

# IN PERSON & VIRTUAL BOARD MEETING

\*The Committee meeting will be held following the Board of Retirement meeting scheduled prior.



TO VIEW VIA WEB



TO PROVIDE PUBLIC COMMENT

Members of the public may address the Committee orally and in writing. To provide Public Comment, you should visit the above link and complete the request form by selecting whether you will provide oral or written comment from the options located under Options next to the Committee meeting.

**Attention:** If you have any questions, you may email [PublicComment@lacera.com](mailto:PublicComment@lacera.com). If you would like to make a public comment during the committee meeting, review the [Public Comment instructions](#).

LOS ANGELES COUNTY EMPLOYEES RETIREMENT ASSOCIATION  
300 N. LAKE AVENUE, SUITE 650, PASADENA, CA

## AGENDA

### A REGULAR MEETING OF THE OPERATIONS OVERSIGHT COMMITTEE AND BOARD OF RETIREMENT\*

LOS ANGELES COUNTY EMPLOYEES RETIREMENT ASSOCIATION

300 N. LAKE AVENUE, SUITE 810, PASADENA, CA 91101

9:00 A.M., THURSDAY, OCTOBER 5, 2023\*\*

*This meeting will be conducted by the Operations Oversight Committee and Board of Retirement both in person and by teleconference under California Government Code Sections 54953(f).*

*Any person may view the meeting in person at LACERA's offices or online at <https://LACERA.com/leadership/board-meetings>.*

*The Committee may take action on any item on the agenda, and agenda items may be taken out of order.*

#### COMMITTEE TRUSTEES:

Alan Bernstein, Chair  
Herman B. Santos, Vice Chair  
Keith Knox, Trustee  
Antonio Sanchez, Trustee  
Jason Green, Alternate Trustee

- I. CALL TO ORDER
- II. PROCEDURE FOR TELECONFERENCE MEETING ATTENDANCE UNDER AB 2449, California Government Code Section 54953(f)
  - A. Just Cause
  - B. Action on Emergency Circumstance Requests
  - C. Statement of Persons Present at AB 2449 Teleconference Locations

III. APPROVAL OF MINUTES

- A. Approval of the Minutes of the Regular Meeting of September 6, 2023

IV. PUBLIC COMMENT

(Members of the public may address the Committee orally and in writing. To provide Public Comment, you should visit <https://LACERA.com/leadership/board-meetings> and complete the request form by selecting whether you will provide oral or written comment from the options located under Options next to the Committee meeting.

If you select oral comment, we will contact you via email with information and instruction as to how to access the meeting as a speaker. You will have up to 3 minutes to address the Committee. Oral comment request will be accepted up to the close of the Public Comment item on the agenda.

If you select written comment, please input your written public comment or documentation on the above link as soon as possible and up to the close of the meeting. Written comment will be made part of the official record of the meeting. If you would like to remain anonymous at the meeting without stating your name, please leave the name field blank in the request form. If you have any questions, you may email [PublicComment@lacera.com](mailto:PublicComment@lacera.com).)

V. NON-CONSENT ITEMS

- A. **Request for Proposal: Member Experience Communications Platform**  
Recommendation as submitted by Kathy Delino, Chief, Information Technology, and JJ Popowich, Assistant Executive Officer: That the Committee authorize staff to issue a Request for Proposal (RFP) for software and consulting services to procure, configure, customize, and implement a Member Experience Communications Platform for LACERA. (Memo dated September 15, 2023)

VI. REPORTS

- A. **LACERA Operations Briefing**  
Luis A. Lugo, Deputy Chief Executive Officer  
JJ Popowich, Assistant Executive Officer  
Laura Guglielmo, Assistant Executive Officer  
(For Information Only)

VI. REPORTS (Continued)

B. **Privacy Incident – Personally Identifiable Information**

Louis Gittens, Interim Division Manager, Benefits Division

(Memo Exempt from Public Disclosure

California Public Records Act, Cal. Gov't Code §7920.520; 7917.705

Brown Act, Cal. Gov't Code § 54957.5(a)

VII. ITEMS FOR STAFF REVIEW

(This item summarizes requests and suggestions by individual trustees during the meeting for consideration by staff. These requests and suggestions do not constitute approval or formal action by the Board, which can only be made separately by motion on an agenda item at a future meeting.)

VIII. ITEMS FOR FUTURE AGENDAS

(This item provides an opportunity for trustees to identify items to be included on a future agenda as permitted under the Board's Regulations.)

IX. GOOD OF THE ORDER

(For Information Purposes Only)

X. EXECUTIVE SESSION

A. **Potential Threats to Public Services or Facilities**

(Pursuant to Subdivision (a) of California Government Code Section 54957)

Consultation with: LACERA Chief Executive Officer Santos H. Kreimann, Deputy Chief Executive Officer Luis Lugo, Assistant Executive Officers JJ Popowich and Laura Guglielmo, Interim Administrative Services Division Manager Roberta Van Nortrick, Supervising Administrative Assistant II James Beasley, and Other LACERA Staff.

B. **Potential Threats to Public Services or Facilities**

(Pursuant to Subdivision (a) of California Government Code Section 54957)

Consultation with: LACERA Chief Executive Officer Santos H. Kreimann, Deputy Chief Executive Officer Luis Lugo, Assistant Executive Officers JJ Popowich and Laura Guglielmo, Chief, Information Technology Kathy Delino, Information Security Officer Chaitanya Errande, and Other LACERA Staff.

## XI. ADJOURNMENT

**\*The Board of Retirement has adopted a policy permitting any member of the Board to attend a standing committee meeting open to the public. In the event five or more members of the Board of Retirement (including members appointed to the Committee) are in attendance, the meeting shall constitute a joint meeting of the Committee and the Board of Retirement. Members of the Board of Retirement who are not members of the Committee may attend and participate in a meeting of a Board Committee but may not vote on any matter discussed at the meeting. The only action the Committee may take at the meeting is approval of a recommendation to take further action at a subsequent meeting of the Board.**

**\*\*Although the meeting is scheduled for 9:00 a.m., it can start anytime thereafter, depending on the length of the Board of Retirement meeting preceding it. Please be on call.**

**Any documents subject to public disclosure that relate to an agenda item for an open session of the Committee, that are distributed to members of the Committee less than 72 hours prior to the meeting, will be available for public inspection at the time they are distributed to a majority of the Committee, at LACERA's offices at 300 North Lake Avenue, Suite 820, Pasadena, California during normal business hours from 9:00 a.m. to 5:00 p.m. Monday through Friday *and will also be posted on [lacera.com](http://lacera.com) at the same time, [Board Meetings | LACERA](#).***

***Requests for reasonable modification or accommodation of the telephone public access and Public Comments procedures stated in this agenda from individuals with disabilities, consistent with the Americans with Disabilities Act of 1990, may call the Board Offices at (626) 564-6000, Ext. 4401/4402 from 8:30 a.m. to 5:00 p.m. Monday through Friday or email [PublicComment@lacera.com](mailto:PublicComment@lacera.com), but no later than 48 hours prior to the time the meeting is to commence.***

MINUTES OF THE REGULAR MEETING OF THE OPERATIONS OVERSIGHT  
COMMITTEE AND BOARD OF RETIREMENT\*

LOS ANGELES COUNTY EMPLOYEES RETIREMENT ASSOCIATION

300 N. LAKE AVENUE, SUITE 810, PASADENA, CA 91101

12:30 P.M. – 12:50 P.M., WEDNESDAY, SEPTEMBER 6, 2023

This meeting was conducted by the Operations Oversight  
Committee both in person and by teleconference under California  
Government Code Section 54953(f)

COMMITTEE TRUSTEES

PRESENT: Alan Bernstein, Chair (In-Person)  
Herman B. Santos, Vice Chair (In-Person)  
Antonio Sanchez, Trustee (In-Person)  
Jason E. Green, Alternate Trustee (In-Person)

ABSENT: Keith Knox, Trustee

OTHER BOARD OF RETIREMENT TRUSTEES

Elizabeth Ginsberg, Alternate Ex-Officio (In-Person)  
Vivian H. Gray, Trustee (In-Person)  
Shawn R. Kehoe, Trustee (In-Person)  
Les Robbins, Chair (Teleconference Due to Just  
Cause under Section 54953(f))

STAFF, ADVISORS AND PARTICIPANTS

Santos H. Kreimann, Chief Executive Officer

Luis Lugo, Deputy Chief Executive Officer

JJ Popowich, Assistant Executive Officer

Laura Guglielmo, Assistant Executive Officer

Steven P. Rice, Chief Counsel

Chaitanya Errande, Information Security Officer

Kathy Delino, Chief, Information Technology

I. CALL TO ORDER

This meeting was called to order by Chair Bernstein at 12:30 p.m. In the absence of Trustee Knox, the Chair announced that Trustee Green, as the alternate, would be a voting member of the Committee.

II. PROCEDURE FOR TELECONFERENCE MEETING ATTENDANCE UNDER AB 2449, California Government Code Section 54953(f)

A. Just Cause

B. Action on Emergency Circumstance Requests

C. Statement of Persons Present at AB 2449 Teleconference Locations

A physical quorum was present at the noticed meeting location. There was one request received from Trustee Robbins related to Just Cause (C) due to physical disability. Trustee Robbins confirmed there were no individuals 18 years or older present at the teleconference location. No requests were received for Emergency Circumstances (B).



III. APPROVAL OF MINUTES

A. Approval of the Minutes of the Regular Meeting of August 2, 2023

Trustee Santos made a motion, Trustee Sanchez seconded, to approve the minutes of the regular meeting of August 2, 2023. The motion passed by the following roll call vote:

Yes: Santos, Sanchez, Green

No: None

Abstain: Bernstein

Absent: Knox

IV. PUBLIC COMMENT

There were no requests from the public to speak.

V. REPORTS

A. **LACERA Operations Briefing**

Luis A. Lugo, Deputy Chief Executive Officer  
JJ Popowich, Assistant Executive Officer  
Laura Guglielmo, Assistant Executive Officer  
(For Information Only)

The Executive team presented the monthly briefing and was available to answer questions from the Committee. This item was received and filed.

VI. ITEMS FOR STAFF REVIEW

(This item summarizes requests and suggestions by individual trustees during the meeting for consideration by staff. These requests and suggestions do not constitute approval or formal action by the Board, which can only be made separately by motion on an agenda item at a future meeting.)

There was nothing to report.



VII. ITEMS FOR FUTURE AGENDAS

(This item provides an opportunity for trustees to identify items to be included on a future agenda as permitted under the Board's Regulations.)

There was nothing to report.

VIII. GOOD OF THE ORDER

(For Information Purposes Only)

There was nothing to report.

IX. ADJOURNMENT

There being no further business to come before the Committee, the meeting was adjourned at 12:50 p.m.

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September 15, 2023

TO: Operations Oversight Committee  
Alan Bernstein, Chair  
Herman B. Santos, Vice Chair  
Keith Knox  
Antonio Sanchez  
Jason Green, Alternate

FROM: Kathy Delino   
Chief, Information Technology

JJ Popowich   
Assistant Executive Officer

FOR: October 5, 2023, Operations Oversight Committee Meeting

SUBJECT: **REQUEST FOR PROPOSAL: Member Experience Communications Platform**

## RECOMMENDATION

That the Operations Oversight Committee authorize staff to issue a Request for Proposal (RFP) for software and consulting services to procure, configure, customize, and implement a Member Experience Communications Platform for LACERA.

## EXECUTIVE SUMMARY

The traditional voice networks of the past have been in a rapid state of change over the last decade. These changes include advances in routing technologies, declining costs of cloud computing and an increased demand for security of voice platforms. These changes have resulted in traditional voice services providers to partner with the new cloud hosted leaders in this space. Gartner predicts that by 2024, more than 80% of all phone systems will be off-premises and located in the cloud.

Prior to the COVID-19 pandemic, LACERA relied on an aging on-premises enterprise communications platform that powered both our on-site physical phones and our call centers. This platform was installed in 2011 and over the ensuing decade, technology and service offerings have advanced greatly. When the pandemic struck, LACERA quickly pivoted to cloud based services through Microsoft Teams for our internal communication needs, Amazon Connect (AWS) for our Call Center needs and other platforms for our webinar and teleconference needs.

While we have moved to cloud-based services for our Call Center and Member Service needs, we have not been able to take advantage of advances in technology and service offerings. One of our strategic priorities is aimed at improving the member experience.

The current AWS call center system presents limitations on our ability to improve and enhance our members interactions with us. For example, in 2021 we worked with our current provider to launch a call back service so members would not have to remain on hold. Due to technology limitations, we were unable to deliver the true “keep-your-place in line” call back feature that most larger customer service operations offer their customers. We have also struggled to implement voice recognition-based services which could make validating members more efficient and reduce call wait times. There are many other advanced services we would like to offer such as artificial intelligence (AI) assisted chat for basic information; improved call monitoring technology that can identify developing problems that may indicate assistance is needed; AI assisted member support to help make suggestions to a Specialist to improve real time service; and many other features. We also believe we have a chance to link disparate systems together under one platform, allowing our Member Services and Retiree Healthcare staff to seamlessly move between traditional voice interactions to virtual interactions depending on member needs. Currently this requires multiple platforms.

With this RFP, LACERA is seeking a Member Experience Communications Platform with a proven, state-of-the-art, commercial-off-the-shelf solution with minimal modifications. LACERA’s goal is to gain efficiency and update existing processes through a best-of-breed Enterprise Communications system, focusing on improving the timeliness, accuracy, consistency of information, and internal operations.

The new system shall meet the following objectives:

- Replace the existing AWS Connect with a cloud-based communications service that provides Omni-Channel Contact Center with native MS Teams certified integration.
- Implement skills-based routing; remote agents; multi-channel agents; voice and screen recording; place-in-queue estimated wait time and scheduled callback; Interactive Voice Response (IVR) self-service/help; screen pops; priority routing; workforce optimization/management (including forecasting capability); customer feedback; voice authentication; real time voice analytics during calls (resulting in real time AI assisted calls), AI assisted chat capability integrated with email, IVR, and lacera.com; and service requirement escalations, analytics and reporting.
- Complete the initial implementation of the platform by end of FY 2024, with subsequent phase with TBD implementation dates as we fully capitalize on all services sought.

In addition to the functionality identified above, LACERA is seeking a Proposer to provide professional services (e.g., best practices guidance, training, project management, implementation, integration, and report development) that will ensure a successful implementation in a timely and professional manner.

This project was approved by LACERA’s Information Technology Coordination Council (ITCC) on October 18, 2022 and \$250,000 was included in the FY 2024 budget for this project.

LACERA intends to negotiate in good faith, all terms, and conditions of the contract with the selected Proposer and will award a contract in part based upon the rates proposed by the Proposer.

The contract term or period of performance shall be for a five-year base period. This would include an initial implementation period, followed by a multi-year maintenance and service contract. There may be two one-year extensions under the same terms and conditions at LACERA's option.

### PROPOSED RFP TIMELINE

The proposed timeline for the RFP process:

Event Description	Date/Time
RFP release date	10/10/2023
Intent to Respond closing date	10/27/2023
Written questions from Respondents due date	11/10/2023
LACERA's response to Respondents' questions	11/17/2023
RFP due date	12/8/2023
Finalist Interviews (estimate)	1/8/2024
Vendor Recommendation to BOR (estimate)	3/6/2024
Selection Notification (estimate)	3/6/2024
Commencement of work	Upon contract execution

### CONCLUSION AND RECOMMENDATION

LACERA seeks to replace the existing AWS Connect with a cloud-based communications service that provides Omni-Channel Contact Center with native MS Teams certified integration.

**IT IS THEREFORE RECOMMENDED THAT THE OPERATIONS OVERSIGHT COMMITTEE** authorize staff to issue a Request for Proposal for software and consulting services to procure, configure, customize, and implement Member Experience Communications Platform for LACERA.

Reviewed and approved.

  
\_\_\_\_\_  
Luis A. Lugo  
Deputy Chief Executive Officer

Re: Request for Proposal: Member Experience Communications Platform

September 15, 2023

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c: Santos H. Kreimann  
Steven P. Rice  
Laura Guglielmo  
Chaitanya Errande  
Roberta Van Nortrick  
Cynthia Martinez  
Cassandra Smith  
Leilani Ignacio  
Kelly Puga  
Vanessa Gonzalez  
David Bayha  
Summy Voong  
Celso Templo  
Cookie Jaranilla  
Jim Lyle

9/18/2023



## REQUEST FOR PROPOSAL

### Member Experience Communication Platform

Cookie Jaranilla

Project Manager

626-564-6000

[ecr@lacera.com](mailto:ecr@lacera.com)

300 NORTH LAKE AVENUE, SUITE 650

PASADENA, CA 91101

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**LOS ANGELES COUNTY EMPLOYEES RETIREMENT ASSOCIATION  
REQUEST FOR PROPOSAL (RFP)  
MEMBER EXPERIENCE COMMUNICATIONS PLATFORM  
9/18/2023**

**1. INTRODUCTION**

1.1. Purpose of Request

The Los Angeles County Employees Retirement Association (LACERA), a \$73.6 billion public pension fund (as of June 30, 2023), is seeking proposals from qualified firms to replace its current AWS Connect contact center and implement and migrate to an enterprise cloud contact center solution.

1.2. Background Information

LACERA is a tax-qualified defined benefit public pension fund established to administer retirement, disability, and death benefits for the employees of the County of Los Angeles and other participating agencies pursuant to the County Employees Retirement Law of 1937 (CERL) (California Government Code Section 31450, et seq.), the California Public Employees' Pension Reform Act of 2013 (PEPRA) (California Government Code Section 7522, et seq.), LACERA's Bylaws and Board Policies, and other applicable California law. LACERA also administers the County's medical and dental retiree health benefits program.

LACERA operates as an independent governmental entity separate and distinct from Los Angeles County and the other participating agencies. LACERA has approximately 168,110 members, including 96,539 active members and 71,571 retired members.

The Respondent(s) selected through this RFP process may be recommended to LACERA's - Board of Retirement (BOR). The BOR has responsibility over the administration of pension and healthcare benefits and other fund administrative issues. The BOR comprises four Trustees elected by the general, safety, and retired members, four Trustees appointed by the County's Board of Supervisors, and the sitting County Treasurer and Tax Collector as an ex officio Trustee. The BOR also has two alternate Trustees, one elected by safety members, and one elected by retired members.

The Boards and their trustees have fiduciary duties as defined in Article XVI, Section 17 of the California Constitution and CERL, with duties owed to the plan members and their beneficiaries taking precedence over any other duties.

LACERA is inviting vendors to submit proposals to migrate LACERA's contact center, to a suitable Contact Center as a Service (CCaaS) solution that will work and integrate well with LACERA's Microsoft Teams Phone. The proposer must offer both UCaaS and CCaaS in their portfolio. It is not acceptable for a UCaaS and different CCaaS vendor to submit a joint proposal. A single vendor must be responsible for both the CCaaS and UCaaS solutions.

The full scope of work is detailed in the next section below.

For additional information about LACERA, please refer to LACERA's Annual Financial Report, which is posted on the LACERA website, [www.lacera.com](http://www.lacera.com), in the "Investments" section.

## 2. **SCOPE OF SERVICES**

LACERA is currently using the following telephony equipment and services. The current contact center, will be upgraded and/or replaced by the proposed solution, as part of this RFP:

### 2.1. Current UC

- 2.1.1. Teams Phone
- 2.1.2. Teams Rooms
- 2.1.3. E911
- 2.1.4. Voicemail
- 2.1.5. Conferencing/Collaboration
- 2.1.6. Auto Attendant and Queues

### 2.2. Current Contact Center

- 2.2.1. AWS Connect
- 2.2.2. Callback
- 2.2.3. Customer Feedback
- 2.2.4. Audio Recording

### 2.3. Sample Current Contact Center Summary Data

- 2.3.1. LACERA Contact Center – Operational Profile
- 2.3.2. # Locations 1
- 2.3.3. # Contact Center Splits 3
- 2.3.4. Spanish Queue
- 2.3.5. Remote Agents Yes
- 2.3.6. Logins ~260
- 2.3.7. Active Agents ~80
- 2.3.8. Total Annual ACD Calls ~233,120
- 2.3.9. Daily Average ACD Calls ~940
- 2.3.10. Average Handle Time ~13 minutes
- 2.3.11. Hours of Operation 7:00-5:30 PST – Monday-Friday

## 3. **MINIMUM QUALIFICATIONS**

All respondents must clearly show and document in the proposal the following minimum qualifications:

- 3.1. The proposed solution must be based upon the proposer's existing commercially available CCaaS and UCaaS product offerings. The solution will require minimal modifications/customization and will meet substantially all LACERA's defined

- requirements, as identified in Exhibit C, LACERA Member Experience Communications Platform Requirements Questionnaire.
- 3.2. Proposed solution must demonstrate compatibility and full integration with LACERA's Microsoft Teams UCaaS.
  - 3.3. Proposer must have a minimum of (5) five years' experience in successful implementation of their cloud hosted CCaaS and UCaaS solutions, and in successful migration from on premise to their cloud-based solutions, preferred experience with, but not limited to migration from Avaya on premise and AWS cloud solutions.
  - 3.4. Proposer must have completed, at a minimum, two fully operational system implementations of similar or larger size and scope, and at least an average of over 1,000 incoming calls per day to the contact center.
  - 3.5. Proposer must demonstrate strong relevant and successful experience in providing similar services/solutions to similar industry organizations, as evidenced by client qualifications and references. Proposer must provide at least 3 references for work completed with similar requirements as to those described in this RFP.
  - 3.6. Proposer must provide supporting evidence to substantiate that their overall solution is open, flexible, scalable, and portable.
  - 3.7. Proposer must complete this RFP's Exhibit C, LACERA Member Experience Communications Platform Requirements Questionnaire and provide appropriate supplemental system information and documentation to demonstrate their software's functionality and responsiveness.
  - 3.8. Proposer will be responsible for a turnkey solution of all components of the total solution.
  - 3.9. The Proposer Project Manager will be a key role and will be responsible for all interactions with solution team members for the design, delivery, and configuration implementation and testing. LACERA Project Manager works with the Proposer Project Manager and will be responsible for LACERA's sign off of the delivered solution prior to implementation.
  - 3.10. Proposer will manage the proposer resources as a single LACERA delivery team and will provide dedicated (not shared) resources to perform the migration and implementation work.
  - 3.11. Proposer must possess an office or physical presence in the Southern California area or, alternatively, clearly demonstrate how they will have a sufficient local presence to serve and be readily accessible to LACERA both during the implementation project and for support post implementation.
  - 3.12. Proposer must affirm ability to work within the Southern California area, specifically at the LACERA offices at 300 N Lake Ave in the City of Pasadena. LACERA will not accommodate time or expenses for Proposer's employees to travel or commute.
  - 3.13. Proposer must be able to provide and support both an UCaaS and a CCaaS solution and the stated requirements.

#### 4. **INSTRUCTIONS TO RESPONDENTS**

The following table provides a tentative schedule of important dates and deadlines for this RFP. All dates are subject to modification by LACERA without notice.

Event Description	Date
RFP release date	10/10/2023
Intent to Respond closing date	10/27/2023
Written questions from Respondents due date	11/10/2023
LACERA’s response to Respondents’ questions	11/17/2023
RFP due date	12/8/2023
Finalist Interviews (estimate)	1/8/2024
Selection Notification (estimate)	1/26/2024
Commencement of work	Upon contract execution

#### 4.1. Response Requirements and Formatting

4.1.1. Respondents to this RFP must submit the completed proposal no later than **5:00 PM PDT** on December 8, 2023. Any proposal delivered after the proposal deadline will not be considered. Faxed transmissions are not acceptable. Completed proposals are to be emailed to the attention of (see also 4.2):

ECR RFP  
 Project Manager  
 LACERA  
 ecr@lacera.com

Send an electronic copy in PDF or Microsoft Word format via email. If the file is too large to email, it may be submitted on a USB flash drive.

If Respondent requires any confidential information to be exempt from public disclosure, then submissions should also include one **electronic copy** marked “**REDACTED**”. The redacted copies should redact all material from the proposal that the respondent believes in good faith is exempt from disclosure under the California Public Records Act, (California Government Code §7920.000 et seq. the “Act”). Individual redactions should appear as blacked out material. Large sections, tables, or entire blank page(s) shall include the word “REDACTED” or “PROPRIETARY” inserted. Each respondent must indicate the basis for each redaction under the Act (defined below) with a citation to the code section and subsection relied upon. LACERA cannot guarantee that redacted information will not be publicly available.

Please see the **Section 5** below “*Notice to Respondents Regarding the Public Records Act AND RALPH M. BROWN ACT*” for further information. An electronic copy of both the original and the redacted response in PDF format saved on separate DVDs, each labeled accordingly.

4.1.2. Submittals shall be at least 10-point font, but no larger than 12-point font and page limit maximums (as indicated below) are to be complied with. Submittals shall address all RFP sections in the same order presented and be responsive to each section.

4.1.2.1. Cover Letter. A cover letter (1 page) shall be signed by the individual(s) who is (are) authorized to bind the respondent contractually. The letter shall contain a statement to the effect that the respondent is not currently under investigation by any regulatory agency, state or federal, for any reason. The letter should identify your firm’s competitive advantage, the specific team that will be working on the LACERA account, and the reasons why the firm should be selected.

4.1.2.2. Minimum Qualifications Certification. You must certify, by completing and signing EXHIBIT B, that your firm meets the minimum qualifications required.

4.1.2.3. Table of Contents. The response must contain a Table of Contents that identifies the major sub-sections of the Questionnaire.

4.1.2.4. Questionnaire. Provide your response to the enclosed Questionnaire (Exhibit C). Excluding the requested Exhibits, your response must not exceed [50] pages. Responses shall be in the prescribed format. The RFP and Exhibits have been made available for review and download via LACERA’s website ([www.lacera.com](http://www.lacera.com)) under the "Business Opportunities" section.

4.1.2.5. Attachments. Optional material such as brochures or company information may be included as an attachment but will not be counted as responsive to this RFP and will not be used in scoring.

4.1.3. All proposals made in response to this RFP must remain open and in effect for a period of not less than 180 days after the submission deadline. Responses to this RFP may be changed or withdrawn in writing if modifications are received prior to the submission deadline. Modification to or withdrawal of a proposal received after the submission deadline will not be considered. Responses received after the specified deadline may be considered for evaluation solely at the discretion of LACERA. In addition, LACERA reserves the right to request more information or clarifications from respondents, or to allow corrections of errors or omissions.

4.1.4. Proposals not following these instructions or not including complete information as requested may result in a lower evaluation score or the proposal being declared non-responsive. For each part of the response, restate the RFP item immediately above the

response. Pages in the proposal shall be numbered. When asked, please provide details and state all qualifications or exceptions. All information supplied should be concise and relevant to qualifications.

#### 4.2. Contacts with LACERA Personnel

Contacts with LACERA personnel about this RFP, and all inquiries and requests for information shall be directed to the Point of Contact identified below:

ECR RFP  
Project Manager  
LACERA

Gateway Plaza  
300 North Lake Avenue, Suite 200  
Pasadena, CA 91101-4199

Email: [ecr@lacera.com](mailto:ecr@lacera.com)  
Phone: 626-564-6000

#### 4.3. Quiet Period

To ensure that prospective Respondents to this RFP have equal access to information about the RFP and communications related to the RFP are consistent and accurate so that the selection process is efficient and fair, a quiet period will be in effect from the date of issuance of this RFP until the selection of one or more respondents is completed and announced.

This RFP and other relevant information related to the RFP, including addenda, modifications, answers to questions, and other updates, will be available to the public at [lacera.com](http://lacera.com). Each respondent to this RFP will be subject to the same terms and conditions and will receive the same information.

During the quiet period, respondents are not allowed to communicate with any LACERA staff member or Board member regarding this RFP except through the point of contact named herein. Respondents violating the quiet period may be disqualified at LACERA's discretion.

Respondents who have existing relationships with LACERA must limit their communications between LACERA staff and Board members to the subject of the existing services provided by them.

#### 4.4. Questions relating to this RFP

All questions, inquiries, and requests for additional information concerning this RFP should be received no later than 5:00 PM PDT, November 10, 2023, and should be emailed to [ecr@lacera.com](mailto:ecr@lacera.com) (see 4.2). All questions received and responses thereto will be posted on LACERA's website ([www.lacera.com](http://www.lacera.com)) under the "Business Opportunities" section that relates to this RFP (<https://www.lacera.com/who-we-are/business-opportunities>) on or about 5:00 PM PDT, November 17, 2023.

Please note that during this evaluation process LACERA staff will not answer any questions related to the RFP except as set forth in the above paragraph. After November 17, 2023, if a

question appears unclear to you, please state your interpretation of the question and answer it accordingly.

#### 4.5. Evaluation Process

An evaluation committee consisting of LACERA staff members will review the RFP responses. An initial screen and assessment will be conducted to both ensure that minimum qualifications are met and that proposals align with the objectives of the search.

Responses that meet minimum qualifications and are fit for purpose shall be subject to evaluation and scored on the following categories by the review committee:

1. Company Overview (20%)
2. Functions, Features and Capabilities (30%)
  - a. Inbound Call Center
  - b. Outbound Call Center
  - c. Infrastructure and Architecture
  - d. Omni Channel
  - e. WFM and QM
  - f. Unified Communications
  - g. Administration and Reporting
3. Integration, Security, Support, and Implementation (20%)
4. Pricing (25%)
5. RFP Response Compliance (5%)

If advanced beyond round one of the evaluation phase, web-based and/or in-person interviews with LACERA may be scheduled. Finalists may be asked to make oral presentations to the Board of Retirement and the final selection will be made by the Board of Retirement.

#### 4.6. Intent to Respond

If your firm chooses to respond to this RFP, please send the Intent to Respond, Exhibit F, via email (see 4.2), by 5:00 p.m. PDT, October 27, 2023. Failure to send your Intent to Respond may disqualify your firm from submitting a response to this RFP.

#### 5. **NOTICE TO RESPONDENTS REGARDING THE PUBLIC RECORDS ACT AND THE RALPH M. BROWN ACT**

The information submitted in response to this RFP will be subject to public disclosure pursuant to the California Public Records Act (California Government Code §7920.000, et. seq., the "Act"). The Act provides generally that all records relating to a public agency's business are open to public inspection and copying unless specifically exempted under one of several exemptions set forth in the Act. If a respondent believes that any portion of its proposal is exempt from public disclosure or discussion under the Act, the respondent must provide a full explanation and mark such portion "TRADE SECRETS," "CONFIDENTIAL" or



“PROPRIETARY,” and make it readily separable from the balance of the response. Proposals marked “TRADE SECRETS,” “CONFIDENTIAL” or “PROPRIETARY” in their entirety will not be honored, and LACERA will not deny public disclosure of all or any portion of proposals so marked.

By submitting a proposal with material marked “TRADE SECRETS,” “CONFIDENTIAL” or “PROPRIETARY,” a respondent represents it has a good faith belief that the material is exempt from disclosure under the Act; however, such designations will not necessarily be conclusive, and a respondent may be required to justify in writing why such material should not be disclosed by LACERA under the Act. Fee and pricing proposals are not considered “TRADE SECRET,” “CONFIDENTIAL” or “PROPRIETARY”.

If LACERA receives a request pursuant to the Act for materials that a respondent has marked “TRADE SECRET,” “CONFIDENTIAL” or “PROPRIETARY,” and if LACERA agrees that the material requested is not subject to disclosure under the Act, LACERA will deny disclosure of those materials. LACERA will not be held liable, however, for inadvertent disclosure of such materials, data, and information or for disclosure of such materials if deemed appropriate in LACERA’s sole discretion. LACERA retains the right to disclose all information provided by a respondent.

If LACERA denies public disclosure of any materials designated as “TRADE SECRETS,” “CONFIDENTIAL” or “PROPRIETARY,” the respondent agrees to reimburse LACERA for, and to indemnify, defend and hold harmless LACERA, its Boards, officers, fiduciaries, employees, and agents from and against:

1. All claims, damages, losses, liabilities, suits, judgments, fines, penalties, costs, and expenses, including without limitation attorneys’ fees, expenses, and court costs of any nature whatsoever (collectively, Claims) arising from or relating to LACERA’s non-disclosure of any such designated portions of a proposal; and
2. All Claims arising from or relating to LACERA’s public disclosure of any such designated portions of a proposal if LACERA determines disclosure is deemed required by law, or if disclosure is ordered by a court of competent jurisdiction.

If LACERA staff recommends any respondent to the Boards for hiring, such recommendation, the reasons for the recommendation, and the relevant proposal(s) will appear on a publicly posted agenda and in supporting materials for public meetings of the Boards.

Nothing in this RFP requires LACERA to withhold any documents from production under the Act.

## 6. DIVERSITY, EQUITY, AND INCLUSION

LACERA values diversity, equity, and inclusion (“DEI”), and believes that effectively accessing and managing diverse talent leads to improved outcomes. LACERA takes a broad view of diversity, inclusive of varied backgrounds including, but not limited to, age, experience, race, ethnicity, sexual orientation, gender, gender identity, disability status, national origin, and culture. LACERA expects its business partners to respect and reflect LACERA’s value of DEI.

With respect to diversity, the response must include (see Attachment H):

- description of diversity policies, practices, and procedures maintained by the firm regarding equal employment opportunity, including the recruitment, development, retention, and promotion of a diverse and inclusive workforce, non-discrimination based on gender, race, ethnicity, sexual orientation, age, disability status, veteran's status, and other legally protected categories, and prohibition of sexual harassment in the workplace. If the respondent has written policies that address these matters, provide copies with the response to this RFP.
- the oversight, monitoring, and other compliance processes for implementation and enforcement of the firm's diversity policies, practices, and procedures, including the name of the individual who is responsible for oversight of the firm's method to measure the effectiveness of the policies, and conclusions as to effectiveness.
- any judicial, regulatory, or other legal finding, formal action, or claims related to equal employment opportunity, workplace discrimination, or sexual harassment during the past ten (10) years.

## **7. NOTICE TO RESPONDENTS REGARDING LACERA DATA PROTECTION**

LACERA, its consultants, vendors, and contractors have a duty to protect all LACERA data, including without limitation, information related to members and beneficiaries, finances, systems, and operations.

The finalist selected through this procurement will have access to sensitive information protected by LACERA's internal policies, State, and Federal law. In such a case, by submitting a proposal, respondent agrees to subject itself to certain contractual terms designed to protect such information, including without limitation cyber liability insurance – used when vendor might have access to or use of LACERA systems or information, SOC-2 reports – used when vendor might have access to or use of LACERA systems or information, systems penetration testing – used when vendor has access to LACERA systems or information and HIPAA Business Associate agreements – used when vendor has access to member personal health information. Respondents shall inform LACERA in their response if they have any limitations to agreeing to such terms. Respondents that do not make reservations shall lose their right to do so at the contracting phase.

## **8. CONTRACT NEGOTIATIONS**

Upon Board approval, staff will enter contract negotiations with the approved Respondent. LACERA may end negotiations, at its sole discretion, if it believes a satisfactory agreement cannot be negotiated. LACERA reserves the right to award a contract based upon proposals received; you should not rely upon the opportunity to alter your proposal (e.g., services to be provided, fees, etc.) during contract negotiations.

The final contract must allow LACERA to terminate a) for its convenience, b) if funds are not appropriated for the services to be provided, and c) for default.

The general form of the contract LACERA intends to use for this engagement is attached as **Exhibit D**. By sending a proposal without comment on the general form contract, Respondent

agrees to each term in the contract, and will not seek any modifications to the contract. LACERA has the right to change or negotiate contract terms different than those in Exhibit D in our sole discretion.

Respondents are required in their response to identify and explain any exception that it desires to take to any of the terms and conditions of this RFP. In addition, a respondent will be deemed to have agreed to each clause in the agreement (and not to seek inclusion of additional clauses), unless the respondent identifies an objection or inclusion, sets forth the basis for the objection or inclusion, and provides substitute language to make the clause acceptable to the respondent or to address an issue the respondent feels is not addressed by the agreement in its response to this RFP. If a satisfactory agreement cannot be negotiated with one or more of the firms, LACERA may, at its sole discretion, terminate such negotiations. LACERA, may then, at its option, initiate fee negotiations with another firm.

At LACERA's discretion the term of the contract entered under this RFP may be for an initial period of up to five (5) years, beginning from the date of final execution. There may be two (2) one-year extensions under the same terms and conditions at LACERA's option. All contracts may be terminated at LACERA's convenience at any time.

## **9. RESERVATIONS BY LACERA**

In addition to the other provisions of this RFP, LACERA reserves the right to:

- 9.1. Cancel or modify this RFP, in whole or in part, at any time.
- 9.2. Make such investigation as it deems necessary to determine the respondent's ability to furnish the required services, and the respondent agrees to furnish all such information for this purpose as LACERA may request.
- 9.3. Reject the proposal of any respondent who has failed to comply with the requirements of this RFP, or who is not currently in a position to perform the contract, or who has previously failed to perform similar contracts properly, or in a timely manner or for any other reason in LACERA's sole discretion.
- 9.4. Waive irregularities to negotiate in any manner necessary to best serve the public interest, and to make a whole award, multiple awards, a partial award, or no award.
- 9.5. Award a contract, if at all, to the firm which will provide the best match to the requirements of the RFP and the service needs of LACERA in LACERA's sole discretion, which may not be the proposal offering the lowest fees or achieving the highest score.
- 9.6. Request additional documentation or information from respondents. Requested information may vary by respondent. LACERA may ask questions of any respondent to seek clarification of a proposal or to ensure the respondent understands the scope of the work or other terms of the RFP.

- 9.7. The right to choose to not enter into an agreement with any of the respondents to this RFP or negotiate for the services described in this RFP with a party that did not submit a proposal.
- 9.8. Determine the extent, without limitation, to which the services of a successful respondent are or are not actually utilized.
- 9.9. Defer selection of a winning bidder to a time of LACERA's choosing.
- 9.10. Consider information about a respondent in addition to the information submitted in the response or interview.
- 9.11. Add terms and conditions during contract negotiations.
- 9.12. The information that a respondent submits in response to this RFP becomes the exclusive property of LACERA. LACERA will not return any proposal or reimburse proposal preparation expenses.

The information you submit in response to this RFP will become the exclusive property of LACERA. Your response will not be returned to you, and LACERA will not reimburse you for response preparation expenses.

*(The rest of this page is left intentionally blank)*

## EXHIBIT A

### **PROPOSAL COVER PAGE AND CHECKLIST (TO BE SUBMITTED ON RESPONDENT'S LETTERHEAD)**

Respondent Name:

Respondent Address:

By submitting this response, the undersigned hereby affirms and represents that they have reviewed the proposal requirements and have submitted a complete and accurate response to the best of their knowledge. By signing below, I hereby affirm that the respondent has reviewed the entire RFP and intends to follow all requirements.

Respondent specifically acknowledges the following facts:

1. Respondent has the required technical expertise and has sufficient capacity to provide the services outlined in the RFP.
2. Respondent has no unresolved questions about the RFP and believes that there are no ambiguities in the scope of work.
3. The fee schedule or price proposal sent in response to the RFP is for the entire scope of work and no extra charges or expenses will be paid by LACERA.
4. Respondent has completely disclosed to LACERA all facts bearing upon any possible interests, direct or indirect, that Respondent believes any member of LACERA, or other officer, agent or employee of LACERA presently has, or will have, in this contract, or in the performance thereof, or in any portion of the profits thereunder.
5. Materials contained in proposals and all correspondence and written questions sent during the RFP process may be subject to disclosure pursuant to the Act.
6. Respondent is not currently under investigation by any state or federal regulatory agency for any reason.
7. The signatory below is authorized to bind the respondent contractually.

[/s]

**EXHIBIT B**

**MINIMUM QUALIFICATIONS CERTIFICATION  
(TO BE SUBMITTED ON RESPONDENT'S LETTERHEAD)**

All Respondents must sign and return this attachment, along with written evidence of how you meet each qualification. The undersigned hereby certifies that the Respondent submitting this response fulfills the minimum qualifications outlined below, as well as the requirements contained in the RFP.

**Minimum Qualifications include:**

**[INSERT MINIMUM QUALIFICATION REQUIREMENTS HERE FROM SECTION 3]**

**The undersigned hereby certifies that they are an individual authorized to bind the Firm contractually, and said signature authorizes verification of this information.**

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name and Title (please print)

\_\_\_\_\_  
Name of Firm

## EXHIBIT C

### QUESTIONNAIRE

(RESPONDENT SHALL USE QUESTIONNAIRE NUMBERING IN ITS PROPOSAL)

**[INSERT RFP QUESTIONS IN THIS EXHIBIT]**

QUESTIONS SHOULD REQUEST INFORMATION NECESSARY TO DETERMINE THE RESPONDENT'S QUALIFICATIONS AND THEIR ABILITY TO PERFORM THE SERVICES REQUESTED OR THE PRODUCTS DESIRED.

QUESTIONS SHOULD ENCOMPASS THE DATA, TECHNICAL REQUIREMENTS, PERFORMANCE SPECIFICATIONS, CONSULTING EXPERTISE, PRODUCT INFORMATION, OR OTHER LACERA REQUIREMENTS.

INCLUDE A STANDARDIZED FEE SCHEDULE OR A REQUIREMENT FOR A VENDOR-SUPPLIED SCHEDULE AND QUESTIONS THAT THE RESPONDENT WILL ANSWER WITH THEIR RESPONSE.



## **EXHIBIT D**

### **AGREEMENT FOR SERVICES**

THIS IS THE GENERAL FORM AND CONTENT OF THE CONTRACT LACERA INTENDS TO USE. IN SUBMITTING A PROPOSAL WITHOUT COMMENT ON THE CONTRACT, THE BIDDER WILL BE DEEMED TO HAVE AGREED TO EACH CLAUSE IN THE AGREEMENT BELOW (AND TO NOT SEEK ANY MODIFICATIONS TO THE AGREEMENT), UNLESS BIDDER'S PROPOSAL IDENTIFIES AN OBJECTION OR INCLUSION, SETS FORTH THE BASIS FOR THE OBJECTION OR INCLUSION, AND PROVIDES SUBSTITUTE LANGUAGE TO MAKE THE CLAUSE ACCEPTABLE TO BIDDER.

LACERA RESERVES THE UNILATERAL RIGHT IN ITS SOLE DISCRETION TO MAKE CHANGES TO THE CONTRACT PRIOR TO EXECUTION, WHICH CHANGES WILL NOT PROVIDE BIDDER WITH AN OPPORTUNITY TO MAKE FURTHER CHANGES TO THE OTHER TERMS OF THE CONTRACT.

**[TEMPLATE AGREEMENT TO BE INSERTED]**

## **EXHIBIT E**

### **IT SECURITY CONTROLS**

If selected through this RFP process respondent shall provide an initial Security Controls Assessment in the form attached hereto prior to executing an agreement with LACERA. All subsequent Security Controls Assessments that are required after this first report shall be performed and submitted annually. The questionnaires are to focus on security as it applies to the technologies impacting services provided in relation to the scope of work. If a control is found to be inadequate, the respondent will develop a remediation plan within 30 days. The respondent will implement the plan and inform LACERA of the change within a mutually agreed upon and reasonable time.

The Security Controls Assessments shall report in writing on the respondent's system(s) and the suitability of the design and operating effectiveness of controls, information functions, and/or processes applicable to the environment in which the respondent receives and maintains LACERA records, including the security requirements.

Respondent shall provide to LACERA, within 30 calendar days of the issuance of each Security Controls Assessment, a documented corrective action plan that addresses each audit finding or exception contained therein. The corrective action plan shall show in detail the required remedial action by the respondent along with the implementation date(s) for each remedial action.

If the respondent does not obtain an annual Security Controls Assessment, LACERA shall have the right to retain an independent audit firm to perform such an audit engagement for such a report. The audit will include the controls, information functions, and processes used or provided by the respondent. Respondent agrees to allow the independent audit firm to access its facilities for purposes of conducting this audit engagement. They will provide the necessary support and cooperation to the independent audit firm.

The independent audit firm will be engaged by LACERA's legal department and subject to the same confidentiality requirements supported in this agreement, and any disclosure will be on a need-to-know basis only for the purpose of the Security Controls Assessment. LACERA will invoice the respondent for the expense of the report(s) or deduct the cost from future payments to the respondent.

<u>LACERA Supply Chain IT Security Controls Assessment</u>			Has the Control Been Tested and Validated?	Validation Results or Location of Documented Results
Control Identifier	Control Name	Control Description		
LACERA-0		LACERA Conducts supplier assessment of risk prior to the acquisition or outsourcing of information Systems, Security Services; and will verify that the acquisition or outsourcing of dedicated information security services is approved by the CISO.		
LACERA-1	Supplier	Legal Name of Supplier		
LACERA-2	Supplier	Legal form of business (e.g., U.S. Corporation)		
LACERA-3	Supplier	Parent Corporation		
LACERA-4	Supplier	Web Site		
LACERA-5	Supplier	Dun & Bradstreet Number		
LACERA-6	Supplier	U.S. Federal Taxpayer ID		
LACERA-7	Supplier	What percentage of product/service - development/support is off-shore (non-U.S.)		
LACERA-8	Supplier	What is Supplier's 3rd-Party Security Assessment Validation (e.g., ISO, 27001:13, SOC 2 Type 2)		
LACERA-8	Supplier	Is your product FIPS 140-2 or 140-3 Certified (if yes, provide cert #)		
AC-1	Policy and Procedures	Are Access Control Policy(s) supported		
AC-2(1)	Account Management	Are System Accounts / Service Accounts / Privileged Accounts supported or required		
AC-2(3)	Account Management   Disable Accounts	Documented procedure or automated tool to Disable accounts		
AC-2(4)	Account Management   Automated Audit Actions	Automatic logging for audit of account creation, modification, enabling, disabling, and removal actions.		
AC-2(5)	Account Management   Inactivity Logout	Automatically log out users when [defined time period of inactivity].		
Control Identifier	Control Name	<u>LACERA Supply Chain IT Security Controls Assessment</u> Control Description	Has the Control Been Tested and Validated?	Validation Results or Location of Documented Results
AC-2(12)	Account Management   Account Monitoring for Atypical Usage	(a) Monitor / log system accounts login; and (b) Report usage of system accounts to [actions].		
AC-3(7)	Access Enforcement   Role-based Access Control	Enforce a role-based access control policy over defined subjects and objects and control access based upon [defined roles and users authorized to assume such roles].		

AC-3(9)	Access Enforcement   Controlled Release	Release information outside of the system only if: (a) The receiving [destination] provides [authentication]; and (b) [user roles] are used to validate the appropriateness of the information designated for release.		
AC-3(11)	Access Enforcement   Restrict Access to Specific Information Types	Restrict access to data repositories containing [Customer-defined information types].		
AC-3(12)	Access Enforcement   Assert and Enforce Application Access	(a) Require integration / API applications to use validated certificates. (c) Validate access changes after initial installation of the application.		
AC-3(14)	Access Enforcement   Individual Access	Provide [mechanisms] to enable individuals (Subjects) to have access to [defined elements] of their personally identifiable information.		
AC-4	Information Flow Enforcement	Enforce approved authorizations for controlling the flow of information within the system and between connected systems based on [defined information flow control policies].		
AC-4(2)	Information Flow Enforcement   Processing Domains	Use protected processing domains to enforce [defined information flow control policies] as a basis for flow control decisions.		
AC-4(5)	Information Flow Enforcement   Embedded Data Types	Enforce [defined limitations] on embedding data types within other data types.		
<b>Control Identifier</b>	<b>Control Name</b>	<b><u>LACERA Supply Chain IT Security Controls Assessment</u></b> <b>Control Description</b>	<b>Has the Control Been Tested and Validated?</b>	<b>Validation Results or Location of Documented Results</b>
AC-4(11)	Information Flow Enforcement   Configuration of Security or Privacy Policy Filters	Provide the capability for privileged administrators to configure [defined] security or privacy policy filters to support different security or privacy policies.		
AC-4(26)	Information Flow Enforcement   Audit Filtering Actions	When transferring information between different security domains, record and audit content filtering actions and results for the information being filtered.		
AC-6(6)	Least Privilege   Privileged Access by Non-organizational Users	Prohibit privileged access to the system by non-organizational users.		
AC-6(9)	Least Privilege   Log Use of Privileged Functions	Log the execution of privileged functions.		
AC-6(10)	Least Privilege   Prohibit Non-privileged Users from Executing Privileged Functions	Prevent non-privileged users from executing privileged functions.		

AC-7	Unsuccessful Login Attempts	Enforce a limit of [defined number] consecutive invalid login attempts by a user during a [organization-defined time period]; and automatically lock the account for an [organization-defined time period] or lock the account until released by an administrator and notify system administrator when the maximum number of unsuccessful attempts is exceeded.		
AC-8	System Use Notification	a. Display system use notification message or banner to users before granting access to the system		
AC-12(2)	Session Termination   Termination Message	Display an explicit logout message to users indicating the termination of authenticated communications sessions.		
AC-12(3)	Session Termination   Timeout Warning Message	Display an explicit message to users indicating that the session will end in [defined time until end of session].		
<b>Control Identifier</b>	<b>Control Name</b>	<b>Control Description</b>	<b>Has the Control Been Tested and Validated?</b>	<b>Validation Results or Location of Documented Results</b>
		<u>LACERA Supply Chain IT Security Controls Assessment</u>		
AC-14	Permitted Actions Without Identification or Authentication	a. Identify [user actions] that can be performed on the system without identification or authentication; and b. Document and provide supporting rationale in the security plan for the system, user actions not requiring identification or authentication.		
AC-16(10)	Security and Privacy Attributes   Attribute Configuration by Authorized Individuals	Provide authorized individuals the capability to define or change the type and value of security and privacy attributes available for association with subjects and objects.		
AC-24	Access Control Decisions	Establish procedures; Implement mechanisms to ensure [access control decisions] are applied to each access request prior to access enforcement.		
AU-2	Event Logging	a. Identify the types of events that the system is capable of logging in support of the audit function		
AU-3	Content of Audit Records	Ensure that audit records contain information that establishes the following: a. What type of event occurred; b. When the event occurred; c. Where the event occurred; d. Source of the event; e. Outcome of the event; and f. Identity of any individuals, subjects, or objects/entities associated with the event.		
AU-9(2)	Protection of Audit Information   Store on Separate Physical Systems or Components	Store audit records in a repository that is part of a physically different system or system component than the system or component being audited.		
AU-9(3)	Protection of Audit Information   Cryptographic Protection	Implement cryptographic mechanisms to protect the integrity of audit information and audit tools.		

Control Identifier	Control Name	<u>LACERA Supply Chain IT Security Controls Assessment</u> Control Description	Has the Control Been Tested and Validated?	Validation Results or Location of Documented Results
AU-11	Audit Record Retention	Retain audit records for [organization-defined time period consistent with records retention policy] to provide support for after-the-fact investigations of incidents and to meet regulatory and organizational information retention requirements.		
CM-3(2)	Configuration Change Control   Testing, Validation, and Documentation of Changes	Test, validate, and document changes to the system before finalizing the implementation of the changes.		
CM-14	Signed Components	Prevent the installation of [software and firmware components] without verification that the component has been digitally signed using a certificate that is recognized and approved by the organization.		
CP-4(4)	Contingency Plan Testing   Full Recovery and Reconstitution	Include a full recovery and reconstitution of the system to a known state as part of [Organization]contingency plan.		
CP-9(8)	System Backup   Cryptographic Protection	Implement cryptographic mechanisms to prevent unauthorized disclosure and modification of backup information.		
CP-10	System Recovery and Reconstitution	Provide for the recovery and reconstitution of the system to a known state within recovery time and recovery point objectives after a disruption, compromise, or failure.		
CP-10(2)	System Recovery and Reconstitution   Transaction Recovery	Implement transaction recovery for systems that are transaction-based.		
CP-10(4)	System Recovery and Reconstitution   Restore Within Time Period	Provide the capability to restore system components from configuration-controlled and integrity-protected information representing a known, operational state for the components.		
CP-10(6)	System Recovery and Reconstitution   Component Protection	Protect system components used for recovery and reconstitution.		
Control Identifier	Control Name	<u>LACERA Supply Chain IT Security Controls Assessment</u> Control Description	Has the Control Been Tested and Validated?	Validation Results or Location of Documented Results
IA-2(1)	Identification and Authentication (organizational Users)   Multi-factor Authentication to Privileged Accounts	Implement multi-factor authentication for access to privileged accounts.		

IA-2(2)	Identification and Authentication (organizational Users)   Multi-factor Authentication to Non-privileged Accounts	Implement multi-factor authentication for access to non-privileged accounts.		
IA-2(5)	Identification and Authentication (organizational Users)   Individual Authentication with Group Authentication	When shared accounts or authenticators are employed, require users to be individually authenticated before granting access to the shared accounts or resources.		
IA-2(8)	Identification and Authentication (organizational Users)   Access to Accounts — Replay Resistant	Implement replay-resistant authentication mechanisms for access to [Selection (one or more): privileged accounts; non-privileged accounts]. Techniques used to address this include protocols using nonces (e.g., numbers generated for a specific one-time use) or challenges (e.g., TLS, WS-Security) and PKI certificates. Additional techniques include time-synchronous or challenge-response one-time authenticators.		
IA-2(10)	Identification and Authentication (organizational Users)   Single Sign-on	Provide a single sign-on capability for system accounts and services.		
IA-2(12)	Identification and Authentication (organizational Users)   Acceptance of PIV Credentials	Accept and electronically verify Personal Identity Verification-compliant credentials.		
<b>Control Identifier</b>	<b>Control Name</b>	<b>Control Description</b>	<b>Has the Control Been Tested and Validated?</b>	<b>Validation Results or Location of Documented Results</b>
IA-4(1)	Identifier Management   Prohibit Account Identifiers as Public Identifiers	Prohibit the use of system account identifiers that are the same as public identifiers for individual accounts.		



IA-5(1)	Authenticator Management   Password-based Authentication	For password-based authentication: (a) Maintain a list of commonly-used, expected, or compromised passwords and update the list when organizational passwords are suspected to have been compromised directly or indirectly; (b) Verify, when users create or update passwords, that the passwords are not found on the list of commonly-used, expected, or compromised passwords in IA-5(1)(a); (c) Transmit passwords only over cryptographically-protected channels; (d) Store passwords using an approved salted key derivation function, preferably using a keyed hash; (e) Require immediate selection of a new password upon account recovery; (f) Allow user selection of long passwords and passphrases, including spaces and all printable characters; (g) Employ automated tools to assist the user in selecting strong password authenticators.		
IA-5(2)	Authenticator Management   Public Key-based Authentication	(a) For public key-based authentication: (1) Enforce authorized access to the corresponding private key; and (2) Map the authenticated identity to the account of the individual or group; and (b) When public key infrastructure (PKI) is used: (1) Validate certificates by constructing and verifying a certification path to an accepted trust anchor, including checking certificate status information; and (2) Implement a local cache of revocation data to support path discovery and validation.		
<b>Control Identifier</b>	<b>Control Name</b>	<b>Control Description</b>	<b>Has the Control Been Tested and Validated?</b>	<b>Validation Results or Location of Documented Results</b>
		<u>LACERA Supply Chain IT Security Controls Assessment</u>		
IA-5(5)	Authenticator Management   Change Authenticators Prior to Delivery	Require developers and installers of system components to provide unique authenticators or change default authenticators prior to delivery and installation.		
IA-5(7)	Authenticator Management   No Embedded Unencrypted Static Authenticators	Ensure that unencrypted static authenticators are not embedded in applications or other forms of static storage.		
IA-7	Cryptographic Module Authentication	Implement mechanisms for authentication to a cryptographic module that meets the requirements of AT LEAST FIPS -140-2.		
IA-8(2)	Identification and Authentication (non-organizational Users)   Acceptance of External Authenticators	(a) Accept only external authenticators that are NIST-compliant; and (b) Document and maintain a list of accepted external authenticators.		

IR-4(5)	Incident Handling   Automatic Disabling of System	Implement a configurable capability to automatically disable the system if [security violations] are detected.		
IR-4(6)	Incident Handling   Insider Threats	Implement an incident handling capability for detecting incidents involving insider threats.		
IR-4(11)	Incident Handling   Integrated Incident Response Team	Establish and maintain an incident response team that can be deployed to any location identified by the organization within [defined time period].		
IR-4(14)	Incident Handling   Security Operations Center	Establish and maintain a security operation [support] center.		
IR-4(15)	Incident Handling   Public Relations and Reputation Repair	(a) Manage public relations associated with an incident; and (b) Employ measures to repair the reputation of the organization.		
IR-5	Incident Monitoring	Track and document incidents.		
<b>Control Identifier</b>	<b>Control Name</b>	<b>Control Description</b>	<b>Has the Control Been Tested and Validated?</b>	<b>Validation Results or Location of Documented Results</b>
		<u>LACERA Supply Chain IT Security Controls Assessment</u>		
IR-5(1)	Incident Monitoring   Automated Tracking, Data Collection, and Analysis	Track [security] incidents and collect and analyze incident information [preferably using automated mechanisms].		
IR-6(3)	Incident Reporting   Supply Chain Coordination	Provide incident information to the customer of the product or service and other organizations involved in the supply chain or supply chain governance for systems or system components related to the incident.		
IR-7	Incident Response Assistance	Provide an incident response support resource, integral to the supplier's organizational incident response capability, that offers advice and assistance to users of the system for the handling and reporting of incidents.		
IR-8	Incident Response Plan	<ol style="list-style-type: none"> <li>1. Provide the [Customer's] organization with a roadmap for implementing supplier's incident response capability;</li> <li>2. Describes the structure and organization of the incident response capability;</li> <li>3. Provides a high-level approach for how the incident response capability fits into the overall organization;</li> <li>5. Defines reportable incidents;</li> <li>6. Provides metrics for measuring the incident response capability within the organization;</li> <li>7. Defines the resources and management support needed to effectively maintain and mature an incident response capability;</li> <li>8. Addresses the sharing of incident information;</li> <li>10. Explicitly designates responsibility for incident response.</li> </ol>		

Control Identifier	Control Name	<u>LACERA Supply Chain IT Security Controls Assessment</u> Control Description	Has the Control Been Tested and Validated?	Validation Results or Location of Documented Results
IR-8(1)	Incident Response Plan   Breaches	Include the following in the Incident Response Plan for breaches involving personally identifiable information: (a) A process to determine if notice to individuals or other organizations, including oversight organizations, is needed; (b) An assessment process to determine the extent of the harm, embarrassment, inconvenience, or unfairness to affected individuals and any mechanisms to mitigate such harms; and (c) Identification of applicable privacy requirements.		
IR-9	Information Spillage Response	Respond to information spills by: a. Assigning personnel with responsibility for responding to information spills; b. Identifying the specific information involved in the system contamination; c. Alerting [defined personnel or roles] of the information spill using a method of communication not associated with the spill; d. Isolating the contaminated system or system component; e. Eradicating the information from the contaminated system or component; f. Identifying other systems or system components that may have been subsequently contaminated.		
IR-9(3)	Information Spillage Response   Post-spill Operations	Implement procedures to ensure that organizational personnel impacted by information spills can continue to carry out assigned tasks while contaminated systems are undergoing corrective actions.		
MA-2(2)	Controlled Maintenance   Automated Maintenance Activities	(a) Schedule, conduct, and document maintenance, repair, and replacement actions for the system; and (b) Produce up-to date, accurate, and complete records of all maintenance, repair, and replacement actions requested, scheduled, in process, and completed.		
MA-3(2)	Maintenance Tools   Inspect Media	Check media containing diagnostic and test programs for malicious code before the media are used in the system.		
PL-7	Concept of Operations	a. Develop a Concept of Operations (CONOPS) for the system describing how to operate the system from the perspective of information security and privacy; and b. Review and update the CONOPS.		
Control Identifier	Control Name	<u>LACERA Supply Chain IT Security Controls Assessment</u> Control Description	Has the Control Been Tested and Validated?	Validation Results or Location of Documented Results
PL-10	Baseline Selection	Define the security controls baseline for the system.		

PM-2	Information Security Program Leadership Role	Appoint a senior agency information security officer with the mission and resources to coordinate, develop, implement, and maintain an organization-wide information security program.		
PM-3	Information Security and Privacy Resources	a. Include the resources needed to implement the information security and privacy programs in capital planning and investment requests and document all exceptions to this requirement; b. Prepare documentation required for addressing information security and privacy programs in capital planning and investment requests in accordance with applicable laws, executive orders, directives, policies, regulations, standards; and c. Make available for expenditure, the planned information security and privacy resources.		
PM-4	Plan of Action and Milestones Process	a. Implement a process to ensure that plans of action and milestones for the information security, privacy, and supply chain risk management programs and associated organizational systems: 1. Are developed and maintained; 2. Document the remedial information security, privacy, and supply chain risk management actions to adequately respond to risk to organizational operations and assets, individuals, other organizations, and 3. Are reported in accordance with established reporting requirements. b. Review plans of action and milestones for consistency with the organizational risk management strategy and organization-wide priorities for risk response actions.		
PM-7(1)	Enterprise Architecture   Offloading	As a supplier of products / services, are any essential functions or services offloaded to other systems, system components, or an external provider [specify]		
<b>Control Identifier</b>	<b>Control Name</b>	<b>Control Description</b>	<b>Has the Control Been Tested and Validated?</b>	<b>Validation Results or Location of Documented Results</b>
RA-5	Vulnerability Monitoring and Scanning	<u>LACERA Supply Chain IT Security Controls Assessment</u> a. Monitor and scan for vulnerabilities in the system and hosted applications b. Employ vulnerability monitoring tools for: 1. Enumerating platforms, software flaws, and improper configurations; 2. Formatting checklists and test procedures; and 3. Measuring vulnerability impact; c. Analyze vulnerability scan reports and results from vulnerability monitoring; d. Remediate legitimate vulnerabilities; e. Share information obtained from the vulnerability monitoring process		

RA-5(11)	Vulnerability Monitoring and Scanning   Public Disclosure Program	Establish a public reporting channel for receiving reports of vulnerabilities in systems and system components.		
SA-4(1)	Acquisition Process   Functional Properties of Controls	Require the developer of the system, system component, or system service to provide a description of the functional properties of the controls to be implemented.		
SA-4(2)	Acquisition Process   Design and Implementation Information for Controls	The developer of the system, system component, or system service must provide design and implementation information for the controls that includes security-relevant external system interfaces; high-level design; low-level design; source code or hardware schematics;		
SA-4(3)	Acquisition Process   Development Methods, Techniques, and Practices	The developer of the system, system component, or system service must demonstrate the use of a system development life cycle process that includes: (a) Systems engineering methods; (b) Systems security; privacy, engineering methods; and (c) Software development methods; testing, evaluation, assessment, verification, and validation methods; and quality control processes.		
SA-4(5)	Acquisition Process   System, Component, and Service Configurations	The developer of the system, system component, or system service must: (a) Deliver the system, component, or service with security configurations implemented; and (b) Use security configurations as the default for any subsequent system, component, or service reinstallation or upgrade.		
<b>Control Identifier</b>	<b>Control Name</b>	<b><u>LACERA Supply Chain IT Security Controls Assessment</u></b> <b>Control Description</b>	<b>Has the Control Been Tested and Validated?</b>	<b>Validation Results or Location of Documented Results</b>
SA-4(12)	Acquisition Process   Data Ownership	Are organizational data ownership requirements in the acquisition contract; and terms that require all data to be removed from the contractor's system and returned to the Customer-organization within [defined time frame].		
SA-9(2)	External System Services   Identification of Functions, Ports, Protocols, and Services	Identify the functions, ports, protocols, and other services required for the use of such services.		
SA-9(8)	External System Services   Processing and Storage Location — U.S. Jurisdiction	Is the geographic location of information processing and data storage facilities located within in the legal jurisdictional boundary of the United States?		
SC-45(1)	System Time Synchronization   Synchronization with Authoritative Time Source	Synchronize the internal system clocks to the authoritative time source within Stratum 3.		

**EXHIBIT F**  
**INTENT TO RESPOND**

Intent to Respond.

If you choose to respond to this RFP, please send this form via email to [ecr@lacera.com](mailto:ecr@lacera.com) no later than 5:00 p.m. PT, September 29, 2023. Failure to send your Intent to Respond may disqualify your firm from submitting a proposal.

LACERA's responses to written requests for clarification or other information will be provided to all Respondents that have submitted an Intent to Respond.

<b>To:</b>	Cookie Jaranilla	<b>From:</b>	
<b>Co.:</b>	LACERA – Systems Division	<b>Title:</b>	
<b>Phone:</b>	626-564-6000	<b>Co.:</b>	
<b>Email:</b>	<a href="mailto:ecr@lacera.com">ecr@lacera.com</a>	<b>Phone:</b>	
<b>Re:</b>	Intent to Respond	<b>Email:</b>	
		<b>Date:</b>	

Our firm intends to submit a response for LACERA's RFP for Member Experience Communications Platform.

Please send inquiries to the following contact:

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Company: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

Telephone: \_\_\_\_\_

Facsimile: \_\_\_\_\_

Email Address: \_\_\_\_\_

## EXHIBIT G

### SELECTION CRITERIA

The selection criteria below and the weighting schedule of the evaluation factors is a guide only and does not bind or limit LACERA in any way in its selection of vendor(s).

An evaluation committee will review, evaluate, score, and rank all responsive proposals by the evaluation criteria described below. LACERA may invite the highest ranked Respondents for presentations and interviews at which time each will have a limited amount of time to further describe their experience and qualifications, and to answer questions.

Scores will be used merely as an aid in selection and is not binding or determinative on LACERA with respect to the basis for selection. LACERA will evaluate proposals based upon the proven ability of the Respondent to satisfy the requirements in an efficient, cost-effective manner, considering quality of service. LACERA will evaluate responses against the following criteria and factors:

LACERA will consider the criteria, without a specific weighting, unless noted below. The balancing of the factors is in LACERA's sole discretion. LACERA reserves the right to consider factors other than those listed in making its choice.

	<b>CRITERIA</b>	<b>WEIGHT</b>
1	Company Overview	20%
2	Functions, Features and Capabilities	30%
3	Integration, Security, Support and Implementation	25%
4	Pricing	20%
5	RFP Response Compliance	5%
6	TOTAL	100%

## EXHIBIT H

### DIVERSITY, EQUITY, AND INCLUSION QUESTIONNAIRE



### DIVERSITY AND INCLUSION QUESTIONNAIRE

#### LACERA Due Diligence Regarding Diversity, Equity, and Inclusion

LACERA values **diversity, equity, and inclusion (“DEI”)**, and believes that effectively accessing and managing diverse talent leads to improved outcomes. LACERA takes a broad view of diversity, inclusive of varied backgrounds including, but not limited to, age, experience, race, ethnicity, sexual orientation, gender, gender identity, disability status, national origin, and culture. LACERA expects consultants, vendors, and other third-party providers to respect and reflect LACERA’s value of DEI. LACERA’s ongoing monitoring of third-party service providers incorporates an assessment of vendors’ commitment to, adherence with, and track record of accessing and retaining diverse and inclusive workforces.

#### Section I

##### I. Policy

1. Describe your firm’s approach to diversity, equity, and inclusion (“DEI”) in the workplace and its relation to your strategic objectives.
2. Does your firm have a written policy (or policies) addressing workplace DEI (“Policy”)? A Policy defines the firm’s commitment, policies, and practices regarding equal employment opportunity, including the recruitment, development, retention and promotion of a diverse and inclusive workforce and non-discrimination based on gender, race, ethnicity, sexual orientation, gender identity, age, veteran’s status, and other legally protected categories. A Policy (or policies) may be a standalone document or part of a larger firm document.

Please provide a copy of your firm’s Policy.

3. Does your Policy address sexual harassment in the workplace? If not, please explain.
4. If your firm does not have a written policy, do you commit to promptly adopting and providing a copy of a Policy, if your firm is awarded a mandate/contract with LACERA?



## II. Oversight

5. Who is responsible for overseeing the Policy's implementation? Please provide name and title. What processes are employed to implement and enforce the firm's Policy?
6. Who is responsible for overseeing compliance with the Policy? Please provide name and title. What processes are employed to promote compliance with the Policy?
7. What oversight, if any, does your firm's board and/or executive team exercise regarding the firm's DEI policy and efforts?
8. What data, trends, or analysis does the firm's board or executive committee receive regarding the firm's effectiveness in adhering to DEI policies, objectives, and compliance?
9. Under what circumstances would an allegations of non-compliance with the Policy prompt notification and/or consideration by the firm's board or executive committee?

## III. Track Record

10. Please complete the charts in **Section II** regarding your firm's workplace composition as defined by the Equal Employment Opportunity Commission categories for employees of your firm's U.S. operations. We also request completion of similar information for non-U.S. employees, absent any applicable legal or regulatory restrictions.
11. Does your firm commit to providing the firm's workforce composition in a format similar to **Section II** on a periodic basis, if awarded with a mandate/contract with LACERA? Has your firm been subject to any judicial, regulatory, or other legal finding, formal action, or claims related to equal employment opportunity, workplace discrimination, or sexual harassment during the past twelve years? Please describe.
12. Please identify the number of confidential settlements and/or non-disclosure agreements related to workplace discrimination and/or sexual harassment entered into by your firm during the past twelve years. Please describe the nature of each settlement within the terms of the confidential settlement.

## IV. Objectives and Compliance Strategies

13. Does your firm integrate DEI into executives' performance reviews and/or incentive pay objectives? Please describe.
14. Does your firm conduct pay disparity analyses to discern any disparities by gender, race, ethnicity, or other attributes of diversity? Please describe or explain why not.

15. Does your firm have a clawback or recoupment policy in place by which workplace misconduct, such as sexual harassment, may trigger recoupment of incentive pay, awards, bonuses, or other compensation?
16. Does your firm provide paid family leave provisions? If yes, please describe.
17. Please explain any other incentives or risk mitigation strategies your firm employs to promote compliance with your DEI policies.
18. How does your firm promote an accessible workplace for employees with disabilities?
19. Please describe any DEI objectives or goals your firm has.
20. Describe any affiliations or leadership positions related to DEI with which your firm is involved.

## Section II

### I. **General Instructions**

LACERA seeks to understand the track record of vendors in accessing and retaining talent inclusive of diverse backgrounds.

We invite all firms to provide the demographics and diversity attributes of their leadership (such as boards or executive committees) and managers, consistent with applicable laws, regulations, and privacy considerations in the markets in which they operate.

LACERA takes a broad view of diversity and welcomes firms to report on diversity attributes relevant to your business. However, as a standard baseline, LACERA requests all firms with U.S. operations to provide reporting consistent with the gender, race, and ethnicity categories used by the United States Equal Employment Commission (EEOC) in your firm's Employer Report EEO-1.

See [www.eeoc.gov/employers/eo1survey/index.cfm](http://www.eeoc.gov/employers/eo1survey/index.cfm) for further information.

Please complete all columns in Tables 1, 2, and 3 by entering in the number of employees or individuals for each relevant category (not percentages). Blank cells will be interpreted as having a value of zero.

Job Categories:

Board of directors, and CEO, CFO & COO: This row includes all members of the firm's governing board (or executive committee), as well as CEO, CFO, COO or equivalent positions.

Management professionals: All professionals who have a role in decision-making at the firm, including those with discretion about labor issues such as supervisors.

Management support: All professionals who have a role in supporting business function, such as marketing, client service, operations, accounting, IT, and legal.

If an employee is both a member of the board of directors or occupies the position of CEO, CFO or COO, as well as serves as a member of the executive staff, the individual may be counted in both rows.

Total compensation figures should be provided for all management professionals in each category reported in Row 2 as a percentage of total compensation of all management professionals (not total personnel of the firm).

Your firm may elect to provide information on additional diversity categories. If you choose to do so, please provide such information on additional sheets.

FOR INFORMATION ONLY



## Operations Briefing Report



October 5, 2023



The Operations Briefing Report is divided into four distinct sections, beginning with a general highlight section where we share narratives of projects or operational issues that we feel need highlighted attention. For example, over the last few months we have provided updates on our annual “March Madness” season.

The remaining sections are designed to provide an “at-a-glance” update on projects and initiatives the organization is working on. Each section is divided into the categories listed below to make it easier for you to quickly see what has changed, what has not, and what is completed. We have assigned a color scheme to each section so that as you scroll through the report you will be able to easily identify which of the sections listed below you are in. We have alphabetized each section by project title to make it easier for Trustees to home in on a specific project of interest:

- **New and Updated Information**
- **Existing Projects/Initiatives: No New Updates**
- **Completed Projects/Initiatives**

Each “at-a-glance” section provides a summary of information so Trustees can quickly understand the project and its status. This includes the following fields:

Project/Issue Title – Brief Description:

- **Type:** Each project has been assigned a type (Strategic Plan, CEO (for CEO’s 100 Day Report), MOG (Member Operations Group projects), and BSG (for Business Services Group projects).
- **Start and Target Date:** When the project started and its expected target date for completion.
- **Project Lead(s):** We have added a new information point to describe the project lead for that specific project.
- **Color coded status section** to indicate quickly where we are on the project.
- **A brief annotated notes section** to provide more detail on the status of the project.



Status Indicator Note		
Color coded statuses for a quick at-a-glance indicator to tell you how the project is proceeding.		
On Schedule	Delayed	Pushed Back
(The project is on schedule and the team intends to meet the stated target date)	(The project is slightly delayed. The team does expect a one to two month slip in meeting the target date. Management is more actively watching the progress of these projects)	(The project has been impacted by a significant obstacle or has been suspended due to emergent priorities. Management is actively discussing remedial steps or has a plan waiting to be implemented)

• New and Updated Information

This portion of the Operations Briefing details projects and initiatives that are new or have updated statuses.

Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
	BSG	Financial & Accounting Services Division	May 2023	December 2023
<b>Project Lead(s): Ted Granger</b>				
<b>On-Schedule</b>				
<b>Annual Financial Statement Preparation and Audit:</b> Government code sections require that LACERA prepare annual financial statements including footnotes and disclosures, obtain an external audit opinion of those statements, and transmit the reports to the Los Angeles County Board of Supervisors within six-months following the fiscal year-end.	<b>2023 – Annual Financial Statements/Audit</b> Staff kicked off the June 30, 2023, financial statement reporting season in May. Plante Moran, LACERA’s external financial statement auditor, completed the interim fieldwork in June. The interim audit testing focused on member data, benefit calculations, internal control assessments and fraud interviews. Plante Moran met with the Audit Committee in June.  During September staff received additional financial data from external investment managers and completed another financial statement closing process to capture asset value adjustments, continued preparing the Annual Financial Statements (AFS) and note disclosures, and worked with Plante Moran on the audit.			



	<p>Staff kept a regular cadence of weekly and bi-weekly meetings with stakeholders such as the Investment Office and Plante Moran. LACERA received periodic information requests from Plante Moran and provided the requested documents.</p> <p>Plante Moran will complete final fieldwork in October. Staff expects to finalize the AFS and audit opinion by mid-October and provide LACERA's AFS to Los Angeles County, so the County can finalize their financial statements prior to calendar year-end.</p>
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Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
	MOG	Benefits	08/01/2020	TBD
	<b>Project Lead(s): Shonita Peterson</b>			
	<b>On Schedule</b>			
<p><b>Alameda Decision Implementation:</b> In 2020, the California Supreme Court issued its decision in the Alameda County Deputy Sheriff's Association v. Alameda County Employees Retirement Association ("Alameda"), challenging the constitutionality of changes passed in 2013 Assembly Bill 197, which amended the definition of compensation earnable, specifically, excluding pay items previously included such as unused vacation, termination pay, in-kind payments, and payments for services rendered outside of normal working hours. The Court upheld the constitutionality of the Legislature's actions. In 2021, the Legal Office notified the Board of</p>	<p>Since the project started, staff have updated the salaries for 4,176 members to exclude Standby Pay and computed the contributions on earnings that occurred on or after January 1, 2013. Of those, 3,013 were actively employed, but only 2,284 had overpaid contributions. Since Active members cannot receive a refund while in service, LACERA suspended future contributions beginning with the March 30, 2022, salary (paid on April 15, 2022) through the point each member's balance had been depleted. Staff mailed 1,000 letters to the active members on February 11, 2022, and the remaining 1,084 letters on February 25, 2022. A split mailing was used to prevent overwhelming the Member Services Call Center.</p> <p>Subsequently, staff identified 149 deferred and inactive members, most of whom were entitled to a refund. Staff issued 132 checks to those members entitled to a refund. The balance of seventeen were not owed a refund.</p> <p>The Systems Division developed programming to remove the Standby Pay code earnings for all retirees who retired on or after January 1, 2013, and recalculated their FAC earnings once the pay codes were removed. Per the BOR approval,</p>			



Retirement that it had completed an initial review of LACERA legacy pay codes and determined that Standby Pay did not meet the expanded understanding of compensation earnable because of the Alameda Case.

these members were subject to having their benefits adjusted prospectively from August 30, 2020, following the court’s decision.

Beginning May 24, 2022, LACERA notified 710 members via email that their monthly benefit allowance will be reduced effective July 31, 2022. Of these, 405 members were notified that due to the retroactive deduction of benefits to the August 2020 monthly allowance, they have been overpaid and will be required to repay the overpaid benefits. Members will be given the option to repay by lump sum, or via deductions from their benefits over a period of time (including financing interest). The remaining 305 retirees were mailed a refund check for the overpaid retirement contributions that exceeded the overpaid retirement benefit. An additional fifty-six members with Standby Pay neither have a refund nor a benefit change due to the timing of their standby pay, while a Plan E member, or having a 30-year cancellation.

The team working on this project has identified five groups of members who will be impacted by this project. The chart below reflects the progress of the project.

Alameda Project Status	Current Report	
	9/30/2023	
Row Labels (Type, Status, Detail, Outstanding)	Count	%
<b>Pending Notification</b> (Staff Reviewing and Processing)	694	14.36%
<b>Active</b>	55	1.1%
<b>Retired</b>	6	0.01%
<b>Deferred/Inactive</b>	0	0.0%
<b>Deceased</b>	43	0.9%





<b>Other – *Active/Ex-ceptions</b>	590	12.21%
<b>Withdrawn</b>	0	0.0%
<b>Completed</b>	4,138	85.64%
<b>Active</b>	3,004	62.2%
<b>Retired</b>	873	18.07%
<b>Deferred/Inactive</b>	149	3.1%
<b>Deceased</b>	0	0.0%
<b>Withdrawn</b>	56	1.2%
Not affected	56	1.2%
<b>Grand Total</b>	4,832	100%

**\*Alameda Project – Active Members:** In addition to the 178 Retired / Deceased / Survivor / Legal Split Payee cases, there are a total of 625 Active Exception cases that require manual review and processing by the specialist. The Workspace Support Team previously informed the Benefits Team of this population. However, because we were concentrating on the retired population, we overlooked and did not report the **Active Exception** population. Our priority is still focused on the Retired / Deceased / Survivor / Legal Split Payee cases first. In June 2023, we initiated the collection process for affected members within this portion of the population.



Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
	Strategic	Executive (MOG/BSG)	08/24/2022	11/2/2023
	<b>Project Lead(s): JJ Popowich, Luis A. Lugo, &amp; Iveta Brecko (PM)</b>			
<b>On Schedule</b>				
<p><b>Case Management Project (SOL): Phase I</b>            Implement a case management system that will improve efficiency in processing member requests, provide accurate status and data collection for metrics, and improve the member experience.</p> <p>Processes included in Phase I are:            Disability Retirement Services (DRS)            Disability Litigation Office (DLO)            Benefits – First Payment</p>	<p>In May of 2022, the BOR approved LACERA’s recommended vendor, Eccentex, to partner with LACERA to develop our Case Management System. Eccentex was selected after an extensive review of thirteen vendor proposals received from our RFP.</p> <p>Sol for Disability Retirement Services (DRS) and Disability Litigation Office (DLO) moved into production on Friday, September 22<sup>nd</sup>. DRS and DLO users can perform operation-related functions, tasks, and activities using Sol, while Eccentex (our case management vendor) works on a list of lower-priority issues that subsequent releases will address. The primary purpose of this first release is to assess functionality and performance and determine improvements and process enhancements for future development. Additionally, over 900 existing cases have been migrated to Sol.</p> <p>Eccentex has also released some First Payment functionality in the Quality Assurance (QA) test environment, making this new functionality available for Subject Matter Experts to validate. The Eccentex's Implementation Team will conduct several demonstrations for the Benefits division on September 26<sup>th</sup>. The Project Team is on track to GO-LIVE for the First Payment module on the 1<sup>st</sup> week of November.</p>			



Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
	BSG	Executive (BSG)	10/06/2022	10/16/2023
	<b>Project Lead(s): Laura Guglielmo and Cookie Jaranilla (PM)</b>			
<b>Delayed</b>				
<p><b>Enterprise Budget Application (Questica) Implementation:</b> LACERA is implementing its first automated enterprise budget application which will be used for budget development and budget control and will integrate with LACERA's financial system, Great Plains. This system replaces a manual budget development process that relies on Microsoft Excel and Word. It will also ensure that managers have real-time budget to actual reporting capabilities for data informed decision making.</p>	<p>After an extensive RFP and selection process, the Board of Retirement approved the selection of Questica on October 6, 2022. The contract and statement of work were finalized, and the project kick off meeting was held with the LACERA Budget Team and Questica team on November 17, 2022.</p> <p>The Project team has continued to fine-tune Questica's Budget Modernization application in the following areas:</p> <ul style="list-style-type: none"> <li>• Required roles for Change Request Permissions</li> <li>• General Ledger (GL) Account Roll-up and Reporting Requirements</li> <li>• Personnel Sync Integration</li> <li>• Amended Budget Export</li> <li>• View Creation</li> </ul> <p>The User Training activities with LACERA were pushed back to September 27 and 28, 2023, due to vendor staffing changes. The MAC and SAC team members have completed the Budget Basic training sessions the Assistant Executive Officer conducted on September 14 and 15, 2023, to ensure LACERA's business divisions managers and supervisors have a good foundational understanding of the budget concepts and processes. SME's are still validating some data such as the personnel data extraction, and payroll data integration of legacy systems with Questica Budget. Due to the change in the User Training dates and unfinished deliverables, the GO-Live date has been pushed for another month and rescheduled to October 16<sup>th</sup>.</p>			



Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
	BSG	Administrative Services	03/01/2022	10/27/2023
	<b>Project Lead(s): Roberta Van Nortrick, Celso Templo &amp; Michael Dozier (PM)</b>			
<b>Delayed</b>				
<p><b>Enterprise Contract Lifecycle Management (ECLM) Solution:</b> Pursuant to a recommendation by Administrative Services staff, the Operations Oversight Committee (OOC) on March 2, 2022, authorized a Request for Proposal (RFP) for software and consulting services to procure, configure, customize, and implement an ECLM system, which was published on LACERA.com on March 4, 2022.</p>	<p>On April 4, 2022, LACERA received proposals from nine vendors. LACERA’s evaluation team reviewed all RFPs and selected five vendors as finalists. These finalists demonstrated their solutions to the team. A final vendor has been identified and a recommendation to the Board of Retirement was scheduled for consideration at the September 2022 Board Meeting. The Board of Retirement approved the recommended vendor, Cobblestone, at the September 2022 Board meeting for the Enterprise Contract Lifecycle Management system.</p> <p>The ECLM Solution’s Iteration 1 has been completed. ECLM is in production and available for use. Systems, Admin Services, Legal, Investment Division, and FASD SMEs have been conducting their User Acceptance Testing (UAT). Functionalities available in production are the following:</p> <ul style="list-style-type: none"> <li>• Contract Repositories</li> <li>• Vendor Portal</li> <li>• Contract Approval Chain</li> <li>• Consolidated Bid Responses and Evaluation – RFP Management</li> <li>• AI Capabilities – Drafting, Reviewing &amp; Executing of Contracts</li> <li>• Reporting - Contract Requests, Solicitations, Contracts, and Vendors</li> <li>• Systems Integration with Great Plains</li> </ul> <p>The ECLM Project Team is on target to complete Iteration 2 by the end of September 29th, which involves finalizing ongoing User Acceptance Testing and utilizing the Vendor Portal in production. A crucial additional configuration for amendment rollup tables and custom documentation has delayed the project implementation by a couple of days until the change order has been approved and returned. The ECLM</p>			



	Subject Matter Experts have tested the Data Integration solution with Great Plains and Accounts Payable Certify applications, validated them to work as anticipated, and complied with the design on the Cobblestone integration side. The Project Subject Matter Experts have uncovered several issues while testing the different work-flows and the vendor is remediating these defects. End User Training of Business Divisions has been deferred to the 1 <sup>st</sup> and 2 <sup>nd</sup> week of October.
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Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
	BSG	Executive (BSG)	10/01/2022	12/30/2023
	<b>Project Lead(s): Carly Ntoya and Don Song (PM)</b>			
	<b>On Schedule</b>			
<b>Human Resources (HR) Digitization:</b> LACERA is currently converting 350,000+ paper Human Resources' personnel, payroll, medical, and classification files to electronic files to allow quick retrieval of documents by a hybrid workforce, shared access to information, full text search capabilities, and an audit trail of document access.	<p>In March 2022, the Information Technology Coordination Council approved the Human Resources Digitization Project. Funding for the project was approved as part of the FY 2022-23 budget.</p> <p>The temporary resource has been participating in status meetings, conducting scanning tasks, and was recently provided with extra training in the scanning process to ensure optimal efficiency. Another scanner has been configured and installed to boost the scanning progress of the HR historical files. An additional resource person has been allocated to aid and participate in the scanning process. The scanning team has scanned 38% of the 350,000 HR historical files including 135,000 pages, since last month.</p>			



Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
	BSG	Executive (BSG)	01/01/2023	09/30/2023
	<b>Project Lead(s): Carly Ntoya and Michael Dozier (PM)</b>			
	<b>On Schedule</b>			
<p><b>Human Resources (HR) Case Management:</b> LACERA seeks a case management solution that supports Human Resources workflow with automatic notifications, document management, and version control as well as the ability to view HR workloads on an interactive dashboard.</p>	<p>In December 2022, the Information Technology Coordination Council approved a case management project for Human Resources. Funding for the project was approved during the FY 2022-23 midyear budget adjustments. The HR project team selected ServiceNow's Human Resources module for their case management solution.</p> <p>Since August, the Winward Implementation team has been testing the HR Case Management Module. We are pleased to report, Phase 1 testing is completed. In addition, the Phase 2 Discovery Session consisting of Knowledge Management &amp; New Hire workflows have been accomplished, and several demonstrations of the completed workflows have been provided, recorded, and saved for training purposes and stakeholders' consumption. Live User Acceptance Testing of Phase II and discussion sessions with Winward are ongoing. Implementation activities are scheduled to be completed on October 3rd, followed by two weeks of Post-Implementation and Hypercare operational support. The Executive Management Presentation of the HR Case Management is scheduled for October 5<sup>th</sup>.</p>			

Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
	Strategic	Exec (MOG)	01/01/2013	11/30/2023
	<b>Project Lead(s): Cynthia Martinez</b>			
	<b>Pushed Back</b>			
<p><b>PEPRA Implementation: Annual Benefit Statement</b></p>	<p>LACERA was unable to generate a PEPRA member ABS until we could accurately, automatically, calculate a member's FAC. This project is moving forward now that the FAC issue is nearly resolved.</p>			



<p>LACERA does not currently offer an Annual Benefit Statement (ABS) for PEPRA members.</p>	<p>Progress continues on the <b>PEPRA Implementation: FAC Issue</b> project and that project’s target date has been updated to October 30, 2023, to allow time to import historical files necessary to calculate a member’s benefit estimates.</p> <p>A kickoff meeting was held on August 22, 2023, to discuss project expectations, review the Project Charter and confirm the ABS Team participants, briefly review the Active redesigned comp, and discuss next steps. It was confirmed the team will meet weekly to begin the review process of the Active redesigned comp.</p> <p>The team has decided to pursue a change in how we generate the ABS. To provide us with more flexibility in distribution of the new ABS, we’ll be looking at generating a digital version which will decouple LACERA’s reliance on specialized programming with our print vendors. This should also shorten the time to complete and publish a new ABS. The team is still working on defining a target date, but we have set a preliminary target date of November 30, 2023.</p>
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Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
		Strategic	Executive (MOG)	01/01/2013
<b>Project Lead(s): JJ Popowich &amp; Lynn Francisco</b>				
<b>Delayed</b>				
<p><b>PEPRA Implementation: FAC Issue</b> The Final Average Compensation for PEPRA members is exclusive of most pay items except base pay. The County uses pay code 099 as their base pay code. This pay code has embedded pay items within the code that</p>	<p>As of late April 2023, the LACERA team and Auditor Controller’s Office continue to meet regularly and make progress towards the agreed upon deadline of June 30, 2023.</p> <p>In mid-January, the two teams met, along with LACERA CEO Santos Kreimann, and LA County Auditor-Controller Arlene Barrera, to discuss the urgent necessity of completing the project. Based on availability of AC resources, the two teams will begin working on the final stages of this project in February and have committed to working</p>			



are not pensionable compensation under PEPRA. To accurately calculate a member's benefit, these non-pensionable compensation items need to be filtered out.

towards a July 2023 completion date. The team has been meeting bi-weekly to ensure we remain focused on completing this project on-time.

On March 16, 2023, AC provided a test file on the PEPRA embedded earnings. Systems and QA division collaborated on testing and confirmed the file provided the appropriate data necessary to calculate a more accurate Final Average Compensation. Systems is now working on updating our internal programs to use these files in a production environment.

Systems completed the updates to our systems to be able to ingest the data from the new files the AC created for us. However, the team has encountered some additional delays in the testing and validating of the functionality of the programming. The team expects to complete the final validation process by September 15, 2023. This will cause a slight delay in the overall implementation. We are still working to determine if we will still be able to make the October 30, 2023 target date.

A secondary effort to use Robotic Processing Automation (RPA) to help automate the manual process of accessing member payroll records and entering the required information into the manual Excel sheets used to calculate the FAC is on-going. The AC and LACERA had held several discovery meetings to help AC programmers understand the manual process. The AC and ISD teams working on this application provided a demo to the LACERA team in May.

Given that the RPA will not be completed prior to the AC completing the permanent solution, the team has been evaluating the need to continue development. Ultimately, the team determined that there is value to the RPA process when having to manually research accounts for problems and appeals. The team has provided feedback to the ISD team and we are continuing to refine the tool. The tool will be used for supplemental research if questions are raised about the PEPRA FAC.





Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
	BSG	Executive (BSG)	09/21/2023	04/30/2024
	Project Lead(s): Luis Lugo and Gnan Arige (PM)			
	On Schedule			
<b>Policy Management Solution:</b> LACERA seeks an automated solution to support LACERA Policy Management Process.	<p>In September 2022, the Information Technology Coordination Council approved a policy management project to automate the creation, review, approval, and maintenance of LACERA policies as well as track the versions and acknowledgement of policies. Funding for this project was included in the FY 2022-23 budget. The policy management project team issued a Request for Quote (RFQ) and reviewed quotes submitted by interested vendors and consultants.</p> <p>The Policy Management Solution Project Team finalized the Scope and Requirements. The team presented the Final Draft to the Policy Committee and obtained their approval. We will share the Finalized Scope and Requirements with Compass 365 to evaluate the Level of Effort and start collaborating on the development of the Project Timeline, tasks, and deliverables. Additionally, we will meet with the newly hired Information Security Officer to obtain his approval and recommendations to ensure that the Finalized Scope and Requirements meet all security best practices.</p>			

Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
	Strategic	Executive (MOG/BSG)	06/15/2022	01/30/2024
	Project Lead(s): JJ Popowich & Shonita Peterson (PM)			
	On Schedule			
<b>Prepaid Bank Card Project:</b> Introduction of a prepaid bank card option for monthly benefit payments.	<p>In June 2022, the OOC approved the release of a Request for Proposal (RFP) for a Prepaid Debit Card Service. LACERA seeks an easily accessible alternative to paper checks for monthly participant retirement and survivor benefit payments. The goals are three-fold: to provide a lower cost alternative to issuing checks for</p>			



	<p>those participants without a banking relationship who are likely to pay fees to access their benefit payment, to reduce the number of monthly benefit payment checks issued by LACERA, and to create a more reliable payment process in the event of a disaster that impacts the ability to mail monthly paper checks. A secondary goal is to reduce or eliminate paper checks that are mailed to one-time payees by offering prepaid bank cards and direct deposit for death benefits and withdrawals.</p> <p>On September 30, 2022, LACERA received two proposals for Prepaid Debit Card Services. A cross functional evaluation team reviewed the proposals, and the vendors presented their services to the team. The selection team identified Conduent as the vendor of choice and the recommendation was approved by the Board of Retirement at the April 2023 board meeting.</p> <p>We have completed contract negotiations with Conduent for our debit card program in September 2023. Next steps are the contract approval process.</p>
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Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
		RHC	Exec	March 2021
<b>Project Lead(s): Santos H. Kreimann &amp; Luis A. Lugo</b>				
<b>Delayed</b>				
<b>Retiree Healthcare Administration: Lifetime Maximum Benefit Project</b>	<p>LACERA and the County CEO’s office are still in active communication in addressing the Lifetime Maximum Benefit issue. LACERA provided the Board of Retirement (BOR) with a formal report and update on our progress during the August 2, 2023 meeting via closed session.</p> <p>As of September 27, 2023, LACERA and the County continue to meet bi-weekly to ensure elimination of the Lifetime Maximum Benefit is point of focus. The County is in the midst of engaging and negotiating with organized labor groups to discuss potential future retiree health benefit changes.</p>			



Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
	MS	Executive Office		11/01/2023
	Project Lead(s): Jonathan Tran and Maritza Perez			
	On Schedule			
<p><b>Retirement Counseling Redesign Project:</b></p> <p>The basic retirement counseling process for members considering retirement has not changed in many years. While checklists used to counsel members have been updated over time, a top to bottom review of the process has not occurred in some time.</p> <p>The Member Services team has undertaken a project to modernize the counseling process to incorporate a true omnichannel approach by integrating the Retirement Planning section on LACERA.com and the My LACERA portal into the counseling process. Integrating these resources into the retirement counseling process will allow members to connect with LACERA in more ways than ever and help pave the way for future innovations and streamlined services.</p>	<p>A team of Member Services subject matter experts under the direction of the project leads have been meeting and developing a new retirement counseling model.</p> <p>The team has reviewed all data points and information shared with members during counseling sessions ranging from a few minutes to the more in-depth counseling sessions lasting an hour or more. The review is intended to ensure we are covering all of the vital information needed during our counseling sessions. The results of this review have led to updates to checklists, collateral material provided to members, and seeks to integrate the new Retirement Planning section on LACERA.com and My LACERA portal into counseling.</p> <p>Over the last few months, the team has been beta testing this new counseling model during actual member counseling sessions. This beta testing process has allowed the team to collect vital member and staff feedback on the new model.</p> <p>The team is now in the final stages of this project. They are working with the Communications team to update the Retirement Planning section on LACERA.com with additional information that will support key discussion points and feed into new communication collateral. Additionally, the team has launched the first phase of this project with a revamped PEPRA Final Average Compensation training module for all Member Services staff, in collaboration with Quality Assurance, Benefits, and PMG. Member Services staff have received an in-depth overview of the new Business Rules applicable to calculating a PEPRA member's FAC and how this affects other processes.</p> <p>Training for all Member Services staff is expected to begin in October 2023.</p>			



Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
	Strategic	Exec (MOG)	07/01/2022	01/31/2024
	Project Lead(s): Kevin Hawkins			
	On Schedule			
<p><b>Tax Table Changes for 2022: Phase II: Online Tax Calculator &amp; ADR Redesign</b></p> <p>The IRS published updated tax tables for 2022 which became effective January 1, 2022. The IRS finalized a revised Federal Withholding Certificate for Pension &amp; Annuity Recipients (commonly referred to as a W-4P tax withholding form). These follow up projects are designed to improve the overall Member Experience.</p>	<p>Earlier this year, the Project Management Group worked with tax counsel to understand the intricacies of the changes to the W-4P tax withholding form for 2022.</p> <p>The team completed the rollout of the new Federal Withholding Certificate for Pension &amp; Annuity Recipients (commonly referred to as a W-4P withholding form) on time. This included updating Workspace so staff can enter member tax elections in compliance with the new form design, as well as My LACERA so members can complete tax election changes themselves.</p> <p>The team also identified additional tasks that need to be completed in Phase II of the rollout. These tasks include:</p> <ul style="list-style-type: none"> <li>Developing and releasing a tax calculator on the Member Portal. This tax calculator is a planning tool separate from the election function that was previously released. The tax calculator is also scheduled to be integrated into the retirement estimate process so members can see what their net pay would be after taxes. Specifications for the initial version have been finalized, and programming is underway. Systems provided a demonstration to stakeholders in May 2023. Systems added an initial version of the calculator to Workspace in July 2023 for select staff to test and provide feedback. User feedback was collected, and all Member Services staff now have access to use it.</li> <li>An Automatic Deposit Receipt ADR redesign. Staff worked to develop a re-designed ADR with new fields that support the new tax withholding rules. After working with our check printing vendor to validate the new format would fit in the allotted space for the existing ADR, a business rule</li> </ul>			



	<p>with an embedded copy of the proposed layout was distributed to stakeholders for approval. The redesign has been approved by stakeholders in August. PMG met with the project team in August to discuss the implementation plan. The plan is to start notifying members about the upcoming change beginning in November 2023, and then members' ADRs will reflect the new layout for the first time on their January 2024 check.</p>
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Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
		BSG	Exec (BSG)	October 2021
	<b>Project Lead(s): Laura Guglielmo, Ted Granger &amp; Cookie Jaranilla</b>			
	<b>Pushed Back</b>			
<p><b>Travel/Expense/P2P Software:</b> LACERA has procured "Certify" software created by Emburse, an accounts payable automation and expense management provider.</p>	<p><u>Accounts Payable (AP) Module</u></p> <p>The AP Certify Project Team's User Acceptance Testing has been completed, and Live Training has started with the business divisions targeted for the Soft-Launch. These Business Solutions Group of divisions is comprised of the following:</p> <ul style="list-style-type: none"> <li>Admin Services Procurement</li> <li>Disability Retirement Services (DRS)</li> <li>Financial and Accounting Services Division (FASD)</li> <li>Legal Office</li> <li>Systems</li> </ul> <p>The Project Team has continued collaborating with Emburse, the Solution Integrator, and Subject Matter Experts to ensure the check payment processing will be processed according to the requirements by State Street Bank, the LACERA partner responsible for clearing and funding checks to the LACERA vendors. Other issues discovered during Unit Acceptance Testing are being resolved,</p>			



	<p>such as the invoice capture, process and payment, offline payment check data, and budget and control images needing to be rendered more consistently on the AP Certify interface. Also, other invoices that were processed reflected inconsistent statuses on the Emburse Pay's Accounting Review module. These critical items must be rectified to complete the User Acceptance Testing. Hence, the Project Team has pushed back the GO-LIVE Date to October 30th to accommodate AP Certify fixing these issues.</p>
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Existing Projects/Initiatives: No New Updates

This portion of the Operations Briefing will detail on-going projects that have no current changes in status.

Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
		MOG	Benefits	04/01/2021
<b>Project Lead(s): Louis Gittens</b>				
<b>Delayed</b>				
<p><b>COLA Bank Retroactive Changes:</b> In April of 2021, the Board of Retirement approved corrections to the COLA Accumulation Bank, which involved making retroactive corrections, recalculating benefit allowance amounts, and paying members retroactive benefits due to a discrepancy discovered in the COLA Accumulation.</p>	<p>The project was broken down into five phases based on the complexity of the calculations needed to pay retroactive benefits to members. We will resume working on this project in July 2023.</p> <p>Phase I-IV: As of the date of this report, LACERA has paid out just over \$3.8 million in retroactive COLA earnings. Of the 9,672 members and survivors impacted, 8,511 accounts have been systematically resolved, which represents all members and survivors currently in a payment status.</p> <p>The fourth phase of the project, which requires manually calculating the retroactive benefits, includes 1,494 cases in a payment status. The manual phase of the project began in December 2021. Staff have manually calculated COLAs for 455 members and payments were issued earlier this year.</p> <p>Phase V: The final phase involves deceased members with no survivors currently receiving benefits. This phase requires research to identify the appropriate beneficiary(ies) or estates to pay the retroactive benefits that were due to the deceased member. This phase is currently delayed due to staffing limitations and the focus on the Alameda Decision Implementation.</p> <p>Systems and Benefits have been reviewing the root cause for the manual processing and developing plans for redesigning some portions of our pension administration system to help alleviate the need for processing for future projects.</p>			



	<b>COLA Bank: Retroactive Payment Project</b>		
	Status (As of 3/31/23)	Number	Percentage
	Completed	8,511	88%
	In-Process	1,161	12%
	<b>Grand Total</b>	<b>9,672</b>	<b>100%</b>

Although previously delayed, Benefits is in the process of training new staff on this project to perform manual processing.

Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date	
		Strategic	Exec (MOG)	02/28/2022	12/31/2023
		<b>Project Lead(s): JJ Popowich &amp; Cynthia Martinez</b>			
	<b>Pushed Back</b>				
<p><b>Communications Plan:</b> The development of a strategic Communications Plan providing an overview of the guiding principles used to communicate with LACERA's various stakeholder groups. The plan will also provide an overview of the channels, resources, methods, planned campaigns, and current commitments of the Communications team. The plan will outline how our communications Division has been designed to be flexible and responsive to our needs as we fulfill our communication goals.</p>	<p>The LACERA executive team met on August 30, 2022, to review and discuss the Communication Plan(s) drafted by both EKA (the Board of Retirement's public relations consultant) and the LACERA Communications division. Both plans outlined a more tactical approach to engaging our members and various stakeholders, as opposed to a strategic roadmap. The team discussed opportunities and ideas for improving the Communication plan document. We are going to coordinate these efforts with our Strategic Planning process, since the work overlaps with our current Strategic Planning efforts.</p> <p>The Communications team is beginning the process of updating the draft Communications Plan to incorporate the Strategic Plan priorities and other feedback provided by the Executive Team.</p>				





Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
	BSG	Executive (BSG)	01/01/2023	11/30/2023
	Project Lead(s): JJ Popowich and Michael Dozier (PM)			
	Delayed			
<p><b>LACERA Incident Response Team (LIRT) Management Solution:</b> LACERA seeks a solution that automates the tracking and workflow of LACERA incidents.</p>	<p>In December 2022, the Information Technology Coordination Council approved a LIRT incident management solution project to automate the tracking of LACERA incidents. The LIRT project team decided to leverage a product that is already implemented at LACERA: ServiceNow Information Technology Service Management (ITSM). LACERA is currently selecting a business partner to leverage and customize the incident workflow of ServiceNow's ITSM to support LACERA's process regarding incident tracking, management, and reporting. Because LACERA already owns this product and is only configuring one module to support our specific process, we are able to absorb the cost of the project in the FY 2022-23 budget. We expect this project to be completed in June 2023.</p> <p>The Contract Execution and Procurement have been completed. We will start collaborating with the Executive Sponsor, Chief Information Technology, &amp; Subject Matter Experts in finalizing the Statement of Work and Requirements in mid-September. The goal is to share the finalized SOW with Winward, incorporate them in the Discovery and Assessment Sprints, and schedule a formal Vendor Kickoff in the last week of September.</p>			

Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
	Strategic	Executive (MOG)		
	Project Lead(s): Louis Gittens			
	Delayed			
<p><b>Pre-2003 Pension Reserve Clean-up:</b> Prior to January 1, 2003, non-vested contributory individuals were required to withdraw their contributions upon</p>	<p>LACERA previously sent notification to the remaining 673 affected individuals. This month, we determined which letters were returned to LACERA and sent notifications to secondary addresses through Certified mail. Our next course of action is to locate and notify next of kin for deceased members.</p>			



termination as they were not entitled to future benefits. The law was changed as of that date and non-vested members are now permitted to leave funds on deposit and later retire. LACERA has attempted to contact the non-vested individuals who terminated prior to 2003 and still have funds on deposit so they can withdraw their funds.

The purpose of this project is to ensure that LACERA sends written notice through Certified mail to the most valid address we can find. Individuals in this group who still have funds on deposit after this initiative will have their funds placed into the Pension Reserve.

Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
	Strategic	Exec (MOG)		12/30/2023
	<b>Project Lead(s): Vanessa Gonzalez</b>			
	<b>Pushed Back</b>			
<b>Retirement Estimate Redesign:</b> A legacy strategic plan goal to redesign the retirement estimate and election form as a retirement prospectus to provide members with all the information they need to make an informed decision about their retirement.	The initial redesign work was completed in 2019 and a beta test with members at the Member Service Center (MSC) was scheduled for after the 2019 March Madness. However, the COVID-19 Pandemic placed this project on hold.  The team re-evaluated the redesigned estimate, taking into account staff and member feedback gathered over the last few months. The first re-design turned out to be more complicated than would be useful.			



	<p>In late 2022, LACERA updated the Retirement Planning section on LACERA.com and released a new Retirement Election form. The team will be using this election form and the feedback gathered, to create a new retirement estimate. This coincides with a larger Member Experience effort to standardize and streamline retirement counseling across all available channels and incorporating LACERA.com in the counseling process.</p> <p>The team also recognized the previous work on this project may be useful in creating the online retirement application.</p>
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Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
	Operations	Exec (MOG)	June 2021	TBD
	<b>Project Lead(s): JJ Popowich</b>			
	<b>Pushed Back</b>			
<p><b>Retroactive Payroll Adjustments: Prospective Correction</b></p> <p>The Auditor-Controller is responsible for collecting contributions on all compensation earnable and pensionable earnings compensation at the time of payment. For many years, the AC has not been collecting contributions on retroactive payroll adjustments. In 2021, the AC made changes to their programming to take deductions at the time of payment. However, there are still some situations where these contributions are not being collected.</p>	<p>Following the AC’s programming change, LACERA implemented a testing regimen to ensure that the contributions were being deducted as expected.</p> <p>In August, the AC notified LACERA that they were adjusting the time frame that they would be withholding contributions for retroactive adjustments to 60 months (from the current 99 months). All retroactive earnings paid for pay periods more than 60 months in arrears would no longer have contributions deducted from them. This change was made by the County due to excessive degradation in their payroll system’s performance.</p> <p>In 2022, LACERA met with the AC’s team to discuss collection of contributions for adjustments more than 60-months old. A few ideas were generated from the meeting, and we will continue to work with them to develop a procedure that both the County and LACERA can support.</p> <p>No change has occurred on this issue.</p>			



• Completed Projects/Initiatives

This portion of the Operations Briefing will detail projects and initiatives that have been completed during the Fiscal Year 2023 - 2024.

Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
		BSG	Financial & Accounting Services Division	August 2022
	<b>Project Lead(s): Ted Granger</b>			
	<b>Completed</b>			
<p><b>Actuarial Valuation Reports: 2022 Actuarial Valuation of Retirement Benefits</b></p> <p>The Government Code requires that valuations of the Retirement Fund (Pension Plan) be performed at least once every three years. The Board of Investments' 2013 Retirement Benefit Funding Policy requires valuations be completed annually. These reports are prepared to determine employer and employee contribution rates and to measure the funded status of the Pension Plan. In addition, the valuation report provides information used to prepare the Governmental Accounting Standards Board (GASB) Statement Number 68, financial statement reports. Plan Sponsors use the GASB reports to obtain information</p>	<p><b>2023 Retirement Benefits – Actuarial Risk Assessment</b></p> <p>LACERA staff and Milliman presented the 2023 Annual Actuarial Risk Assessment report based upon the most recently completed Valuation report, to the Board of Investments (BOI) at their June 2023 meeting. There were some follow-up questions from Trustees regarding the impact PEPRRA may have on setting actuarial assumptions. Staff expects Milliman to present some additional information at a future BOI meeting.</p>			



required for their financial statement disclosures.

Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
		BSG	Financial & Accounting Services Division	July 2022
<b>Project Lead(s): Ted Granger</b>				
<b>Completed</b>				
<p><b>Actuarial Valuation Reports: 2022 Other Post-employment Benefits (OPEB) Actuarial Valuation</b></p> <p>The retiree healthcare (RHC) program administered by LACERA on behalf of Los Angeles County includes retiree healthcare benefits such as medical and dental insurance plans and death benefits. GASB refers to these benefits as Other Post-Employment Benefits (OPEB) for financial reporting. GASB Statement Number 75 prescribes financial statement reporting standards for OPEB programs. Actuarial valuations are prepared annually for Los Angeles County and LACERA's Board of Retirement to make funding decisions and to provide the information for the GASB 75 report which is used for employer financial statement reporting.</p>	<p><b>2022 OPEB – Annual Actuarial Valuation Report</b></p> <p>Milliman completed the July 1, 2022, OPEB Valuation Report and presented the results to the Board of Retirement on August 2, 2023.</p> <p>The upcoming 2023 OPEB actuarial reporting cycle will include both a triennial experience study and annual valuation report.</p>			



Project / Issue Title Brief Description	Type	Project Sponsor	Start Date	Target Date
	BSG/MOG	Communications/Systems	December 2022	September 2023
	Project Lead(s): Selassie Burke, Erika Heru/Ian Duggan			
	Completed			
<p><b>KBase Migration to SharePoint:</b></p> <p>KBase is an older knowledge base product that staff use on a daily basis for historical information, explanations of CERL and other information. The KBase data infrastructure needed to be updated to ensure its continued viability and improve access.</p>	<p>As part of the continuous commitment to improve our digital infrastructure and enhance user experience, our current Knowledge Base (KBase) has transitioned to a newer and more advanced platform on SharePoint.</p> <p>The move to SharePoint isn't just about a new look—it's also about functionality, security, and efficiency. SharePoint offers a robust platform, with numerous advantages such as improved security, enhanced collaboration features, and scalability to meet our future needs.</p> <p>KBase remains easily accessible within LACERA Connect. KBase now has a built-in search feature on SharePoint, locating the information needed is faster and more intuitive.</p> <p>Systems, in particular, Selassie Burke, managed the migration ensuring it was a seamless transition of a total of 1,314 related Wiki web pages that are now fully indexed and searchable.</p>			

DATE RECEIVED	REQUESTER	DOCS REQUESTED
07-21-23	R. Pippin, ALADS	<p>Request: All forms of written correspondence to and from LACERA, offices of CEO of LA County and/or LA County Auditor Controller concerning adjustments implementation in total compensation paid member represented by ALADS effective July 1, 2023.</p> <p><b><i>Transmitted 1 document.</i></b></p> <p><b><i>Legal sent, on July 27, 2023, via email, the responsive letter shown below.</i></b></p> <p><b><i>Pippen Response, 072723.pdf</i></b></p> <p><b><i>Legal sent, on August 15, 2023, via email, that LACERA expects to produce all non-exempts and redacted records by August 25, 2023. A list of each bargaining unit that ALADS represents was respectfully requested again.</i></b></p> <p><b><i>Legal sent, on September 1, 2023, to Mr. M. Cline, re email confirming telephone conversation held on September 1, 2023, clarifying PRA request.</i></b></p> <p><b><i>Transmitted 21 documents.</i></b></p> <p><b><i>Legal sent to Mr. Cline on September 8, 2023, via email, 21 responsive documents.</i></b></p>
08-17-23	R. Lynn, Individual	<p>Request: Recent list of the contents of the investments portfolio.</p> <p><b><i>Sent 1 document.</i></b></p> <p><b><i>Legal, on August 24, 2023, sent via USPS first class mail, Responsive letter and document.</i></b></p>
08-18-23	FOIA Data Aggregation	<p>Request: Information to all pension and other funds managed by LACERA.</p> <p><b><i>Transmitted 2 documents.</i></b></p> <p><b><i>Legal, on August 27, via email sent, 2 responsive documents shown below.</i></b></p> <p><b><i>Hedge Funds 3Q22-4Q22.xlsx and PE RE Fund Reports Q4 2022 Q1 2023.xlsx</i></b></p>
08-18-23	R. Zorn, Bijou-Insights	<p>Request: Information related to voting actions and or voting instructions given to outside fund managers during 2022 proxy season related to 50 shareholder proposals.</p> <p><b><i>Agreed with Mr. Zorn, to extend response date to September 1, 2023, to obtain responsive records.</i></b></p> <p><b><i>Legal, on September 1, 2023, sent via email the 2 documents shown below.</i></b></p> <p><b><i>Copy of 01 Pension Records Request (50 SHP Detail Data Input Template).xlsx and 2023 08 18 FINAL FOIA Request re 2022 Proxy Season.docs.</i></b></p>

DATE RECEIVED	REQUESTER	DOCS REQUESTED
08-28-23	T. Hettinger, lpanalyst	<p>Request: Most recent information on private asset portfolio returns since inception.</p> <p><i>Legal, on August 28, 2023, via email sent to Investments request for responsive information.</i></p> <p><i>Transmitted 1 document.</i></p> <p><i>Legal, on September 6, 2023, Via email sent the responsive document shown below.</i></p> <p><i>LP Analyst FOIA Request – Data as of 2023-06-30.</i></p>
09-08-23	H. Ahaiwe, HR, LA County and 1 other Recipient	<p>Per monthly request:</p> <p><i>Transmitted 1 document.</i></p> <p><i>Executive Office sent, via email on September 8, 2023, the responsive document shown below.</i></p> <p><i>MonthlyAgenda.csv for September 1, 2023.</i></p>
09-08-23	LA County Sheriffs Dept and 3 other Recipients	<p>Per monthly request:</p> <p><i>Transmitted 2 documents.</i></p> <p><i>Executive Office sent via email, on September 8, 2023, the responsive documents shown below.</i></p> <p><i>Monthly Agenda Reports for Sheriff Department Listing and Fire Department listing, each dated September 6, 2023.</i></p>
09-08-23	C. Siverson, Fire, LA County, and 5 other Recipients	<p>Per monthly request:</p> <p><i>Transmitted 1 document.</i></p> <p><i>Executive Office sent via email, on September 8, 2023, the responsive document shown below.</i></p> <p><i>Board of Retirement Meeting on September 6, 2023, Benefit Approval List.pdf.</i></p>
09-13-23	X. M. Revil, with. Intelligence	<p>Request: Record of all investment managers and funds invest in across all asset classes as of today including performance. metrics of all closed-end funds.</p> <p><i>Legal, on September 14, 2023, via telephone conversation with Investments, requested the responsive information. The required data will be forwarded to the Requester upon receipt.</i></p>



## REPORT OF FELONY FORFEITURE CASES

**September 26, 2023**

#	MEMBER'S LAST NAME	MEMBER'S FIRST NAME	DEPT.	CONVICTION DATE	LACERA NOTIFIED	INITIAL IMPACT NOTICE SENT	FINAL IMPACT NOTICE SENT	STATUS*	DISABILITY STATUS	SERV. LEVEL
64	RIDLEY-THOMAS	MARK	BOS	3/31/2023	3/31/2023			PEND		
61	SHEPOS	THOMAS	CEO	1/23/2023	2/14/2023			PEND		

**STATUS LEGEND:**

- **A**PPPEAL: Pending an appeal filed with LACERA
- **G**LOSED: RET: Retired member, case is complete
- **G**LOSED: DEF: Deferred member, case complete.
- **G**LOSED: INA: Inactive member – not eligible until age 70, case closed
- **D**ELAY-MI: Member input needed (i.e. pending a legal split decision)
- **D**ELAY-CD: Pending a court decision (reduction in charges pending conditions being met)
- **P**END: Case is currently in evaluation and notification stages
- **W**ITHDRAWN: Member withdrew prior to conviction – no impact.



**Documents not attached are exempt from disclosure under the California Public Records Act and other legal authority.**

**For further information, contact:  
LACERA  
Attention: Public Records Act Requests  
300 N. Lake Ave., Suite 620  
Pasadena, CA 91101**



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