

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. 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., WEDNESDAY, JUNE 5, 2024**

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(b), (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.

*Teleconference Locations for Trustees and the Public under California Government Code Section 54953(b)
3733 Ostrom Ave., Long Beach, CA 90808
6527 Whitworth Drive, Los Angeles, CA 90035*

COMMITTEE TRUSTEES:

JP Harris, Chair
Antonio Sanchez, Vice Chair
Jason Green, Trustee
Wayne Moore, Trustee
David Ryu, 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 May 1, 2024

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.)

V. NON-CONSENT ITEMS

- A. **Request for Proposal: Taxonomy and Knowledge Management Consulting Services**

Recommendation as submitted by Eugenia W. Der, Senior Staff Counsel, Strategic Objective 2.2 Project Lead: That the Committee authorize staff to issue a Request for Proposal (RFP) for consulting services to assist LACERA in implementing an enterprise-wide knowledge management system to digitally capture, document, organize, and access critical business knowledge and information using appropriate taxonomy.

(Presentation) (Memo dated May 22, 2024)

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. **Rehired Retirees Automated Notification Process**

Alex Ochoa, Retirement Benefits Specialist, Process Mgmt. Group

Kevin Hunter, Data Systems Analyst, Systems

(Presentation)

C. **NIST Cybersecurity Framework and Introduction Education Series Part II**

Chaitanya Errande, Information Security Officer

(Presentation)

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. 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 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, 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

12:17 P.M. – 12:42 P.M., WEDNESDAY, MAY 1, 2024

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: JP Harris, Chair
Antonio Sanchez, Vice Chair
Jason E. Green, Trustee
Wayne Moore, Trustee
(Teleconference under CA Govt. Code Section 54953(f))
David Ryu, Alternate Trustee

OTHER BOARD OF RETIREMENT TRUSTEES

Nancy Durazo, Trustee
Elizabeth Ginsberg, Trustee
Vivian H. Gray, Trustee
Shawn R. Kehoe, Trustee
Les Robbins, Trustee (*left at 12:20 p.m.*)
(Teleconference under CA Govt. Code 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

I. CALL TO ORDER

This meeting was called to order by Chair Harris at 12:17 p.m.

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 of the Committee was present at the noticed meeting location. There was one request received from Trustee Moore, and one request from Trustee Robbins, as a member of the Board of Retirement only, related to Just Cause (A). Trustees Moore and 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 April 3, 2024

Trustee Sanchez made a motion, Trustee Green seconded, to approve the minutes of the regular meeting of April 3, 2024. The motion passed by the following roll call vote:

Yes: Sanchez, Green, Moore, Harris

No: None

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.

B. **National Institute of Standards and Technology (NIST)
Cybersecurity Framework and Introduction**

Chaitanya Errande, Information Security Officer
(Presentation)

Mr. Errande gave a brief presentation 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 12:42 p.m.

***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.**

May 22, 2024

TO: Operations Oversight Committee
JP Harris, Chair
Antonio Sanchez, Vice Chair
Wayne Moore
Jason Green
David Ryu, Alternate

FROM: Eugenia W. Der 
Senior Staff Counsel, Strategic Objective 2.2 Project Lead

FOR: June 5, 2024 Operations Oversight Committee Meeting

SUBJECT: Request for Proposal: Taxonomy and Knowledge Management Consulting Services

RECOMMENDATION

That the Operations Oversight Committee authorize staff to issue a Request for Proposal (RFP) for consulting services to assist LACERA in implementing an enterprise-wide knowledge management system to digitally capture, document, organize, and access critical business knowledge and information using appropriate taxonomy.

EXECUTIVE SUMMARY

In July 2023, the Board of Retirement (BOR) adopted the Five-Year Strategic Plan, which includes the implementation of a knowledge management system for the entire organization as part of Strategic Priority 2: Innovation through Technology. LACERA houses a voluminous amount of explicit and implicit knowledge that is vital to our operations. While LACERA has a variety of databases that house divisional and interdivisional information, it does not have a centralized knowledge management system in place to obtain, organize, and manage critical business information. As a result, users must search for information in a variety of locations and important implicit knowledge can be lost as long-time employees retire.

The Taxonomy and Knowledge Management Project (TKM) including a taxonomy consultant was approved by the Information Technology Coordination Council (ITCC) on March 19, 2024. Funding for the consulting services is included in the Fiscal Year 2024-2025 proposed budget.

KNOWLEDGE MANAGEMENT CONSULTING SERVICES REQUIREMENTS

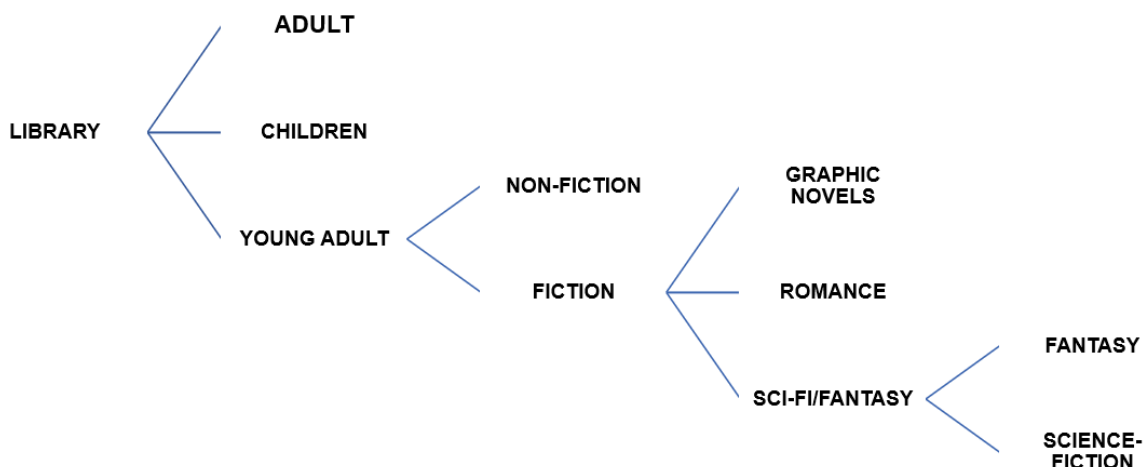
LACERA envisions an organization-wide knowledge management system that will house and provide information. TKM will serve as a central repository for organizational knowledge, be the primary search engine for LACERA information, and be the foundation for future AI technology. TKM will accommodate different levels and categories of users with appropriate security controls. However, before TKM can be implemented, LACERA's knowledge needs to be assessed and categorized based on a uniform taxonomy across the organization to promote consistent integration with LACERA's existing technology solutions.

What is taxonomy?

Taxonomy is the method used for organizing similar content into relevant groups. A taxonomy can help categorize data into its respective fields and map the connections between them to make meaning. It is a way to make information accessible and usable. Users can find what they need by starting with a general topic at a high level, and then focus down through subcategories to find specific information. Good taxonomy also allows users to explore related topics. A taxonomy consultant is someone who specializes in applying taxonomies, metadata, automatic classification, and other information retrieval technologies to the needs of a business using industry best practices.

For example, a novel such as *Harry Potter and The Sorcerer's Stone* could be categorized by its title, author, year written, genre, reading level, etc. If one were to search for the novel on an online library site, a simple menu tree may look like:

TAXONOMY ILLUSTRATION



These categories and subcategories are taxonomy. Proper descriptors are essential for locating information through a menu tree and a search engine. A well-defined taxonomy assists users by providing accurate results and finding related information.

A consultant in business taxonomy is necessary to assist LACERA in assessing and mapping the knowledge for the entire organization in preparation for TKM. A taxonomy consultant will help LACERA categorize, group, and map its knowledge in a uniform fashion, like the example above, to efficiently assist users in finding information. They will also identify where LACERA knowledge overlaps over multiple touchpoints. A comprehensive taxonomy plan or roadmap will serve as the foundation and basis for TKM.

The consulting services must include:

1. A review and assessment of LACERA's knowledge assets across all 15 divisions.
2. Develop and implement an organization wide taxonomy and/or ontology to be used for an enterprise-wide knowledge management system including a content tagging plan.
3. Develop a knowledge base implementation plan/roadmap and solution architecture plan.
4. Assist LACERA in obtaining a knowledge management system vendor. This includes assistance with developing the Request for Proposal for the vendor and the requirements for the solution, reviewing vendor proposals, facilitating vendor demonstrations, and recommending a solution and/or vendor. (The project will be multi-year with a goal of selecting a vendor in Q2 2026.)
5. Develop a knowledge base and taxonomy governance plan including roles, responsibilities, and processes required for maintenance and scale.

PROPOSED RFP TIMELINE

The proposed timeline for the RFP process:

Event Description	Date
RFP Release date	June 14, 2024
Intent to Respond due date	June 28, 2024
Written questions from Respondents due date	July 5, 2024
LACERA's response to Respondents' questions	July 12, 2024
Proposal due date	July 26, 2024
Finalist Interviews (estimate)	Q3 2024
Selection Notification (estimate)	Q4 2024
Commencement of work	Upon contract execution

CONCLUSION AND RECOMMENDATION

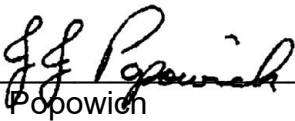
LACERA seeks to consolidate all its knowledge across fifteen divisions into a centralized knowledge management system that will allow greater access to information and provide a uniform retention and maintenance plan of LACERA's knowledge.

May 22, 2024

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IT IS THEREFORE RECOMMENDED THAT THE OPERATIONS OVERSIGHT COMMITTEE authorize staff to issue a Request for Proposal for taxonomy consulting services to assist LACERA in implementing an enterprise-wide knowledge management system to digitally capture, document, organize, and access critical business knowledge and information using appropriate taxonomy.

Review and approved.



JJ Popowich
Assistant Executive Officer

Attachment

c: Santos Kreimann
Luis Lugo
Laura Guglielmo
Ricki Contreras
Richard Bendall
Steven Rice
Kathy Delino

May 22, 2024



REQUEST FOR PROPOSAL

Taxonomy & Knowledge Management Consulting

Eugenia Der, Senior Staff Counsel
eder@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)
TAXONOMY & KNOWLEDGE MANAGEMENT CONSULTING
JUNE 14, 2024**

1. INTRODUCTION

1.1. Purpose of Request

The Los Angeles County Employees Retirement Association (“LACERA”) administers a defined benefit retirement plan and Other Post-Employment Benefit Program. LACERA is seeking proposals from qualified firms to provide consulting services to assist LACERA in implementing an enterprise-wide Knowledge Management System to digitally capture, document, organize, and access critical business knowledge and information using appropriate taxonomy. Qualified firms are invited to respond to this RFP (Respondent).

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 190,000 members, including active and retired members. Additionally, retired members and survivors take part in the medical and dental retiree healthcare programs. In addition to benefits administration, the fund invests in assets to support payment of the promised pension benefits as well as additional sums to support the retiree healthcare program.

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 provide consulting services to assist LACERA in implementing an enterprise-wide Knowledge Management System to digitally capture, document, organize, and access critical business knowledge and information using appropriate taxonomy. The full scope of work is detailed in the next section below.

2. SCOPE OF SERVICES

The three main objectives of this project are:

1. Implement a centralized knowledge database for both internal and external users based on knowledge taxonomy and security controls, which will ensure optimization for use by future AI.
2. Knowledge would include the knowledge from all divisions in the organization which include, policies, operational procedures, law, operating instructions, training guides, templates, business rules, etc.,
3. A defined ongoing maintenance process to ensure accurate and up to date information in the knowledge management system.

The consulting services must include:

1. A review and assessment of LACERA's knowledge assets across all 15 divisions.
2. Develop and implement an organization wide taxonomy and/or ontology to be used for an enterprise-wide knowledge management system including a content tagging plan.
3. Develop a knowledge base implementation plan/roadmap and solution architecture plan.
4. Assist LACERA in obtaining a knowledge management system vendor. This includes assistance with developing the Request for Proposal for the vendor and the requirements for the solution, reviewing vendor proposals, facilitating vendor demonstrations, and recommending a solution and/or vendor. (The project will be multi-year with a goal of selecting a vendor in Q2 2026.)
5. Develop a knowledge base and taxonomy governance plan including roles, responsibilities, and processes required for maintenance and scale.

3. MINIMUM QUALIFICATIONS

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

- Demonstrated expertise in the knowledge management industry with the principal contact having a minimum of 5-years experience in enterprise knowledge management consulting.
- LACERA has over 400 employees. Qualifications must include experience with a pension plan or large government entity with multiple business divisions (15) of a comparable size. Alternatively, demonstrated experience with a similar organization of comparable size and complexity of business operations and processes.

4. INSTRUCTIONS TO RESPONDENTS

4.1. RFP Important Dates

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	June 14, 2024
Intent to Respond due date	June 28, 2024
Written questions from Respondents due date	July 5, 2024
LACERA's response to Respondents' questions	July 12, 2024
Proposal due date	July 26, 2024
Finalist Interviews (estimate)	Q3 2024
Selection Notification (estimate)	Q4 2024
Commencement of work	Upon contract execution

4.2. Response Requirements and Formatting

4.2.1. Respondents to this RFP must submit the following for delivery no later than **5:00 PM PDT** on July 26, 2024, to the Project Manager specified in Section 4.3. below.

4.2.2. One **bound** and one **electronic** copy of the written response to this RFP in hard copy form to:

Eugenia Der
 LACERA
 300 North Lake Avenue, Suite 650
 Pasadena, CA 91101
 eder@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 DVD or USB flash drive).

If Respondent requires any confidential information to be exempt from public disclosure, then submissions should also include one **bound** copy, and one **electronic copy**, each 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 section 6250 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 **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.

4.2.3. Submittals shall be double-sided with text in at least 10-point font, but no larger than 12-point font limited to 40 pages, excluding Exhibits. Submittals shall address all RFP sections in the same order presented and be responsive to each section.

All responses to this RFP should follow the outline of the RFP requirements and should fully respond to each section as appropriate and to all questions in Exhibit C and should contain at a minimum:

4.2.3.1. 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.

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

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

4.2.3.4. Questionnaire. Provide your response to the enclosed Questionnaire (Exhibit C). Excluding the requested Exhibits and Attachments, your response must not exceed 40 pages. Responses shall be in the prescribed format.

4.2.3.5. 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.

4.2.4. 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.

4.2.5. 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 the qualifications.

4.3. 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:

Eugenia Der
Senior Staff Counsel
LACERA

Gateway Plaza
300 North Lake Avenue, Suite 650
Pasadena, CA 91101-4199

Email: eder@lacera.com
Phone: 626-564-6000

4.4. Quiet Period

To ensure that prospective Respondents to this RFP have equal access to information about the RFP and that 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. 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.

4.5. 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, July 5, 2024, and should be emailed to eder@lacera.com. All questions received and responses thereto will be posted on LACERA's website (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, July 12, 2024.

4.6. RFP Scoring and Selection Criteria

RFPs will be scored according to Exhibit G (Selection Criteria). LACERA staff may select Respondents based on the selection criteria or using a combination of onsite interviews and reference verification.

The highest-scoring Respondents may be invited to an interview by LACERA's Board(s). At LACERA's discretion, selected Respondents may be offered the opportunity to present their materials to the Board(s).

4.7. Intent to Respond

If your firm chooses to respond to this RFP, please send the Intent to Respond, Exhibit A, via email to Eugenia Der, by 5:00 p.m. PDT, June 28, 2024.

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 Section 6250, 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, please respond to the questions in Exhibit H (Diversity, Equity, and Inclusion Questionnaire). The response must include:

- 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 along 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 findings, 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, the respondent agrees to subject itself to certain contractual terms designed to protect such information, including without limitation cyber liability insurance, SOC-2 reports (or, in the alternative, the Vendor Data Security Questionnaire in Exhibit

E), systems penetration testing, and HIPAA Business Associate agreements. Respondents shall inform LACERA in their response if they have any limitations to agreeing to such terms. Respondents who 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(s). 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 at 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, and so on.

At LACERA's discretion, the term of the contract entered under this RFP may be for an initial period of up to 2 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. The requested information may vary by the 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.

LACERA shall not be liable for any costs respondents incur in connection with the preparation or submission of a proposal.

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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 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 officers, 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:

- Demonstrated expertise in the knowledge management industry with the principal contact having a minimum of 5-years experience in enterprise knowledge management consulting.
- LACERA has over 400 employees. Qualifications must include experience with a pension plan or large government entity with multiple business divisions (15) of a comparable size. Alternatively, demonstrated experience with a similar organization of comparable size and complexity of business operations and processes.

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

Authorized Signature

Date

Name and Title (please print)

Name of Company/Firm

EXHIBIT C QUESTIONNAIRE

**(RESPONDENT SHALL USE QUESTIONNAIRE NUMBERING IN ITS
PROPOSAL)**

General Questions

1. Who will serve as the primary contact for this Bid?
2. Please provide a company overview.
3. Where is your company located?
4. How long have you been in business?
5. Please provide your company's mission and/or vision statement.
6. Describe the company structure. (Private, public, partnership, etc.)
7. How many full-time, part-time, and contract employees do you have? (Please provide a breakdown)
8. What awards or recognition has your company received in the last three years?
9. Is your company affiliated with any industry or professional associations?
10. What licenses or certifications does your company hold?
11. Please provide a description and overview of your knowledge management and taxonomy consulting services.
12. Describe your plans for growth over the next 3 years.
13. Is the team available to begin the project upon award?

Customer Questions

1. What is your target customer base?
2. How many customers do you currently serve?
3. What is your customer retention rate?
4. Who are your five biggest customers?
5. What percentage of your revenue comes from the top three accounts?
6. How long is your average customer relationship?
7. Please provide contact information for three customer references.

Functionality and Deliverables Questions

1. Please indicate your ability to meet our requirements.
2. Provide a sample timeline for our outlined deliverables.
3. How are you going to develop a knowledge base implementation plan or solution architecture plan for LACERA?
4. Please provide detailed samples of past projects of how you identified and developed a taxonomy or ontology for one of your past clients.
5. What process do you use to identify and fix deficient knowledge assets?
6. Please provide samples of taxonomy governance plans or policies that you have developed for one of your clients.

Technology Questions

1. Describe your experience and involvement in a knowledge management vendor selection process.
2. Please explain how you evaluate the vendors.
3. Please provide a list of knowledge management solution vendors you have worked with previously.

Experience and Approach Questions

1. What experience do you have working with a pension plan or government entity?
2. Please provide at least three relevant case studies.
3. What resources will be dedicated to our account?
4. Provide brief biographies and project experience for primary contacts assigned to our account.
5. How often will you report our progress and results?
6. What technology do you leverage to ensure excellent customer communication and experience?
7. Provide a list of the standard report options, what each includes, and available formats.
8. How are usage and performance reports provided?
9. What KPIs do you track and report?

10. Describe your approach to continuous process improvement.
11. What methodology or research tools will you use to identify LACERA's knowledge assets.
12. How will you capture implicit/institutional knowledge?

Customer Success Questions

1. How long does it take to implement an organization wide taxonomy/ontology plan for similarly situated organizations?
2. Describe your training and onboarding process.
3. Do you provide training for development and maintenance of knowledge assets?
4. If yes, what training resources do you provide?
5. What is required from a customer to ensure success?
6. Do you have a change management process?
7. What is a successful customer journey from your perspective?
8. Do you conduct quarterly business reviews with customers?
9. How do you provide updates, track progress, and ensure our success?
10. Please provide a list of self-service tools or resources that are available after onboarding.
11. How do you manage customer requests, complaints, concerns, and feedback?
12. Do you use in-house or outsourced resources for customer support?

Pricing Questions

1. Provide a pricing estimate based on the scope described.
2. Please describe your current pricing model/methodology.
3. What are the itemized one-time, startup costs, recurring annual/monthly costs, and billing rates for key team members or classifications?
4. Please list all services and features included in the proposed pricing.
5. What limits are imposed upon users, training hours, professional services, and data storage?
6. At what level do you provide volume discounts?
7. Describe your upgrade process if we need to increase our scope.

8. What are your cancellation and renewal terms?
9. How do you ensure your pricing remains competitive?
10. If you decide to use a third-party vendor, is the cost of the third-party vendor included in your pricing estimate? Please explain and include third-party vendor costs where applicable.

Risk Management Questions

1. Regarding data and privacy, is your organization compliant with the General Data Protection Regulation (GDPR) and California Consumer Privacy Act (CCPA)?
2. Describe your regulatory compliance process.
3. Are you providing a SOC-2 as part of this submittal?
4. Are there any pending legal issues or complaints against your company?
5. Share statistics about technology stability/reliability and downtime.
6. Please provide your business continuity and emergency preparedness plan.
7. How often does the company update and test the continuity and preparedness plans?
8. Is your organization equipped to work remotely?
9. How do you manage price volatility with your suppliers?
10. Describe your approach to staff retention.
11. What is the average turnover rate for the last five years?

**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.

CONTRACT FOR {---Type of Service---}

This Contract for {---Type of Service---} ("Contract") is made and entered into by and between Los Angeles County Employees Retirement Association ("LACERA") and {---Company Name---} ("Vendor"), and is effective as of the date shown in Section 5.

Recitals

LACERA seeks the services of a company that offers {---Brief Description of Service---}.

Vendor represents that they offer the {---Contract Title---} that LACERA seeks.

Contract

1. Services to be Provided.

1.1 Vendor agrees to perform the services ("Services") described in the Statement of Work ("Statement of Work") attached to this Contract as Attachment A.

1.2 Vendor agrees to perform the Services at LACERA's offices, and with LACERA's consent, via telephone or email, and when appropriate, at a location of Vendor's choice.

1.3 All writings prepared or furnished by Vendor to LACERA in the performance of this Contract shall be the exclusive property of LACERA and may be used by LACERA, as LACERA deems appropriate.

1.4 Vendor's quality of service will be at least equivalent to that which Vendor provides to other clients it serves in the same capacity. Vendor will be held to the same standard of care, skill, prudence and diligence that applies to other experts practicing in a like enterprise.

2. Independent Contractor.

2.1 Vendor agrees to perform the Services as an independent contractor and agrees they will be acting at all times as such. Neither party intends, and this Contract may not be construed, to create any relationship of agent, servant, employee, partnership, joint venture or association between Vendor and LACERA. Vendor is not, and will not be deemed to be for any purpose (including, without limitation, Workers' Compensation) an employee of Los Angeles County (the "County"). Vendor is not entitled to any rights, benefits, or privileges of County employees. Vendor is not eligible to participate in any insurance, savings, pension or deferred compensation offered by LACERA or the County.

2.2 Vendor has no power or authority to assume or create any obligation or responsibility, express or implied, on behalf of LACERA or the County, or to bind LACERA or the County in any way whatsoever.

2.3 Vendor accepts full and complete responsibility for filing all tax returns and paying all taxes, which may be required, or due for payments received from LACERA under this Contract. LACERA will memorialize payments for Vendor's services on a Form 1099.

2.4 Vendor represents and warrants that they comply with all applicable federal, state, and local laws, including without limitation, those laws respecting business licenses, withholding, reporting, and payment of taxes. Vendor further represents and warrants that they will report any income accruing to him from this Contract to the appropriate taxing authorities.

3. LACERA's Project Director.

LACERA's Project Director, or designee, has responsibility for determining whether the Services are performed to LACERA's satisfaction. LACERA's Project Director is {--- Project Director---}.

4. Indemnification and Insurance.

4.1 Vendor shall indemnify, defend and save harmless LACERA, its agents, officers and employees from and against any and all liability, damage, suit, cost of suit, or expense, including defense costs and attorney's fees, arising out of or connected with claims for damages of any nature whatsoever arising from or connected with Vendor's

operations or its services, including, without limitation, claims for bodily injury, death, personal injury, or property damage, including damage to Vendor's property.

4.2. Without limiting Vendor's obligations to indemnify LACERA, Vendor will provide and maintain at its own expense during the term of this Contract the insurance programs specified in this Contract. Such insurance will be primary and not contributing with any other insurance of self-insurance programs maintained by LACERA, and Vendor agrees to provide and maintain such insurance at its own cost and expense.

4.2.1 Certificate(s) or other evidence of coverage satisfactory to LACERA shall be delivered to prior to commencing services under this Contract and annually thereafter to:

LACERA
Administrative Services, Risk Management
300 N. Lake Avenue, Suite 650
Pasadena, CA 91101-4199
riskmanagement@lacera.com

4.3 Such certificates or other evidence shall:

4.3.1 Specifically identify this Contract.

4.3.2 Clearly evidence all coverage's required in this Contract.

4.3.3. Contain the express condition that LACERA is to be given written notice by mail at least 45 days in advance of cancellation for all policies, or, alternatively, in the event the insurers that otherwise provide satisfactory insurance hereunder do not assume third-party notification provisions, Vendor hereby agrees to notify LACERA at least 45 days in advance of any cancellation of any of the policies provided for herein.

4.3.4 Include copies of the additional insured endorsement to the commercial general liability policy, adding that LACERA, its trustees, officers and employees as insureds for all activities arising from this Contract.

4.3.5 Self-Insured Retentions must be declared to and approved by the LACERA. LACERA may require Vendor to purchase coverage with no retention or provide proof of ability to pay losses and related investigations, claim administration, and defense expenses within the retention. The policy language shall provide, or be endorsed to provide, that the self-insured retention will be satisfied by the named Vendor

4.3.6 LACERA reserves the right to modify these requirements, including limits, based on the nature of the risk, prior experience, insurer, coverage, or other special circumstances.

4.4 Insurer Financial Ratings. Insurance is to be provided by an insurance company acceptable to LACERA with an A.M. Best rating of not less than A-, X, unless otherwise approved by LACERA.

4.5 Failure to Maintain Coverage. Vendor's failure Vendor to maintain the required insurance, or to provide evidence of insurance coverage acceptable to LACERA, shall constitute a material breach of the contract upon which LACERA may immediately terminate or suspend this Contract. LACERA, at its sole option, may obtain damages from Vendor resulting from said breach.

4.6 Compensation for LACERA Costs. In the event that Vendor fails to comply with any of the indemnification or insurance requirements of this Contract, and such failure to comply results in any costs to LACERA, Vendor shall pay full compensation for all costs incurred by LACERA.

4.7 Cooperation Regarding Insurance. LACERA may elect to procure insurance against loss or damage it may sustain in connection with Vendor's performance under this Contract. Vendor will promptly cooperate with any reasonable request for information regarding Vendor which is required to obtain such insurance.

4.8 Survival of Obligations. Vendor's obligations under this Section 4 shall survive expiration or termination of this Contract.

4.9 Commercial General Liability. Vendor shall provide and maintain a Commercial General Liability insurance policy, which names LACERA as additional insured. Such policy shall cover legal liability for bodily injury and property damage arising out of Vendor's business operations and services that Vendor provides pursuant to this Contract. Such policy shall include, without limitation, endorsements for Property Damage, Premises-Operations, Products/Completed Operations, Contractual, and Personal/Advertising Injury with a limit of at least \$1,000,000 per occurrence and an annual aggregate of at least 2,000,000. If such insurance is written on a Claims Made Form, such insurance shall be endorsed providing an extended reporting period of not less than five (5) years following termination or expiration of this Contract.

4.10 Auto Liability. Vendor shall provide and maintain a comprehensive auto liability insurance policy endorsed for all "owned", "non-owned", and "hired" vehicles, or coverage for any "auto", with a combined single limit of not less than One Million Dollars (\$1,000,000) per accident.

4.11 Workers' Compensation. Vendor shall bear sole responsibility and liability for furnishing Workers' Compensation benefits to Vendor's employees for injuries arising from or connected with any services provided to LACERA under this Contract. Vendor shall provide and maintain a program of Workers' Compensation, in an amount and form to meet all applicable statutory requirements. In all cases, worker's compensation insurance also shall include Employer's Liability Insurance with limits of not less than \$1,000,000, each accident, and \$1,000,000, disease, covering all of Vendor's employees.

4.12 Errors and Omissions. Vendor shall provide and maintain insurance covering liability arising from any error, omission, negligent or wrongful act of the Vendor, its officers, employees or Agents, with limits of at least \$1,000,000 per claim and an annual aggregate of at least \$2,000,000. The coverage also shall provide an extended one-year reporting period commencing upon termination or cancellation of this Contract.

4.13 Cyber Liability Insurance. Without limiting any of the obligations or liabilities of Vendor, Vendor shall carry and maintain, at its own expense including any applicable deductibles or retention, Cyber Liability insurance with limits of not less than \$2,000,000 for each occurrence and an annual aggregate of \$5,000,000 covering claims involving privacy violations, information theft, damage to or destruction of electronic information, intentional and/or unintentional release of private information, alteration of electronic information, extortion and network security. The policy coverage shall include, but not be limited to:

4.13.1 Privacy Liability Coverage. This coverage shall include LACERA and its members for breaches of their private information in the case of a data breach.

4.13.2 Notification Costs. This coverage shall cover the costs of notifying third parties and LACERA members potentially affected by a data breach.

4.13.3 Crisis Management. This coverage shall include the costs of managing the public relations outfall from most data breach scenarios.

4.13.4 Credit/Identity Monitoring. This coverage shall include coverage for affected members for at least 24 months or the minimum legally required period, whichever is longer.

4.13.5 Theft and Fraud Coverage. This coverage shall include the costs of theft or destruction of the LACERA's data and theft of funds.

4.13.6 Network and Business Interruption. This coverage shall include any expense due to an intentional interruption of the LACERA's computer systems.

4.13.7 Data Loss and Restoration. This coverage shall include the costs of diagnosing and repairing the cause of the loss and restoring all data.

5. Term.

The term of this Contract begins on {---Effective Date---} (the “Start Date”), and unless terminated for convenience, ends on the earlier of (i) full performance of the Services by Vendor and acceptance by LACERA or {---Contract Term Length---} after the Start Date. This Contract automatically renews up to four times for subsequent and successive one year periods under the same terms, conditions and compensation, unless either party delivers its written request for changes not less than ninety (90) days prior to the end of the then current term of the Contract. Neither party is required to renew or extend this Contract.

6. Non-Exclusive Services.

This Contract is not exclusive. Vendor has the right to perform services for others during the term of this Contract, but Vendor agrees not to engage in any business, work or services of any kind under contract, or otherwise, for any person, organization or agency, which in the opinion of LACERA is detrimental to the interests of LACERA or that would materially interfere with the performance of the Services. Vendor agrees to disclose such information regarding business, work or services they perform on behalf of any person, organization or agency as LACERA may reasonably require verifying Vendor’s compliance with this Section.

7. Compensation.

LACERA agrees to pay Vendor according to the Fee Schedule attached as Attachment B for performing the Services. Vendor’s expenses are included in the compensation described in Attachment B and therefore Vendor is not entitled to any separate reimbursement for any expenses incurred by it in discharging its duties under this Contract, unless otherwise agreed by LACERA.

8. Invoices.

Vendor agrees to submit invoices to LACERA’s Project Director, in arrears, by the tenth day of each calendar month for Services performed during the previous calendar month. Each invoice must (a) describe in detail the Services performed and expenses incurred by Vendor during the invoice period, (b) show the cumulative charges year-to-date (based on a fiscal year beginning July 1) for all Services and expenses, and (c) include such other information as LACERA may reasonably request. Each invoice will be payable within thirty days of receipt by LACERA. If LACERA’s Project Director disputes any portion of an invoice, however, LACERA will pay the undisputed portion only and notify Vendor in writing of the disputed portion. Vendor and LACERA agree to act in good faith to resolve such disputes.

9. Contract Not Assignable.

Vendor may not assign any of its rights, duties, or obligations under this Contract without the prior written consent of LACERA, which LACERA may grant or withhold in its sole discretion.

10. Confidentiality.

10.1 Confidential Information. Vendor understands that, during the performance of this Contract, it will have access to confidential and proprietary LACERA information, policies and procedures, benefits, business practices, and technology concerning LACERA's operations, as well as sensitive confidential member information and business critical non-member information (collectively, "Confidential Information"). For clarity, Confidential Information includes all information of any and every kind provided to Vendor, regardless of whether it may previously have been disclosed by LACERA or others in other contexts, in that LACERA needs to know to whom, when, where, and how all of its information has been disseminated and reserves to itself the right to determine to whom, when, where, and how such information is released. Confidential Information further includes all information related in any way to LACERA provided to Vendor.

Confidential Information may be provided to Vendor or generated or stored by Vendor in written, electronic, verbal, and all others forms. Vendor understands and agrees that:

10.1.1 Vendor shall not disclose Confidential Information to any person within its organization except those persons required to perform the services of the Contract.

10.1.2 Vendor shall not disclose Confidential Information to any third party without LACERA's advance written approval.

10.1.3 Vendor's agreement not to disclose Confidential Information includes an agreement not to disclose information even on a no-names basis.

10.1.4 Vendor will use best efforts, including but not limited to the highest level of care Vendor accords to its own most sensitive information and the most sensitive information of its other clients, to secure and maintain the confidential nature of the Confidential Information.

10.1.5 Vendor will not use the Confidential Information for any purpose other than to perform the services required by this Contract. This confidentiality provision will survive the termination of the Contract.

11. Nondiscrimination.

Vendor hereby promises and agrees that it will comply with Subchapter VII of the Civil Rights Act of 1964, 43USC Section 2000e through 2000e (17), to the end that no person shall, on grounds of race, creed, color, sex, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under this Contract, or under any project, program or activity supported by this Contract.

Vendor shall take affirmative action to ensure that applicants and employees are treated in an unbiased manner without regard to their race, color, religion, sex, age, ancestry, or national origin, physical or mental handicap, marital status, or political affiliation. Such action shall include, but not be limited to, the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship.

12. Compliance with Laws.

Vendor shall comply with all applicable Federal, State and local laws, rules, regulations, ordinances, and directives, and all provisions required to be included in this Contract are incorporated by this reference. Vendor shall indemnify and hold LACERA harmless from any loss, damage or liability resulting from a violation by Vendor of any such laws, rules, regulations, ordinances, and directives.

13. Conflict of Interest.

No officer or employee of LACERA whose position enables him or her to influence the award of this Contract or any competing agreement, and no spouse or economic dependent of such officer or employee shall be employed in any capacity or in any way remunerated by Vendor, or have any direct or indirect financial interest in this Contract or in Vendor.

14. Modifications.

Any modification to this Contract must be in writing, signed by Vendor and LACERA, to be effective.

15. Termination for Default.

Services performed under this Contract may be terminated in whole or in part by LACERA providing to Vendor a written Notice of Default if (1) Vendor fails to perform the services within the time specified in this Contract or any extension approved by LACERA, or (2) Vendor fails to perform any other covenant or condition of this Contract, or (3) Vendor fails to make progress so as to endanger its performance under this Contract.

Vendor shall have ten (10) calendar days from the date of the Notice of Default in which to cure the Default(s), however, in its sole discretion, LACERA may extend this period or authorize a longer period for cure.

Without limitation of any additional rights or remedies to which it may be entitled, if LACERA terminates all or part of the services for Vendor's Default, LACERA, in its sole discretion, may procure replacement services and Vendor shall be liable for all excess costs incurred by LACERA in connection with those replacement services, as determined by LACERA in its sole discretion.

If it is determined that Vendor was not in Default under the provisions of this Contract, or that the Default was excusable, then the rights and obligations of the parties shall be the same as if the Notice of Termination had been issued under Section 16. Termination for Convenience.

16. Termination for Convenience.

Services performed under this Contract may be terminated in whole or in part at any time LACERA or Vendor deems that termination is in its best interest. LACERA or Vendor shall terminate services by delivering a written Termination Notice which specifies the extent to which services are terminated and the effective termination date.

After receiving a Termination Notice under this section, and unless otherwise expressly directed by LACERA, Vendor shall take all necessary steps and shall stop services on the date and to the extent specified in the Termination Notice and shall complete services not so terminated.

17. SOC-2

SOC-2 Report. The Vendor shall have an annual audit performed by an independent audit firm. The audits shall include the Vendor's and any subcontractor's handling of Confidential Information and shall address all areas relating to information technology security and operational processes to provide such security. The audits shall be performed in accordance with the guidance set forth in Reporting on Controls at a Service Organization Relevant to Security, Availability, Processing Integrity, Confidentiality, or Privacy (SOC 2), as published by the American Institute of Certified Public Accountants (AICPA) and as updated from time to time, or according to the most current audit guidance promulgated by the AICPA or similarly recognized professional organization, as agreed to in writing by LACERA. The audit shall assess the security of information technology security and operational process to provide such security as follows:

17.1 The type of audit to be performed in accordance with the Guidance is a SOC 2 Type 2 Audit (referred to as the "SOC 2 Audit" or "SOC 2 Report"). The initial SOC 2 Audit shall be scheduled and completed within six months of executing the

Contract. All subsequent SOC 2 Audits that are arranged after this first audit shall be performed and submitted annually.

17.2 The SOC 2 Audit shall report in writing on the Vendor's and any subcontractor's system(s) and the suitability of the design and operating effectiveness of controls of the information functions and/or processes to meet the requirements of the Contract, including the security requirements.

17.3 The scope of the SOC 2 Report shall include work performed by any subcontractors that provide essential support to the Vendor for the information functions or processes for the services offered to LACERA under the Contract. The Vendor shall ensure the audit includes all subcontractors operating in the performance of the Contract.

17.4 All SOC 2 Audits, including those of the Vendor and any subcontractors, shall be performed at no additional expense to LACERA.

17.5 The Vendor and all relevant subcontractors shall promptly provide a complete copy of the final SOC 2 Report(s) to the Project Director upon completion of each SOC 2 Audit engagement.

17.6 The Vendor shall provide to LACERA, within 30 calendar days of the issuance of each SOC 2 Report, a documented corrective action plan that addresses each audit finding or exception contained in a SOC 2 Report. The corrective action plan shall identify in detail the required remedial action by the Vendor or subcontractor(s) along with the implementation date(s) for each remedial action.

17.7 If the Vendor or any subcontractor fails to obtain an annual SOC 2 Report, LACERA shall have the right to retain an independent audit firm to perform an audit engagement of a SOC 2 Report. The audit will include the information functions and processes utilized or provided by the Vendor and any relevant subcontractor under the Contract. The Vendor and any subcontractor agree 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 that is required to perform the audit engagement of the SOC 2 Report. LACERA will invoice the Vendor for the expense of the SOC 2 Report(s), or deduct the cost from future payments to the Vendor.

18. Disaster Recovery & Business Continuity

Vendor will implement and maintain disaster recovery and business continuity procedures that are reasonably designed to recover data processing systems, data communications facilities, information, data and other business-related functions of LACERA in a manner and time frame consistent with legal, regulatory and business requirements applicable to LACERA.

19. Data Breach Verification

19.1 Vendor shall provide an annual written, signed attestation that to the best of its knowledge, no data breach, hacking, or incidental divulging of any data has occurred, and that no data has been compromised (“Incident”). The attestation shall verify that adequate internal policies and procedures exist to prevent data theft and unauthorized access.

19.2 Vendor shall provide an annual system penetration test in support of the attestation made in Section 19.1 above. Vendor shall provide the results of penetration tests to LACERA.

19.3 Vendor at its own cost, shall comply with California Civil Code § 1798.29(e) and California Civ. Code § 1798.82(f). In the event of a security breach of more than 500 records, the Vendor shall electronically submit a single sample copy of that security breach notification, excluding any personally identifiable information, to the Attorney General.

19.4 Vendor at its own cost, shall notify any California resident whose unencrypted personal information, as defined, was acquired, or reasonably believed to have been acquired, by an unauthorized person as required by California Civil Code §1798.29(a) and California Civ. Code §1798.82(a).

19.5 Notwithstanding the legal notification requirements in the preceding paragraphs, Vendor will immediately, which means no more than 48 hours after discovery, notify LACERA upon its discovery of any Incident whether such Incident includes LACERA data or not. Such notice shall include the nature and extent of the breach, the type of data compromised, and a summary of mitigation taken.

20. Entire Contract and Severability.

This document (including Attachments A and B) constitutes the final, complete, and exclusive statement of the terms of the Contract between LACERA and Vendor for the services to be performed and supersedes all prior and contemporaneous understandings or Contracts of the parties. The provisions of this Contract are severable, and if any one or more provisions may be determined to be illegal or otherwise unenforceable, in whole or in part, the remaining provisions or parts thereof shall nevertheless be binding and enforceable and the invalid, illegal or unenforceable provision shall be replaced by a mutually acceptable valid, legal and enforceable provision which comes closest to the intent of the parties.

21. Governing Law and Venue.

21.1 This Contract shall be governed by, and construed and enforced in accordance with, the laws of the State of California without regard to principles of conflicts of laws.

21.2 Any party bringing a legal action or proceeding against any other party arising out of or relating to this Contract or the transactions it contemplates (whether in contract, tort, equity, or otherwise), shall bring the legal action or proceeding in either the United States District Court or in any court of the State of California sitting in Los Angeles County.

21.3 Each party to this Contract consents to the exclusive personal and subject matter jurisdiction of any United States District Court sitting in the County of Los Angeles and any court of the State of California sitting in the County of Los Angeles, and their appellate courts for the purpose of all legal actions and proceedings arising out of or relating to this Contract or the transactions it contemplates, including all claims of any nature or type, whether in contract, tort, statutory, equitable, legal, or otherwise.

22. Attorney's Fees.

In the event of litigation between the parties concerning this Contract, the prevailing party shall be entitled to recover reasonable costs and expenses incurred therein, including without limitation attorney's fees. These expenses shall be in addition to any other relief to which the prevailing party may be entitled and shall be included in and as part of the judgment or decision rendered in such proceeding.

23. Interpretation.

Vendor acknowledges they have been given the opportunity to have counsel of their own choosing to participate fully and equally in the review and negotiation of this Contract. The language in all parts of this Contract shall be construed in all cases according to its fair meaning, and not strictly for or against any party hereto. Any rule of construction to the effect that ambiguities are to be resolved against the drafting party shall not apply in interpreting this Contract.

24. Waiver.

No waiver of a breach, failure of any condition, or any right or remedy contained in or granted by the provisions of this Contract shall be effective unless it is in writing and signed by the party waiving the breach, failure, right, or remedy. No waiver of any breach, failure, right or remedy shall be deemed a waiver of any other breach, failure, right or remedy, whether or not similar, or preceding or subsequent, nor shall any waiver constitute a continuing waiver unless the writing so specifies.

EXHIBIT E
VENDOR DATA SECURITY QUESTIONNAIRE

WHERE NO SOC-2 IS AVAILABLE, PLEASE FILL OUT THE ATTACHED
QUESTIONNAIRE.

If selected through this RFP process respondent shall provide an initial security controls assessment in the form attached hereto (**Vendor Data Security Questionnaire**) 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 answers provided in 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 security 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 answers to the Vendor Data Security Questionnaires 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 Vendor Data Security Questionnaire, 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 provide a completed annual Vendor Data Security Questionnaire, 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 the 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 Vendor Data Security Questionnaire. LACERA will invoice the respondent for the expense of the report(s) or deduct the cost from future payments to the respondent.



VENDOR DATA SECURITY QUESTIONNAIRE

1. GENERAL INFORMATION

Name of Vendor: [Click or tap here to enter text.](#)

Vendor is a(an): Individual Corporation Partnership Other [Click or tap here to enter text.](#)

2. SAFEGAURDS ON LACERA CONFIDENTIAL INFORMATION

- a) Does / will the vendor hold LACERA Confidential or LACERA member PII information? Yes No
If yes, please provide details. Response: [Click or tap here to enter text.](#)
-
- b) Is LACERA information physically or virtually segregated from the vendor and its vendor's other clients? Yes No
If yes, please provide details. Response: [Click or tap here to enter text.](#)
-
- c) Provide brief description on the type of connection (encryption and authentication) for information exchange between LACERA and the vendor organization. Response: [Click or tap here to enter text.](#)
-
- d) Is LACERA information encrypted at rest? Yes No
-
- e) Describe the teams within vendor's organization that have access to the LACERA information:
Response: [Click or tap here to enter text.](#)
-
- f) Are vendor's production and test/development areas separated? Yes No
If yes, please provide brief details. Response: [Click or tap here to enter text.](#)

3. VENDOR Security and INCIDENT RESPONSE PROGRAM

- a) Provide documentation on vendor Information Security Policy and Incident Response programs.
Response: [Click or tap here to enter text.](#)
-
- b) Provide confirmation and/or attestation to a 72-hour breach notification.
Response: [Click or tap here to enter text.](#)
-
- c) Vendor agrees to a periodic review for compliance to LACERA policies and security requirements. Yes No
Response: [Click or tap here to enter text.](#)

4. VENDOR PENETRATION TEST AND SOC2 REPORTS

- a) Has the vendor completed a Penetration test? Yes No
Provide summary report of the latest Penetration Test. Response: [Click or tap here to enter text.](#)
-
- b) Has the vendor completed an Independent Service Auditors compliance exam such as SOC 2? Yes No
If yes, please provide the latest audit report and proceed to the last section of this questionnaire sign and date the document.
Response: [Click or tap here to enter text.](#)

If compliance report has not been completed, please proceed to the next sections.

5. EMAIL SECURITY CONTROLS

If the answer to any question in this section is “No”, please provide additional details in the “Additional Comments” section.

- a) Do you tag external emails to alert employees that the message originated from outside the organization? Yes No
-
- b) Do you pre-screen emails for potentially malicious attachments and links? Yes No
If “Yes”, complete the following:
Provide your email security provider. Response: [Click or tap here to enter text.](#)
Do you have the capability to automatically detonate and evaluate attachments in a sandbox to determine if they are malicious. Yes No
-
- c) Have you implemented any of the following to protect against phishing messages? (check all that apply):
 Sender Policy Framework (SPF)
 DomainKeys Identified Mail (DKIM)
 Domain-based Message Authentication, Reporting & Conformance (DMARC)
 None of the above
-
- d) Can your users access email through a web application or a non-corporate device? Yes No
If “Yes”, do you enforce Multi-Factor Authentication (MFA)? Yes No
-
- e) Do you use Office 365 in your organization? Yes No
If “Yes”, do you use the Office 365 Advanced Threat Protection add-on? Yes No

ADDITIONAL COMMENTS (Use this space to explain any “No” answers in the above section and/or to list other relevant IT security measures you are utilizing that are not listed here.)

Response: [Click or tap here to enter text.](#)

6. INTERNAL SECURITY

If the answer to any question in this section is “No”, please provide additional details in the “Additional Comments” section.

- a) Do you use a cloud provider to store data or host applications? Yes No
If “Yes”, provide the name of the cloud provider. Response: [Click or tap here to enter text.](#)
-
- b) Do you use MFA to secure all cloud provider services that you utilize (e.g. Microsoft Azure)? Yes No
-
- c) Do you encrypt all sensitive and confidential information? Yes No
If “No”, are the following compensating controls in place:
1. Segregation of servers that store sensitive and confidential information? Yes No
2. Access control with role-based assignments? Yes No
-
- d) Do you allow remote access to your network? Yes No
If “Yes”, do you use MFA to secure all remote access to your network? Yes No
-
- e) Do you use a next-generation antivirus (NGAV) product to protect all endpoints across your enterprise? Yes No
If “Yes”, provide name of your NGAV provider. Response: [Click or tap here to enter text.](#)
-
- f) Do you use an endpoint detection and response (EDR) tool that includes monitoring and logging? Yes No
If “Yes”, provide name of your EDR provider. Response: [Click or tap here to enter text.](#)

- g) Do you manage privileged accounts using privileged account management software (PAM) Yes No
 If "Yes", provide name of your PAM provider. Response: [Click or tap here to enter text.](#)
-
- h) Do you roll out a hardened baseline configuration across servers, laptops, desktops? Yes No
-
- i) Do you record and track all software and hardware assets deployed across your organization? Yes No
-
- j) How frequently do you install critical and high severity patches across your enterprise? Yes No
-
- k) Do you use a protective DNS service (PDNS) to block access to known malicious websites? Yes No
-
- l) Do you implement PowerShell best practices as outlined by Microsoft? Yes No
-
- m) Do you utilize a Security Information and Event Management system (SIEM)? Yes No
-
- n) Do you utilize a Security Operations Center (SOC)? Yes No
 If "Yes", complete the following:
 Is your SOC monitored 24 hours a day, 7 days a week? Yes No
 If your SOC is outsourced, provide name of your SOC provider. Response: [Click or tap here to enter text.](#)
-
- o) Do you have an established Third Party Risk Management Program (TPRM)? Yes No
-

ADDITIONAL COMMENTS (Use this space to explain any "No" answers in the above section and/or to list other relevant IT security measures you are utilizing that are not listed here.)

Response: [Click or tap here to enter text.](#)

7. PHISHING CONTROLS

- a) Do all employees at your company complete mandatory cybersecurity training? Yes No
 If "Yes", does such training include phishing simulation? Yes No
-

8. BACKUP AND RECOVERY

If the answer to any question in this section is "No", please provide additional details in the "Additional Comments" section.

Do you use a data backup solution? Yes No

If "Yes":

- a) Which best describes your data backup solution?
- Backups are kept locally but separate from your network (offline/air-gapped backup solution).
 - Backups are kept in a dedicated cloud backup service.
 - You use a cloud-syncing service (e.g. Dropbox, OneDrive, SharePoint, Google Drive).
-
- b) Check all that apply:
- Your backups are encrypted
 - You have immutable backups
 - Your backups are secured with different access credentials from other administrator credentials
 - You utilize MFA for both internal and external access to your backups
 - You have tested the successful restoration and recovery of key server configurations and data from backups
 - You are able to test the integrity of backups prior to restoration to ensure that they are free of malware

c) Estimated amount of time it will take to restore essential functions using backups in the event of a widespread malware or ransomware attack within your network.
 0-24 hours 1-3 days 4-6 days 1 week or longer

d) Has the vendor completed Disaster Recovery testing? Yes No
If yes, please provide RTO/RPO objectives (Recovery Time Objective or Recovery Point Objectives).
Response: [Click or tap here to enter text.](#)

ADDITIONAL COMMENTS (Use this space to explain any “No” answers in the above section and/or to list other relevant IT security measures you are utilizing that are not listed here.)

Response: [Click or tap here to enter text.](#)

9. INCIDENTS

- a) Has the vendor received any complaints or written demands or been a **subject in litigation** involving matters of privacy injury, breach of private information, network security, defamation, content infringement, identity theft, denial of service attacks, computer virus infections, theft of information, damage to third party networks or the ability of third parties to rely on the vendor’s network? Yes No
- b) Has the vendor been the subject of any government action, investigation, or other proceedings regarding any alleged violation of privacy law or regulation? Yes No
-
- c) Has the vendor notified customers, clients or any third party of any security breach or privacy breach? Yes No

ADDITIONAL COMMENTS (Use this space to explain any “Yes” answers in the above section.)

Response: [Click or tap here to enter text.](#)

10. CERTIFICATION, CONSENT AND SIGNATURE

The vendor has read the foregoing and understands that completion of this questionnaire does not bind LACERA to procure vendor’s products or services. I hereby declare that, after inquiry, the above statements and particulars are true, and I have not suppressed or misstated any material fact.

Print or Type Vendor’s Name: [Click or tap here to enter text.](#)

Title of Signee: [Click or tap here to enter text.](#)

Signature of Signee: [Click or tap here to enter text.](#)

Date signed: [Click or tap here to enter text.](#)

**EXHIBIT F
INTENT TO RESPOND**

Intent to Respond.

If you intend to respond to this RFP, kindly register your business on the [LACERA Vendor Portal](#) site. After registration, please proceed to register as a Respondent to this RFP and submit the required form in the portal no later than 5:00 p.m. PT, Friday, 28 June 2024.

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

Our firm intends to submit a response for LACERA's RFP for Taxonomy & Knowledge Management Consulting.

Please send inquiries to the following contact:

Name: _____

Title: _____

Company: _____

Mailing Address: _____

Telephone: _____

Facsimile: _____

Email Address: _____

LACERA Vendor Portal: <https://lacera.cobblestone.software/Gateway/>

**EXHIBIT G
SELECTION CRITERIA**

The selection criteria below and the weighting schedule of the evaluation factors are a guide only and do 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 the selection and are not binding or determinative on LACERA with respect to the basis for selection. LACERA will evaluate proposals based on the proven ability of the Respondent to satisfy the requirements in an efficient, cost-effective manner, considering the 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 at LACERA’s sole discretion. LACERA reserves the right to consider factors other than those listed in making its choice.

Criteria	Weight
Experience with developing knowledge management solutions for large organizations including an implementation plan/roadmap and solution architecture plan with appropriate taxonomy and ontology.	40%
Organization and team/project lead experience	20%
Client Services	10%
Availability	10%
Project Management Approach	10%
Reasonableness of fees	10%



Los Angeles County Employees Retirement Association

EXHIBIT H DIVERSITY, EQUITY, 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

COMPANY BACKGROUND

1. Name of your Business
Click or tap here to enter text.

2. Name of person completing this survey
Click or tap here to enter text.

3. Your email address
Click or tap here to enter text.

4. Is your business public or private?
 - a) Public
 - b) Private

5. How many full-time employees are at your business?
 - a) 1
 - b) 2-4
 - c) 5-9
 - d) 10-19
 - e) 20-49
 - f) 50-99

- g) 100-249
- h) 250-499
- i) 500-1,499
- j) 1,500-4,999
- k) 5,000 or more

6. Which of the following best describes the industry your business is in?

- a) Advertising & Marketing
- b) Architecture, Construction, Design, & Engineering
- c) Consulting & Professional Services
- d) Education
- e) Entertainment, Sports & Leisure
- f) Finance & Financial Services
- g) Government
- h) Healthcare & Pharmaceuticals
- i) Hospitality, Hotels & Tourism
- j) Insurance
- k) Manufacturing
- l) Market Research & Other Research
- m) Non-Profit & Charities
- n) Retail & Consumer Packaged Goods
- o) Technology & IT
- p) Transportation & Delivery
- q) Utilities, Energy, and Extraction
- r) Other (please specify)

7. Does your business identify as one of the following diverse supplier classifications?

- a) No
- b) Women Business Enterprise (WBE)
- c) Minority Business Enterprise (MBE)
- d) Small Business
- e) Disadvantage Business Enterprise (DBE)
- f) Veteran-owned Small Business (VOSB)
- g) Service-Disabled Veteran-owned Small Business (SDVOSB)
- h) LGBTQ-Owned
- i) HubZone Small Business

- j) 8(a) Small Business
 - k) None of the above
 - l) Other (please describe)
8. Please select any of the following certifications your organization has signed or certifications you have received. (Select all that apply.)
- a) National Minority Supplier Development Council (NMSDC)
 - b) Women’s Business Enterprise National Council (WBENC)
 - c) National Gay & Lesbian Chamber of Commerce (NGLCC)
 - d) United States Hispanic Chamber of Commerce (USHCC)
 - e) Asian Pacific American Chamber of Commerce (APAAC)
 - f) Native American Chamber of Commerce (NACC)
 - g) Vets First Certification Program (for veteran-owned small businesses)
 - h) U.S. Business Leadership Network (USBLN, for disabled-owned small businesses)
 - i) None of the above
 - j) Other (please describe)
9. If you answered yes to question 8, please provide LACERA with a copy of the certifications for each diverse supplier classification.

SECTION II

DEI IN THE WORKPLACE

Policy

1. Describe your business’s approach to diversity, equity, and inclusion (“DEI”) in the workplace and its relation to your strategic objectives.
[Click or tap here to enter text.](#)
2. Does your business have a written policy (or policies) addressing workplace DEI (“Policy”)? A Policy defines the business’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 business document.
 - a) Yes

b) No

If yes, please provide a copy of your business's Policy.

3. Does your Policy address sexual harassment in the workplace?

a) Yes

b) No

If not, please explain.

Click or tap here to enter text.

4. If your business does not have a written DEI policy, do you commit to promptly adopting and providing a copy of a Policy, if your business is awarded a contract with LACERA?

a) Yes

b) No

Oversight

1. Who is responsible for overseeing the Policy's implementation? Please provide the name and title. What processes are employed to implement and enforce the business's Policy?

Click or tap here to enter text.

2. Who is responsible for overseeing compliance with the Policy? Please provide the name and title. What processes are employed to promote compliance with the Policy?

Click or tap here to enter text.

3. What oversight, if any, does your business's board and/or executive team exercise regarding the business's DEI policy and efforts?

Click or tap here to enter text.

4. What data, trends, or analysis does the business's board or executive committee receive regarding the business's effectiveness in adhering to DEI policies, objectives, and compliance?

Click or tap here to enter text.

5. Under what circumstances would an allegation of non-compliance with the Policy prompt notification and/or consideration by the business's board or executive committee?

Click or tap here to enter text.

Track Record

1. Has your business been subject to any judicial, regulatory, or other legal findings, formal action, or claims related to equal employment opportunity, workplace discrimination, or sexual harassment during the past twelve years?

a) Yes

b) No

Please describe.

Click or tap here to enter text.

2. Please identify the number of confidential settlements and/or non-disclosure agreements related to workplace discrimination and/or sexual harassment entered into by your business during the past twelve years. Please describe the nature of each settlement within the terms of the confidential settlement.

Click or tap here to enter text.

Objectives and Compliance Strategies

1. Does your business integrate DEI into executives' performance reviews and/or incentive pay objectives?

a) Yes

b) No

Please describe.

Click or tap here to enter text.

2. Does your business conduct pay disparity analyses to discern any disparities by gender, race, ethnicity, or other attributes of diversity?

a) Yes

b) No

Please describe or explain why not.

Click or tap here to enter text.

3. Does your business have a clawback or recoupment policy in place by which workplace misconduct, such as sexual harassment, may trigger the recoupment of incentive pay, awards, bonuses, or other compensation?

a) Yes

b) No

4. Does your business provide paid family leave provisions?

a) Yes

b) No

If yes, please describe.

[Click or tap here to enter text.](#)

5. Please explain any other incentives or risk mitigation strategies your business employs to promote compliance with your DEI policies.

[Click or tap here to enter text.](#)

6. How does your business promote an accessible workplace for employees with disabilities?

[Click or tap here to enter text.](#)

7. Please describe any DEI objectives or goals your business has.

[Click or tap here to enter text.](#)

8. Describe any affiliations or leadership positions related to DEI in the services industry with which your business is involved.

[Click or tap here to enter text.](#)

SECTION III

DEI DEMOGRAPHICS AND ATTRIBUTES

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

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

Please complete the attached DEI Demographic worksheet by entering the number of employees for each category (not the percentage of employees). 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 business/organization's governing board (or executive committee), as well as CEO, CFO, COO, or equivalent positions.
- Managers: All professionals who have a role in decision-making that affects all areas of business operations.
- Supervisors: All professionals who have a role to work alongside employees to ensure that they perform tasks that align with the goals managers set.
- Support Staff: All professionals who have a role in supporting the business functions, 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 staff, the individual may be counted in both rows.

The categories have the same definitions as the diversity categories used by the United States Equal Employment Commission (EEOC) in its Employer Report EEO-1.

See www.eeoc.gov/employers/eeo1survey/index.cfm for further information.

2. Is your business willing to provide the business's workforce composition in a similar format on a periodic basis, if awarded a contract with LACERA?
 - a) Yes
 - b) No

Diversity and Inclusion Demographics

Business Name: _____

Job Categories	Hispanic or Latino			Non-Hispanic Or Latino												Other/Undisclosed Race			All								
	Total	M	F	Black or African American			Asian			Native Hawaiian or Other Pacific Islander			American Indian or Alaska Native			Two or More Races			Total	M	F	Total	M	F			
				Total	M	F	Total	M	F	Total	M	F	Total	M	F	Total	M	F									
1 Board of Directors, CEO, CFO, COO, etc.	0			0			0			0			0			0			0			0			0		
2 Managers	0			0			0			0			0			0			0			0			0		
3 Supervisors	0			0			0			0			0			0			0			0			0		
4 Support Staff	0			0			0			0			0			0			0			0			0		
Total Employees	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
General Instructions																											
The categories have the same definitions as the diversity categories used by the United States Equal Employment Commission (EEOC) in its Employer Report EEO-1. See www.eeoc.gov/employers/eeo1survey/index.cfm for further information.																											
Please complete all columns by entering the number of employees for each category (not the percentage of employees). Blank cells will be interpreted as having a value of zero.																											
Job Categories:																											
<ul style="list-style-type: none"> Board of directors, and CEO, CFO & COO: This row includes all members of the business's governing board (or executive committee), as well as CEO, CFO, COO, or equivalent positions. Managers: All professionals who have a role in decision-making that affect all areas of business operations. Supervisors: All professionals who have a role to work alongside employees to ensure that they perform tasks that align with the goals managers set. Support Staff: All professionals who have a role in supporting the business functions, 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 staff, the individual may be counted in both rows. 																											

Business Ownership of Attributes Consistent with EEO-1 Categories

		# of Owners	% Ownership
Hispanic or Latino	F		
	M		
	Total	0	0.00%
Black or African American	F		
	M		
	Total	0	0.00%
Asian	F		
	M		
	Total	0	0.00%
Native Hawaiian or Other Pacific Islander	F		
	M		
	Total	0	0.00%
American Indian or Alaska Native	F		
	M		
	Total	0	0.00%
Two or More Races	F		
	M		
	Total	0	0.00%
White	F		
	M		
	Total	0	0.00%
Other Race/Ethnicity	F		
	M		
	Total	0	0.00%
Not disclosed	F		
	M		
	Total	0	0.00%
TOTAL	F	0	0.00%
	M	0	0.00%
	Total	0.00%	0.00%

LACERA invites disclosure of any diversity attributes among your business's ownership (where applicable) and the percentage of ownership of each individual. LACERA takes a broad view of diversity (inclusive of gender, race and ethnicity, sexual orientation, gender identity, disability, and other attributes). We invite you to describe how your business defines diversity in your ownership profile.



**Taxonomy & Enterprise Knowledge
Management Project (TKM)
(Strategic Objective 2.2)**

Operations Oversight Committee



Strategic Priorities

Strategic Priority Goals	Objectives
 <p>1 Superior Member Experience Innovate and continuously improve the member experience</p>	<ul style="list-style-type: none"> 1.1 Ensure a consistent omnichannel member experience at every stage of the member's journey 1.2 Enhance member educational content at every stage in their journey and launch LACERA Communication Plan 1.3 Develop, implement, and deploy a digital strategy to better serve our members 1.4 Improve and enhance the retiree healthcare experience
 <p>2 Innovation Through Technology Leverage technological solutions to advance capabilities, increase productivity, and elevate operational maturity</p>	<ul style="list-style-type: none"> 2.1 Promote an enterprise approach to information gathering, integration, analysis, and sharing that fosters decision-making through the adoption of a business intelligence platform 2.2 Implement an enterprise-wide knowledge management system to digitally capture, document, organize, and access critical business knowledge and information
 <p>3 Investing in People Attract, motivate, hire, and retain a highly engaged and skilled workforce</p>	<ul style="list-style-type: none"> 3.1 Develop and implement a framework aimed at promoting and embracing diversity, equity, and inclusion (DEI) 3.2 Develop enterprise-wide training and development programs designed to support and encourage employee growth and development 3.3 Improve and simplify the hiring process, aimed at building a solid foundation for succession planning
 <p>4 Compliance and Enterprise Risk Management Adopt and implement compliance and enterprise risk frameworks aimed at facilitating strengthened governance around risk management and compliance</p>	<ul style="list-style-type: none"> 4.1 Develop an enterprise compliance plan and program to ensure adherence to established processes, procedures, policies, and governing rules and regulations 4.2 Implement a comprehensive enterprise risk management framework and structure to facilitate stronger organizational risk management
 <p>5 Fiscal Durability Exercise care and prudence in managing our resources and fund assets</p>	<ul style="list-style-type: none"> 5.1 Develop organizational tools to support enterprise-wide fiscal responsibility 5.2 Support the LACERA Investment Office in implementing and achieving the BOI's Strategic Plan goals

Project Description

Implement an enterprise-wide Knowledge Management System to digitally capture, document, organize, and access critical business knowledge and information.



THE TEAM

- **Eugenia Der**, *Disability Litigation*, Project Lead
- **Janet Chan**, *Retiree Healthcare*
- **Esmeralda Del Bosque**, *Investments*
- **John Harrington**, *Legal*
- **Celso Templo**, *Systems*
- **Alex Ochoa**, *Benefits*
- **Jason Waller** *Disability Litigation*
- **Paola Johns**, *Disability Litigation*, Project Assistant
- **JJ Popowich**, *Executive Office*, Project Sponsor



LACERA Values:

- ***Innovation*** – continuously improving our operations.
- ***Transparency*** – clearly communicating our knowledge.



LACERA KNOWLEDGE

(Current Status)

Types of Knowledge

- Policies and procedures
- Business rules
- Templates
- Internal processes
- Artwork
- Operations Manual/
Operating Instructions
- Law
- Training Materials
- Handbooks
- Contact information

Knowledge Storage

- Sharepoint as a file network for Word & Excel docs
- Sharepoint as an intranet site, ex) Kbase & LACERA Connect
- Access Database
- LACERA.com
- OneDrive
- Diligence Vault
- L:/

Knowledge Maintenance

- As needed
- Annually
- No formal/set process
- Twice a year



Objectives

1

Create a centralized knowledge database for all divisions that is accessible for both internal and external users, based on knowledge taxonomy and security controls, which will ensure optimization for use by future AI.

2

Knowledge should encompass proprietary knowledge on a need-to-know basis, as well as all procedures, policies, law, operational procedures, operating instructions, training guides, business rules, etc.

3

A defined ongoing maintenance process with automated compliance reminders, to ensure information is maintained and updated.

WORKPLAN - Strategic Objective 2.2



Strategic Goal: **Innovation Through Technology**
 Strategic Objective: **2.2 – Implement Enterprise Knowledge Management System**
 Executive Sponsor: **JJ Popowich; Eugenia Der (Lead)**

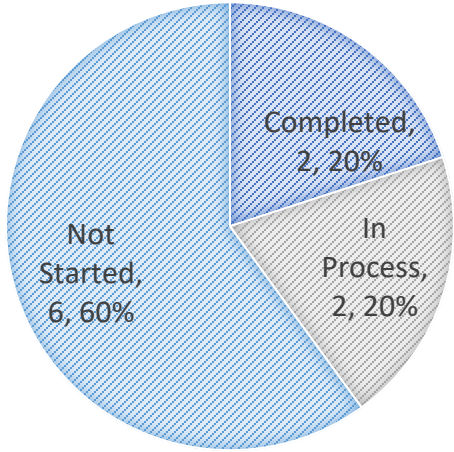
Legend

- On Schedule ● Complete ★
- Delayed/Stopped ▲
- Not Started ◆

#	Objective Milestones	Status	Start	Expected Completion
1	Create team to define objective goals and initiatives	★	10/2023	01/01/2024
2	Project Approval by the IT Coordination Council	★	10/2023	03/31/2024
3	Communication Plan- Educate and Engage stakeholders on Knowledge Mgmt.	●	10/2023	07/01/2024
4	RFP for taxonomy consultant and selection of consultant	●	03/2024	12/31/2024
5	Complete assessment of organizational needs and specifications	◆	TBD	03/31/2025
6	Update and reconcile data and knowledge	◆	TBD	06/30/2025
7	Select vendor and product	◆	TBD	06/30/2026
8	Project Launch	◆	TBD	07/31/2026
9	Create and adopt knowledge playbook/policy/guidelines	◆	TBD	12/31/2029
10	Project Completion	◆	TBD	12/31/2029
11				

Milestone Tracker

■ Completed ■ In Process ■ Not Started ■





TKM Project Goals:

- Documented operational procedures/ work processes for all divisions.
- Standardized policy for updating knowledge.
- Standardized policy for storing knowledge.
- Centralized location for knowledge storage and access.
- Standardized organization of knowledge.
- Standardized method or policy regarding the types of knowledge that is captured.



What is Taxonomy?:

- Taxonomy – is the method used for organizing similar content into relevant groups. A taxonomy can help categorize data into its respective fields and map the connections between them to make meaning.
- Taxonomy provides the overall scheme for organizing content to solve a business problem providing the basis for effective and efficient content use and reuse.
- Taxonomy strategist/ consultant is someone who specializes in applying taxonomies, metadata, automatic classification, and other information retrieval technologies to the needs of business.

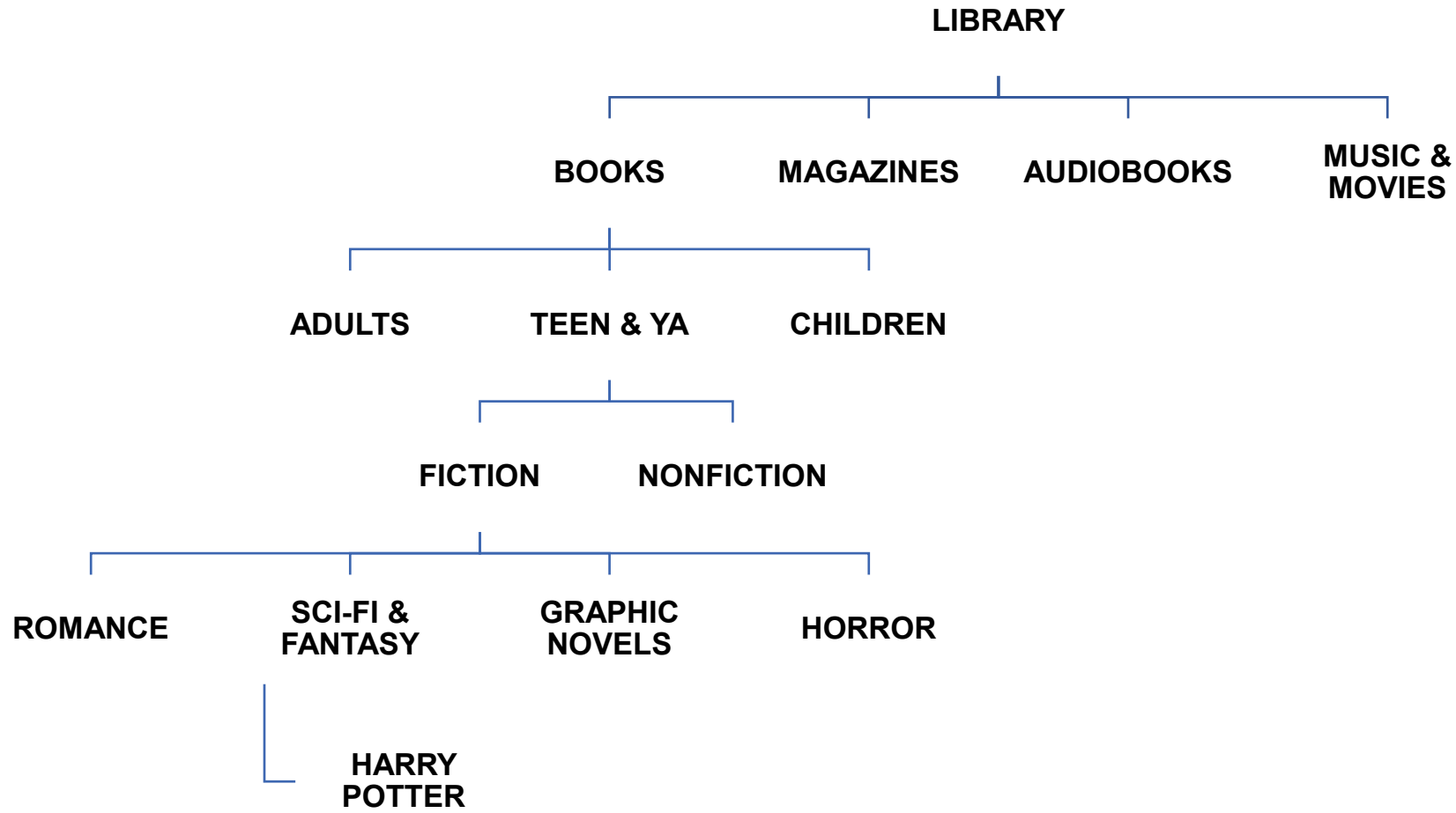
Example:

Harry Potter and the Sorcerer's Stone

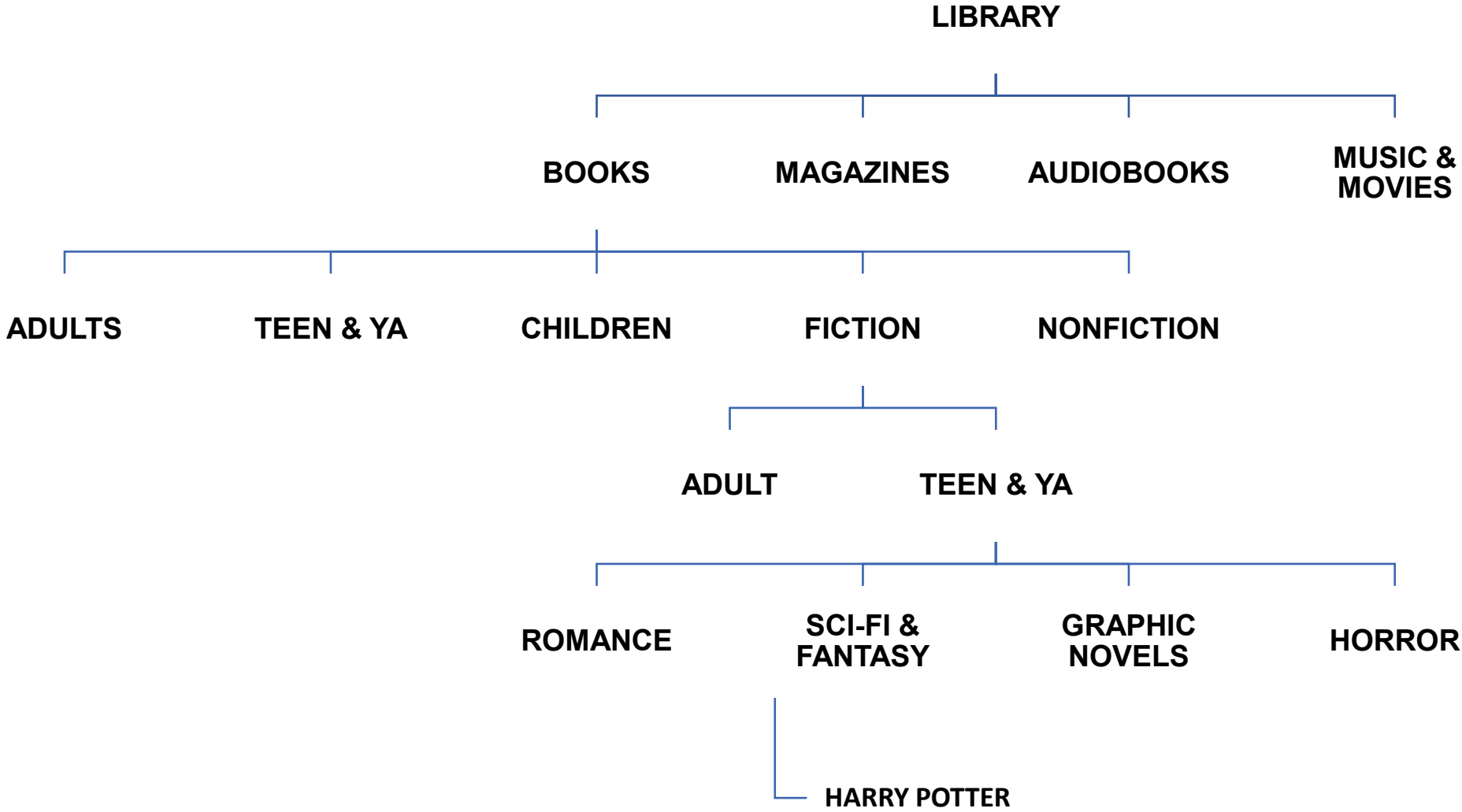
Can be categorized by:

- Title
- Author
- Year written
- Genre
- Reading level

Sample Menu Tree – Pathway 1



Sample Menu Tree – Pathway 2





Taxonomy & Knowledge Management Consultant

Scope of Work:

- A review and assessment of LACERA's knowledge assets across all 15 divisions.
- Develop and implement an organization wide taxonomy and/or ontology to be used for an enterprise-wide knowledge management system including a content tagging plan.
- Develop a knowledge base implementation plan/roadmap and solution architecture plan.
- Assist LACERA in obtaining a knowledge management system vendor. This includes assistance with developing the Request for Proposal for the vendor and the requirements for the solution, reviewing vendor proposals, facilitating vendor demonstrations, and recommending a solution and/or vendor.
- Develop a knowledge base and taxonomy governance plan including roles, responsibilities, and processes required for maintenance and scale.



Proposed RFP Timeline

Event Description	Date
RFP release date	June 14, 2024
Intent to Respond due date	June 28, 2024
Written questions from Respondents due date	July 5, 2024
LACERA's response to Respondents' questions	July 12, 2024
Proposal due date	July 26, 2024
Finalist Interviews (estimate)	Q3 2024
Selection Notification (estimate)	Q4 2024
Commencement of work	Upon contract execution



THANK YOU!



QUESTIONS?

FOR INFORMATION ONLY



**Operations Briefing Report
Fiscal Year 2023-2024**



June 5, 2024



The Operations Briefing Report includes a Project Status Dashboard presenting a quick at-a-glance view of each project’s status. The Dashboard is broken up into three color coded sections: New projects or projects with updates are reflected in purple and active projects with no new updates are reflected in blue. Projects completed this fiscal year are reflected in green.

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

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)

The Project Status Dashboard includes links to the project’s Active Project Details summary or the Completed Projects Detail summary. This section continues to provide an overall narrative of the project’s purpose and an overview of the project to date. The Project Details summary includes a section highlighting the latest updates to the project in the “Current Update” section followed by a “Historical Perspective” section to show past progress, successes, and challenges the project has gone through since it started.



PROJECT STATUS DASHBOARD

New Projects and Updates to Existing Projects

Project Title	Strategic Plan Initiative	Target Date	Status
<u>Actuarial Valuation Reports: Retiree Healthcare (RHC) or Other Post-employment Benefits (OPEB) Program</u>	Compliance & Enterprise Risk Management	09/04/2024	Delayed
<u>Case Management Project (Sol: Phase I)</u>	Superior Member Experience	06/24/2024	On-Schedule
<u>Data Digitization Sharing Project</u>	Innovation Through Technology	09/30/2024	Delayed
<u>eDiscovery Solution</u>	Compliance & Enterprise Risk Management	07/31/2024	Delayed
<u>Enterprise Contract Lifecycle Management (ECLM) Solution</u>	Compliance & Enterprise Risk Management	07/31/2024	Delayed
<u>LACERA Incident Response Team (LIRT) Management Solution</u>	Compliance & Enterprise Risk Management	06/30/2024	On Schedule
<u>Microsoft Copilot Search Implementation</u>	Innovation Through Technology	07/31/2024	Delayed
<u>PEPRA Implementation: Annual Benefit Statement</u>	Superior Member Experience	06/30/2024	Delayed
<u>PEPRA Implementation: FAC Issue</u>	Compliance & Enterprise Risk Management	12/31/2024	Pushed Back
<u>Prepaid Bank Card Project</u>	Superior Member Experience	06/30/2025	Pushed Back
<u>Retiree Healthcare Administration: Lifetime Maximum Benefit Project</u>	Superior Member Experience	12/31/2024	On Schedule
<u>Retirement Estimate Redesign</u>	Superior Member Experience	12/30/2024	On Schedule



Existing Projects - No Updates

Project Title	Strategic Plan Initiative	Target Date	Status
<u>Alameda Decision Implementation</u>	Compliance & Enterprise Risk Management	TBD	Delayed
<u>COLA Bank Retroactive Changes</u>	Compliance & Enterprise Risk Management	12/31/2024	Delayed
<u>Communications Plan</u>	Superior Member Experience	06/30/2024	Pushed Back
<u>Enterprise Budget Application (Questica) Implementation Phase II: Budget Book</u>	Compliance & Enterprise Risk Management	TBD	Delayed
<u>Pre-2003 Pension Reserve Clean-up</u>	Superior Member Experience	06/30/2024	On Schedule
<u>Retroactive Payroll Adjustments: Prospective Correction</u>	Compliance & Enterprise Risk Management	TBD	Pushed Back



FY 23-24 Completed Projects

Project Title	Strategic Plan Initiative	Target Date	Status
<u>Actuarial Valuation Reports: 2022 Actuarial Valuation of Retirement Benefits</u>	Compliance & Enterprise Risk Management	06/30/2023	Completed
<u>Actuarial Valuation Reports: 2022 Other Post-employment Benefits (OPEB) Actuarial Valuation</u>	Compliance & Enterprise Risk Management	12/30/2023	Completed
<u>Actuarial Valuation Reports: Retirement Benefits</u>	Compliance & Enterprise Risk Management	12/30/2023	Completed
<u>Annual Financial Statement Preparation and Audit:</u>	Compliance & Enterprise Risk Management	12/30/2023	Completed
<u>Enterprise Budget Application (Questica) Implementation Phase I</u>	Fiscal Durability	01/31/2024	Completed
<u>Human Resources (HR) Case Management</u>	Innovation Through Technology	09/30/2023	Completed
<u>Human Resources (HR) Digitization</u>	Innovation Through Technology	12/30/2023	Completed
<u>KBase Migration to SharePoint</u>	Innovation Through Technology	09/30/2023	Completed
<u>Policy Management Solution</u>	Compliance & Enterprise Risk Management	12/30/2024	Completed
<u>Retirement Counseling Redesign Project (Omnichannel Retirement Counseling)</u>	Superior Member Experience	01/31/2024	Completed
<u>Tax Table Changes for 2022: Phase II: Online Tax Calculator & ADR Redesign</u>	Superior Member Experience	01/31/2024	Completed
<u>Travel/Expense/P2P Software</u>	Compliance & Enterprise Risk Management	01/30/2024	Completed



ACTIVE PROJECT DETAILS

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)

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Project / Issue Title Brief Description	Strategic Plan Initiative:		Compliance & Enterprise Risk Management	
	Type	Project Sponsor	Start Date	Target Date
	BSG	Financial & Accounting Services Division	August 2023	September 2024
	Project Lead(s): Ted Granger			
	Delayed			
	Current Update			



Actuarial Valuation Reports: Retiree Healthcare (RHC) or Other Post-employment Benefits (OPEB) Program

The Retiree Healthcare (RHC) Program administered by LACERA on behalf of Los Angeles County includes retiree healthcare benefits such as medical and dental/vision insurance plans and death benefits. GASB refers to these benefits as Other Post-Employment Benefits (OPEB) for financial reporting. GASB Statement Numbers 74 & 75 prescribes financial statement reporting standards for OPEB programs. Actuarial valuations are prepared annually, and experience and assumption studies are prepared triennially 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 disclosure reporting.

In May 2024, the Board of Investments approved and updated the OPEB Trust performance benchmarks and Investment Policy Statement (IPS) based on their recent approval of the strategic asset allocation (SAA). LACERA held a second meeting to discuss draft 2 of the OPEB Experience Study with the Los Angeles County Stakeholder group including the County, Superior Court, labor groups, and their consultants, to review the remaining economic assumptions impacted by the SAA. There were no additional questions/concerns from the Stakeholder group.

Milliman will complete the experience study draft report, provide an educational session to the Board of Investments in June and present the draft experience study report for the Board of Retirement’s July meeting. The annual valuation report will follow and is expected to be completed and presented at the Board of Retirement meeting in September.

LACERA slightly delayed the experience study process so Milliman could review the new SAA when considering the OPEB Trust investment return assumption. The target completion date for this project was moved from August to September.

Historical Perspectives

LACERA transmitted the census data file to Milliman in August 2023 when they began planning for the triennial year OPEB actuarial project cycle which includes an investigation of experience study and an annual valuation. Milliman started their work shortly thereafter.

In February 2024, Milliman presented a first draft Experience Study report to the Los Angeles County Stakeholder group. The BOR approved FY 2024-2025 retiree medical insurance premiums presented by the Retiree Healthcare (RHC) Division at the March meeting. Milliman updated their analysis to include the latest premium information to develop the medical cost trends and projections.

In April, the Board of Investments approved and updated their strategic asset allocation (SAA) for the OPEB Trust. It was determined that LACERA needed to delay the experience study process so Milliman could review the new SAA when considering the OPEB Trust investment return assumption and share this recent information with the County Stakeholder Group.



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Compliance & Enterprise Risk Management	
	Type	Project Sponsor	Start Date	Target Date
	MOG	Benefits	08/01/2020	TBD
	Project Lead(s): Shonita Peterson			
	On Schedule			
	Current Update			



Alameda Decision Implementation

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 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.

Now that these cases have been reviewed and processed, staff continues working on Alameda cases including previous service contracts and other more complex cases.

Five groups of members impacted by this project have been identified in the project table. The remaining cases include previous service contracts and other complex cases that require significant time to review and correct. There is no progress to report for April due to the need to reallocate staff to ensure March Madness cases were processed timely. Staff resumed processing cases effective May 1, 2024

Alameda Project Status	Current Report: 04/30/2024	
Row Labels (Type, Status, Detail, Outstanding)	Count	%
Pending Notification (Staff Reviewing and Processing)	316	6.54%
Active	0	0.0%
Retired	5	0.1%
Deferred/Inactive	0	0.0%
Retired Deceased	38	0.8%
Active Death	5	0.1%
Other – *Active/Exceptions	268	5.55%
Withdrawn	0	0.0%
Completed	4,516	93.46
Active	3,035	62.8%
Retired	874	18.09%
Deferred/Inactive	149	3.1%
Deceased	0	0.0%
Other - *Active/Exceptions	346	7.16%
Withdrawn	56	1.2%
Not affected	56	1.2%
Grand Total	4,832	100%



Historical Perspectives

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.

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.

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, 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 were 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 Alameda team continues to work on Active/Exceptions cases. Staff focused on adding alerts and comments to the remaining 140 cases not impacted by the Alameda Decision.



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Superior Member Service	
	Type	Project Sponsor	Start Date	Target Date
	Strategic	Executive (MOG/BSG)	08/24/2022	06/24/2024
	Project Lead(s): JJ Popowich, Luis A. Lugo, & Iveta Brecko (PM)			
On Schedule				
Current Update				
<p>Case Management Project (Sol: Phase I)</p> <p>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><i>First Payment user acceptance testing (UAT) is ongoing. We are running it in phases – certification, benefit amounts calculation and placement on Board Agenda with subsequent data updates in Workspace. Letter content and printing will be tested for each phase. Certification portion testing is mainly complete. We started testing payroll portion of the functionality with the plan to complete it by the end of May. The new Retirement Estimate document that is a part of First Payment process is still in development, with a few new requirements that require work by LACERA analysts and developers. Minimum Viable Product is defined by Benefits team. We are working on a few outstanding functions with the plan to complete them by the end of June. There is also a dependency between go-live date and new Retirement Estimate being functional, which is currently scheduled to go to production in August. We continue holding twice-weekly meetings with Benefits group product owners and testers to go over the issues and with LACERA analysts and developers to plan software changes delivery and we are working on Go-Live Readiness document detailing conditions for going to production.</i></p> <p><i>The three-month vendor contract for Continuous improvement for DRS and DLO groups is expiring at the end of May. 85% of the features on the enhancement list had been delivered. We are planning another three-month continuous improvement contract with the vendor once First Payment is in production and more enhancement requests have been accumulated.</i></p>			



	Historical Perspectives
	<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>The team identified five phases over a series of years that would benefit from the Case Management System.</p> <p>Phase I consisted of three sub-phases: Disability Retirement Services (DRS), Disability Litigation Office (DLO, and the Benefits First Payment Process. The LACERA and Eccentex teams completed the development of the case management processes for DRS going live effective: September 22, 2023. The team continues to fine tune the systems performance and making updates as needed.</p> <p>Development of the last sub-phase – the Benefits First Payment process – began simultaneously with the other projects as staff worked to develop detailed process flow maps of the process and define and refine business rules and minimum expectations for the case management system. With the completion of the DRS/DLO sub-phases the teams focused their efforts on the First Payment Process.</p>

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Project / Issue Title Brief Description	Strategic Plan Initiative:		Compliance & Enterprise Risk Management		
	Type	Project Sponsor	Start Date	Target Date	
		MOG	Benefits	04/01/2021	12/31/2024
	Project Lead(s): Louis Gittens / Shonita Peterson				
Delayed					
Current Update					
<p>COLA Bank Retroactive Changes</p> <p>In April of 2021, the Board of Retirement approved corrections to the COLA</p>	<p><i>No update at this time.</i></p>				



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.

Historical Perspectives

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 2024.

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.

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 for this population.

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.

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.

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



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Superior Member Experience	
	Type	Project Sponsor	Start Date	Target Date
	Strategic	Exec (MOG)	02/28/2022	06/30/2024
	Project Lead(s): JJ Popowich & Cynthia Martinez			
Pushed Back				
Current Update				
Communications Plan 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.	<i>No update at this time.</i>			
	Historical Perspectives			
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.				
The Communications team is beginning the process of updating the draft Communications Plan to incorporate the Strategic Plan priorities based on the input from the assigned LEADS of each objective and other feedback provided by the Executive Team.				



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Innovation Through Technology	
	Type	Project Sponsor	Start Date	Target Date
	Strategic	Systems	11/01/2023	9/30/2024
	Project Lead(s): Tom De Luca			
Delayed				
Current Update				
Data Digitization Sharing Project A project to share previously digitized microfiche and Optical Archive System (OAS) records with the LA County Auditor/Controller	<i>Systems has completed the configuration and set-up of the SharePoint site that will be used by the Auditor-Controller. The team is now conducting internal testing to ensure it works as expected.</i>			
	<i>The next step, expected to be taken in the next 30 days, is to schedule a meeting with the Auditor-Controller to provide them with access and discuss User Acceptance Testing.</i>			
	Historical Perspectives			
<p>The Information Technology Coordination Council (ITCC) approved a prototype project to share previously digitized microfiche with the LA County Auditor/Controller (A/C) in October 2023. LACERA previously digitized 50 million microfiche and Optional Archive System (OAS) records containing LA County payroll data and built an electronic viewer for the images. The A/C only has the physical microfiche and the OAS records for this payroll data. The LACERA Systems Division would like to share our digitized images with the A/C in a portable format that is independent from all technology at LACERA. The prototype project that was approved by the ITCC will involve converting a subset of microfiche images to searchable PDF files and building a SharePoint page for searching the images. If the prototype is successful, and the A/C finds the files useful, we will make a request to the ITCC to convert 30 million of the 50 million images to searchable .pdf and securely transmit them to the A/C.</p> <p>We have converted the subset of files to searchable PDF files for the prototype and are configuring the SharePoint page that will be used to search these files. We expect the prototype to be completed by the end of April 2024.</p>				



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Compliance & Enterprise Risk Management	
	Type	Project Sponsor	Start Date	Target Date
	BSG	Executive (BSG)	12/01/2023	TBD
Project Lead(s): Laura Guglielmo and Cookie Jaranilla (PM)				
Delayed				
Current Update				
Enterprise Budget Application (Questica) Implementation Phase II: Budget Book LACERA nearly finished 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 phase of the project will address the Budget Book that is submitted to the Boards during the approval process.	<i>No update at this time.</i>			
	Historical Perspectives			
<p>The implementation of the Questica budgeting solution has been divided into two phases. Phase I concerns the implementation of the budgeting application itself. Phase II consists of the review and implementation of the Budget Book function to assist with assembling the budget book that is submitted for approval to the Boards.</p> <p>Development of the budget book is a unique and detailed process that requires significant focus to migrate to a new platform. The native budget book application provided by Questica will be evaluated by the team after we have completed implementation of the budget application. The team plans to produce the FY 25 Budget Book outside of this application while this is under review. Once we have completed the roll out of the Questica application we will assign a target date for completion of this phase. The Project Team has been actively collaborating with Questica's Implementation Team to discuss project planning and schedule a kickoff for this initiative.</p>				



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Compliance & Enterprise Risk Management		
	Type	Project Sponsor	Start Date	Target Date	
	Strategic	Information Security	12/01/2023	7/31/2024	
Project Lead(s): Steven Rice, Chaitanya Errande, & Celso Templo (PM)					
Delayed					
Current Update					
eDiscovery Solution Implement an eDiscovery solution that provides an intuitive and seamless way for the Legal Office and Information Security Teams to conduct eDiscovery, eDiscovery is the process of identifying, collecting, and producing electronically stored information (ESI) in response to a request for production in a lawsuit or investigation. An eDiscovery solution can help automate the collection of electronic data, such as email, MS Teams messages, SharePoint storages, Bloomberg, and SMS, and automate repetitive tasks, reducing the need for manual intervention.	<ul style="list-style-type: none"> • <i>The eDiscovery Solution Project Team will present to the Operational Oversight Committee during the June 5th Board of Retirement (BOR) session. The presentation will cover the project's purpose, the recommended vendor, GlobalRelay, and the associated costs, with the goal of obtaining the committee's approval.</i> • <i>Formal Vendor Kickoff Meeting – If the Board approves the selection of GlobalRelay, the formal kick-off meeting with the vendor will be scheduled soon thereafter.</i> • 				
	Historical Perspectives				
	<p>In December of 2023, the IT Coordination Council (ITCC) approved the request by the Legal Office and Information Security teams to search and select a vendor that can provide LACERA an eDiscovery Solution.</p> <p>The LACERA eDiscovery Team evaluated and selected a vendor by inviting Veritas, Smarsh and GlobalRelay to provide quotes, demo the products, and answer questions relating to eDiscovery needs. Additionally, the eDiscovery project bypassed the Request for Proposal (RFP) process because all invited vendors offered costs below the qualifying threshold set in the RFP guidelines. After performing the necessary due diligence and incorporating selection factors such as system functionalities, pricing, support availability, system integrations, User Experience (UX), and end-user training, the eDiscovery Project team selected GlobalRelay as the vendor that would partner and collaborate with LACERA to implement the eDiscovery solution.</p> <p><i>The following milestones have been completed:</i></p>				



	<p><i>Contract Finalization and Procurement –The Administrative Services team finalized the contract agreement and procurement process.</i></p> <p><i>Since the cost of the project was expected to exceed the CEO’s approval threshold. the Project Executive Sponsor met with Executive Management to discuss the timeline and process for obtaining Board of Retirement approval.</i></p>
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Project / Issue Title Brief Description	Strategic Plan Initiative:		Compliance & Enterprise Risk Management		
	Type	Project Sponsor	Start Date	Target Date	
	BSG	Administrative Services	03/01/2022	07/31/2024	
	Project Lead(s): Ricki Contreras, Celso Templo & Michael Dozier (PM)				
	Delayed				
Current Update					
<p>Enterprise Contract Lifecycle Management (ECLM) Solution</p> <p>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><i>The ECLM project aims to deliver a Minimal Viable Product (MVP) by the end of June 2024. Pending the resolution of minor data integration issues, a soft launch is targeted for July 15th. This initial launch will serve the Administrative Services, Systems, and Financial and Accounting Services Division (FASD) divisions. Despite a 4-week delay caused by implementing new policies, procedures, and administrator security updates, the project will ensure a smooth transition to the Vendor Management Group, which will be responsible for ongoing system maintenance by July 31. To ensure a positive user experience, a two-week period will be dedicated to distributing and validating training materials before full user engagement.</i></p>				



Historical Perspectives

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.

The ECLM Solution’s Iteration 4 is underway to meet the newly structured Vendor Management the basic framework for the contract administration is still intact from the initial implementation. The new process has forced a pivot to restructure user groups and security roles to align with the Vendor Management group and personnel. ECLM Vendor Management system is functional and available for testing as the workflows are updated. Systems, Admin Services, Legal, Investment Division, and FASD Subject Matter Experts (SME’s) have completed rendering the final requirements imposing the process change and the final items of restructuring are in-flight. We are currently Projecting project to launch on time.

- Contract Repositories
- Vendor Portal
- Contract Approval Chain
- Consolidated Bid Responses and Evaluation – RFP Management
- AI Capabilities – Drafting, Reviewing & Executing of Contracts
- Reporting - Contract Requests, Solicitations, Contracts, and Vendors
- Systems Integration with Great Plains

To enhance the effectiveness of end-user training across all business divisions, we have restructured the approach. Instead of conducting large 2-hour training sessions, we will now break down the training into 1-hour modules for each of the 5 individual modules. This modification aims to facilitate easier retention for end users. Additionally, each training session will involve a Subject Matter Expert (SME) from each division. These sessions will be supported by customized training materials tailored to our internal processes, which will be distributed before the sessions commence.



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Compliance & Enterprise Risk Management	
	Type	Project Sponsor	Start Date	Target Date
	Exec	Executive	01/01/2023	06/30/2024
	Project Lead(s): JJ Popowich, Chait Errande, and Michael Dozier (PM)			
	On Schedule			
Current Update				
LACERA Incident Response Team (LIRT) Management Solution LACERA seeks a solution that automates the tracking and workflow of LACERA incidents.	Prototype Ready and User Acceptance Testing Initiated			
	<p><i>A functional prototype is now available for review by key stakeholders. This review will gather valuable feedback to ensure the product aligns with both vendor and user needs. The project is entering Sprint 3, where the focus will be on addressing all regulatory compliance items. To meet the June 21st, 2024, deadline for the Workplace Violence Prevention Policy, a change order has been approved to incorporate additional regulatory requirements. Windward is currently refining the prototype based on these updates. User Acceptance Testing (UAT) has also begun, with crucial personnel granted access to provide their feedback. This input will be essential for Windward engineers as they continue to refine the prototype. Overall, the project is on schedule and progressing well.</i></p>			
	Historical Perspectives			
<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 selected Winward as our 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 owns this product and is only configuring one module to support our specific process, we can absorb the project's cost in the FY 2023-24 budget. We expect this project to be completed in June 2024.</p>				



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Innovation Through Technology	
	Type	Project Sponsor	Start Date	Target Date
	Strategic	Systems	02/21/2024	07/31/2024
	Project Lead(s): Summy Voong, Jim Lyle			
Delayed				
Current Update				
Microsoft Copilot Search Implementation The introduction of Microsoft Copilot, an Artificial Intelligence assistant for Microsoft Edge and Microsoft Office Applications.	<i>Staff has created a draft policy that is currently under review by the Ethics and Compliance Committee (ECC).</i>			
	Historical Perspectives			
	The ITCC and Artificial Intelligence (AI) Committee approved the initial phase of the Microsoft Copilot deployment at LACERA in February (2024). The initial phase will involve the launch and training of Microsoft's generative AI chat and search features that work with Microsoft Edge. The new tool will be presented to the organization through MAC, SAC, and Brown Bag meetings as well as a series of training sessions for each division. We anticipate the launch to be finished by Project Steps: <ol style="list-style-type: none"> 1. Road Show to Division Managers – Completed 2. AI Policy approval and staff to sign an acknowledgement on policy 3. The Executive Board Assistants will be scheduling two meeting for Trustees - TBD 4. Presentation/Demo to MAC/SAC teams – TBD 5. Demonstration during Brown Bag Meeting – TBD 6. Enable feature for all staff and send out training documents – TBD 			



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Superior Member Experience	
	Type	Project Sponsor	Start Date	Target Date
	Strategic	Exec (MOG)	01/01/2013	06/30/2024
	Project Lead(s):			
Delayed				
Current Update				
<p>PEPRA Implementation: Annual Benefit Statement</p> <p>LACERA does not currently offer an Annual Benefit Statement (ABS) for PEPRA members.</p>	<p><i>Last month we reported that we determined we would move forward with the PEPRA ABS project without providing an FAC amount and an estimated benefit amount. Instead, the team is working on a design that shows the trend in growth of a member’s retirement benefit based on percentage of salary over time.</i></p> <p><i>With this in mind, the Communications drafted two ABS “comps” based on the team review and input (draft examples of what the new ABS will look like) and has been working with Systems and our design vendor to refine the concepts. Once all refinements have been made, these two ABS “comps” will be presented to the team for final review and approval. These concepts will then be provided to the Executive Team the beginning of June, after which we expect to receive final input and approval to move forward with the statements.</i></p> <p><i>The project remains in a delayed status, but progress is being made.</i></p>			
	Historical Perspectives			
	<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>Progress continues on the PEPRA Implementation: FAC Issue 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, confirm the ABS Team participants, briefly review the Active redesigned</p>			



comp, and discuss next steps. It was confirmed the team will meet weekly to begin the review process of the Active redesigned comp.

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 will 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. Communications has incorporated all feedback from the team and the ABS is currently in production for update of data fields and rebranding based on the team input.

As of May 2024, we reported that LACERA is still working with the Auditor Controller on its efforts to systematically calculate a PEPPRA Final Average Compensation (FAC) amount which is critical to the ability to deliver automated retirement benefit estimates. This has been negatively impacting our ability to deliver the PEPPRA Annual Benefits Statements to members.

Given this delay, the team revisited the ABS design and determined that rather than providing a specific estimated benefit amount at this time we will provide an estimated FAC with caveats regarding accuracy and then focus on providing an accurate representation of the member's current and future percentage of FAC to provide insight into how their benefit is growing over time.

As a result of the progress made, our May report reflected we changed the status from "Pushed Back" to "Delayed.", with a new expected target date of July 30, 2024.

In May 2024, we also reported significant work needs to be done with our print vendor and Systems on our delivery plan for the ABS. The team has opted to make delivery of the ABS electronic by default through My LACERA. This will significantly reduce costs associated with mailing and printing. Members without My LACERA access will receive mailed ABS, and members who do have My LACERA, but wish to receive a physical copy mailed to them will have the ability to request this option.



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Compliance & Enterprise Risk Management		
	Type	Project Sponsor	Start Date	Target Date	
	Strategic	Executive (MOG)	01/01/2013	12/31/2024	
	Project Lead(s): JJ Popowich & Lynn Francisco				
Pushed Back					
Current Update					
<p>PEPRA Implementation: FAC Issue</p> <p>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 are not pensionable compensation under PEPRA. To accurately calculate a member's benefit, these non-pensionable compensation items need to be filtered out.</p>	<p><i>Last month we reported that the project team was working on a report on their findings and an analysis of the available data we are aware of in the County's payroll system that may assist us in resolving the outstanding issues.</i></p> <p><i>The team submitted their preliminary report to the Executive Office. The Executive Office has reviewed the report and will be scheduling a meeting with the team to discuss their findings and seek some clarifications.</i></p> <p><i>The meeting is scheduled for early June. Based on that meeting we will finalize the report and then discuss internally the next steps which would include a meeting with the Auditor-Controller's Office.</i></p>				
	Historical Perspectives				
	<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 towards a July 2023 completion date. The team has been meeting bi-weekly to ensure we remain focused on completing this project on-time.</p> <p>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 (FAC). Systems is now working on updating our internal programs to use these files in a production environment.</p>				



Systems has completed and implemented the program in production. The program was first run to update the September 15, 2023, PEPRA actual earning salaries and are received with each new payroll period files prospectively.

Beginning in November the team started ingesting historical files beginning with the last three years first (August 31, 2023, down to September 15, 2020), and working back to 2013. The files are processed on an expedited basis so we can conclude this project as early as possible. The team completed ingesting the most current three years by December 31, 2023. As of 1/13/2024, the most current three years historical PEPRA embedded files have been processed and salary records in Workspace adjusted to remove PEPRA embedded earnings.

The Process Management Group (PMG) is working on updates to the PEPRA FAC Business rules. The team is working with the Legal Office to finalize the business rule. Once the rule has been finalized (expected to be finalized by end of February) the final parameters can be provided to Systems to program the FAC.

After the ingestion of actual payroll files was completed additional testing of the programming designed to remove non-pensionable actual earnings embedded in pay code 099 indicated additional work was needed to address retroactive payroll adjustments and mid-period payroll changes. The team is working to identify methods to account for the common payroll activities.

Once additional programming to address the issues identified above, and incorporate business rules, the team will be discussing scheduling the release of the PEPRA FAC for current active members to see and for staff to use in the calculation of estimates and retirements, followed by scheduling the release for use by deferred members. . We do not have an ETA at this time due to the newly discovered programming challenges.

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 was not scheduled to 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.

RPA User Acceptance Testing (UAT) was completed on 2/14/2024 by the LACERA team. This closes Phase 1 (automatic extraction of payroll records from eHR, QSAL, and TEHW into Excel. Phase 2 (calculation of embedded non-pensionable amount to be removed) will begin shortly. We are in the process of scheduling the start with a new team from ISD and the AC.

In April 2024, the team reported a significant setback in our ability to calculate the PEPRA FAC automatically. As we were implementing the programming developed to calculate the FAC based on the data provided by the Auditor-Controller, we determined that the data was insufficient to calculate the FAC in certain circumstances. Most notably in situations where members receive a mid-pay period adjustment. Unfortunately, mid-pay period adjustments can occur at any time in a member's career and may also be retroactive in nature which complicates the calculation further. While they are not frequent, given the 36-month rolling FAC period just one occurrence in three years can cause an inaccurate FAC. As a result, staff need to continue to manually verify FAC figures.

Additional exploration of the use of the Robotic Processing Automation tool provided by the County also occurred. The tool is successful for researching single pay periods at a time. The team continues working with the County on phase two and also discussing how this tool can be deployed in our process. Unfortunately, it is not suitable at this time to overcome the difficulties we have experienced with the more automated process.

As a result of this setback, the team pushed back the Target Date back to 12/31/2024.



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Superior Member Experience		
	Type	Project Sponsor	Start Date	Target Date	
	Strategic	Executive (MOG)	07/01/2022	06/30/2024	
	Project Lead(s): Louis Gittens / Shonita Peterson				
On Schedule					
Current Update					
<p>Pre-2003 Pension Reserve Clean-up</p> <p>Prior to January 1, 2003, non-vested contributory individuals were required to withdraw their contributions upon 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.</p> <p>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.</p>	<i>No update at this time.</i>				
	Historical Perspectives				
	<p>LACERA previously sent notification to the remaining 673 affected individuals. We determined which letters were returned to LACERA and sent notifications to secondary addresses through Certified mail. In November, we began sending letters to next of kin for deceased members.</p> <p>The Process Management Group (PMG) is reviewing all accounts to ensure notification has been sent to all affected individuals. PMG will then work with FASD and Systems to have funds placed in the Pension Reserve, the final stage of this project.</p>				



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Superior Member Experience	
	Type	Project Sponsor	Start Date	Target Date
	Strategic	Executive (MOG)	06/15/2022	06/30/2025
	Project Lead(s): JJ Popowich & Shonita Peterson (PM)			
Pushed Back				
Current Update				
<p>Prepaid Bank Card Project Introduction of a prepaid bank card option for monthly benefit payments</p>	<p><i>The team is working on two outstanding issues as this project moves forward:</i></p> <p><i>Contract Amendments: Earlier this year LACERA provided the vendor contract amendments to address some additional data security concerns identified as a result of recent national data security incidents. Subsequently, the vendor has reviewed those amendments, and we are discussing concerns with the intent to finalize and sign the amendments within the next 60 days.</i></p> <p><i>Legislative Actions: As previously reported to the Board of Retirement, AB 2474 is currently under consideration by the Public Employment and Retirement Committee. A hearing was held in May and minor changes were made to the proposed legislation. Given the pending legislation this project has been placed on hold until it has been passed and signed by the Governor.</i></p>			
Historical Perspectives				
<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 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>				



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.

LACERA met with Conduent at our first kick-off meeting also known as the Joint Configuration Session on Tuesday November 14, 2023. Weekly “check in meetings” have been scheduled.

The prepaid debit card project remains on hold. The LACERA team decided that it would be best to draft a contract amendment that specifically addresses the data security concerns with third party vendors. The Legal Office drafted the amendment, and it is currently under review with the vendor.

In addition, there is pending legislation under consideration regarding updating CERL to specifically list payment via a debit card as a payment method for retirement benefits. Currently, the payment of government benefits is permissible under federal Regulation E.



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Superior Member Experience	
	Type	Project Sponsor	Start Date	Target Date
	RHC	Exec	03/01/2021	12/31/2024
	Project Lead(s): Santos H. Kreimann & Luis A. Lugo			
On Schedule				
Current Update				
Retiree Healthcare Administration: Lifetime Maximum Benefit Project	<p><i>May 2024 - LACERA continues to work with the County CEO's office on the elimination of the Lifetime Maximum Benefit (LMB) for Anthem PPO plans. The County CEO has expressed a willingness to resolve the LMB issue and we're actively discussing a timeline. Their labor negotiations will play a factor in that timing.</i></p> <p><i>LACERA CEO and Deputy CEO continue to meet with BOS to educate them on the LMB issue. They recently met with BOS district three staff. They (along with RHC Director) are expected to meet with County CEO staff in the next week or so to discuss LMB status.</i></p>			
	Historical Perspectives			
	<p>Since the beginning of 2023, LACERA and the County CEO's Office have been in active communication by meeting biweekly to address the Lifetime Maximum Benefit issue. LACERA provided the Board of Retirement (BOR) with a formal report and update on our progress during the August 2023 meeting via closed session.</p> <p>In November 2023, LACERA received an information request from the County and provided the requested information to the County. The County requested additional RHC program related information from LACERA in December 2023 and January 2024, to which LACERA responded accordingly.</p> <p>Since March 2024, The County of Los Angeles, and Coalition of County Unions (CCU) have continued to work through negotiations. LACERA continues to engage the County and Union representatives to provide any relevant information as they progress through their negotiations.</p> <p>LACERA staff and LACERA's actuary continue to consult with the County's staff and actuary. These conversations and the County's negotiation process have resulted in</p>			



	<p>additional actuarial-related information requests from the County. LACERA worked with Milliman and the County’s actuary to complete and deliver these items in February 2024:</p> <ol style="list-style-type: none"> 1) Actuarial Model – Retiree Healthcare benefits analysis and modeling to project future healthcare cost changes due to hypothetical benefit changes. 2) Cost Projections – GASB 75 report projections to analyze the impact of future healthcare cost changes. 3) Cost Savings – Retiree Healthcare benefit analysis of Tier 2 historical cost savings.
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Project / Issue Title Brief Description	Strategic Plan Initiative:		Superior Member Experience	
	Type	Project Sponsor	Start Date	Target Date
		Strategic	Exec (MOG)	01/01/2019
	Project Lead(s): Maggie Luong, Shonita Peterson			
	On Schedule			
	Current Update			
<p>Retirement Estimate Redesign</p> <p>With the recent launch of our new Retirement Planning Hub and the My LACERA online retirement election process, we are turning our attention to re-designing the Retirement Estimate.</p>	<p><i>In April we reported the team had finalized the design of the new Retirement Estimate. This month the design was finalized and approved for programming and development. The Systems team is currently working on finalizing the programming for Workspace and printing. The team estimates the updates to Workspace will be completed in July 2024. The changes will first be available for printing of the official estimates in July or August, with a final sprint to update the view staff see in Workspace to follow.</i></p>			
	Historical Perspectives			
	<p>In 2019, an effort was undertaken to beta test a new Retirement Prospectus Estimate and Election form. The project was placed on hold due to the COVID-19 Pandemic. Coming out of the immediate impacts of the pandemic the results of the beta teste were reviewed and it was determined the redesigned estimate was more complicated than would be useful.</p> <p>Subsequently LACERA pivoted to the new Retirement Planning Hub, the new Omnichannel Retirement Counseling process, and the My LACERA on-line retirement election.</p>			



	In April, the workgroup made great progress on the new estimate template finalizing their design and text recommendations. The final recommended estimate was distributed for review and approval.
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Project / Issue Title Brief Description	Strategic Plan Initiative:		Compliance & Enterprise Risk Management	
	Type	Project Sponsor	Start Date	Target Date
	MOG	Exec	06/01/2021	TBD
	Project Lead(s): JJ Popowich			
Pushed Back				
Current Update				
Retroactive Payroll Adjustments: Prospective Correction 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.	<i>No update at this time.</i>			
	Historical Perspectives			
	Following the AC’s programming change, LACERA implemented a testing regimen to ensure that the contributions were being deducted as expected. 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. 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, and we continue to work with them to develop a procedure that both the County and LACERA can support.			



COMPLETED PROJECT DETAILS

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

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Project / Issue Title Brief Description	Strategic Plan Initiative:		Compliance & Enterprise Risk Management	
	Type	Project Sponsor	Start Date	Target Date
	BSG	Financial & Accounting Services Division	August 2022	June 2023
	Project Lead(s): Ted Granger			
Completed				
<p>Actuarial Valuation Reports: 2022 Actuarial Valuation of Retirement Benefits</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 required for their financial statement disclosures.</p>	<p>2023 Retirement Benefits – Actuarial Risk Assessment</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 PEPRA may have on setting actuarial assumptions. Staff expects Milliman to present some additional information at a future BOI meeting.</p>			



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Compliance & Enterprise Risk Management	
	Type	Project Sponsor	Start Date	Target Date
	BSG	Financial & Accounting Services Division	July 2022	August 2023
	Project Lead(s): Ted Granger			
Completed				
<p>Actuarial Valuation Reports: 2022 Other Post-employment Benefits (OPEB) Actuarial Valuation</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>2022 OPEB – Annual Actuarial Valuation Report</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>			



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Compliance & Enterprise Risk Management	
	Type	Project Sponsor	Start Date	Target Date
	BSG	Financial & Accounting Services Division	August 2023	December 2023
	Project Lead(s): Ted Granger			
Completed				
<p>Actuarial Valuation Reports: Retirement Benefits</p> <p>The Government Code requires that valuations of the Retirement Benefits 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 Numbers 67 & 68 reports. Plans (LACERA) and Plan Sponsors (County) use the GASB reports to obtain information required for their financial statement disclosures.</p>	<p>2023 Retirement Benefits – Annual Valuation</p> <p>The June 30, 2023, Retirement Benefits Valuation Report has been completed. Milliman and staff presented the final report to the Board of Investments (BOI) at their December 2023 meeting.</p> <p>There are two additional reports that will be prepared based upon the results of the 2023 Retirement Benefits Valuation Report:</p> <ol style="list-style-type: none"> 1) Staff will work with Milliman to prepare the upcoming GASB 68 report for Los Angeles County's June 30, 2024, annual financial statements. 2) Staff will work with Milliman to prepare the upcoming 2024 Risk Assessment Report, tentatively scheduled to be presented at the June 2024 Board of Investments meeting. 			



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Compliance & Enterprise Risk Management	
	Type	Project Sponsor	Start Date	Target Date
	BSG	Financial & Accounting Services Division	May 2023	December 2023
	Project Lead(s): Ted Granger			
Completed				
<p>Annual Financial Statement Preparation and Audit:</p> <p>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.</p>	<p style="text-align: center;">2023 – ACFR and PAFR</p> <p>LACERA completed it's 2023 annual financial statements project having reached the following milestones:</p> <ul style="list-style-type: none"> • LACERA distributed the Annual Financial Statements (AFS) to the LACERA Boards and Los Angeles County in early November. • Plante Moran presented the audit reports and AFS to the Audit Committee at their December meeting. • Communications completed and mailed the Popular Annual Financial Report (PAFR) to all members in December. • Communications finalized the Annual Comprehensive Financial Report (ACFR) and post it to LACERA's website by the end of December. • FASD submitted LACERA's ACFR and PAFR to the Government Finance Officers Association (GFOA) for their award programs by the end of December. 			



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Fiscal Durability: 5.1	
	Type	Project Sponsor	Start Date	Target Date
	BSG	Executive (BSG)	10/06/2022	January 31, 2024
Project Lead(s): Laura Guglielmo and Cookie Jaranilla (PM)				
Completed				
<p>Enterprise Budget Application (Questica) Implementation Phase I</p> <p>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"> • Required roles for Change Request Permissions • General Ledger (GL) Account Roll-up and Reporting Requirements • Personnel Sync Integration • Amended Budget Export • View Creation <p>The Budget Team has successfully completed the Business Division Training and provided the necessary assistance and guidance for entering the FY 2024-2025 division budget into Questica. The Questica Budget Modernization Solution has now been implemented and is in production on January 31st, 2024, marking the completion of the project.</p>			



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Innovation Through Technology	
	Type	Project Sponsor	Start Date	Target Date
	BSG	Executive (BSG)	01/01/2023	09/30/2023
	Project Lead(s): Carly Ntoya and Michael Dozier (PM)			
Completed				
<p>Human Resources (HR) Case Management</p> <p>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 has been completed. In addition, the Phase 2 Discovery Session consisting of Knowledge Management and 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 (UAT) of Phase II was completed in early October. This finalizes the Implementation activities, and the HR Case Management application was released to production on October 3rd. The Executive Management Presentation of the HR Case Management took place on October 5th. Post implementation plans are to use feedback gathered during the UAT for future enhancements.</p>			



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Innovation Through Technology	
	Type	Project Sponsor	Start Date	Target Date
	BSG	Executive (BSG)	10/01/2022	12/30/2023
Project Lead(s): Carly Ntoya and Don Song (PM)				
Completed				
<p>Human Resources (HR) Digitization</p> <p>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>	<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 scanning of the 350,000 HR Historical files has been successfully accomplished. As the project concludes, the plan is to transition the management and support of HR Digitization to Systems Infrastructure for ongoing operations.</p>			



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Innovation Through Technology	
	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>KBase Migration to SharePoint</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>			



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Compliance & Enterprise Risk Management	
	Type	Project Sponsor	Start Date	Target Date
	BSG	Executive (BSG)	09/21/2023	Q2 2024
	Project Lead(s): Luis Lugo and Gnan Arige (PM)			
Completed				
<p>Policy Management Solution</p> <p>LACERA seeks an automated solution to support LACERA Policy Management Process.</p>	<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 Executive Sponsor and Project team have decided to conclude this project and integrate its objectives and requirements into a new initiative. The upcoming initiative, tentatively named the “Organizational Governance Initiative,” will encompass additional modules, including Compliance GRC, Internal Audit, and Enterprise Risk Management. This strategic move aims to streamline and align various governance aspects under a cohesive framework for more effective management and oversight.</p>			

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Project / Issue Title Brief Description	Strategic Plan Initiative:		Superior Member Experience	
	Type	Project Sponsor	Start Date	Target Date
	MS	Executive Office		01/31/2024
	Project Lead(s): Jonathan Tran and Maritza Perez			
Completed				



Retirement Counseling Redesign Project (Omnichannel Retirement Counseling)

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.

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.

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.

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.

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.

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 and Disability Retirement staff, in collaboration with Quality Assurance, Benefits, and PMG. Member Services and Disability Retirement 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. Additionally, the Team has expanded calculation training to other specialized Benefits units, such as Death and Legal.

Due to new enhancements to My LACERA that were released into beta in January, the team revised their counseling plans to incorporate the new functionality. Training on the new counseling standards was completed January 11th, 2024. The Team presented an overview to the OOC on February 7, 2024, and continue to work with closely with staff and gather user feedback for further improvements on implementation.



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Superior Member Experience	
	Type	Project Sponsor	Start Date	Target Date
	Strategic	Exec (MOG)	07/01/2022	01/31/2024
Project Lead(s): Kevin Hawkins				
Delayed				
<p>Tax Table Changes for 2022: Phase II: Online Tax Calculator & ADR Redesign</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 & 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>In early 2022, 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>In Phase I, the team completed the rollout of the new Federal Withholding Certificate for Pension & 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 which originally included the development of an on-line tax calculator accessible through My LACERA and the redesign of the Automatic Deposit Receipt / paycheck stub. The development of the on-line tax calculator has now been moved to Phase III.</p> <p>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 with an embedded copy of the proposed layout was distributed to stakeholders for approval. The redesign was approved by stakeholders in August and the team provided an informational memo to the Operations Oversight Committee in November. In November, we began notifying retired members through inserts in their November checks and various publications. Another notification was provided with the December checks. A new section has also been added to LACERA.com to provide members with detailed explanations on how to read their ADR/check stub. Members received the new ADR for the first time with their January 2024 checks or automatic deposits, which completes this part of the project.</p>			



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Project / Issue Title Brief Description	Strategic Plan Initiative:		Compliance & Enterprise Risk Management	
	Type	Project Sponsor	Start Date	Target Date
	BSG	Exec (BSG)	October 2021	01/30/2024
Project Lead(s): Laura Guglielmo, Ted Granger & Cookie Jaranilla				
Completed				
<p>Travel/Expense/P2P Software</p> <p>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"> • Admin Services Procurement • Disability Retirement Services (DRS) • Financial and Accounting Services Division (FASD) • Legal Office • Systems <p>In collaboration with Emburse's Implementation Team, the Project Team has aligned check payment processing with the requirements set by State Street Bank, LACERA's partner for clearing and funding checks. Simultaneously, the Project Team is actively integrating AP Certify with Great Plains (GP) Invoice payment data, finalizing critical components for data integration.</p> <p>The AP Certify Project Team has successfully concluded the End-User Training sessions for the LACERA Business Divisions. Following this, the application was seamlessly integrated into production on January 30, 2024.</p>			

DATE RECEIVED	REQUESTER	DOCS REQUESTED
04-12-24	M. Russell, Business Insider	<p>Request: All records, in stored electronic format, pertaining to the keywords “Mercato Partners” (CRD #163142) (SEC#802-129324).</p> <p><i>Legal, on April 13, 2024, sent request for responsive information to Investments Division. Upon receipt of requested information, Legal will transmit to Requester.</i></p> <p><i>Transmitted 1 document.</i></p> <p><i>Legal, on April 26, 2024, via email, sent the responsive document shown below.</i></p> <p><i>TF Annual Investment Cost Report.pdf</i></p>
04-15-24	J. Kelly, Individual	<p>Request: Court’s decision, 2nd Appeals District, re LACERA v. County.</p> <p><i>Legal, on April 15, 2024, sent to Requester via email the case number, shown below, and the link to the information page on the case.</i></p> <p><i>LACERA v. County, Case No. B326977, link shown below.</i></p> <p><i>https://appellatecases.courtinfo.ca.gov/search/case/mainCaseScreen.cfm?doc_id=2520077&request_token=NilwLSEnXkw7WyBZSCFNUEJJQEq6USxXISM%2Bz1SQCAgCg%3D%3D&start=1&doc_no=B326977&dist=2&search=party&auth=yes.</i></p>
04-16- 24	B. Campbell, with. Intelligence	<p>Request: Monthly performance data for absolute return/hedge funds currently investment in for January and February 2024.</p> <p><i>Transmitted 1 document.</i></p> <p><i>Legal, on April 25, 2024, via email, submitted the document listed below.</i></p> <p><i>Hedge Funds Data Jan 2024 to Feb 2024.xlsx</i></p>
04-15-24	T. Abbass, PEI Group	<p>Request: Requesting quarterly cash-flow reports from Q4 2023, if available, of all your private capital investments, in digital format.</p> <p><i>Legal, on April 15, 2023, via email, submitted the responsive document listed below.</i></p> <p><i>Alternatives Data 4Q23.xlsx.</i></p>
04-16-24	R. Zorn, Bijou-Insights	<p>Request: Information related to voting actions by this pension office and or vote instructions given to outside fund managers during 2023 proxy season.</p> <p><i>Legal, on April 26, 2024, via email, notified Requester that LACERA expects to have responsive information compiled by May 2, 2024, if not sooner.</i></p>

DATE RECEIVED	REQUESTER	DOCS REQUESTED
		<p><i>Transmitted 1 document.</i></p> <p><i>Legal, on May 3, 2024, via email, submitted the responsive document listed below.</i></p> <p><i>Pension Records Request (SHP Detail Data Input Template).xlsx.</i></p>
04-17-24	B. Scott, S&P Global	<p>Request: Most recent and complete portfolio of holdings across all asset classes, including public and private markets, including fund performance and quarterly performance data for Private Markets portfolio.</p> <p><i>Transmitted 3 documents.</i></p> <p><i>Legal, on April 26, 2024, via email, sent to Requester the 3 responsive documents listed below.</i></p> <p><i>EQ & FI Holdings Sep and Dec 2023.xlsx; Alternatives Data <u>4Q23.xlsx</u>, and total_fund_performance-2023Q4.pdf.</i></p>
04-18-24	F. Asharnejad, Bloomberg (Separate second request)	<p>Request #1: Copy of all documents, materials, and/or presentations, including those by external consultants, pertaining to alternatives.</p> <p><i>Transmitted 1 document.</i></p> <p><i>Legal, on April 26, 2024, via email, sent the document listed below.</i></p> <p><i>Alternatives Data 4Q23.xlsx</i></p>
04-18-24	F. Afsharnejad, Bloomberg	<p>Request #2: Copy of all documents, materials, and/or presentations, including those by external consultants, pertaining to private equity.</p> <p><i>Transmitted 1 document.</i></p> <p><i>Legal, on April 25, 2024, via email, sent the document listed below.</i></p> <p><i>Private Markets Data Q4 2023.xlsx.</i></p>
04-18-24	N. Lee, Preqin	<p>Request: List of ALL hedge funds and fund of hedge funds providing monthly market value from, monthly investments and monthly net returns from October 1, 2023, to December 31, 2023.</p> <p><i>Transmitted 1 document.</i></p> <p><i>Legal, on April 26, 2024, via email, sent the responsive document listed below.</i></p> <p><i>Hedge Funds Q42023.xlsx.</i></p>

DATE RECEIVED	REQUESTER	DOCS REQUESTED
04-23-24	Researcher, Transparent California	<p>Request: Copy of LACERA's 2023 pension benefits report – total costs associated with employee full names and job title; gross wages paid.</p> <p>Transmitted 3 documents.</p> <p>Legal, on April 25, 2024, via email, sent the 3 documents listed below.</p> <p>PRA Special Notes Key.doc; Transparent_Calif_Retirees_2023.xlsx, and Transparent_Calif_Survivors_2023.xlsx.</p>
04-26-24	M. Russell, Business Insider	<p>Request: Fund performance for Private Equity as of December 31, 2023.</p> <p>Transmitted 1 document.</p> <p>Legal, on April 26, 2024, via email, sent 1 document listed below.</p> <p>PE Holdings Data Dec 2023.xlsx.</p>
05-02-24	A. Munkina, UFL	<p>Request: Electronic public records regarding external investment managers who are hired on behalf of LACERA.</p> <p>Transmitted 2 documents.</p> <p>Legal, on May 10, 2024, via email, sent to Requestor the documents listed below.</p> <p>TFI_Cost_Report_FY23.pdf and total_fund_performance_2023Q4.pdf.</p>
05-07-24	R. Ellis, LA Times	<p>Request #1: List of all former LA County Employees who have had their benefits forfeited due to a job-related felony between 2000 – 2023.</p> <p>Legal, on May 8, 2024, requested the responsive information from Systems.</p> <p>Legal, on May 13, 2024, via email, requested more identifying information from Requester so that data can be accurately retrieved.</p>
05-07-24	H. Ahaiwe, HR, LA County and 1 other Recipient	<p>Per monthly request:</p> <p>Transmitted 1 document.</p> <p>Executive Office, on May 7, 2024, via email, transmitted the responsive document shown below.</p> <p>MonthlyAgenda.csv for May 1, 2024.</p>
05-07-24	Sheriffs Dept, LA County	<p>Per monthly request:</p>

DATE RECEIVED	REQUESTER	DOCS REQUESTED
	and 4 other Recipients	<p><i>Transmitted 2 documents.</i></p> <p><i>Executive Office, on May 7, 2024, via email, transmitted the responsive documents shown below.</i></p> <p><i>Monthly Agenda Reports for Sheriff Department Listing and Fire Department listing, each dated May 1, 2024.</i></p>
05-07-24	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, on May 7, 2024, via email, transmitted the responsive document shown below.</i></p> <p><i>Board of Retirement Meeting on May 1, 2024, Benefit Approval List.pdf.</i></p>
05-08-24	R. Ellis, LA Times	<p>Request #2: Retiree information: monthly benefit amount, cost-of-living adjustments, final compensation, components of final compensation, total years of service and effective date of retirement.</p> <p><i>Legal, on May 8, 2024, requested the responsive information from Systems.</i></p> <p><i>Legal, on May 13, 2024, via email, requested more identifying information from Requester so that data can be accurately retrieved.</i></p>
05-10-24	M. Castañón, clglawyers.com	<p>Request: Copy of all disclosable settlement agreements between LACERA and former or current employees of LACERA involving any disputes.</p> <p><i>Legal, on May 10, 2024, requested the required documents from Investments.</i></p> <p><i>Legal, on May 20, 2024, via email, notified Requester that Staff is retrieving and reviewing records for exemptions and redactions. LACERA will produce nonexempt records on June 4, 2024.</i></p>
05-13-24	J. Lau, SecondaryLink Team	<p>Request: Information regarding alternative investments as to names of all limited partnerships, and related information, also any information that can be shared pertaining to secondary transactions.</p> <p><i>Legal, on May 13, 2024, requested the required documents from Investments.</i></p> <p><i>Transmitted 1 document.</i></p> <p><i>Legal, on May 20, 2024, via email, sent to Requester the document listed below.</i></p> <p><i>Private Markets Data 2023-12-31.xlsx.</i></p>

DATE RECEIVED	REQUESTER	DOCS REQUESTED
05-14-24	FOIA Data Aggregation	<p>Request: Latest available quarter information for investments in alternative assets such as contributions and distributions to date.</p> <p><i>Transmitted 1 document.</i></p> <p><i>Legal, on May 20, 2024, via email, sent to Requester the document listed below.</i></p> <p><i>Private Markets Data 2024-03-31.xlsx.</i></p>

REPORT OF FELONY FORFEITURE CASES

May 22, 2024

#	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
67	LYONS	ANDREW	SHERIFF	1/12/2024	2/14/2024			PEND		
66	VEGA	MIGUEL	SHERIFF	9/5/2023	10/27/2023			DELAY - CD		
65	HERNANDEZ	CHRISTOPHER	SHERIFF	7/24/2023	10/11/2023	4/10/2024		PEND		
64	RIDLEY-THOMAS	MARK	BOS	3/31/2023	3/31/2023	10/23/2023		APPEAL		
61	SHEPOS	THOMAS	CEO	1/23/2023	2/14/2023			PEND		

STATUS LEGEND:

- APPEAL: Pending an appeal filed with LACERA
- CLOSED: RET: Retired member, case is complete
- CLOSED: DEF: Deferred member, case complete.
- CLOSED: INA: Inactive member – not eligible until age 70, case closed
- DELAY-MI: Member input needed (i.e. pending a legal split decision)
- DELAY-CD: Pending a court decision (reduction in charges pending conditions being met)
- PEND: Case is currently in evaluation and notification stages
- WITHDRAWN: Member withdrew prior to conviction – no impact.

Rehired Retirees Automated Notification Process Operations Oversight Committee | June 5, 2024



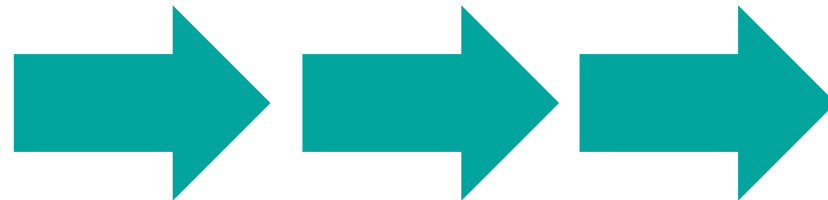
L/CERA

The Rehired Retiree Program



LACERA Retirees can attain a temporary position with LA County while still receiving their pension benefits from LACERA. Reemployment of a Retiree is for a **limited duration**.

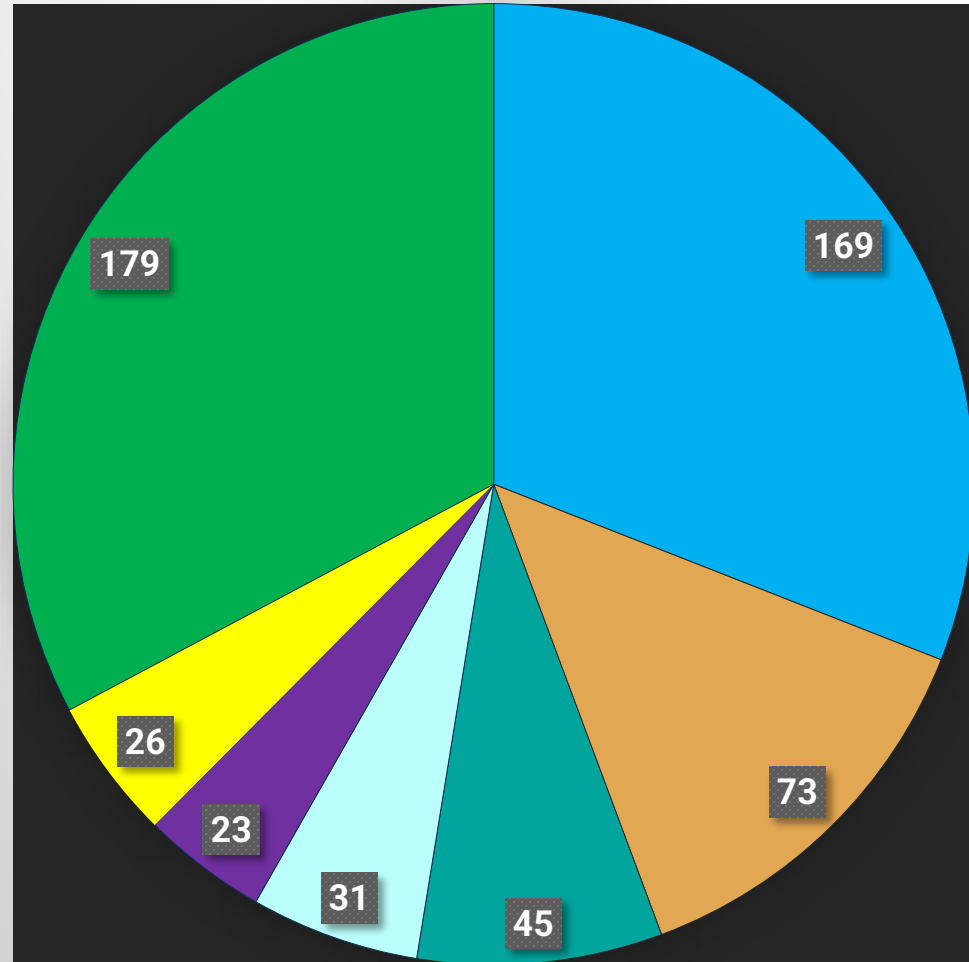
- Retirees must wait 180-days before returning to work with two exceptions
 - public safety officers and firefighters
 - critical positions requested by the department
 - must be approved by the Board of Supervisors or Board of Retirement
- Retirees that retired prior to the normal retirement age must wait 90-days before beginning on the temporary assignment
 - Normal retirement age is 57 for General Plans A, B, C, D and G; 55 for Safety plans; 65 for Plan E
- There can be no prearranged agreements regarding employment after retirement.
- The employment of the retiree shall be limited in duration and to a position on a temporary basis that requires special skills or knowledge in which staff could not be easily prepared or trained, or in critical positions where expertise is unavailable elsewhere in the department. The department should develop a transition plan to ensure the transfer of the retiree's special skills or knowledge to current departmental employees.





960-Hour Program Use as of 5/1/2024

Rehired Retirees



- Sherriff's Department 169
- DCFS 73
- District Attorney 45
- Public Defender 31
- Assessor 23
- Courts 26
- Other 179

Total number of retirees employed: 546



ATTACHMENT

County of Los Angeles

CONDITION OF POST RETIREMENT EMPLOYMENT AND WAIVER

Department: _____

Employee Name: _____

Employee Number: _____

I, _____ retired from County service on _____ I desire to perform limited duration, compensated, post-retirement service as provided in Government Code Sections 31680.2 and 31680.6 while remaining on retired status. During this employment there will be no suspension or termination of my retirement allowance and benefits. I intend, understand, and acknowledge that the duration of this employment with this department, including those with any other County department, is limited to a maximum combined total of 120 working days or 960 hours within a fiscal year of 12-month period. Violation of this work hour limit may cause the suspension of my retirement allowance and healthcare benefits by Los Angeles County Employees Retirement Association. I understand that I have no expectation of continued employment beyond the work time limit.

Therefore, as a condition of such employment, I expressly agree not to apply for, or accept, and I disclaim and waive any right to, unemployment compensation benefits based on my post retirement service.

I also certify that I have not received any unemployment insurance within the last 12 months resulting from prior County employment.

I have read and understand the above waiver and condition of employment.

Employee Signature _____

Date _____

Print Name _____

Departmental Human Resources Manager's Signature Or Designated Representative's Signature _____

Date _____

Print Name _____

c: Official Personnel File

PPG 505 (2.2015)

Waiver Signed by Rehired Retiree

Department hires retiree on a temporary position

Member signs waiver

Retirement Benefit remains unaffected while employed

Member continues to receive retirement benefit and paycheck from County

If retiree exceeds 960 hours within fiscal year retirement benefit will be suspended

No contributions or service credit is earned by the retiree

Retiree hours are reported to LACERA and triggers notification letters

Retiree receives welcome to program letter with rules and limitations on hours worked

Intro Letter From LACERA

- ❖ Once hours are reported in the Fiscal Year by the Auditor Controller the introductory letter is mailed along with the Reemployment infographic
- ❖ A copy of this letter is sent to the department
- ❖ Member also receives an email notification informing them that there is a new document in their account and instructs them to log into their portal account to view

POST-RETIREMENT EMPLOYMENT TO A TEMPORARY ITEM

Dear [First Name] [Last Name]:

Congratulations on your recent appointment as a rehired retiree with LA County under the 960-Hour program (120-Day Rule), and welcome back to service.

As a reminder, your appointment is subject to post-retirement employment laws and regulations under the County Employee Retirement Law (CERL) and the Public Employees Pension Reform Act (PEPRA). You are eligible to return to work for the County for a period of up to 960 hours during any July 1–June 30 fiscal year and continue to receive your retirement allowance. During this post-retirement employment, you will not accrue any additional LACERA pension benefits, nor will you or the County pay contributions.

You and your department are responsible for ensuring your appointment remains compliant under the 960-hour program. This is important because violations of the laws governing post-retirement employment can result in a suspension of your retirement allowance and other benefits or IRS penalties. In addition to the 960-hour maximum, your employment must be of limited duration and to a position on a temporary basis that requires special skills or knowledge in which staff could not be easily prepared or trained, or in critical positions where expertise is unavailable elsewhere in the department. These are separate requirements that LACERA monitors. Continued employment under the 960-hour program may be subject to approval. LACERA encourages you to speak to your department about these issues and to obtain details to ensure compliance with the law.

LACERA will send notification letters to you and your department when you have reached 480 hours, 720 hours, and 864 hours to assist you in monitoring your work hours in a fiscal year. Please speak to your department with specific questions regarding timecard issues. LACERA will obtain hours worked from payroll records submitted to the Auditor Controller by your department.

Post-Retirement Employment Under 120-Day Rules
[Date]
Page 2

Please review your personal information, and promptly notify LACERA if there are any errors. We have enclosed additional information regarding the 960-hour program for your reference so that you can make sure your employment remains compliant with legal requirements such as separation and waiting periods, hour limits, and other rules.

TEMPORARY WORK UNDER the 120-DAY RULE

The County can temporarily reemploy eligible retirees with unique skills (as deemed by the County) for up to 120 days without stopping their retirement allowance. During this period, members do not accrue additional LACERA pension benefits and neither the member nor the employer make contributions.

120-DAY RULES FOR RETURNING MEMBERS

01 RETIREES MUST WAIT 180 DAYS BEFORE RETURNING TO WORK ON A TEMPORARY BASIS.

Critical positions requested by employers as approved by either the Board of Retirement or Board of Supervisors in an open meeting

EXCEPTIONS

Retiree is a public safety officer or firefighters

02 MEMBERS UNDER THE NORMAL RETIREMENT AGE

Members must wait a continuous 90 days from the date of retirement to the date preceding the day of reemployment as a retiree.

Prearranged agreements with former employers are prohibited.

IRS penalties may apply to retirees under 59.5 who have not had a bona fide separation from service and are engaged in post-retirement work with the County or any LACERA-plan sponsor.

For information pertaining to your individual situation, consult with a professional advisor. LACERA does not offer tax or legal advice.

Normal Retirement Age by Plan
General Members of Plans A, B, C, D, and G: Age 57
Safety Members of Plan A, B, and C: Age 55
General Members of Plan E: Age 65

03 EMPLOYMENT PAY RANGE

No less than the minimum rate and no more than the maximum rate for comparable duties

04 OTHER LIMITATIONS

A Anyone who received unemployment insurance within the last 12 months from prior County employment is ineligible

B No retirement incentives like the Early Separation Program (ESP)

C A retiree who is receiving LACERA benefits cannot be hired by the County as a contract employee.

Disability retirees are not eligible to return to work as a 120-day employee in their previous job classification.

B3042 8/23

Hour Milestone Reached

POST-RETIREMENT EMPLOYMENT 960-Hour Program REPORTED HOURS

Dear [REDACTED]

As a rehired retiree working for L.A. County in a temporary capacity, your appointment is subject to post-retirement employment laws and regulations under the County Employee Retirement Law (CERL) and the Public Employees Pension Reform Act (PEPRA).

You are allowed to work for the County for a period of up to 120 days (960 hours during any July 1 to June 30 fiscal year) and continue to receive your retirement allowance.

Our records indicate that as of accrual period ending 04/15/2024 for the fiscal year ending June 30, 2024, you have worked 480.0 hours, towards the limit of the allowable hours of 960 hours under the 120-day rule.

You and your department are responsible for ensuring your temporary appointment remains compliant with the laws governing post-retirement employment. This is important because violations of the law can result in suspension of your retirement allowance and healthcare benefits.

Speak to your supervisor and Human Resource Department as soon as possible to discuss your hours worked and determine if a permanent return to work is appropriate for you. If you would like to return to work on a permanent basis with the County, your request for reemployment will need to be approved by the County Board of Supervisors and LACERA Board of Retirement, and you will also need both boards' approvals to return to active LACERA membership and receive service credit.

- ❖ Letter is sent to member and department at each milestone of 50%, 75% and 90% of allotted hours
- ❖ Member will receive an email informing them that they have a letter to review on their portal
- ❖ Alerts are placed on the member's Workspace account informing staff that member has reached a milestone in hours and to remind member that the limit is 960-hours

Retired Member on Temporary Assignment

- Once hours are reported the retiree's portal account will have a new information card
- Rehired Retirees will display hours worked on their portal account up to the current accrual period
- If the hours reported exceeds 75% of the allotted hours the Rehired Retiree card turns yellow
- After the end of the fiscal year the card is removed until hours are reported in the new fiscal year

My LACERA
Los Angeles County Employees Retirement Association

Home Profile Messages Uploads Sign Out

Tax / 1099R Beneficiaries Account History

Welcome, Tammy Testcase

Last Visit: 12/1/2023

Allowance

Service Retirement Benefit **\$14,584.10**

[View payment history](#)

[Pension Verification \(Award Letter\)](#)

Retiree Healthcare

Medical and Dental/Vision Insurance	
Medical	Kaiser (Retiree and Family)
Dental/Vision	Cigna Dental HMO/Vision
Medicare Part B	
Reimbursement Total	\$150.00

Find out more details about your healthcare coverage, including eligible dependents, effective dates, and more.

[View Coverage Details >](#)

Primary Beneficiaries

Ann O'Nymous (Spouse)

Is all of your beneficiary information up to date? Access all of your beneficiary records here on My LACERA.

[Manage your beneficiaries >](#)

Rehired Retiree

Temporary rehire on the 120-day program

Hours Worked

69.87% **670.75**
of 960 allowed hours

Fiscal Year 2023/2024

Accrual Date **8/31/2023**

Manage Your Retirement

- Review Personal Information
View and change your [contact information](#) and [beneficiaries](#) on file with LACERA.
- 1099-R Forms
Your 1099-R forms for last year are now [available here](#).
- Direct Deposit
Have your money [deposited directly](#) into your checking or savings account.
- Paperless Delivery
You can now opt to receive digital copies of your documents through the [Document Delivery Option](#).

Los Angeles County Employees Retirement Association

800-786-6464 Send Message Appointments lacera.com



Home Profile Messages Uploads Sign Out

Tax / 1099R Beneficiaries Account History

Rehired Retiree

Temporary rehire on the 120-day program

Hours Worked

80.29% **770.75**
of 960 allowed hours

Fiscal Year 2023/2024

Accrual Date **8/31/2023**

Manage Your Retirement

- Review Personal Information
View and change your [contact information](#) and [beneficiaries](#) on file with LACERA.
- 1099-R Forms
Your 1099-R forms for last year are now [available here](#).
- Direct Deposit
Have your money [deposited directly](#) into your checking or savings account.
- Paperless Delivery
You can now opt to receive digital copies of your documents through the [Document Delivery Option](#).



Welcome, Tammy Testcase

Last Visit: 12/1/2023

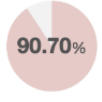
Rehired Retiree: Approaching Limit





You are nearing the maximum number of hours (960) you are allowed to work for the year as a rehired retiree.

Allowance	
Service Retirement Benefit	\$14,584.10
View payment history	
Pension Verification (Award Letter)	

Retiree Healthcare	
Medical and Dental/Vision Insurance	
Medical	Kaiser (Retiree and Family)
Dental/Vision	Cigna Dental HMO/Vision
Medicare Part B	
Reimbursement Total	\$150.00
Find out more details about your healthcare coverage, including eligible dependents, effective dates, and more.	
View Coverage Details >	

Primary Beneficiaries	
Ann O'Nymous (Spouse)	
Is all of your beneficiary information up to date? Access all of your beneficiary records here on My LACERA.	
Manage your beneficiaries >	

Rehired Retiree	
Temporary rehire on the 120-day program	
Hours Worked	
	870.75 of 960 allowed hours
Fiscal Year 2023/2024	
Accrual Date	8/31/2023

Manage Your Retirement	
	Review Personal Information View and change your contact information and beneficiaries on file with LACERA.
	1099-R Forms Your 1099-R forms for last year are now available here .
	Direct Deposit Have your money deposited directly into your checking or savings account.
	Paperless Delivery You can now opt to receive digital copies of your documents through the Document Delivery Option .

Retired Member on Temporary Assignment

- As the member gets closer to the 960-hour limit the card turns to **Red** as displayed here
- A warning is also placed at the top of the page to remind members that they are reaching the limit
- Notification letters are also sent to the retirees and their department as retirees reach the hour milestones
- If member reaches or exceeds the 960-hour limit a work object is placed to review the account and if necessary suspend retirement benefits

THANK YOU

Kevin Hunter khunter@lacera.com

Data System Analyst

Alex Ochoa aochoa@lacera.com

Process Management Group





County of Los Angeles

CONDITION OF POST RETIREMENT EMPLOYMENT AND WAIVER

Department: _____

Employee Name: _____

Employee Number: _____

I, _____ retired from County service on _____ I desire to perform limited duration, compensated, post-retirement service as provided in Government Code Sections 31680.2 and 31680.6 while remaining on retired status. During this employment there will be no suspension or termination of my retirement allowance and benefits. **I intend, understand, and acknowledge that the duration of this employment with this department, including those with any other County department, is limited to a maximum combined total of 120 working days or 960 hours within a fiscal year of 12-month period. Violation of this work hour limit may cause the suspension of my retirement allowance and healthcare benefits by Los Angeles County Employees Retirement Association. I understand that I have no expectation of continued employment beyond the work time limit.**

Therefore, as a condition of such employment, I expressly agree not to apply for, or accept, and I disclaim and waive any right to, unemployment compensation benefits based on my post retirement service.

I also certify that I have not received any unemployment insurance within the last 12 months resulting from prior County employment.

I have read and understand the above waiver and condition of employment.

Employee Signature

Date

Print Name

Departmental Human Resources Manager's Signature
Or Designated Representative's Signature

Date

Print Name



[Date]

[First Name] [Last Name]
[Address Line 1]
[Address Line 2]
[Address Line 3]

POST-RETIREMENT EMPLOYMENT TO A TEMPORARY ITEM

Dear [First Name] [Last Name]:

Congratulations on your recent appointment as a rehired retiree with LA County under the 960-Hour program (120-Day Rule), and welcome back to service.

As a reminder, your appointment is subject to post-retirement employment laws and regulations under the County Employee Retirement Law (CERL) and the Public Employees Pension Reform Act (PEPRA). You are eligible to return to work for the County for a period of up to 960 hours during any July 1–June 30 fiscal year and continue to receive your retirement allowance. During this post-retirement employment, you will not accrue any additional LACERA pension benefits, nor will you or the County pay contributions.

You and your department are responsible for ensuring your appointment remains compliant under the 960-hour program. This is important because violations of the laws governing post-retirement employment can result in a suspension of your retirement allowance and other benefits or IRS penalties. In addition to the 960-hour maximum, your employment must be of limited duration and to a position on a temporary basis that requires special skills or knowledge in which staff could not be easily prepared or trained, or in critical positions where expertise is unavailable elsewhere in the department. These are separate requirements that LACERA monitors. Continued employment under the 960-hour program may be subject to approval. LACERA encourages you to speak to your department about these issue and to obtain details to ensure compliance with the law.

LACERA will send notification letters to you and your department when you have reached 480 hours, 720 hours, and 864 hours to assist you in monitoring your work hours in a fiscal year. Please speak to your department with specific questions regarding timecard issues. LACERA will obtain hours worked from payroll records submitted to the Auditor Controller by your department.

Please review your personal information, and promptly notify LACERA if there are any errors. We have enclosed additional information regarding the 960-hour program for your reference so that you can make sure your employment remains compliant with legal requirements such as separation and waiting periods, hour limits, and other rules.

Retirement Date: {Retirement Date}

Retirement Type: {Retirement Type}

Retirement Age: {Retirement Age}

Please speak to a Retirement Benefits Specialist if you have any questions. You can also send us a secure message using your My LACERA portal account. We encourage all members working in the 960-hour program to have a My LACERA portal account to review their hours worked in the fiscal year and important information.

How to Connect With Us

If you have questions about this information or need any other assistance, we are always here to help. Here's how you can reach us:

- Call us at 800-786-6464 between 7:00 a.m. and 5:30 p.m. (Pacific Time), Monday through Friday, except holidays.
- Make a virtual or in-person appointment by visiting lacera.com and clicking on "Appointment Reservations."
- Log in to your My LACERA account to send us a secure email.
- Email us at welcome@lacera.com with general questions.

Sincerely,

Member Services Division

{CORFM/LACERAID}

TEMPORARY WORK UNDER

the 120-DAY RULE

The County can temporarily reemploy eligible retirees with unique skills (as deemed by the County) for up to 120 days without stopping their retirement allowance. During this period, members do not accrue additional LACERA pension benefits and neither the member nor the employer make contributions.

120-DAY RULES FOR RETURNING MEMBERS

01

RETIREES MUST WAIT 180 DAYS BEFORE RETURNING TO WORK ON A TEMPORARY BASIS.



Critical positions requested by employers as approved by either the Board of Retirement or Board of Supervisors in an open meeting



Retiree is a public safety officer or firefighters

02

MEMBERS UNDER THE NORMAL RETIREMENT AGE



Members must wait a continuous **90 days** from the date of retirement to the date preceding the day of reemployment as a retiree.



Prearranged agreements with former employers are **prohibited**.



IRS penalties may apply to retirees **under 59.5** who have not had a bona fide separation from service and are engaged in post-retirement work with the County or any LACERA-plan sponsor.



For information pertaining to your individual situation, consult with a professional advisor. LACERA **does not** offer tax or legal advice.



Normal Retirement Age by Plan

General Members of Plans A,B,C,D, and G: Age 57
Safety Members of **Plan A, B, and C**: Age 55
General Members of **Plan E**: Age 65



03

EMPLOYMENT PAY RANGE

No less than the **minimum rate** and no more than the **maximum rate** for comparable duties



04

OTHER LIMITATIONS

A

Anyone who received unemployment insurance within the last 12 months from prior County employment is **ineligible**

B

No retirement incentives like the Early Separation Program (ESP)

C

A retiree who is receiving LACERA benefits cannot be hired by the County as a contract employee.



Disability retirees are **not eligible** to return to work as a 120-day employee in their previous job classification.



[Date]

[First Name] [Last Name]
[Address Line 1]
[Address Line 2]
[Address Line 3]

POST-RETIREMENT EMPLOYMENT 960-HOUR PROGRAM: REPORTED HOURS

Dear [First Name] [Last Name]:

As a rehired retiree working for L.A. County in a temporary capacity, your appointment is subject to post-retirement employment laws and regulations under the County Employee Retirement Law (CERL) and the Public Employees Pension Reform Act (PEPRA).

You are allowed to work for the County for a period of up to 960 hours during any July 1 to June 30 fiscal year and continue to receive your retirement allowance.

Our records indicate that as of accrual period ending [AccrualDate] for the fiscal year ending June 30, [YEAR], you have worked [HoursToDate] hours, towards the limit of the allowable hours of 960 hours under PEPRA law 7522.56.

You and your department are responsible for ensuring your temporary appointment remains compliant with the laws governing post-retirement employment. This is important because violations of the law can result in suspension of your retirement allowance and healthcare benefits.

Speak to your supervisor and Human Resource Department as soon as possible to discuss your hours worked and determine if a permanent return to work is appropriate for you. If you would like to return to work on a permanent basis with the County, your request for reemployment will need to be approved by the County Board of Supervisors and LACERA Board of Retirement, and you will also need both boards' approvals to return to active LACERA membership and receive service credit.

Permanently returning to work will suspend your LACERA benefit, and you will be enrolled in the current retirement plan. For more about the Returning to Work process,

you can contact us to speak with a LACERA representative or visit lacera.com > Retirees and Families > Returning to Work.

Post-Retirement Employment Rules

We have provided additional information in the attachment for reference so that you can make sure your employment is compliant with other legal requirements. Please speak to a Retirement Benefits Specialist if you have any questions. You can also send a secure message.

How to Connect With Us

If you have questions about this information or need any other assistance, we are always here to help. Here's how you can reach us:

- Call us at 800-786-6464 between 7:00 a.m. and 5:30 p.m. (Pacific Time), Monday through Friday, except holidays.
- Schedule an in-person or virtual face-to-face appointment by visiting lacera.com.
- Log in to your My LACERA account to send us a secure email.
- Email us at welcome@lacera.com with general questions.

Sincerely,

Member Services Division

{CORTM/LACERAID}

NIST Cybersecurity Framework and Introduction Education Series Part II

Information Security Office

Understanding the Identify Function



The Identify Function: Knowing Your Cyber Home Inside Out

Think of the Identify function as the blueprint of your house. It helps you understand the structure of your home, the location of each room, and the valuables within.

Key Components of the Identify Function:

- **Asset Management (ID.AM):** This is like having an inventory of everything in your home. You need to know what possessions you have, their value, and where they are located to ensure they are properly protected.
- **Business Environment (ID.BE):** Understanding the neighborhood you live in is crucial. This involves knowing the business context, the organization's resources, and its role in the supply chain.
- **Governance (ID.GV):** This is the set of rules or guidelines you set for your household. It includes policies, procedures, and processes to manage and govern the organization's cybersecurity risk.
- **Risk Assessment (ID.RA):** Just as you would assess the risk of living in a certain area, this involves identifying and evaluating cybersecurity risks to organizational operations, assets, and individuals.
- **Risk Management Strategy (ID.RM):** This is your plan for safeguarding your home. It outlines how to manage cybersecurity risk in line with the organization's risk tolerance and business needs.
- **Supply Chain Risk Management (ID.SC):** If your home is part of a gated community, you need to consider the security of the entire area. This includes the organization's priorities, constraints, risk tolerances, and dependencies.



Understanding the Protect Function

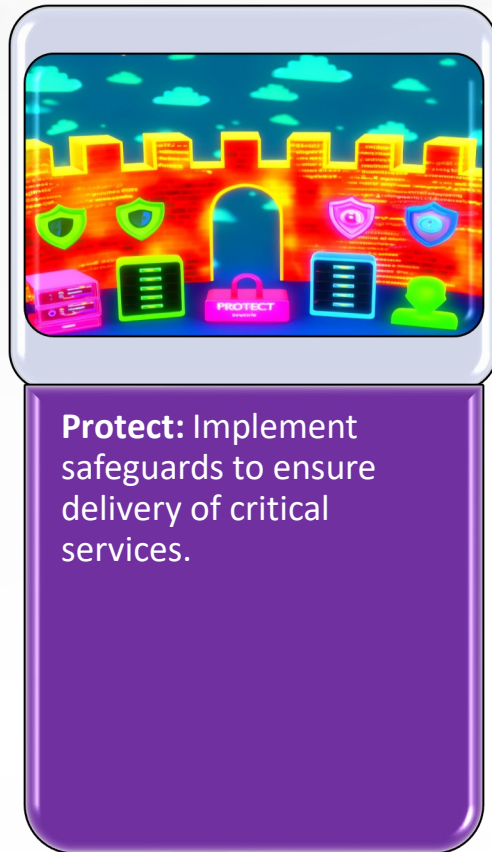


The Protect Function: Securing Your Cyber Home

Think of the Protect function as the doors, locks, and alarm systems in your house. It's all about putting the right safeguards in place to ensure that your digital home—your organization's network—is secure.

Key Components of the Protect Function:

- **Identity Management and Access Control (PR.AC):** This is like giving keys to the right people in your house. You want to make sure that only those who are authorized can access your valuable assets. This involves using strong authentication methods and managing user permissions carefully.
- **Awareness and Training (PR.AT):** Educate your family members about security, just like you would teach them not to open the door to strangers. This means training employees to recognize threats and understand safe practices.
- **Data Security (PR.DS):** This is akin to having a safe for your valuables. Protect your organization's data with encryption, ensuring that even if someone breaks in, they can't access your most important information.
- **Information Protection Processes and Procedures (PR.IP):** Develop a set of house rules for cybersecurity. Establish policies and procedures to protect data and manage risks effectively.
- **Maintenance (PR.MA):** Regularly check and maintain your security systems, just like you would service your home alarm system to ensure it's always functioning properly.
- **Protective Technology (PR.PT):** Use technology like security cameras and motion detectors to monitor for suspicious activity. In the cyber world, this includes firewalls, antivirus software, and intrusion detection systems.

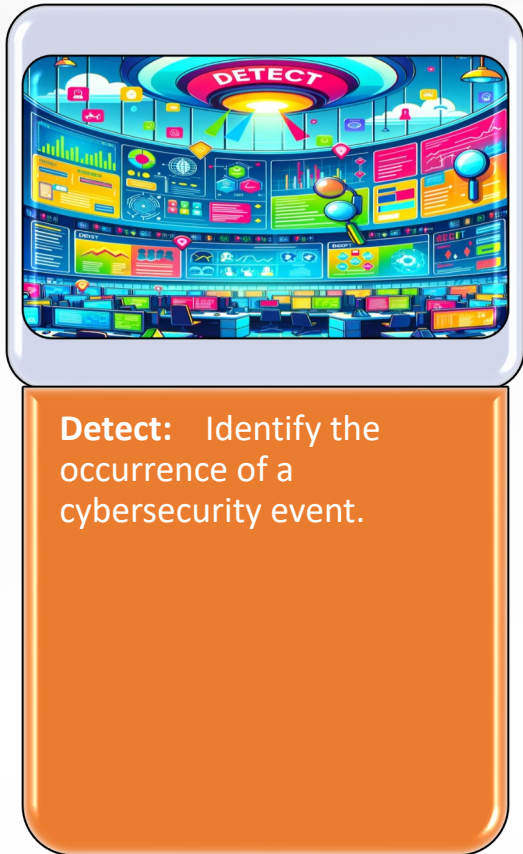


Understanding the Detect Function



The Detect Function: Your Cybersecurity Alarm System

Imagine the Detect function as the smoke detectors and carbon monoxide alarms in your home. They are always on, quietly scanning the environment, ready to alert you at the first sign of trouble. Detect function is about having the right tools and processes to notice when something is amiss in your digital environment.



Key Elements of the Detect Function:

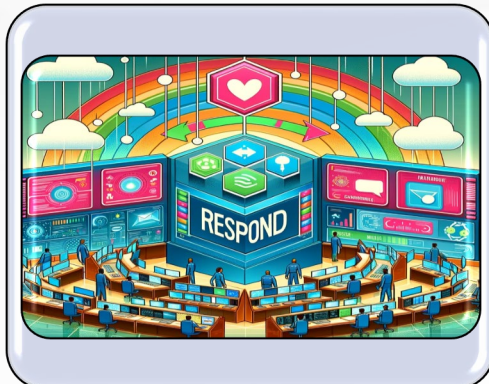
- **Anomalies and Events Detection (DE.AE):** This is like having a motion sensor that alerts you if someone is moving around your house when they shouldn't be. In cybersecurity, this means having systems in place that can identify unusual activity that might indicate a security event.
- **Security Continuous Monitoring (DE.CM):** Think of this as your 24/7 home surveillance system. It's the practice of constantly reviewing the state of your network and systems to catch any potential threats early.
- **Detection Processes (DE.DP):** This is your home's regular check-up schedule. It involves having procedures in place to ensure that detection systems are up to date and functioning correctly, just like testing your smoke alarms monthly.

Understanding the Respond Function



The Respond Function: Immediate Action in Your Cybersecurity Emergency

The Respond function can be compared to the emergency response plan you have for your home. It's what you do the moment you realize there's an intruder or a fire. It's about having a plan, taking immediate action, and minimizing the impact. Respond function is about being prepared to handle cybersecurity incidents efficiently and effectively, reducing their impact, and quickly restoring normal operations



Respond: Take action regarding a detected cybersecurity incident.

Key Aspects of the Respond Function:

- **Response Planning (RS.RP):** This is like having an evacuation plan in case of a fire. You need a clear strategy that outlines what to do, who does it, and how it's communicated during a cybersecurity incident.
- **Communications (RS.CO):** In an emergency, you inform your family and call for help. Similarly, during a cyber incident, you need to have clear lines of communication with stakeholders and external partners like law enforcement.
- **Analysis (RS.AN):** Just as you would investigate the cause of the smoke in your home, you need to analyze the cybersecurity incident to understand its scope, impact, and how to contain it.
- **Mitigation (RS.MI):** This involves actions to prevent further damage, like using a fire extinguisher on a small blaze. In cyber terms, it means taking steps to prevent the spread of an attack within your network.
- **Improvements (RS.IM):** After the incident, you'd repair and improve your home's security. In cybersecurity, this means updating your incident response plan to handle future threats better.

Understanding the Recover Function

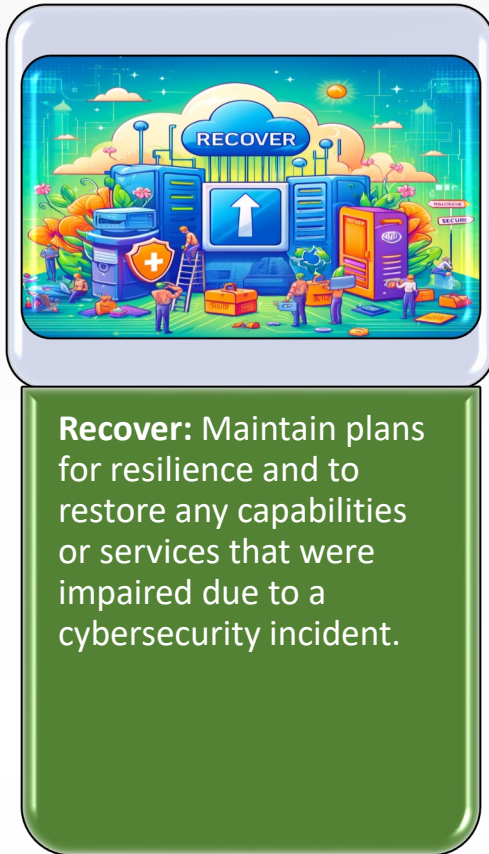


The Recover Function: Rebuilding Your Cyber Home After a Storm

The Recover function is like the restoration process after your home has suffered damage from a storm. It's about picking up the pieces, repairing, and getting back to normal life as quickly and smoothly as possible. Recover function ensures that an organization can quickly and effectively get back on its feet after a cybersecurity incident.

Key Elements of the Recover Function:

- **Recovery Planning (RC.RP):** This is like having insurance and a list of contractors ready before a storm hits. It means having a plan in place to restore systems and assets affected by a cybersecurity incident.
- **Improvements (RC.IM):** After the storm, you might reinforce your windows or install a better roof. Similarly, after a cyber incident, you should improve systems to prevent future occurrences¹.
- **Communications (RC.CO):** Just as you would update your family and neighbors about your recovery progress, it's important to communicate with stakeholders about the status of the recovery efforts



Understanding the Govern Function



The Govern Function: The Rules and Leadership of Your Cyber Home

The Govern function is like the homeowner's association (HOA) of a neighborhood. It sets the rules, guidelines, and standards that ensure every house is up to par, contributing to the safety and well-being of the entire community.

Key Aspects of the Govern Function:

- **Cybersecurity Risk Management Strategy (GV.RM):** Like how an HOA might have a plan for neighborhood watch and emergency preparedness, this component involves creating a strategy to manage cybersecurity risks that align with the organization's objectives.
- **Cybersecurity Policies and Procedures (GV.PP):** Just as an HOA has policies for property maintenance and community conduct, this part of the Govern function involves establishing clear cybersecurity policies and procedures that everyone in the organization follows¹.
- **Roles and Responsibilities (GV.RR):** In an HOA, roles are clearly defined—there's a president, treasurer, and other officers. Similarly, the Govern function defines clear roles and responsibilities for managing cybersecurity within the organization¹.
- **Legal and Regulatory Requirements (GV.LR):** An HOA ensures that all homes comply with local laws and regulations. The Govern function ensures that the organization's cybersecurity practices comply with legal and regulatory requirements¹.
- **Monitoring and Reviewing (GV.MR):** Like an HOA that regularly reviews its policies and the state of the neighborhood, this component involves monitoring and reviewing the effectiveness of cybersecurity practices and making necessary adjustments.



Govern: Involves the establishment and management of the cybersecurity program.

Thank You!



Information Security Office

Questions?

cerrande@lacera.com | 626-346-8168