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February 18, 2020

The Honorable Phil Mendelson
Chairman
Council of the District of Columbia
1350 Pennsylvania Avenue, NW
Washington, DC 20004

Dear Chairman Mendelson:

In preparation for the District of Columbia Retirement Board's (DCRB) upcoming performance oversight hearing on February 27, 2020. DCRB has prepared the attached responses to the questions submitted by your office. We look forward to testifying at the hearing and answering any questions you may have regarding DCRB's performance.

If you have any further questions regarding the attached information, please contact me at (202) 343-3200.

Sincerely,



Sheila Morgan-Johnson
Executive Director
District of Columbia Retirement Board

Enclosure
DCRB Responses to Performance Hearing Questions, Round 1

Janice Adams • Jeffrey Barnette • Lyle M. Blanchard • Joseph M Bress • Mary A. Collins • Gary W. Hankins
Darrick O. Ross • Nathan A. Saunders • Edward C. Smith • Thomas N. Tippett • Michael J. Warren • Lenda P. Washington

Joseph W. Clark
Chairman

Sheila Morgan-Johnson
Executive Director

District of Columbia Retirement Board (DCRB) Responses to Performance Oversight Pre-Hearing Questions

Please submit both a hard copy and an electronic copy of your responses to the questions below no later than close of business **Tuesday, February 18, 2020**. Please avoid the use of attachments unless specifically requested.

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. 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, 2020. 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 were no employees detailed to or from the District of Columbia Retirement Board (DCRB) as of February 1, 2020.

4. (a) For fiscal year 2019, 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 any bonus pay.

As of September 30, 2019

| Last Name | First Name | Title | Salary \$ | Bonus \$ |
|----------------|------------|---|-----------|----------|
| Morgan-Johnson | Sheila | Executive Director* | 256,490 | 22,835 |
| Sampson | Erie | General Counsel* | 249,963 | 22,835 |
| Shelborne | Anthony | Chief Financial Officer | 214,941 | 10,745 |
| Passerino | Joan | Director, Stakeholder Communications & Outreach | 205,047 | 6,030 |
| King | Leslie | Senior Counsel | 201,819 | 14,070 |
| Hernandez | Daniel | Director, Special Benefits Projects | 186,986 | 11,220 |
| Woods | Kimberly | Director, Risk and Investment Management | 180,000 | - |
| Barnett | Jeffrey | Chief Investment Officer | 215,000 | |
| Sahm | Patrick | Senior Investment Strategist | 174,571 | 8,730 |
| Copelin | Lillian | Benefits Systems Manager | 182,211 | - |
| Valentine | Lawrence | Director, Human Resources | 156,000 | - |
| Frimpong | Ferdinand | Database and Cyber Security Group Manager | 152,967 | - |
| Burnett | Michaela | Applications Development Manager | 142,715 | - |
| Treadwell | Sylvia | Retirement Services Manager | 140,370 | - |
| Dorch | Adina | Staff Attorney | 138,000 | 9,660 |
| Poku | Adu | Security Administrator | 133,555 | - |
| Reaves | Deborah | Business Operations Manager and Board Liaison | 127,050 | 12,705 |
| O'Neal | Rhonda | Senior Accountant | 125,713 | - |

*Salary includes AIA

(b) For fiscal year 2020, 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 any bonus pay as of the date of your response.

As of January 31, 2020

| Last Name | First Name | Title | Salary \$ | Bonus \$ |
|----------------|------------|---|-----------|----------|
| Sampson | Erie | General Counsel* | 262,617 | - |
| Morgan-Johnson | Sheila | Executive Director* | 262,617 | - |
| Shelborne | Anthony | Chief Financial Officer | 221,389 | - |
| King | Leslie | Senior Counsel | 207,874 | - |
| Hernandez | Daniel | Director, Special Benefits Projects | 192,596 | - |
| Murthy | Ram | Director, Information Technology | 191,000 | - |
| Woods | Kimberly | Director, Risk and Investment Compliance | 180,000 | - |
| Sahm | Patrick | Senior Investment Strategist | 179,808 | - |
| Valentine | Lawrence | Director, Human Resources | 162,240 | - |
| Frimpong | Ferdinand | Database and Cyber Security Group Manager | 157,556 | - |
| Burnett | Michaela | Applications Development Manager | 146,996 | - |
| Treadwell | Sylvia | Retirement Services Manager | 144,581 | - |
| Dorch | Adina | Staff Attorney | 142,140 | - |
| Kawashima | Akiko | Controller | 132,000 | - |
| Reaves | Deborah | Business Operations Manager and Board Liaison | 130,862 | - |
| O'Neal | Rhonda | Senior Accountant | 129,484 | - |
| Andrade | Diego | Senior Systems Engineer | 128,116 | - |
| Xanthopoulos | Michael | Senior Investment Analyst | 126,690 | - |

*Salary includes AIA

5. Please list, in descending order, the top 15 overtime earners in your agency for fiscal year 2019. For each, state the employee's name, position or title, salary, and aggregate overtime pay.

| Last Name | First Name | Title | Salary \$ | Overtime \$ |
|--------------|------------|--|-----------|-------------|
| Morgan | Dennis | Records Management Specialist | 56,229 | 3,424 |
| Carver | Sean | Member Services Representative | 48,597 | 2,437 |
| Marshmon | Giovanni | Retirement Analyst | 73,195 | 1,262 |
| Meagher | Dylan | Member Services Representative | 48,605 | 817 |
| Johnson | Bridgette | Retirement Analyst | 72,100 | 610 |
| Harris | Johniece | Administrative Specialist | 71,584 | 224 |
| Graham-Keith | Sharon | Retirement Analyst | 75,628 | 212 |
| Thomas | Lovely | Senior Retirement Analyst | 87,169 | 188 |
| Bridgers | Nina | Administrative Assistant | 49,162 | 171 |
| Ross | Anita | Quality Compliance & Projects Specialist | 94,830 | 137 |
| Brown | Shalanda | Lead Member Services Representative | 59,040 | 89 |
| LaPrade | India | Member Services Representative | 49,500 | 12 |

6. For fiscal years 2019 and 2020 (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.

| Last Name | First Name | \$ Amount | Reason |
|------------------|------------|-----------|------------------|
| Morgan-Johnson | Sheila | 22,835 | FY18 Performance |
| Sampson | Erie | 22,835 | FY18 Performance |
| King | Leslie | 14,070 | FY18 Performance |
| Reaves | Deborah | 12,705 | FY18 Performance |
| Hernandez | Daniel | 11,220 | FY18 Performance |
| Shelborne | Anthony | 10,745 | FY18 Performance |
| Dorch | Adina | 9,660 | FY18 Performance |
| Sahm | Patrick | 8,730 | FY18 Performance |
| Passerino | Joan | 6,030 | FY18 Performance |
| Carson | Rabinai | 5,405 | FY18 Performance |
| Massie-Armstrong | Paralee | 4,690 | FY18 Performance |
| Thomas | Lovely | 4,360 | FY18 Performance |
| Rivers | Bonnie | 4,055 | FY18 Performance |
| Harris | Johniece | 3,580 | FY18 Performance |
| Greene | Joyce | 3,575 | FY18 Performance |
| Marshmon | Giovanni | 2,930 | FY18 Performance |
| Meagher | Dylan | 2,430 | FY18 Performance |
| Morgan | Dennis | 2,250 | FY18 Performance |
| Carver | Sean | 1,945 | FY18 Performance |
| Schultz | Katharine | 1,715 | FY18 Performance |
| McSears | Denice | 1,080 | FY18 Performance |

There have been no bonuses paid to date in fiscal year 2020.

7. For fiscal years 2019 and 2020 (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.

DCRB did not make any separation payments during this period.

8. For fiscal years 2018, 2019, and 2020 (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 this period.

9. Please provide the name of each employee who was or is on administrative leave in fiscal years 2019 and 2020 (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, 2020).

| Last Name* | First Name* | Position | Reason | Dates | Leave Type | Current Status |
|------------|-------------|------------------------|------------------|-------------------------|------------|----------------|
| **** | ***** | Chief Benefits Officer | Personnel Action | 10/09/2018 - 11/19/2018 | Paid | Retired |

*** Guidance per DCHR**

10. For fiscal years 2019 and 2020 (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.

DCRB did not make intra-District transfers (via SOAR); however, the agency made payments for services to four agencies in fiscal years 2019 and 2020:

| FY 2019 | Agency | Date | Reason | \$ Amount |
|----------------|--------|------------|--------------------------------|-----------|
| | OCTO | 12/18/2018 | WebEx services | 22,507 |
| | DCHR | 04/09/2019 | Staff training and development | 11,882 |
| | OCP | 09/30/2019 | Procurement services | 25,676 |
| | | | | |
| FY 2020 | | | | |
| | DC Net | 10/01/2019 | Telephone system expenses | 56,082 |

11. Please list, in chronological order, every reprogramming of funds into or out of the agency for fiscal years 2019 and 2020 (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 2020 to date. Also, include both known and anticipated intraagency reprogrammings. For each, give the date, amount, and rationale.

DCRB did not have any intra-agency reprogrammings.

13. For fiscal years 2019 and 2020 (as of February 10), 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 programs 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 2018, 2019, and 2020

(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.

In fiscal years 2019 and 2020, DCRB did not have any special purpose revenue funds.

14. Please provide a table showing your agency’s Council-approved original budget, revised budget (after reprogrammings, etc.) for fiscal years 2018, 2019, and the first quarter of 2020. In addition, please explain the variances between fiscal year appropriations and actual expenditures for fiscal years 2018 and 2019.

| Dept/Program Activity (Dollars in 000s) | \$ Budget | | | \$ Actual | | | \$ YTD - | | | |
|---|-----------|---------|---------|-----------|---------|---------|----------|--------------|---------|-------------|
| | FY 2018 | FY 2018 | FY 2018 | FY 2019 | FY 2019 | FY 2019 | Budget | as of Dec 31 | Actual* | \$ Variance |
| 3000 DCRB AGENCY MANAGEMENT | | | | | | | | | | |
| 3001 EXECUTIVE | 2,004 | 1,545 | 459 | 1,713 | 1,345 | 368 | 1,709 | 427 | 101 | 326 |
| 3002 INVESTMENTS | 13,734 | 14,053 | (319) | 16,099 | 17,800 | (1,701) | 16,688 | 4,172 | 202 | 3,970 |
| 3003 TRUSTEES | 558 | 456 | 102 | 567 | 345 | 222 | 640 | 160 | 166 | (6) |
| 3004 LEGAL & COMPLIANCE | 1,615 | 1,325 | 290 | 1,594 | 1,207 | 387 | 4,405 | 1,101 | 121 | 980 |
| 3005 BENEFITS | 3,522 | 2,841 | 681 | 3,809 | 2,540 | 1,269 | 1,970 | 493 | 228 | 265 |
| 3006 OPERATIONS / FINANCE | 4,302 | 3,578 | 724 | 4,086 | 3,656 | 430 | 4,386 | 1,097 | 644 | 453 |
| 3007 INFORMATION TECHNOLOGY | 8,305 | 5,592 | 2,713 | 8,397 | 3,828 | 4,569 | 13,037 | 3,259 | 123 | 3,136 |
| 3008 PROJECTS | 7,604 | 1,044 | 6,560 | 7,314 | - | 7,314 | - | - | - | - |
| TOTAL SUBTOTAL – DCRB | 41,644 | 30,434 | 11,210 | 43,579 | 30,721 | 12,858 | 42,835 | 10,709 | 1,585 | 9,124 |

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

EXECUTIVE: FY 2018 and 2019 – Most underspent amounts were in the Other Services and Charges, Comptroller Source Group (CSG), primarily Professional Services Fees, in both fiscal years, as the result of lower than anticipated spending.

INVESTMENTS: FY 2018 and 2019 – Investment management fees, which are a significant portion of the departmental budget, fluctuate from year to year, largely based on the performance of the investments under management.

TRUSTEES: FY 2018 and 2019 – There was underspending in Other Services and Charges, primarily for risk management in FY 2018, and for actuarial services in FY 2019.

LEGAL & COMPLIANCE: FY 2018 and 2019 – Most underspent amounts were attributed to lower expenses in Other Services and Charges, primarily Professional Services Fees, specifically outside legal counsel services.

BENEFITS: FY 2018 and 2019 – There was underspending in Personal Services due to vacancies. There also were lower-than-expected costs in Other Services and Charges, primarily Professional Services Fees.

OPERATIONS/FINANCE: FY 2018 and 2019 – There was underspending in Personal Services due to vacancies. There also were lower-than-expected costs in Other Services and Charges, primarily Professional Services Fees.

INFORMATION TECHNOLOGY: FY 2018 and 2019 – As part of the new direction of IT, some projects were postponed, and some support services contracts were terminated. DCRB is expanding its relationship with OCTO for FY 2020 and beyond, with less focus on private contractor support.

PROJECTS: FY 2018 and 2019 – In FY 2018, most of the budget in Other Services and Charges in Projects was for the Pension Information Management System (PIMS) and associated costs. The PIMS project did not start. The expenses for the Projects area in FY 2019 are in the IT Department. The IT and Projects budgets were consolidated in the Information Technology department in the FY 2020 Budget.

15. Please list all memoranda of understanding (MOU) either entered into by your agency or in effect during fiscal years 2019 and 2020 (through January 31). For each, describe its purpose, indicate the date entered, and provide the actual or anticipated termination date.

| <u>MOUs</u> | <u>Purpose</u> | <u>Date Entered</u> | <u>Termination Date</u> |
|---|--|---------------------|-------------------------|
| <u>Fiscal Year 2019:</u> | | | |
| OCTO Web Maintenance | Web services | 10/1/2018 | 9/30/2019 |
| OCTO Pmsafe & VPN Services | VPN access | 10/1/2018 | 9/30/2019 |
| OCTO Data Circuit | WAN connectivity | 10/1/2018 | 9/30/2019 |
| OCTO WebEx | Voice, desktop and video conferencing services | 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, and software | 11/8/2018 | 11/29/2019 |
| OCFO-Office of Finance and Treasury | Engagement of F.S. Taylor for financial auditing and reconciliation of DCRB's Supplemental 401(a) Plan | 3/18/2019 | 9/30/2019 |
| DCHR | Staff development training | 4/5/2019 | 9/30/2019 |
| OCP | Onsite support for procurement matters | 3/26/2019 | 9/30/2020 |
| <u>Fiscal Year 2020 - As of January 31 2020:</u> | | | |
| U.S. Department of the Treasury | Interconnection and enabling access security agreement | 1/14/2020 | 1/14/2023 |
| U.S. Department of the Treasury | Payment of administrative expenses related to administration of Federal and District benefit payments | 10/24/2019 | 9/30/2020 |
| DCHR | Staffing support across a range of HR areas (e.g., recruiting, retirement, training, and benefits) | | In progress |
| OCTO Web Maintenance | Web services | | In progress |
| OCTO Data Circuit | WAN connectivity | | In progress |
| OCTO WebEx | Voice, desktop and video conferencing services | | In progress |
| OCTO SSL Certificate | Secure certificates for web sites | | In progress |
| OCTO DC-Net | Telephone and call center services | | In progress |
| OCTO | Microsoft Office 365 Enterprise E1 and E3 licenses, and software | | In progress |

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, such as the "Form B" for all District agencies (See D.C. Code § 47-318.05a). 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 2018, 2019, and 2020.

DCRB did not submit budget enhancements for any fiscal year.

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 have any capital projects as of January 31, 2020.

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 2019 or 2020 (through January 31).

| Name: | Purpose: | Completed: |
|---|--|-------------------|
| 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 |
| Actuarial Valuation as of October 1, 2019, for Fiscal Year 2021 Employer Contribution | To fulfill the requirements of DC Code § 1-907.02(a) and (c), 1-907.03 (a), and 1-907.04 | 12/2019 |
| Audited Financial Statements for Fiscal Year 2018 | To express an opinion on the FY 2018 financial statements and to obtain reasonable assurance about whether the financial statements are free of material misstatement | 01/2019 |
| Orion Development Group | To facilitate the strategic planning process and identify priority initiatives | 03/2019 |
| Audited Financial Statements for Fiscal Year 2019 | To express an opinion on the FY 2019 financial statements and to obtain reasonable assurance about whether the financial statements are free of material misstatement | 01/2020 |

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

| | | |
|--|---|-------------|
| Office of the Inspector General Inspections and Evaluations Unit | To evaluate DCRB’s procurement processes to determine whether adequate internal controls are in place; and to assess DCRB’s compliance with regulations and policies during solicitation, award, and administration of sampled procurements | In progress |
| FS Taylor & Associates | To evaluate and examine the DCRB Supplemental 401a Plan | In progress |

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 2018, 2019, and 2020 (through January 31). Give a brief description of each grievance, and the outcome as of January 31, 2020. Include on the chronological list any earlier grievance that is still pending in any judicial forum.

In fiscal year 2019, one grievance was filed by a former employee challenging her removal from the agency. This matter has been settled.

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

Staff are to report allegations of sexual harassment to a supervisor, DCRB/HR, or DCRB’s EEO Officer. Staff also 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) If different, please describe the agency’s procedures for investigating allegations of misconduct.

Allegations of misconduct are directed to DCRB/HR. Upon receiving an allegation, DCRB/HR (or appropriate parties) 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.

(c) List and describe each allegation received by the agency in FY 2019 and FY 2020 (as of January 31) and the resolution of each as of the date of your answer.

DCRB received no allegations of sexual harassment. The chart below outlines allegations of misconduct, and the agency’s resolution.

| FY19 | |
|--|---|
| Misconduct Allegation | Resolution |
| Two employees were found to have violated District policy regarding execution of job duties. | After reviewing the matter, DCRB disciplined each, in accordance with District policy (Chapter 16). |
| Employee A alleged unprofessional behavior by Employee B. Employee A requested that behavior of Employee B be addressed, and that the behavior stop. | Meetings were held with Employee B's manager, and with Employee B, who was advised on District policy regarding workplace behavior (in accordance with District's <i>Progressive Discipline</i> framework). |
| FY20 (to 1//31/20) | |
| Misconduct Allegation | Resolution |
| DCRB recently was made aware of potentially improper payments. | Matter is under review. Results of investigation/review may require disciplinary action. |

22. In table format, please list the following for fiscal years 2019 and 2020 (through January 31, 2020) 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).

| Employee/Title | FY 2019 \$ Amount | FY 2020 as of Jan 31 \$ Amount |
|---|------------------------------|---|
| Procurement Card | | |
| Nina Bridgers/Administrative Assistant | 742 | - |
| Wukyanos Gebremeskel/Database Admin. | 16,366 | 614 |
| Johniece Harris/Administrative Specialist | 29,958 | 4,814 |
| Denice McSears/Office Coordinator | 8,988 | 2,328 |
| Bonnie Rivers/Financial Specialist | 16,897 | 2,710 |
| Procurement Card Subtotal | <u>\$ 72,951</u> | <u>\$ 10,466</u> |
| Travel Card | | |
| Johniece Harris/Administrative Specialist | 38,689 | 9,459 |
| Bonnie Rivers/Financial Assistant | 3,616 | - |
| Travel Card Subtotal | <u>\$ 42,305</u> | <u>\$ 9,459</u> |
| Grand Total | <u>\$ 115,256</u> | <u>\$ 19,924</u> |

DCRB's daily aggregate purchasing limit is \$5,000.

23. Please provide a list of all procurements for goods or services for use by your agency over \$10,000 for fiscal years 2019 and 2020 (through January 31). Give a brief explanation of each, including the name of the contractor, purpose of the contract, and the total dollar amount of the contract. Exclude from this answer purchase card (SmartPay) purchases.

FY 2019

| Vendor Name | Description | \$ Amount |
|---|---|------------------|
| Abel Solutions | Investment transaction consulting services | 17,500 |
| Advent Software, Inc. | Software licenses, maintenance & support | 39,552 |
| AON Risk Services | Fiduciary Liability insurance agreement | 106,377 |
| AON Risk Services | Cyber Liability insurance agreement | 23,791 |
| Capitol Document Solutions | Photocopier supplies and services | 46,548 |
| CELLCO partnership agreement | Agency wide verizon wireless services | 21,500 |
| Cavanaugh Macdonald Consulting | Actuarial services | 176,000 |
| CliftonLarsonAllen LLC | Public accounting and audit services | 75,000 |
| Convergence, Inc. | Investment subscription service | 60,000 |
| Diligent Corp | Software licenses, maintenance & support | 31,575 |
| DLT Solutions, Inc. | Solarwinds - software licenses, maintenance & support | 40,290 |
| Election-America, Inc. | Trustee election services | 25,842 |
| Equinix, Inc. | Data Center - offsite information system network | 117,779 |
| eVestment Alliance | Investment data access subscription | 206,990 |
| Groom Law Group, Chartered | Professional legal services | 80,000 |
| Harris, Mackessy & Brennan, Inc. | Scanners - maintenance & support | 13,685 |
| Insightful Pension Consulting Group, LLC | Investment consultant | 149,975 |
| International Foundation of Employee Benefits | CAPPP training for Trustees and Staff | 44,000 |
| Kofax, Inc. | IT system enhancement, maintenance & support | 23,874 |
| Meketa Investment Group | Investment consulting services | 620,000 |
| Metropolitan Life Insurance Company | STD/LTD insurance agreement | 46,951 |
| Mobomo, LLC | Sharepoint development services | 72,382 |
| Morgan, Lewis & Bockius | Legal professional services | 450,000 |
| Networking for Future, Inc. | Cisco switches/routers/IDS - maintenance & support | 14,155 |
| Orion Development Group | Strategic planning - professional services | 53,556 |
| RSM | Financial system services | 19,314 |
| SecureAuth Corporation | System security/multi-authentication software | 18,585 |
| Softech & Associates, Inc. | Filenet and Kofax enhancement, maintenance & support | 230,000 |
| Software Information Resource Corp. | Oracle database services | 304,915 |
| TW Telecom | Communications link services to data center | 20,203 |
| XO Holdings | Data Center communications link | 27,950 |

FY 2020 (through January 31, 2020)

| Vendor Name | Description | \$ Amount |
|-------------------------------------|--|------------------|
| Bolton Partners, Inc. | Actuarial services | 119,099 |
| Capitol Document Solutions | Photocopier supplies, office supplies & services | 12,796 |
| Equinix, Inc. | Data Center - offsite information system network | 36,320 |
| Kofax, Inc. | IT system enhancement, maintenance & support | 12,831 |
| McConnell & Jones, LLP | Audit services | 78,960 |
| Meketa Investment Group | Investment consulting services | 155,000 |
| Metropolitan Life Insurance Company | STD/LTD Insurance agreement | 18,297 |
| Midtown Personnel, Inc. | Temp Staffing | 11,249 |
| Morgan, Lewis & Bockius | Legal professional services | 41,652 |
| vTech Solutions Inc. | Temp Staffing | 15,174 |
| XO Holdings | Data Center communications link | 13,939 |

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

DCRB manages its data costs of issued iPads and laptops by engaging in enterprise contracts with two carriers that offer data plans with discounted government pricing negotiated by the District. DCRB does not issue mobile phones.

(b) In table format if the answer is more than 20 lines, and as an attachment, please provide the following information for fiscal years 2019 and 2020 (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 2019 (As of 9/30/2019) | | | FY 2020 (as of 01/31/2020) | | | Justification |
|------------------------|-----------------------------|--------------------------|-----------|-----------------------------|--------------------------|-----------|----------------------|
| | Total Number of Filled FTEs | Number of Mobile Devices | \$ Amount | Total Number of Filled FTEs | Number of Mobile Devices | \$ Amount | |
| Trustees | 0 | 11 | 4,680 | 0 | 11 | 1,760 | Board communication |
| Information Technology | 11 | 9 | 4,320 | 7 | 7 | 1,120 | Improve productivity |
| Benefits | 24 | 5 | 2,400 | 23 | 3 | 480 | Improve productivity |
| Finance | 5 | 4 | 1,920 | 6 | 5 | 800 | Improve productivity |
| Executive | 7 | 3 | 1,440 | 6 | 4 | 640 | Improve productivity |
| Investment | 3 | 3 | 1,200 | 3 | 2 | 320 | Improve productivity |
| Legal | 4 | 4 | 1,680 | 5 | 4 | 640 | Improve productivity |
| HR | 2 | 2 | 960 | 2 | 2 | 320 | Improve productivity |

25. (a) Does your agency have or use one or more government vehicle? If so, for fiscal years 2019 and 2020 (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.); and (6) what employee discipline resulted, if any.

DCRB does not own, lease nor does DCRB have any assigned vehicles.

(b) Please list all vehicle accidents involving your agency's vehicles for fiscal years 2018, 2019, and 2020 (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.

This is not applicable to DCRB.

26. Please list every lawsuit against the agency that was settled or decided by a trial court in FY 2019 and FY 2020 to date. Briefly describe each and the sanction, if any.

There have been no lawsuits against the agency that were settled or decided by a trial court in FY 2019 or FY 2020 to date.

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 nor 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?

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

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

This is not applicable to DCRB.

29. In table format, please provide the following information for fiscal years 2019 and 2020 (through January 31) regarding your agency's authorization of employee travel: (1) each trip outside the region on official business or agency expense; (2) individuals (by name and title/position) who traveled outside the region; (3) total expense for each trip (per person, per trip, etc.); (4) what agency or entity paid for the trips; and (5) justification for the travel (per person and trip).

| Staff Travel - FY 2019 | | | | | |
|------------------------|------------|---|--------------|--|--|
| Last Name | First Name | Title /Position | DCRB \$ Paid | Event/Purpose | Justification (e.g., Educational, Due Diligence, Conference) |
| Ashford | Pamela | Lead Retirement Analyst | 2,212 | 2019 Federal Benefits Training Event | Educational |
| Barnette | Jeffrey | Chief Investment Officer | 769 | DDJ Capital Annual Meeting | Due Diligence |
| | | | 747 | Tiger Infrastructure Partners and One Rock Capital Partners Annual Investor Meetings | Due Diligence |
| | | | 361 | Northern Trust Meeting | Due Diligence |
| | | | 869 | Kelso and Odyssey's Annual Meetings and Rockwood Capital & Wellspring Capital Due Diligence | Due Diligence |
| | | | 2,310 | GEM Realty Partners & Harrison Street Real Estate & CEM Investment Benchmarking Client Workshop | Due Diligence/Conference |
| | | | 1,339 | Advent International, Centerbridge Partners, and ILPA Members' Conference | Due Diligence/Educational |
| | | | 369 | Advent Latin America VII Meeting | Due Diligence |
| Brown | Shalanda | Lead Member Services Representative | 2,173 | 2019 Federal Benefits Training Event | Educational |
| Dorch | Adina | Staff Attorney | 2,451 | International Foundation Employee Benefits Plan Fraud Prevention Institute | Educational |
| Harris | Johniece | Administrative Specialist | 2,264 | Diligent User Modern Governance Summit/Training | Educational |
| King | Leslie | Senior Counsel | 2,388 | National Association of Public Attorneys Summer Legal Conference | Educational |
| Morgan-Johnson | Sheila | Executive Director | 2,131 | Resource Capital 2018 Annual Meeting | Due Diligence |
| | | | 265 | Tiger Infrastructure Partners and One Rock Capital Partners Annual Investor Meetings | Due Diligence |
| | | | 2,684 | 2019 GFOA Annual Conference | Conference |
| | | | 2,279 | NASRA 65th Annual Conference | Conference |
| | | | 701 | Resource Capital 2019 Annual General Meeting | Due Diligence |
| | | | 704 | Tiger Infrastructure Partners 2019 Annual Meeting | Due Diligence |
| | | | 1,172 | Women's Alternative Investment Summit | Educational |
| Reaves | Deborah | Business Operations Manager & Board Liaison | 2,278 | Diligent User Modern Governance Summit/Training | Educational |
| Sahn | Patrick | Senior Investment Specialist | 1,264 | Line Rock Annual Meeting, Encap Update Meeting, and Intro Meeting with Juniper Capital | Due Diligence |
| | | | 1,651 | Cambridge Associates Private Investments Summit and Rockwood Capital 2019 Annual Investor Conference | Due Diligence/Conference |
| | | | 278 | GEM Realty Partners & Harrison Street Real Estate Meeting | Due Diligence |
| | | | 1,271 | Kelso and Odyssey's Annual Meetings and Rockwood Capital & Wellspring Capital Due Diligence | Due Diligence |
| | | | 4,743 | 72nd CFA Annual Conference and Aermont, Epris, Mondrian, and Orion Update Meetings | Due Diligence/Conference |
| | | | 190 | Advent International and Centerbridge Partners Update Meetings | Due Diligence |
| | | | 1,267 | Harrison Street Annual Investor Meeting and Update Meetings with Channing & NorthernTrust Asset Management | Due Diligence |
| Sampson | Erie | General Counsel/FOIA Officer | 2,708 | GAIM OPS West 2018 Investor Summit, Private Equity Summit and Main Conference | Educational |
| | | | 1,593 | National Association of Public Attorneys Summer Legal Conference | Educational |
| | | | 2,263 | NASRA 65th Annual Conference | Conference |
| Shelborne | Anthony | Chief Financial Officer | 396 | Northern Trust Meeting | Due Diligence |
| | | | 1,317 | CEM Investment Benchmarking Client Workshop | Educational |
| | | | 3,200 | 2019 GFOA Annual Conference | Conference |
| Woods | Kimberly | Director of Risk and Investment Compliance | 250 | Onex Partners & ONCAP Annual General Meetings | Due Diligence |
| | | | 1,313 | ILPA 2019 Members Conference | Conference |
| | | | 198 | Advent Latin America Meeting | Due Diligence |
| | | | 143 | Palladium Equity Partners Annual Meeting | Due Diligence |
| Xanthopoulos | Michael | Senior Investment Analyst | 730 | DDJ Capital Annual Meeting | Due Diligence |
| | | | 423 | General Atlantic 2019 Investor Summit | Due Diligence |
| | | | 315 | Odyssey Investment Partners' Meeting | Due Diligence |
| | | | 741 | Wheelock Street Capital Meeting | Due Diligence |
| | | | 2,132 | Divco Real Estate Due Diligence and Annual Meeting, Vector, True Wind, Accel KKR and Trinity Update Meetings | Due Diligence |
| | | | 254 | Tiger Infrastructure Partners Meeting | Due Diligence |

| Staff Travel - FY 2020 | | | | | |
|------------------------|------------|--|--------------|--|--|
| Last Name | First Name | Title /Position | DCRB \$ Paid | Event/Purpose | Justification (e.g., Educational, Due Diligence, Conference) |
| Morgan-Johnson | Sheila | Executive Director | 704 | Tiger Infrastructure Partners 2019 Annual Meeting | Due Diligence |
| | | | 974 | Women's Alternative Investment Summit | Educational |
| Sahn | Patrick | Senior Investment Specialist | 3431 | Birch Hill, Kidare & HIG Update Meeting, Epris Annual Meetings, and Epris and Anacap Advisory Board Meetings | Due Diligence |
| | | | 500 | One Rock Annual Meeting, Blackrock and Stone Harbor Update Meetings | Due Diligence |
| | | | 226 | Palladium Equity Partners and One Rock Capital Partners Meetings | Due Diligence |
| Woods | Kimberly | Director of Risk and Investment Compliance | 659 | Bernard Capital Partners Annual Meeting | Due Diligence |
| | | | 512 | Birch Hill Partners Meeting | Due Diligence |
| | | | 143 | Palladium Equity Partners Annual Meeting | Due Diligence |
| Xanthopoulos | Michael | Senior Investment Analyst | 315 | Odyssey Investment Partners Meeting | Due Diligence |
| | | | 2132 | Divco Real Estate Due Diligence and Annual Meeting, Vector, True wind, Accel KKR and Trinity Update Meetings | Due Diligence |
| | | | 254 | Tiger Infrastructure Partners Due Diligence Meeting | Due Diligence |

30. Please provide and itemize, as of January 31, 2020, 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, 2020, DCRB had no WAE or term personnel.

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

| Name | Position/Title | Length of Term | Start Date or Current Term | Term Expiration |
|----------------|--------------------------------|----------------|----------------------------|-------------------|
| Gabriela Ortez | Member Services Representative | 4 months | November 1, 2019 | February 28, 2020 |
| Keith Williams | Quality Analyst | 5 months | October 21, 2019 | February 28, 2020 |

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

DCRB conducts open Board meetings, the schedules for which are posted on our website and in the D.C. Register, on a monthly basis and we regularly post the minutes of those meetings within five business days, as required. In addition to the Board minutes, we post our Comprehensive Annual Financial Report; our annual Actuarial Valuations Report; monthly, quarterly, and annual investment performance reports; our quarterly newsletters; and 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. As noted in 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.

During the past year, DCRB has been working to enhance communication to new hires and potential retirees by conducting retirement seminars with our partner agencies. In FY 2019, we held a total of 12 retirement seminars in collaboration with MPD, FEMS, and DCPS.

Finally, District of Columbia government officials were invited to participate in monthly Board meetings and to interact with Trustees and DCRB staff. Within the last 6 months, Mayor Bowser, Council Chairman Mendelson, FEMS Chief Dean, and MPD Chief Newsham have attended our meetings.

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

DCRB has been in discussions with OCTO, our Treasury partners, and our actuary to explore ways of leveraging their services and existing applications to expand DCRB's ability to communicate with Plan members, stakeholders, and the public.

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 does not have statutory or regulatory impediments to DCRB's operations. However, amendments are needed to the Replacement Plans (DC Code §§ 5-723.03, 38-2021.07a) to comply with the federal "Setting Every Community Up for Retirement Enhancement (SECURE) Act" of 2019, enacted December 20, 2019. That Act increased the required minimum distributions (RMD) age from 70 ½ to 72 beginning January 1, 2020 for terminated vested participants who turn 70 ½ after December 31, 2019.

35. Did your agency receive any FOIA requests in fiscal year 2019? 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 each fiscal year 2018, 2019, and 2020 (as of January 31) related to FOIA.

Yes, DCRB received 17 FOIA requests in fiscal year 2019 and filed a report of FOIA disclosure activities with the Secretary of the District of Columbia. A copy of the report is attached. See Attachment # 3.

| | | |
|--------------------------------------|----------------|-----------------|
| FOIA total cost incurred for: | FY 2018 | \$ 2,828 |
| | FY 2019 | \$ 2,945 |
| | FY 2020 | \$ 3,034 |

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 2018, 2019 and 2020 (through January 31).

| | |
|---|----------------|
| Current adjusted expendable budget | \$3,545,002 |
| Amount spent with SBEs | \$37,182 |
| Percent of agency's expendable budget spent with SBEs | 1.0% |
| Amount with CBEs | Not applicable |
| CBE waivers submitted | Not applicable |
| Efforts to reduce the number of CBE waivers submitted | Not applicable |

| SBE Spending Goal | Annual Goal (Adjusted) | Annual Spend | % Spent |
|------------------------------|------------------------|--------------|---------|
| FY 2018 | \$1,167,412 | \$637,072 | 54.6% |
| FY 2019 | \$630,223 | \$283,725 | 45.0% |
| FY 2020 (through January 31) | \$1,772,501 | \$ 37,182 | 2.0% |

37. Please provide, as an attachment, a copy of your agency’s 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) 2018, 2019, and 2020 (through the first quarter).

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

- (b) What KPIs have been dropped (or changed) since 2018? List each specifically and explain why it was dropped or changed.

As an independent agency, this is not applicable to DCRB.

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 2019 and 2020.

1) 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. We continue to implement the recommendations from the independent IT audit performed in FY 2018 to assure that our IT footprint is consistent with the needs of the Agency. We continue to reduce the complexity in the IT footprint and, are transitioning our critical systems to OCTO's data center. Further, we conducted annual training on privacy and cybersecurity practices.

During FY 2019 and FY 2020, we hired new staff to support investment operational due diligence, financial management, information technology, and internal audit.

2) Expand and improve benefits administration capabilities, to assure 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. In FY 2019, DCRB collaborated with U.S. Treasury to perform additional quality reviews and audits on monthly processing of cases. From these reviews, additional feedback and training have been provided to staff so that continued accuracy and timeliness can be achieved. In FY 2020, the projects unit will be staffed to enhance benefits administration functions.

In FY 2020, we are continuing to coordinate with the U. S. Treasury to develop a self-service application that will allow annuitants to access their benefit and tax-related information. This initiative is a priority for three reasons: 1) improving customer service and enhancing our members' experience; 2) moving DCRB closer to its retirement system peers in providing annuitants with secure and easy access to their personal information; and 3) reducing the number of member calls and visits we receive for routine questions and member record updates. This will be a multi-year project, and the first-year goal is to implement read-only access for all annuitants.

3) 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 long-term return that meets or exceeds our actuarial investment return target of 6.5%. This target is intended to sustain the Fund's viability over the long-term investment horizon. As of September 30, 2019, the Fund had generated an annualized gross return of 8.6% since its inception in October 1982, well in excess of the target.

To generate long-term, sustainable, risk-adjusted returns, the Board sets and reviews the Fund's strategic asset allocation, which is the mix of stocks, bonds, and other asset types that is designed to generate an expected investment return in excess of actuarial investment return target. In FY 2020, the Board will review the Fund's strategic asset allocation and consider potential changes to ensure the Fund is well positioned to exceed the actuarial investment return target.

In addition, we will monitor the performance of the Fund to ensure that the actual allocations stay within approved ranges. In FY 2019 and FY 2020 to date, we completed 41 rebalancing transactions, many at zero transaction cost. In addition, we will continue to focus on minimizing investment fees and expenses. Lower investment fees and expenses help improve the Fund's net of fee investment performance.

4) Refine DCRB's organizational structure to meet changing agency responsibilities and needs.

DCRB completed an update to its five-year Strategic Plan in spring 2019. A new Strategy Map was developed to serve as our guide over the next five years, and we are currently involved in both identifying and prioritizing the plan initiatives that will assist us in reaching our goals. Along with the initiatives, we are reviewing a proposed organizational design structure geared toward supporting our strategic efforts.

5) Foster member and stakeholder trust through enhanced communications and collaborative outreach.

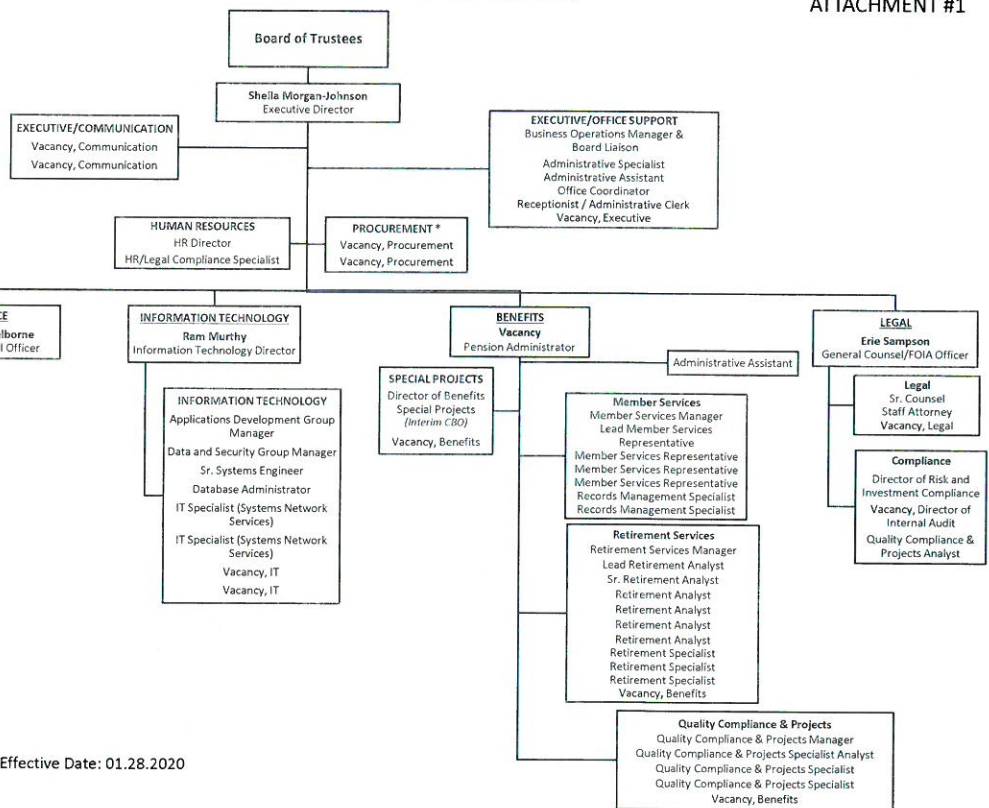
DCRB's communication efforts included bi-annual newsletters sent to all members that provide financial information on the status of the Fund, along with articles on general benefits administration matters, such as, cost-of-living adjustments, open enrollments, and year-end tax considerations. DCRB has expanded the outreach by publishing winter and summer versions to 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.

We continue to work closely with our stakeholders as DCRB implements its strategic planning initiatives. We continue to collaborate with DCPS, DCHR, FEMS and MPD to offer retirement workshops for retiring Plan members. As mentioned in Question 31 DCRB held a total of 12 retirement seminars in collaboration with MPD, FEMS, and DCPS in FY2019.



The District of Columbia Retirement Board (DCRB)

ATTACHMENT #1



- Vacancies Posted and/or in Applicant-Review (9)**
- Accountant III
 - Chief Investment Officer
 - Director of Internal Audit
 - Information Systems Security Officer
 - Pension Administrator
 - Project Analyst
 - Quality, Compliance, and Projects Specialist
 - Retirement Services Supervisor
 - Staff Attorney

Fiscal Year 2020 Budgeted FTEs: 75 (52 filled, 23 Vacancies); Effective Date: 01.28.2020

*Staffed by DC Office of Contracting & Procurement (OCP)

ATTACHMENT #2

Q#2: Current Schedule A, +Fringe (as of 02/01/2020)

| Department | Title | Last Name | First Name | Salary | Fringe | Total |
|------------------------|---|-------------------|------------|---------|--------|---------|
| Benefit | Administrative Assistant | Harden | Cheryl | 55,523 | 13,881 | 69,404 |
| Benefit | Analyst, Quality Compliance & Projects | Jordan Richardson | Lisa | 91,607 | 22,902 | 114,509 |
| Benefit | Director, Special Benefits Projects | Hernandez | Daniel | 192,596 | 48,149 | 240,745 |
| Benefit | Lead Member Services Representative | Brown | Shalanda | 60,811 | 15,203 | 76,014 |
| Benefit | Lead Retirement Analyst | Ashford | Pamela | 93,108 | 23,277 | 116,385 |
| Benefit | Manager, Quality Compliance & Projects | Thomas | Jacqueline | 122,894 | 30,724 | 153,618 |
| Benefit | Member Services Manager | Oliver | Jacqueline | 93,083 | 23,271 | 116,354 |
| Benefit | Member Services Representative | Willis | Jennifer | 48,800 | 12,200 | 61,000 |
| Benefit | Member Services Representative | LaPrade | India | 49,500 | 12,375 | 61,875 |
| Benefit | Member Services Representative | Carver | Sean | 50,055 | 12,514 | 62,569 |
| Benefit | Member Services Representative | Meagher | Dylan | 50,063 | 12,516 | 62,579 |
| Benefit | Records Management Specialist | Morgan | Dennis | 57,916 | 14,479 | 72,395 |
| Benefit | Retirement Analyst | Maynard | Paul | 70,000 | 17,500 | 87,500 |
| Benefit | Retirement Analyst | Graham-Keith | Sharon | 77,897 | 19,474 | 97,371 |
| Benefit | Retirement Analyst | Marshmon | Giovanni | 75,391 | 18,848 | 94,239 |
| Benefit | Retirement Analyst | Johnson | Bridgette | 74,263 | 18,566 | 92,829 |
| Benefit | Retirement Services Manager | Treadwell | Sylvia | 144,581 | 36,145 | 180,726 |
| Benefit | Retirement Specialist | Fautleroy | Anjanette | 70,593 | 17,648 | 88,241 |
| Benefit | Retirement Specialist | Short | Terry | 74,942 | 18,736 | 93,678 |
| Benefit | Retirement Specialist | Weedon | Kiana | 61,254 | 15,314 | 76,568 |
| Benefit | Senior Retirement Analyst | Thomas | Lovely | 89,784 | 22,446 | 112,230 |
| Benefit | Specialist, Quality Compliance & Projects | Ross | Anita | 97,675 | 24,419 | 122,094 |
| Benefit | Specialist, Quality Compliance & Projects | John | Thomas | 95,858 | 23,965 | 119,823 |
| Benefit | Analyst, Quality Compliance & Projects | Massie-Armstrong | Paralee | 96,588 | 24,147 | 120,735 |
| Benefit | Vacant (Pension Administrator) | | | | | |
| Benefit | Vacant (Business Analyst) | | | | | |
| Executive | Executive Director | Morgan-Johnson | Sheila | 262,617 | 65,654 | 328,271 |
| Executive | Business Operations Manager and Board Liaison | Reaves | Deborah | 130,862 | 32,716 | 163,578 |
| Executive | Administrative Specialist | Harris | Johniece | 73,732 | 18,433 | 92,165 |
| Executive | Administrative Assistant | Bridgers | Nina | 50,637 | 12,659 | 63,296 |
| Executive | Administrative Coordinator | Mcsears | Denice | 55,699 | 13,925 | 69,624 |
| Executive | Receptionist/Admin Clerk | St.Hill | Takeetha | 50,000 | 12,500 | 62,500 |
| Executive | Vacant (Communication Specialist) | | | | | |
| Executive | Vacant (Director, Stakeholder Communication & Outreach) | | | | | |
| Finance | Senior Accountant | O'Neal | Rhonda | 129,484 | 32,371 | 161,855 |
| Finance | Chief Financial Officer | Shelborne | Anthony | 221,389 | 55,347 | 276,736 |
| Finance | Financial Specialist | Rivers | Bonnie | 83,520 | 20,880 | 104,400 |
| Finance | Accountant | Morgan | Ricardo | 85,375 | 21,344 | 106,719 |
| Finance | Controller | Kawashima | Akiko | 132,000 | 33,000 | 165,000 |
| Finance | Senior Financial Management and Budget Analyst | Nichols | Ortencia | 114,737 | 28,684 | 143,421 |
| Information Technology | IT Specialist (Systems Network Services) | Jackson | Mark | 115,360 | 28,840 | 144,200 |
| Information Technology | Senior Systems Engineer | Andrade | Diego | 128,116 | 32,029 | 160,145 |
| Information Technology | IT Specialist (Systems Network Services) | Romero | Anthony | 89,500 | 22,375 | 111,875 |
| Information Technology | Director, Information Technology | Murthy | Ram | 191,000 | 47,750 | 238,750 |
| Information Technology | Applications Development Manager | Burnett | Michaela | 146,996 | 36,749 | 183,745 |
| Information Technology | Database and Cyber Security Group Manager | Frimpong | Ferdinand | 157,556 | 39,389 | 196,945 |
| Information Technology | Database Administrator | Gebremeskel | Wukyanos | 114,930 | 28,733 | 143,663 |
| Information Technology | Vacant (Security Administrator/ISSO) | | | | | |
| Information Technology | Vacant (IT PMO Coordinator/Budget Manager) | | | | | |
| Investments | Senior Investment Strategist | Sahm | Patrick | 179,808 | 44,952 | 224,760 |
| Investments | Executive Assistant | Greene | Joyce | 73,654 | 18,414 | 92,068 |
| Investments | Senior Investment Analyst | Xanthopoulos | Michael | 126,690 | 31,673 | 158,363 |
| Investments | Vacant (Chief Investment Officer) | | | | | |
| Legal | General Counsel | Sampson | Erie | 262,617 | 65,654 | 328,271 |
| Legal | Senior Counsel | King | Leslie | 207,874 | 51,969 | 259,843 |
| Legal | Director, Risk and Investment Compliance | Woods | Kimberly | 180,000 | 45,000 | 225,000 |
| Legal | Staff Attorney | Dorch | Adina | 142,140 | 35,535 | 177,675 |
| Legal | Analyst, Quality Compliance & Projects | Massie-Armstrong | Paralee | 96,588 | 24,147 | 120,735 |
| Legal | Vacant (Director, Internal Audit) | | | | | |
| Operations/HR | HR/Legal Compliance Specialist | Carson | Rabinai | 111,376 | 27,844 | 139,220 |
| Operations/HR | Director, Human Resources | Valentine | Lawrence | 162,240 | 40,560 | 202,800 |

Notes: Schedule A reflects AIA (Administrative Income Allowance) for Executive Director and General Counsel; all budgeted FTEs as of 02/01/2020.

Agency Name

DC Retirement Board

Annual Freedom of Information Act Report for Fiscal Year 2019

October 1, 2018 through September 30, 2019

FOIA Officer Reporting Erie F. Sampson, General Counsel

PROCESSING OF FOIA REQUESTS

| | |
|---|----|
| 1. Number of FOIA requests received during reporting period..... | 17 |
| 2. Number of FOIA requests pending on October 1, 2018..... | 0 |
| 3. Number of FOIA requests pending on September 30, 2019..... | 0 |
| 4. The average number of days unfilled requests have been pending before each public body as of September 30, 2019..... | 0 |

DISPOSITION OF FOIA REQUESTS

| | |
|--|----|
| 5. Number of requests granted, in whole..... | 10 |
| 6. Number of requests granted, in part, denied, in part..... | 4 |
| 7. Number of requests denied, in whole..... | 2 |
| 8. Number of requests withdrawn..... | 1 |
| 9. Number of requests referred or forwarded to other publicbodies..... | 0 |
| 10. Other disposition | 0 |

NUMBER OF REQUESTS THAT RELIED UPON EACH FOIA EXEMPTION

| | |
|--|---|
| 11. Exemption 1 - D.C. Official Code § 2-534(a)(1)..... | 6 |
| 12. Exemption 2 - D.C. Official Code § 2-534(a)(2)..... | 0 |
| 13. Exemption 3 - D.C. Official Code § 2-534(a)(3) | |
| Subcategory (A)..... | 0 |
| Subcategory (B)..... | 0 |
| Subcategory (C) | 0 |
| Subcategory (D) | 0 |
| Subcategory (E) | 0 |
| Subcategory (F) | 0 |
| 14. Exemption 4 - D.C. Official Code § 2-534(a)(4) | 0 |
| 15. Exemption 5 - D.C. Official Code § 2-534(a)(5)..... | 0 |

| | |
|---|---|
| 16. Exemption 6 - D.C. Official Code § 2-534(a)(6) | |
| Subcategory (A)..... | 0 |
| Subcategory (B)..... | 0 |
| 17. Exemption 7 - D.C. Official Code § 2-534(a)(7)..... | 0 |
| 18. Exemption 8 - D.C. Official Code § 2-534(a)(8)..... | 0 |
| 19. Exemption 9 - D.C. Official Code § 2-534(a)(9)..... | 0 |
| 20. Exemption 10 - D.C. Official Code § 2-534(a)(10)..... | 0 |
| 21. Exemption 11 - D.C. Official Code § 2-534(a)(11)..... | 0 |
| 22. Exemption 12 - D.C. Official Code § 2-534(a)(12)..... | 0 |

TIME-FRAMES FOR PROCESSING FOIA REQUESTS

| | |
|---|----|
| 23. Number of FOIA requests processed within 15 days..... | 10 |
| 24. Number of FOIA requests processed between 16 and 25 days..... | 3 |
| 25. Number of FOIA requests processed in 26 days or more..... | 3 |
| 26. Median number of days to process FOIA Requests..... | 14 |

RESOURCES ALLOCATED TO PROCESSING FOIA REQUESTS

| | |
|---|---------|
| 27. Number of staff hours devoted to processing FOIA requests..... | 40 |
| 28. Total dollar amount expended by public body for processing FOIA requests..... | Unknown |

FEEES FOR PROCESSING FOIA REQUESTS

| | |
|--|-----|
| 29. Total amount of fees collected by public body..... | \$0 |
|--|-----|

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..... | 0 |
|---|---|

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].”

The District of Columbia Retirement Board (DCRB) receives several FOIA requests focused on investment matters. In response to such public inquiries and to ensure full transparency, DCRB posts investment information on its website.