulting Group, LLC	Investments Consulting Services	26,250

### Question 23 - Attachment 3 (Continued)

FY 2019 (through 1/31/2019)

Vendor Name	Description	\$ Amount
Abel Noser Solutions LLC	Consulting Services (Formerly Zeno Consulting Group)	17,500
Advent Software Inc.	Software Licenses, Maintenance & Support	39,552
AIG - Illinois National Insurance Co.	Cyber Liability Insurance	23,791
Capitol Document Solutions LLC	Office Supplies & Services	46,548
Cellco Partnership (Verizon Wireless)	Communication Services	21,500
CliftonLarsonAllen LLP	Auditing Services	75,000
Diligent Corporation	Software Licenses, Maintenance & Support	31,575
Election-America, Inc.	Board Election (Active Teacher and Active Police)	25,843
Equinix, Inc.	Data Center	58,889
Federal Insurance Company - Chubb	Fiduciary Liability Insurance	106,377
Groom Law Group, Chartered	Legal Professional Services	80,000
Harris, Mackessy & Brennan, Inc. Dba HMB, Inc.	Fujitsu Scanners - Maintenance & Support	13,685
Hartford Casualty Insurance Company	Insurance	11,369
Insightful Pension Consulting Group, LLC	Investment Consulting Services	149,976
Iron Mountain	Offsite Records Storage	30,660
Kastle Systems LLC	Access Control System for DCRB Offices	14,520
Kofax, Inc.	Kofax - Software Licenses, Maintenance & Support	23,874
Level 3 Communications, LLC	Data Center Link - IT Professional Services	27,411
Meketa Investment Group	Investment Consulting Services	516,667
Metropolitan Life Insurance Company	Disability (Long-term and Short-Term) Insurance	46,951
Morgan, Lewis & Bockius, LLP	Legal Professional Services	450,000
Orion Development Group	Strategic Planning - Professional Services	53,556
Softech & Associates, Inc.	FileNet Enhancement - IT Professional Services, Maintenance and Support	113,000
Softech & Associates, Inc.	Kofax Enhancement - IT Professional Services, Maintenance and Support	117,000
Staples Business Advantage	Office Supplies	25,250
The Newberry Group, Inc.	Websense Security Gateway - Software Licenses, Maintenance & Support	13,353
XO Holdings Dba Xo Communications, LLC	Data Center Redundant Link - IT Professional Services	22,500

**Question 29 - Attachment #4**

Staff Travel - FY 2018

<b>Last Name</b>	<b>First Name</b>	<b>Title /Position</b>	<b>\$Amount</b>	<b>Event/Purpose</b>	<b>Justification (e.g., Education, Due Diligence, Conference)</b>
Barnette	Jeffrey	Chief Investment Officer	401	Palladium Equity Partners Fund V and Level Equity Fund IV Meetings	Due Diligence
Burnette	Michaela	Applications Development Group Manager	1,836	Public Retirement Information Systems Management 2018 Annual Conference	Conference
Dorch	Adina	Staff Attorney	2,315	National Association of Public Pension Attorneys Conference	Conference
Frimpong	Ferdinand	Database and Security Group Manager	3,296	Rivest, Shamir, Adleman (RSA) 2018 Cyber Security Conference	Conference
Morgan-Johnson	Sheila	Executive Director	227	Kelso Private Equity and Sentinel Partners Meeting	Due Diligence
			2,028	Chequers Capital Annual Investors Meeting	Due Diligence
			3,461	National Association of State Retirement Administrators 2018 Annual Conference	Conference
			3,032	Centerbridge Real Estate, Epiris, Aermont, CVC, Cap Vest Fund IV, Henderson Park, Anacap and Orion Capital Meetings	Due Diligence
			2,186	Homestead Capital, TCV, Divco West, Pantheon Ventures, and Vector Capital Meetings	Due Diligence
Poku	Adu	Cyber Security Administrator	3,822	Rivest, Shamir, Adleman (RSA) 2018 Cyber Security Conference	Conference
Sahm	Patrick	Senior Investment Strategist	1,138	Encap Investments LP Investor 2017	Due Diligence
			224	Advent International Annual LP Meeting	Due Diligence
			569	Bernhard Capital Partners II Meeting	Due Diligence
			2,533	Institutional Limited Partners Association European Forum	Conference
			2,076	Chequers Capital Annual Investors Meeting	Due Diligence
			3,134	Centerbridge Real Estate, Epiris, Aermont, CVC, Cap Vest Fund IV, Henderson Park, Anacap and Orion Capital Meetings	Due Diligence
			242	Odyssey Annual Partnership Meeting	Due Diligence
			681	GEM 2018 Realty Partners Annual Meeting	Due Diligence
			2,315	Homestead Capital, TCV, Divco West, Pantheon Ventures, and Vector Capital Meetings	Due Diligence
Sampson	Erie	General Counsel/Compliance Officer	2,063	National Conference on Public Employee Retirement Accredited Fiduciary Program	Educational
			3,211	National Association of State Retirement Administrators 2018 Annual Conference	Conference
Shelborne	Anthony	Chief Financial Officer	1,549	Government Finance Officers Association 2018 Annual Conference	Conference
Xanthopoulos	Michael	Senior Investment Analyst	901	Resource Annual Limited Partners 2017 Meeting	Due Diligence
			641	Bernhard Capital Partners II Meeting	Due Diligence
			1,290	Trinity Ventures, Khosla Ventures, Accel-KKR and TCV Meetings	Due Diligence
			1,122	Institutional Limited Partners Association 2018 Members' Conference	Conference
			254	Riverside Partners VI Meeting	Due Diligence
			268	Palladium Equity Partners Fund V and Level Equity Fund IV Meetings	Due Diligence
			277	General Atlantic Investor Summit	Conference



**Question 29 - Attachment #4 (Continued)****FY 2019**

<b>Last Name</b>	<b>First Name</b>	<b>Title /Position</b>	<b>\$Amount</b>	<b>Event/Purpose</b>	<b>Justification (e.g., Education, Due Diligence, Conference)</b>
Barnette	Jeffrey	Chief Investment Officer	769	DDJ Capital Investment Conference	Conference
			747	Tiger Infrastructure Partners and One Rock Capital Partners Annual Investor Meetings	Due Diligence
			361	Northern Trust Meeting	Due Diligence
Morgan-Johnson	Sheila	Executive Director	2,131	Resource Capital Funds 2018 Annual Meeting	Due Diligence
			265	Tiger Infrastructure Partners and One Rock Capital Partners Annual Investor Meetings	Due Diligence
Sahm	Patrick	Senior Investment Specialist	1,264	Lime Rock Annual Meeting, Encap Energy Update Meeting, and Juniper Capital Meeting	Due Diligence
Sampson	Erie	General Counsel/Compliance Officer	2,708	GAIM OPS West 2018 Investor Summit, Private Equity Summit	Conference
Shelborne	Anthony	Chief Financial Officer	396	Northern Trust Meeting	Due Diligence
Xanthopoulos	Michael	Senior Investment Analyst	730	DDJ Capital Investment Conference	Conference

Agency Name

Annual Freedom of Information Act Report for Fiscal Year 2018  
October 1, 2017 through September 30, 2018

FOIA Officer Reporting

PROCESSING OF FOIA REQUESTS

- 1. Number of FOIA requests received during reporting period
- 2. Number of FOIA requests pending on October 1, 2017
- 3. Number of FOIA requests pending on September 30, 2018
- 4. The average number of days unfilled requests have been pending before each public body as of September 30, 2018

DISPOSITION OF FOIA REQUESTS

- 5. Number of requests granted, in whole
- 6. Number of requests granted, in part, denied, in part
- 7. Number of requests denied, in whole
- 8. Number of requests withdrawn
- 9. Number of requests referred or forwarded to other public bodies
- 10. Other disposition

NUMBER OF REQUESTS THAT RELIED UPON EACH FOIA EXEMPTION

- 11. Exemption 1 - D.C. Official Code § 2-534(a)(1)
- 12. Exemption 2 - D.C. Official Code § 2-534(a)(2)
- 13. Exemption 3 - D.C. Official Code § 2-534(a)(3)
  - Subcategory (A)
  - Subcategory (B)
  - Subcategory (C)
  - Subcategory (D)
  - Subcategory (E)
  - Subcategory (F)
- 14. Exemption 4 - D.C. Official Code § 2-534(a)(4)
- 15. Exemption 5 - D.C. Official Code § 2-534(a)(5)

- 16. Exemption 6 - D.C. Official Code § 2-534(a)(6)
  - Subcategory (A).....
  - Subcategory (B).....
- 17. Exemption 7 - D.C. Official Code § 2-534(a)(7).....
- 18. Exemption 8 - D.C. Official Code § 2-534(a)(8).....
- 19. Exemption 9 - D.C. Official Code § 2-534(a)(9).....
- 20. Exemption 10 - D.C. Official Code § 2-534(a)(10).....
- 21. Exemption 11 - D.C. Official Code § 2-534(a)(11).....
- 22. Exemption 12 - D.C. Official Code § 2-534(a)(12).....

**TIME-FRAMES FOR PROCESSING FOIA REQUESTS**

- 23. Number of FOIA requests processed within 15 days.....
- 24. Number of FOIA requests processed between 16 and 25 days.....
- 25. Number of FOIA requests processed in 26 days or more.....
- 26. Median number of days to process FOIA Requests.....

**RESOURCES ALLOCATED TO PROCESSING FOIA REQUESTS**

- 27. Number of staff hours devoted to processing FOIA requests.....
- 28. Total dollar amount expended by public body for processing FOIA requests.....

**FEEES FOR PROCESSING FOIA REQUESTS**

- 29. Total amount of fees collected by public body.....

**PROSECUTIONS PURSUANT TO SECTION 207(d) OF THE D.C. FOIA**

- 30. Number of employees found guilty of a misdemeanor for arbitrarily or capriciously violating any provision of the District of Columbia Freedom of Information Act .....

**QUALITATIVE DESCRIPTION OR SUMMARY STATEMENT**

Pursuant to section 208(a)(9) of the D.C. FOIA, provide in the space below or as an attachment, “[a] qualitative description or summary statement, and conclusions drawn from the data regarding compliance [with the provisions of the Act].”