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March 9, 2021

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 March 11, 2021. 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,

Karen Hsu  
Acting Executive Director  
District of Columbia Retirement Board

Enclosure

DCRB Responses to Performance Hearing Questions, Round 1

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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

DCRB – 2021 Round 1 Performance 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, March 9, 2021**. Please avoid the use of attachments unless specifically requested. If you need to discuss any of the questions, please contact Evan Cash, Committee and Legislative Director at 724-7002.

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, 2021. 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 indicate for which of the following positions a vacancy currently exists. For each, please include the date the position became vacant and when the position was most recently filled: a) Executive Director, b) Chief Benefits Officer, c) Chief Investment Officer, d) Chief Financial Officer, e) Chief Technology Officer, f) General Counsel, g) Human Resources Director, h) Chief Procurement Officer.

Title	Current Status	Date most recently filled	Date Position became vacant <sup>1</sup>
<i>Chief Financial Officer</i>	Vacant <sup>2</sup>	3/15/2021	4/24/2020
<i>Chief Procurement Officer (“Sr. Contract Specialist”)</i>	Vacant <sup>3</sup>	8/22/2018	8/23/2018
<i>Executive Director</i>	Filled <sup>4</sup>	10/15/2017	See footnote 1
<i>General Counsel</i>	Filled	9/8/2008	See footnote 1
<i>Human Resources Director</i>	Filled	5/23/2011	See footnote 1
<i>Chief Benefits Officer (re-titled “Pension Administrator”)</i>	Filled	8/03/2020	4/13/2019
<i>Chief Investment Officer</i>	Filled	8/03/2020	9/13/2019
<i>Chief Technology Officer (reclassified to “IT Director”)</i>	Filled	10/15/2019	4/17/2018

4. Please list as of March 1 all employees detailed to or from your agency, if any, anytime this fiscal year. 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.

<sup>1</sup> The General Counsel, Human Resources, and Executive Director positions have been continuously filled and have had low turnover.

<sup>2</sup> Offer accepted and pre-hire work completed; start date is March 15, 2021.

<sup>3</sup> Office of Contracting and Procurement has been providing services via Memorandum of Understanding since March 1, 2019. Actively recruiting for Sr. Procurement Specialist.

<sup>4</sup> Position will become vacant on March 27, 2021. Current Executive Director retiring March 26, 2021.

**There were no employees detailed to or from the District of Columbia Retirement Board (DCRB) as of March 1, 2021.**

5. (a) For fiscal year 2020, 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.

<b>Last Name</b>	<b>First Name</b>	<b>Title</b>	<b>Salary \$</b>	<b>Bonus \$</b>
Morgan-Johnson	Sheila	Executive Director <sup>5</sup>	270,496	23,521
Sampson	Erie	General Counsel <sup>6</sup>	262,618	
Spindel	Mark	Chief Investment Officer	235,214	
Hsu	Karen	Pension Administrator	235,214	
King	Leslie	Senior Counsel	211,198	
Hernandez	Daniel	Director, Special Benefits Projects	198,374	
Murthy	Ram	Director, IT	191,000	
Woods	Kimberly	Director, Risk and Investment Management	190,962	
Sahm	Patrick	Senior Investment Strategist	185,202	
Valentine	Lawrence	Director, Human Resources	172,120	
Frimpong	Ferdinand	Database and Cyber Security Group Manager	162,283	
Burnett	Michaela	Applications Development Manager	151,406	
Treadwell	Sylvia	Retirement Services Manager	148,918	
Dorch	Adina	Staff Attorney	146,404	
Reaves	Deborah	Business Operations Manager and Board Liaison	134,788	
O'Neal	Rhonda	Senior Accountant	133,369	
Kawashima	Akiko	Controller	132,000	
Andrade	Diego	Senior Systems Engineer	131,959	
Xanthopoulos	Michael	Senior Investment Analyst	130,491	
Thomas	Jacqueline	Manager, Quality & Compliance Unit	126,581	

<sup>5</sup> Salary includes Additional Income Allowance (AIA). Base salary was \$235,214.

<sup>6</sup> Salary includes Additional Income Allowance (AIA). Base salary was \$235,214.

(b) For fiscal year 2021 (as of March 1), 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.

<b>Last Name</b>	<b>First Name</b>	<b>Title</b>	<b>Salary \$</b>	<b>Bonus \$</b>
Morgan-Johnson	Sheila	Executive Director <sup>7</sup>	270,496	
Sampson	Erie	General Counsel <sup>8</sup>	262,618	
Spindel	Mark	Chief Investment Officer	235,214	
Hsu	Karen	Pension Administrator	235,214	
King	Leslie	Senior Counsel	211,198	
Hernandez	Daniel	Director, Special Benefits Projects	198,374	
Murthy	Ram	Director, IT	196,730	
Woods	Kimberly	Director, Risk and Investment Management	190,962	
Sahm	Patrick	Senior Investment Strategist	185,202	
Valentine	Lawrence	Director, Human Resources	172,120	
Frimpong	Ferdinand	Database and Cyber Security Group Manager	162,283	
Dorch	Adina	Senior Counsel	161,044	
Burnett	Michaela	Applications Development Manager	151,406	
Treadwell	Sylvia	Retirement Services Manager	148,918	
Xanthopoulos	Michael	Senior Investment Strategist	143,540	
Kawashima	Akiko	Controller	135,960	
Reaves	Deborah	Business Operations Manager and Board Liaison	134,788	
O'Neal	Rhonda	Senior Accountant	133,369	
Andrade	Diego	Senior Systems Engineer	131,959	
Thomas	Jacqueline	Manager, Quality & Compliance Unit	126,581	

<sup>7</sup> Salary includes Additional Income Allowance (AIA). Base salary is \$235,214.

<sup>8</sup> Salary includes Additional Income Allowance (AIA). Base salary is \$235,214.

6. Please list, in descending order, the top 15 overtime earners in your agency for fiscal year 2020. For each, state the employee's name, position or title, salary, and aggregate overtime pay.

Last Name	First Name	Title	Salary \$	Overtime \$
LaPrade	India	Member Services Representative	62,000	6,919
Morgan	Dennis	Records Management Specialist	59,653	2,938
Carver	Sean	Records Management Specialist	56,713	1,879
Brown	Shalanda	Lead Member Services Representative	62,635	582
Marshmon	Giovanni	Retirement Analyst	83,100	581
Harris	Johniece	Administrative Specialist	75,944	284
Johnson	Bridgette	Retirement Analyst	76,491	268
Graham-Keith	Sharon	Retirement Analyst	80,234	203
Meagher	Dylan	Member Services Representative	56,721	171

7. For fiscal years 2020 and 2021 (as of March 1), 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.

**For FY2020, DCRB's Board of Trustees authorized a performance bonus of \$23,521 (10% of base salary) for the Executive Director.**

**There have been no bonuses awarded for FY2021.**

8. For fiscal years 2020 and 2021 (as of March 1), 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.**

9. For fiscal years 2019, 2020, and 2021 (as of March 1), 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.**

10. Please provide the name of each employee who was or is on administrative leave in fiscal years 2020 and 2021 (as of March 1). 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 March 31, 2021).

**DCRB did not have any employees on administrative leave during this period.**

11. For fiscal years 2020 and 2021 (as of March 1), please list, in chronological order, all intra-District transfers to or from the agency. Give the date, amount, and reason for the transfer.

**DCRB made intra-District transfers for five agencies in fiscal years 2020 and 2021:**

<b>FY</b>	<b>Agency</b>	<b>Date</b>	<b>Reason</b>	<b>Amount</b>	
<b>2020</b>	OCTO	10/1/2019	Telephone system expenses	\$ 56,082	Paid
	OCP	10/1/2019	Procurement Support	132,502	Paid
	OCTO	10/1/2019	Microsoft Office 365 Enterprise	3,223	Paid
	OOS	5/13/2020	Records Management	22,743	Paid
	OCTO	8/6/2020	Telephone system expenses	59,322	Paid
	FEMS	8/15/2020	Use of Actuary	13,000	Received
<b>FY</b>	<b>Agency</b>	<b>Date</b>	<b>Reason</b>	<b>Amount</b>	
<b>2021</b>	DCHR	10/15/2020	HR Services	\$ 56,220	Paid

12. Please list, in chronological order, every reprogramming of funds into or out of the agency for fiscal years 2020 and 2021 (as of March 1). 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 have any reprogramming of funds into or out of the agency for fiscal years 2020 and 2021.**

13. Please list, in chronological order, every reprogramming within your agency during fiscal year 2021 to date. Also, include both known and anticipated intraagency reprogrammings. For each, give the date, amount, and rationale.

**DCRB did not reprogram any funds.**

14. For fiscal years 2020 and 2021 (as of March 1), 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 2019, 2020, and 2021 (as of March 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 2020 and 2021, DCRB did not have any special purpose revenue funds.**

15. Please provide a table showing your agency's Council-approved original budget, revised budget (after reprogrammings, etc.) for fiscal years 2019, 2020, and the first quarter of 2021. In addition, please explain the variances between fiscal year appropriations and actual expenditures for fiscal years 2019 and 2020.

**(Dollars in thousands)**

Dept/Program Activity	FY 2019			FY 2020			FY 2021			YTD - Bud as of Dec 31 (3 months of the fiscal year)		
	BUDGET	Actual	\$ Variance Bud-Act*	BUDGET	Actual	\$ Variance Bud-Act*	BUDGET	Actual	YTD - Bud-Act*	YTD - Bud-Act*	\$ Variance Bud-Act*	
3000 DCRB AGENCY MANAGEMENT												
3001 EXECUTIVE	1,713	1,346	367	1,709	1,137	572	1,761	441	440	1,320	(1)	
3002 INVESTMENTS	16,099	17,800	(1,701)	16,688	18,533	(1,845)	17,066	1,353	4,267	15,713	2,914	
3003 TRUSTEES	567	345	222	640	438	202	1,037	47	259	990	212	
3004 LEGAL & COMPLIANCE	1,594	1,207	387	1,970	1,400	570	2,172	353	543	1,819	190	
3005 BENEFITS	3,809	2,540	1,269	4,405	2,792	1,613	4,492	687	1,123	3,805	436	
3006 OPERATIONS / FINANCE	4,086	3,656	430	4,386	3,216	1,170	4,653	737	1,163	3,916	426	
3007 INFORMATION TECHNOLOGY	8,397	3,828	4,569	13,038	4,165	8,873	12,918	356	3,230	12,562	2,874	
3008 PROJECTS	7,314	-	7,314	-	-	-	-	-	-	-	-	
<b>TOTAL</b>	<b>43,579</b>	<b>30,722</b>	<b>12,857</b>	<b>42,836</b>	<b>31,681</b>	<b>11,155</b>	<b>44,099</b>	<b>3,974</b>	<b>11,025</b>	<b>40,125</b>	<b>7,051</b>	

**EXECUTIVE - 2019 - 2020** -- Most underspent amounts were in Other Services & Charges, Professional Services Fees account resulting from lower spending than anticipated, particularly planning related to a budgeted project that did not occur. Also, costs for contractual services for DCRB's shared cost for pension system upgrade and maintenance in FY 2020 were lower than anticipated.

**INVESTMENTS - 2019 - 2020** -- Investment management fees fluctuate from year to year, largely based on investments under management and financial markets' performance. Investment manager fees totaled \$17.5 million in FY 2020.

**TRUSTEES - 2019 - 2020** -- There was underspending in Other Services & Charges primarily due to lower Insurance and Risk Premiums for both years. In FY 2019 there were fewer than anticipated elections. In FY 2020 consulting services set aside to the Board was unspent.

**LEGAL - 2019 - 2020** -- Most underspent amounts were in Other Services & Charges, Professional Services Fees for outside legal counsel services. There is also unspent budget for FY 2020 for planned consulting services on intellectual property.

**BENEFITS - 2019 - 2020** -- There is less spending in Personal Services (PS) due to vacancies. Furthermore, for FY 2020, there was less than expected spending on consulting services related to member services projects.

**OPS/FINANCE - 2019 - 2020** -- Spending in Personal Services are lower due to vacancies for both periods. Also, FY 2020 amounts include anticipated spending in procurement software that did not occur.

**INFORMATION TECHNOLOGY - 2019 - 2020** -- For both periods DCRB has decreased spending in IT due to continued leverage of OCTO's technology resources, as provided through its expanded Memorandum of Understanding, reducing costs in IT support and maintenance.

16. Please list all memoranda of understanding (MOU) either entered into by your agency or in effect during fiscal years 2020 and 2021 (as of March 1). For each, describe its purpose, indicate the date entered, and provide the actual or anticipated termination date.

<b>MOUs</b>	<b>Purpose</b>	<b>Date Entered</b>	<b>Termination Date</b>
<b><u>Fiscal Year 2020:</u></b>			
OCTO DC-NET	Wide Area Network (WAN), phone and call center solutions including VPN access, voice, desktop and web conferencing services	10/1/2019	9/30/2020
U.S. Department of the Treasury, Office of D.C. Pensions (ODCP)	Payment of administrative expenses related to administration of Federal and District benefit payments	10/1/2019	9/30/2020
U.S. Department of the Treasury, Office of D.C. Pensions (ODCP)	Interconnection and enabling access to systems between ODCP and DCRB	1/14/2020	1/13/2023
The Office of the Secretary (Office of Public Records)	Records Retention Schedule Development Services	5/15/2020	9/30/2020
OCTO	Microsoft Office 365 Enterprise (Project Pro & Visio Pro)	10/1/2019	9/30/2020
OCP	Onsite support for procurement matters	10/1/2019	9/30/2020
<b><u>Fiscal Year 2021 - As of March 1, 2021<sup>9</sup>:</u></b>			
U.S. Department of the Treasury, Office of D.C. Pensions (ODCP)	Payment of administrative expenses related to administration of Federal and District benefit payments	10/1/2020	9/30/2021
DCHR	Staffing support across a range of HR areas (e.g., recruiting, retirement, training, and benefits)	10/1/2020	9/30/2021
OCTO	OCTO Enterprise Cloud Computing & Infrastructure Services (ECIS) for hosting DCRB systems	10/1/2020	9/30/2021

<sup>9</sup> DCRB has five (5) other interagency MOUs in process with OCTO and OCP.

17. 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 2019, 2020, and 2021.

**DCRB did not submit budget enhancements for any fiscal year.**

18. Please list all currently open capital projects for your agency (as of March 1st) 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 had no capital projects.**

19. 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 is one civil action pending against DCRB: *Annetta H. Nicholas v. US Department of Treasury and District of Columbia Retirement Board*, CA No. 20-cv-2088-JEB, USDC DC. This case poses no potential significant liability to the city in terms of money or change in practices. This action was filed by a retired teacher under the District of Columbia Teachers’ Retirement Plan who alleges she is entitled to a higher voluntary retirement benefit rather than her current disability retirement benefit.**

20. (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 2020 or 2021 (as of March 1).

<b>Name:</b>	<b>Purpose:</b>	<b>Completed:</b>
Actuarial Valuations as of October 1, 2020, for Fiscal Year 2022 Employer Contributions	To fulfill the requirements of DC Code § 1-907.02(a) and (c), 1-907.03 (a), and 1-907.04	12/2020
Audited Financial Statements for Fiscal Year 2019	To express an opinion on the FY 2019 financial statements and to obtain reasonable assurance on whether the financial statements are free of material misstatement	01/2020
Audited Financial Statements for Fiscal Year 2020	To express an opinion on the FY 2020 financial statements and to obtain reasonable assurance on whether the financial statements are free of material misstatement	01/2021
Office of the Inspector General Inspections and Evaluations (I&E) 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	06/2020

- (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 (I&E) Unit	To follow-up on its evaluation of DCRB's procurement processes to assess: 1) the status of open recommendations; 2) whether corrective actions remedied key conditions identified in prior OIG I&E reports; and 3) whether agencies realized monetary benefits.	In progress
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21. How many grievances have been filed by employees or labor unions against agency management? Please list each of them by year for fiscal years 2019, 2020, and 2021 (as of March 1). Give a brief description of each grievance, and the outcome as of March 1, 2021. 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 their removal from the agency. This matter was settled.**

22. (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 chronologically and describe each allegation of sexual harassment and misconduct received by the agency in FY 2020 and FY 2021 (as of March 1) and the resolution of each as of the date of your answer.

**DCRB did not receive allegations of sexual harassment in FY 2020 or FY 2021. DCRB also did not receive allegations of misconduct in FY 2020. Currently, the agency is reviewing concerns raised in FY2021 regarding potential misconduct. DCRB is handling confidentially and, if warranted, will apply the appropriate levels of discipline, based on findings.**

23. In table format, please list the following for fiscal years 2020 and 2021 (as of March 1, 2021) 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	FY2020	FY2021 As of Mar. 1
<b>Procurement Card</b>		
Bonnie Rivers/Financial Specialist	\$ 11,908	\$ 3,712
Cheryl Harden/Administrative Assistant	1,280	-
Denice McSears/Office Coordinator	6,022	5,036
Johniece Harris/Administrative Specialist	14,459	1,614
Wukyanos Gebremeskel/IT Specialist, Applications & Data Services	6,938	829
	\$ 40,607	\$ 11,191
<b>Travel Card</b>		
Johniece Harris/Administrative Specialist	\$ 20,326	\$ -

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

24. Please provide a list of all procurements for goods or services for use by your agency over \$10,000 for fiscal years 2020 and 2021 (as of March 1). 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 2020**

<b>Vendor Name</b>	<b>Description</b>	<b>Contract<sup>10</sup> Amount</b>
Advent Software Inc.	Software licenses, Maintenance & Support	37,544
Bolton Partners, Inc.	Actuarial Services	176,000
Capitol Document Solution	Photocopier supplies, office supplies & services	45,348
Convergence, Inc.	Investment subscription service	60,000
Diligent Corporation	Software licenses, Maintenance & Support	31,575
DLT Solutions, LLC	NetBackup - licenses, Maintenance & Support	13,126
Election-America, Inc.	Trustee Elections Services	13,074
Equinix, Inc.	DataCenter Colocation Services	58,889
Evestment Alliance, LLC	Investment data access subscription	21,682
Groom Law Group, Chartered	Professional Legal Services	80,000
Harris, Mackessy & Brennan, Inc. dba HMB, Inc.	Fujitsu Scanners, Maintenance & Support Services	13,685
Hartford Casualty Insurance Company	Property Casualty Insurance	11,810
Iron Mountain	Data and tape backup storage services	32,670
Kastle Systems LLC	Building lock and security systems services	14,526
KOFAX, Inc.	IT system enhancement, maintenance & support	38,494
Level 3 Communications, LLC	Internet Services in Data Center	10,800
McConnell & Jones, LLP	Financial Audit Services	78,960
Meketa Investment Group	Investment consulting services	564,467
Metropolitan Life Insurance Company	STD/LTD insurance agreement	48,463
Midtown Personnel, Inc. dba The Midtown Group	Temp Staffing	131,560
Morgan, Lewis & Bockius, LLP	Legal Professional Services	450,000
MVS Inc.	Laptops and Accessories Purchase	121,920
Polihire Strategy Corp	Executive Recruitment Services	100,000
Riggs, Counselman, Michaels & Downes, Inc. dba RCM&D, Inc.	Fiduciary Liability insurance Agreement	132,451
RSM US LLP	Financial Systems -Licenses & Support FileNet and Kofax enhancement, maintenance & support	20,373
Softech & Associates, Inc.	Office Supplies	153,000
Staples Business Advantage	Printing Services	25,250
SyDar of DC, LLC	Temp Staffing	42,026
vTech Solutions Inc.	Temp Staffing	32,585
Washington Metro Area Transit Authority	Local transit for employee benefits	100,600
XO Holdings dba XO Communications, LLC	Data Center communications link	22,045

<sup>10</sup> As noted in the Office of the Inspector General Inspections and Evaluations (I&E) Unit June 2020 Evaluation of our Procurement Processes and Selected Contracts, the deficiencies in our procurement processes resulted in payments to some vendors whose contracts were expired; we are working with OCP to address these issues.

## FY 2021 (through March 1, 2021)

Vendor Name	Description	Contract <sup>11</sup> Amount
Advent Software Inc.	Software licenses, Maintenance & Support	37,510
Bolton Partners, Inc.	Actuarial Services	329,125
Capitol Document Solution	Photocopier supplies, office supplies & services	3,848
Convergence, Inc.	Investment Subscription Services	20,000
Cradle Systems, Inc.	FileNet-Software licenses, Maintenance & Support	65,736
Diligent Corporation	Board Portal Subscription - Maintenance & Support	31,575
Election-America, Inc.	Trustee Elections Services	26,980
Groom Law Group, Chartered	Professional Legal Services	50,000
Harris, Mackessy & Brennan, Inc. dba HMB, Inc.	Fujitsu Scanners, Maintenance & Support Services	16,374
Iron Mountain	Data and tape backup storage services	31,810
Meketa Investment Group	Investment Consulting Services	713,000
Metropolitan Life Insurance Company	STD/LTD insurance agreement	44,851
Midtown Personnel, Inc. dba The Midtown Group	Temp Staffing	34,370
Morgan, Lewis & Bockius, LLP	Legal Professional Services	380,000
MVS Inc.	Additional Laptops and Accessories Purchase	22,548
Polihire Strategy Corp	Executive Recruitment Services	42,000
Prism International, LLC	Password Management Server- Licenses & Support	19,616
Washington Metro Area Transit Authority	Local transit for employee benefits	100,600
WatsonRice LLP (formerly BCA Watson Rice LLP)	Financial Audit Services	79,968

25. (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 also leverages the OCTO data plan offered by the carrier with discounted government pricing for issued cellular phones.**

<sup>11</sup> As noted in the Office of the Inspector General Inspections and Evaluations (I&E) Unit June 2020 Evaluation of our Procurement Processes and Selected Contracts, the deficiencies in our procurement processes resulted in payments to some vendors whose contracts were expired; we are working with OCP to address these issues.

(b) In table format (if the answer is more than 20 lines as an attachment), please provide the following information for fiscal years 2020 and 2021 (as of March 1), 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.

	FY 2020 (As of 9/30/2020)			FY 2021 (as of 03/01/2021)			
Name	Total Number of Filled FTEs	Number of Mobile Devices	\$ Amount	Total Number of Filled FTEs	Number of Mobile Devices	\$ Amount	Justification
Trustees	0	11	5,602	0	12	2,611	Board communication
Benefits	24	4	1,660	26	2	427	Improve productivity
Executive	5	5	2,358	5	4	965	
Finance	6	5	2,374	6	2	563	
HR	2	2	728	2	2	483	
Investment	4	2	855	4	3	679	
IT	8	7	3,568	7	6	1,481	
Legal	5	3	1,601	5	5	1,060	

26. (a) Does your agency have or use one or more government vehicle? If so, for fiscal years 2020 and 2021 (as of March 1), 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 2019, 2020, and 2021 (as of March 1). 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. There have been no lawsuits settled or decided against DCRB in FY 2020 and FY 2021 to date.**

27. Please list every lawsuit against the agency that was settled or decided by a trial court in FY 2020 and FY 2021 to date. Briefly describe each and the sanction, if any.

**There have been no lawsuits settled or decided against DCRB in FY 2020 and FY 2021 to date.**

28. 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.

**None.**

29. (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 chauffeur or take-home status.

**None.**

30. In table format, please provide the following information for fiscal years 2020 and 2021 (as of March 1) 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 Log FY 2020-2021					
Last Name	First Name	Title /Position	\$ Amount	Event/Purpose	Justification (e.g., Education, Due Diligence, Conference etc.)
Dorch	Adina	Staff Attorney	2114	NAPPA Winter Conference (2020)	Conference
Morgan-Johnson	Sheila	Executive Director	2117	CVC,Capital Partners Fund VI, L.P., Aermont, CapVest, Kildare, Pantheon, and SVP (2020)	Due Diligence
Sahm	Patrick	Senior Investment Specialist	2119	CVC,Capital Partners Fund VI, L.P., Aermont, CapVest, Kildare, Pantheon, and SVP (2020)	Due Diligence
Sampson	Erie	General Counsel/FOIA Officer	2259	Managed Funds Association West 2020	Conference
Woods	Kimberly	Director of Investment Compliance & Risk Management	2356	Managed Funds Association West 2020	Conference
Xanthopoulos	Michael	Senior Investment Analyst	169	Tiger Infrastructure Partners (2020)	Due Diligence

31. Please provide and itemize, as of March 1, 2021, 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.

Name	Status	Position/Title	Length of Term	Start Date	Term Expiration
<i>Joan Passerino</i>	Term Employee	Sr. Communications Strategist	6 mos.	10/13/2020	4/13/2021

**Additionally, the agency periodically engages third-party staffing firms to supply temporary support for projects or staff augmentation.**

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

**In 2020, DCRB was able to migrate to a remote work environment that allowed us to continue our support of the participants and beneficiaries using laptops and soft phones.**

**DCRB continued to hold open Board meetings operated virtually with the agendas and access instructions posted to our website. We continued our regular updates of 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.**

**We implemented another method for plan participants, beneficiaries, and other parties to submit forms and documents to us in a secure, electronic manner. We continue to receive documents by secure fax and U.S. Mail. For inquiries, we added a web form that can be used to submit questions directly to the Benefits Department's Member Services Center.**

**We increased the information available on our website regarding current issues and hot topics, such as 1099-R mailings and annual COLA information.**

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

**In addition to continuing our support of the efforts noted above, we will be undertaking a number of initiatives to improve participant awareness and understanding of plan benefits and key data inputs. These initiatives include providing active participants with estimated benefit statements in FY2021.**

**In 2021, DCRB is expecting to provide a pilot group of annuitants with access to a new self-service function that will provide them with the ability to view certain documents (e.g., monthly earnings statements, health and life insurance information, direct deposit, tax withholdings, etc.) and to manage some data independently.**

**We also will be exploring workflow management and customer relationship management technology to support the agency's collaborative efforts to track and report on operational activities and improve feedback about status and trends internally and externally.**

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

**None.**

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

**None.**

36. (a) Are current salaries for senior leadership competitive with similar retirement organizations?

**DCRB has periodically engaged consultants and utilizes Society for Human Resource Management (SHRM) survey data to evaluate our compensation practices against the market. Working within the District of Columbia government's salary limits and the benefits we are able to provide to our employees, the results have generally indicated our total compensation to be reasonable. We must continue to evaluate and benchmark our compensation to ensure that we position ourselves as an attractive employer to senior leaders, particularly as our leaders and staff are not permitted to participate in the retirement plans we administer.**

(b) Is Board member compensation commensurate with their responsibilities and other retirement organizations or with other significant District boards and commissions?

**Board compensation is established by statute (D.C. Official Code 711(c)(1)). It is evaluated periodically in the context of their responsibilities and the time required to discharge those responsibilities.**

37. Did your agency receive any FOIA requests in fiscal year 2020? 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 2019, 2020, and 2021 (as of March 1) related to FOIA.

**See Attachment 3 for the report of FOIA disclosure activities.**

**Yes, we received FOIA requests in fiscal year 2020. Please see Attachment #3 for our report. DCRB devotes approximately 40 staff hours, although the total amount is not tracked.**

38. 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 2019, 2020 and 2021 (as of March 1).

<b>QUESTION:</b>	<b>ANSWER:</b>
For CBE agency compliance purposes, what is your agency's current adjusted expendable budget?	For FY 2021: \$ 2,644,900
How much has been spent with SBE's?	\$ 116,861
What percent of your agency's expendable budget was spent with SBEs?	8.8%
What percent of CBE spending, relative to your current expendable budget?	Not applicable.
How many CBE Waivers (including dollar amount) did the agency submit?	Not applicable.
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 2019	\$630,223	\$283,725	45.0%
FY 2020	\$395,851	\$90,797	22.9%
FY 2021 (through March 1)	\$1,322,450	\$ 116,861	8.8%

39. What is the status of addressing each significant deficiency, material weakness, or other finding identified in DCRB’s Fiscal Year 2019 and 2020 comprehensive annual financial reports.

**Significant deficiencies were identified for DCRB’s internal controls over financial reporting during the FY2019 and FY2020 audits. We agreed with the comments and acknowledge our responsibility to resolve and remediate the findings. Our proposed responses range from overarching, broad efforts to tactical and specific activities.**

**Our overarching priorities were to fill the Chief Financial Officer (CFO) vacancy and engage an accounting consultant. The CFO is scheduled to start with the agency on March 15. We expect this individual will provide support and guidance to the Finance staff, set clear priorities, and identify specific improvements. We understand that the accounting consultant's contract completion is imminent and will be critical to identifying historical adjustments to our general ledger.**

**We are taking steps to improve our review of investment fees and record transactions timely so that we can prepare internal periodic financial statements at least quarterly with a goal to increase the frequency of those reports. These activities also will support our ability to efficiently prepare financial statements at year-end.**

**We also are providing additional training and information to staff and making updates to our internal policies and procedures for use by Finance and in collaboration with other agency departments.**

40. 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.**

41. (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) 2019, 2020, and 2021 (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 2019? List each specifically and explain why it was dropped or changed.

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

42. 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 2020 and 2021.

**Our top five priorities identified in the prior year continue to be appropriate priorities for DCRB in FY2021.**

**1) Safeguard the integrity of the Fund.**

**We are currently working to procure consulting services to assist us in a robust review of our operations across DCRB. Specifically, these services will identify organizational areas of strength and weakness in the implementation, administration, and fiduciary oversight of the Retirement Program; compare DCRB third-party administration and other support operations, including investments and Board fiduciary oversight functions, with applicable Federal and District laws, rules, and regulations, industry best practices, and the best practices of other similarly situated governmental 401(a) defined benefit plans; and provide detailed and actionable recommendations to cure or improve any identified deficiencies.**

**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 unqualified audit opinions and report our financial activities according to required governmental accounting standards. As noted in Item 39, above, we are committed to resolving the significant issues reported.**

**In our ongoing efforts to reduce the complexity in the IT footprint we have completed the transition of our critical systems to OCTO's data center. Our continued strategic engagement with OCTO provides us with the ability to focus on other critical initiatives. We also will continue to conduct annual staff training on privacy and cybersecurity practices.**

**2) Expand and improve benefits administration capabilities, to assure that benefits are paid to our members accurately and timely.**

**In FY2020, Karen Hsu joined the agency as the Pension Administrator (formerly titled Chief Benefits Officer). Ms. Hsu has served the pension and benefits industry in a variety of functions including consulting, public accounting, and operations. She is responsible for leading the Benefits Department in its direct support to participant and beneficiary questions, concerns, and requests. Ms. Hsu combines her compliance experience and understanding of complex operating environments to engage stakeholders inside and outside DCRB to deliver services as efficiently as possible without impairing operational excellence.**

**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. Other specific initiatives are to build end-to-end retirement process maps as a collaboration tool to better define roles, responsibilities, and lines of authority. Process maps also should assist us in identifying bottlenecks and duplications of effort that impair the overall participant experience.**

**In FY2020 and continuing into FY2021, we are continuing to define and support the collaboration between the Legal & Compliance and Benefits Departments. As we mature in this area, we will be engaging staff and leadership to promote consistency and establish strong policies to support our operations. This support also will be critical to ensuring the content and process to publish and distribute required communications and notices such as Summary Plan Descriptions and financial summary information.**

**Continuing the efforts started in prior years, we are working with the U. S. Treasury to develop a self-service application to enable annuitants to access certain demographic, benefit, and tax-related information. Our participants and beneficiaries express a growing desire to access and manage data independently. Our first goal is to implement secure online, read-only and limited data management access for a pilot group of annuitants. An initial offering to a pilot group will help us ensure that the application is meaningful and useful to our annuitants.**

**3) Prudently invest Fund assets to provide long-term, sustainable, risk-adjusted returns.**

**One of DCRB's major ongoing responsibilities is to prudently invest Fund assets, with the goal of earning a return that meets or exceeds our actuarial long-term investment return assumption target of 6.5 percent. This target is intended to sustain the Fund's viability over the long-term investment horizon. From its inception in October 1982 through September 2020, the plan has generated an annualized gross return of 8.5 percent, substantially exceeding the current 6.5 percent long-term actuarial assumed return. For FY 2020, amidst COVID-induced economic and financial market volatility, the Fund earned a net return of 5.3 percent. Strong 4<sup>th</sup> quarter gains boosted calendar 2020 net returns to 10.3 percent.**

**In building a solid foundation for achieving long-term, sustainable risk-adjusted net returns, we continue to routinely review investment manager performance against benchmark returns, rebalance the portfolio to maintain compliance with asset allocation targets and ranges, and monitor and evaluate investment manager fees. In FY 2020, rebalancing – keeping the portfolio focused on our long-term asset allocation, as the COVID-induced sell-off and market volatility created a wide dispersion of individual asset performance.**

**In FY 2020, Mark Spindel was hired as DCRB's Chief Investment Officer. Mr. Spindel brings with him over 30 years of asset management experience across a long career at public and private institutions. A member of DCRB's Executive Leadership Team, he will lead the Investment Department and work alongside the Executive Director to execute asset allocation directives from the Board.**

**As part of the Board's monitoring of prospective and current investment managers, we are devoting more time and attention to evaluating managers' commitment and willingness to embrace diversity and inclusion in their hiring**

**decisions, investment decision-making process, and ownership structure. We will continue to do the important work of identifying promising emerging diverse fund managers and engaging our existing partners to evaluate their efforts to promote diversity and inclusion throughout their business operations. Pursuant to the Diverse Emerging Fund Managers and Reporting Requirements Amendment Act of 2020 (D.C. Law 23-161), DCRB began meeting this reporting standard in its FY 2020 Comprehensive Annual Financial Statements (CAFR).**

**In FY 2021, our focus will be on reviewing the Fund's strategic asset allocation. We plan to recommend an updated strategic asset allocation that will be based on the significant rebound in domestic equity prices and the generational lows in interest rates. It is likely that long-term return expectations will continue to come down – reflecting the current value of plan assets.**

**During FY 2021, the Board will also release an RFP for Investment Consulting services, pursuant to procurement best practices and the evolution of the marketplace for these services over the past five years. The Board has worked with Meketa Investment Group in its current capacity since 2016 and the firm (among others) will be invited to re-bid on the contract.**

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

**Over the past year, DCRB has restructured its internal IT function to streamline its operations, focus, and delivery of internal services. Over the same general timeframe, DCRB's Legal function has been expanded to include a risk-management/compliance component, applicable across the agency, as well as to the agency's investment operations. During FY 2020 we hired a Chief Investment Officer and Pension Administrator, and in FY2021 we expect to complete filling the senior leadership vacancies and reduce the duration of vacancies for staff positions. Furthermore, with the upcoming retirement of DCRB's current Executive Director (ED), the trustees have concurred that the next Executive Director should be responsible for the selection of a Chief Operations Officer (COO), whose role largely will be to further improve the efficiency and effectiveness of agency operations.**

**We see these changes, collectively, as part of DCRB's ongoing goal to continually improve agency performance and service to its members.**

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

**Building and maintaining trust is imperative to our effectiveness. Our goals to improve stakeholder trust are focused on defining and achieving a meaningful balance between flexibility and consistency in our processing as well as our communications. As discussed in items 32 and 33, above, we have specific initiatives in place to increase transparency with members and other stakeholders.**

**We will continue to better leverage our website to share timely updates regarding expected and unexpected activities that may be of interest to our stakeholders throughout the year. In addition, the self-service project will include a pilot group to explore the application, provide us with feedback, and ensure we can deliver improvements that are meaningful and effective.**

**We are continuously evaluating our regular processes, and our operational projects to ensure that they are efficient, communicated clearly and consistently, and compliant with the rules and regulations. For example, we are evaluating the various forms we receive, their sources, and their purpose to support productive and clear discussions with our partners. This will support a common understanding of the process and timing to establish clear expectations. We also are identifying opportunities to streamline and improve operational projects such as earned income reviews and annuity verifications to smooth the process for members and staff.**

**In addition, 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 on individual participant issues and risk populations are identified, and to support orientation and retirement workshops for their employees.**



# The District of Columbia Retirement Board (DCRB)

**Board of Trustees**

**Sheila Morgan-Johnson**  
Executive Director

**EXECUTIVE/COMMUNICATION**

**EXECUTIVE/OFFICE SUPPORT**  
Business Operations Manager & Board Liaison  
Administrative Specialist  
Administrative Assistant  
Office Coordinator  
Vacancy, Executive (2)

**HUMAN RESOURCES**  
HR Director  
HR/Legal Compliance Specialist  
Vacancy, Human Resources

**PROCUREMENT \***

**INVESTMENTS**  
**Mark Spindel**  
Chief Investment Officer

**FINANCE**  
**VACANT**  
Chief Financial Officer

**INFORMATION TECHNOLOGY**  
**Ram Murthy**  
Information Technology Director

**BENEFITS**  
**Karen Hsu**  
Pension Administrator

**LEGAL & COMPLIANCE**  
**Erie Sampson**  
General Counsel/FOIA Officer

Executive Assistant

**FINANCE**  
Controller  
Sr. Accountant  
Sr. Financial Management and Budget Analyst  
Accountant  
Accountant III  
Financial Specialist

**INFORMATION TECHNOLOGY**  
Sr. IT Specialist, Applications & Data Services  
Sr. IT Specialist, Systems & Network Services  
IT Specialist, Application & Data Services (2)  
IT Specialist, Systems & Network Services (2)  
Vacancy, IT

Sr. Communications Strategist

**SPECIAL PROJECTS**  
Director of Benefits Special Projects  
Projects Analyst

Administrative Assistant

**Member Services**  
Member Services Manager  
Lead Member Services Representative  
Member Services Representative (3)  
Records Management Specialist (2)

**Legal**  
Sr. Counsel (2)  
Vacancy, Legal

**Retirement Services**  
Retirement Services Manager  
Lead Retirement Analyst  
Sr. Retirement Analyst  
Retirement Analyst (3)  
Retirement Specialist (3)

**Compliance**  
Director of Risk and Investment Compliance  
Pension Risk & Compliance Program Manager  
Vacancy, Compliance (3)

**Quality Compliance & Projects**  
Quality Compliance & Projects Manager  
Quality Compliance & Projects Specialist Analyst (2)  
Quality Compliance & Projects Specialist (2)

- Vacancies Posted and/or in Applicant-Review (12)**
- Chief Financial Officer
  - Communications and Public Relations Director
  - Contract Specialist
  - Director of Internal Audit
  - Executive Director
  - Information Systems Security Officer
  - Member Services Representative (2)
  - Quality, Compliance, and Projects Specialist
  - Records Management Specialist
  - Retirement Analyst
  - Supervisory Contract Specialist

Fiscal Year 2021 Budgeted FTEs: 75 (56 filled, 19 Vacancies); Effective Date: 03.01.2021

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

**ATTACHMENT #2**

Q#2: Current Schedule A, +Fringe (as of 02/01/2021)

Department	Title	Last Name	First Name	Salary	Fringe	Total
Benefits	Administrative Assistant	Harden	Cheryl	55,523	13,881	69,404
Benefits	Director, Special Benefits Projects	Hernandez	Daniel	198,374	49,594	247,968
Benefits	Project Analyst	Meagher	Dylan	56,721	14,180	70,901
Benefits	Pension Administrator	Hsu	Karen	235,214	58,804	294,018
Benefits	Lead Member Services Representative	Brown	Shalanda	62,635	15,659	78,294
Benefits	Member Services Manager	Oliver	Jacqueline	95,875	23,969	119,844
Benefits	Records Management Specialist	Morgan	Dennis	59,653	14,913	74,566
Benefits	Member Services Representative	Ortez	Gabriela	50,000	12,500	62,500
Benefits	Member Services Representative	Jera	Zandile	50,000	12,500	62,500
Benefits	Member Services Representative	Willis	Jennifer	51,772	12,943	64,715
Benefits	Records Management Specialist	Carver	Sean	56,713	14,178	70,891
Benefits	Retirement Analyst	Maynard	Paul	74,263	18,566	92,829
Benefits	Retirement Specialist	LaPrade	India	62,000	15,500	77,500
Benefits	Lead Retirement Analyst	Ashford	Pamela	95,901	23,975	119,876
Benefits	Retirement Specialist	Short	Terry	77,190	19,298	96,488
Benefits	Retirement Analyst	Graham-Keith	Sharon	80,234	20,059	100,293
Benefits	Retirement Specialist	Coleman	Latashia	68,000	17,000	85,000
Benefits	Retirement Services Manager	Treadwell	Sylvia	148,918	37,230	186,148
Benefits	Senior Retirement Analyst	Marshmon	Giovanni	83,100	20,775	103,875
Benefits	Retirement Analyst	Johnson	Bridgette	76,491	19,123	95,614
Benefits	Manager, Quality Compliance & Projects	Thomas	Jacqueline	126,581	31,645	158,226
Benefits	Analyst, Quality Compliance & Projects	Jordan Richardson	Lisa	94,355	23,589	117,944
Benefits	Specialist, Quality Compliance & Projects	Ross	Anita	100,605	25,151	125,756
Benefits	Analyst, Quality Compliance & Projects	Thomas	Lovely	99,395	24,849	124,244
Benefits	Specialist, Quality Compliance & Projects	John	Thomas	98,734	24,684	123,418
Benefits	Senior Communications Strategist	Passerino	Joan	79,705	19,926	99,631
Executive	Executive Director	Morgan Johnson	Sheila	270,496	67,624	338,120
Executive	Business Operations Manager and Board Liaison	Reaves	Deborah	134,788	33,697	168,485
Executive	Administrative Specialist	Harris	Johniece	75,944	18,986	94,930
Executive	Administrative Coordinator	Mcsears	Denice	57,370	14,343	71,713
Executive	Administrative Assistant II	Bridgers	Nina	57,372	14,343	71,715
Finance	Senior Accountant	Oneal	Rhonda	133,369	33,342	166,711
Finance	Accountant III	Zeinali	Matta	113,000	28,250	141,250
Finance	Controller	Kawashima	Akiko	135,960	33,990	169,950
Finance	Financial Specialist	Rivers	Bonnie	86,026	21,507	107,533
Finance	Accountant	Morgan	Ricardo	87,936	21,984	109,920
Finance	Senior Financial Management and Budget Analyst	Nichols	Ortencia	118,179	29,545	147,724
Information Technology	IT Specialist, Systems & Network Services	Jackson Sr.	Mark	118,821	29,705	148,526
Information Technology	Sr. IT Specialist, Systems & Network Services	Andrade	Diego	131,959	32,990	164,949
Information Technology	IT Specialist, Systems & Network Services	Romero	Anthony	110,622	27,656	138,278
Information Technology	Director, Information Technology	Murthy	Ram	196,730	49,183	245,913
Information Technology	IT Specialist, Applications & Data Services	Burnett	Michaela	151,406	37,852	189,258
Information Technology	Sr. IT Specialist, Applications & Data Services	Frimpong	Ferdinand	162,283	40,571	202,854
Information Technology	IT Specialist, Applications & Data Services	Gebremeskel	Wukyanos	118,378	29,595	147,973
Investments	Senior Investment Strategist	Xanthopoulos	Michael	143,540	35,885	179,425
Investments	Senior Investment Strategist	Sahm	Patrick	185,202	46,301	231,503
Investments	Chief Investment Officer	Spindel	Mark	235,214	58,804	294,018
Investments	Executive Assistant	Greene	Joyce	75,864	18,966	94,830
Legal	General Counsel	Sampson	Erie	262,618	65,655	328,273
Legal	Senior Counsel	King	Leslie	211,198	52,800	263,998
Legal	Director, Risk and Investment	Woods	Kimberly	190,962	47,741	238,703
Legal	Senior Counsel	Dorch	Adina	161,044	40,261	201,305
Legal	Pension Risk & Compliance Program Manager	Massie-Armstrong	Paralee	109,435	27,359	136,794
Operations/HR	HR/Legal Compliance Specialist	Carson	Rabinai	114,717	28,679	143,396
Operations/HR	Director, Human Resources	Valentine	Lawrence	172,120	43,030	215,150

**Notes: Schedule A reflects AIA (Administrative Income Allowance) for Executive Director and General Counsel; all data as of 02/01/2021.**

Agency Name

DC Retirement Board

**Annual Freedom of Information Act Report for Fiscal Year 2020  
October 1, 2019 through September 30, 2020**

**FOIA Officer Reporting** Erie F. Sampson, General Counsel

<b>PROCESSING OF FOIA REQUESTS</b>
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1. Number of FOIA requests received during reporting period .....	16
2. Number of FOIA requests pending on October 1, 2019.....	0
3. Number of FOIA requests pending on September 30, 2020.....	3
4. The average number of days unfilled requests have been pending before each public body as of September 30, 2020 .....	178

<b>DISPOSITION OF FOIA REQUESTS</b>
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5. Number of requests granted, in whole.....	10
6. Number of requests granted, in part, denied, in part.....	2
7. Number of requests denied, in whole.....	0
8. Number of requests withdrawn.....	1
9. Number of requests referred or forwarded to other public bodies.....	0
10. Other disposition .....	0

<b>NUMBER OF REQUESTS THAT RELIED UPON EACH FOIA EXEMPTION</b>
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11. Exemption 1 - D.C. Official Code § 2-534(a)(1).....	2
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.....	5
24. Number of FOIA requests processed between 16 and 25 days.....	3
25. Number of FOIA requests processed in 26 days or more.....	5
26. Median number of days to process FOIA Requests.....	21

**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

**FEES FOR PROCESSING FOIA REQUESTS**

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