

LIVE VIRTUAL COMMITTEE MEETING



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TO PROVIDE PUBLIC COMMENT

You may submit a request to speak during Public Comment or provide a written comment by emailing PublicComment@lacera.com. If you would like to remain anonymous at the meeting without stating your name, please let us know.

Attention: Public comment requests must be submitted via email to PublicComment@lacera.com.

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

AGENDA

A SPECIAL MEETING OF THE JOINT ORGANIZATIONAL GOVERNANCE COMMITTEE AND BOARD OF RETIREMENT AND BOARD OF INVESTMENTS*

LOS ANGELES COUNTY EMPLOYEES RETIREMENT ASSOCIATION
300 NORTH LAKE AVENUE, SUITE 810, PASADENA, CALIFORNIA 91101

9:00 A.M., WEDNESDAY, DECEMBER 15, 2021

This meeting will be conducted by the Joint Organizational Governance Committee and the Board of Retirement and Board of Investments by teleconference under the California Government Code Section 54953(e).

Any person may view the meeting 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.

- I. CALL TO ORDER
- II. APPROVAL OF MINUTES
 - A. Approval of the Minutes of the Joint Organizational Governance Committee of November 4, 2021
- III. PUBLIC COMMENT

(Written Public Comment - You may submit written public comments by email to PublicComment@lacera.com. Correspondence will be made part of the official record of the meeting. Please submit your written public comments or documentation as soon as possible and up to the close of the meeting.

Verbal Public Comment - You may also request to address the Board at PublicComment@lacera.com before and during the meeting at any time up to the end of the Public Comment item. We will contact you with information and instructions as to how to access the meeting as a speaker. If you would like to remain anonymous at the meeting without stating your name, please let us know.)

IV. CONSENT ITEMS

- A. Recommendation as submitted by Steven P. Rice, Chief Counsel: That the Committee approves that, under AB 361 and Government Code Section 54953(e)(3) of the Brown Act, the Joint Organizational Governance Committee (JOGC) consider whether to find that the Governor's COVID-19 State of Emergency continues to directly impact the ability of the JOGC to meet safely in person and that the County of Los Angeles and other agencies still recommend social distancing such that the JOGC shall hold teleconference meetings for the next 30 days, and if so, direct staff to comply with the agenda and public comment requirements of the statute. (Memo dated December 9, 2021)

V. EXECUTIVE SESSION

- A. Conference with Legal Counsel – Anticipated Litigation
Significant Exposure to Litigation (Pursuant to Paragraph (2) of Subdivision (d) of California Government Code Section 54956.9)

Number of Cases: 1

VI. NON-CONSENT ITEMS

- A. Recommendation as submitted by Shawn R. Kehoe, Chair, Joint Organizational Governance Committee: That the Committee discuss whether it is necessary to amend the *Trustee Travel Policy* on business class travel. (Memo dated November 30, 2021)
- B. Recommendation as submitted by Santos H. Kreimann, Chief Executive Officer: That the Joint Organizational Governance Committee provide input and make a recommendation to the Board of Retirement and Board of Investments to utilize Prime Government Solutions, Inc. for the agenda management, livestreaming, recordings, online archives, and public interface solution and provide guidance on the length of archiving the recordings on lacera.com. (Memo dated December 2, 2021)
- C. Recommendation as submitted by Carly Ntoya, Ph.D., Director of Human Resources: That the proposed classification and compensation changes be approved for implementation for the existing Executive Secretary, Secretary, Senior Secretary, and Management Secretary classifications by the Board of Retirement and Board of Investments, including submission to the Board of Supervisors; and that the proposed classification and compensation changes be approved for implementation for the creation of a new Senior Legal Secretary

VI. NON-CONSENT ITEMS (Continued)

- C. classification by the Board of Retirement and Board of Investments, including submission to the Board of Supervisors.
(Memo dated December 1, 2021)

VII. REPORTS

- A. For discussion purposes as submitted by Robert D. Klausner, Fiduciary Counsel, regarding the Review of the Joint Organizational Governance Committee Charter on referral from the Board of Retirement
(Memo dated December 6, 2021)
- B. For Information Only as submitted by Laura Guglielmo, regarding the FY 2020-2021 Final Budget Control Report.
(Memo dated December 8, 2021)

VIII. ITEMS FOR STAFF REVIEW

IX. GOOD OF THE ORDER

X. ADJOURNMENT

**The Board of Retirement and Board of Investments have each adopted a policy permitting any member of the Board to attend a standing committee meeting open to the public. In the event five (5) or more members of the Board of Retirement or the Board of Investments (including members appointed to the Committee) are in attendance, the meeting shall constitute a joint meeting of the Committee and the Board or Boards for which a quorum is present. Members of the Board of Retirement and Board of Investments who are not members of the Committee may attend and participate in a meeting of the 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 subsequent meetings of the Board of Retirement and Board of Investments.*

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 members at LACERA's offices at 300 N. Lake Avenue, Suite 820, Pasadena, CA 91101, during normal business hours of 9:00 a.m. to 5:00 p.m., Monday through Friday.

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 SPECIAL MEETING OF THE JOINT ORGANIZATIONAL
GOVERNANCE COMMITTEE AND BOARD OF RETIREMENT
AND BOARD OF INVESTMENTS*

LOS ANGELES COUNTY EMPLOYEES RETIREMENT ASSOCIATION
300 NORTH LAKE AVENUE, SUITE 810, PASADENA, CALIFORNIA 91101

10:00 A.M., THURSDAY, NOVEMBER 4, 2021

This meeting was conducted by the Joint Organizational Governance Committee
and the Board of Retirement and Board of Investments by teleconference under
California Government Code Section 54953(e).

PRESENT: Shawn R. Kehoe, Chair

Elizabeth Greenwood, Vice Chair (Joined at 10:01 a.m.)

Alan Bernstein

Vivian H. Gray

Joseph Kelly

Keith Knox

Les Robbins (Joined at 10:30 a.m.)

Herman B. Santos (Joined at 10:04 a.m.)

MEMBERS AT LARGE:

Patrick Jones, Board of Investments

Gina Sanchez, Board of Investments

STAFF ADVISORS AND PARTICIPANTS

Santos H. Kreimann, Chief Executive Officer

Luis A. Lugo, Deputy Assistant Executive Officer

JJ Popowich, Assistant Executive Officer

STAFF ADVISORS AND PARTICIPANTS

Laura Guglielmo, Assistant Executive Officer

Jon Grabel, Chief Investment Officer

Steven P. Rice, Chief Counsel

I. CALL TO ORDER

The meeting was called to order virtually by Chair Kehoe at 10:00 a.m.

II. APPROVAL OF MINUTES (Ms. Greenwood joined at 10:01 a.m.)

A. Approval of the Minutes of the Joint Organizational Governance Committee of September 17, 2021

Mr. Knox made a motion, Mr. Bernstein seconded, to approve the revised meeting minutes of September 17, 2021 with a correction to Item VII. The motion passed (roll call) with Messrs. Bernstein, Kehoe, Knox, Kelly, Ms. Gray and Ms. Greenwood voting yes. Messrs. Robbins and Santos were absent from the vote.

III. PUBLIC COMMENT

There were no requests from the public to speak.

IV. CONSENT ITEMS

- A. Recommendation as submitted by Steven P. Rice, Chief Counsel: That the Committee approves that, under AB 361 and Government Code Section 54953(e)(3) of the Brown Act, the Joint Organizational Governance Committee consider whether to find that the Governor's COVID-19 State of Emergency continues to directly impact the ability of the Committee to meet safely in person and that the County of Los Angeles and other agencies still recommend social distancing such that the Committee shall hold teleconference meetings for the next 30 days, and if so, direct staff to comply with the agenda and public comment requirements of the statute. (Memo dated October 25, 2021)

IV. NON-CONSENT ITEMS (Continued)

(Mr. Santos joined the meeting at 10:04 a.m. and Mr. Robbins joined the meeting at 10:30 a.m.)

Mr. Bernstein made a motion, Ms. Greenwood seconded, to approve staff's recommendation. The motion passed (roll call) with Messrs. Bernstein, Kehoe, Knox, Kelly, Ms. Gray and Ms. Greenwood voting yes. Messrs. Robbins and Santos were absent from the vote.

- B. Recommendation as submitted by Laura Guglielmo, Assistant Executive Officer and JJ Popowich, Assistant Executive Officer: That the Joint Organizational Governance Committee (JOGC) review and recommend to the Board of Retirement and Board of Investments the FY 2021-2022 Mid-Year Budget Amendments for the LACERA Administrative Budget. No changes are recommended for the Retiree Health Care Benefits Program Budget. (Memo dated October 27, 2021)

Messrs. Kreimann, Lugo, Popowich and Ms. Guglielmo provided a presentation and answered questions from the Board.

Mr. Bernstein made a motion, Ms. Greenwood seconded, to approve staff's recommendation. The motion passed (roll call) with Messrs. Bernstein, Kehoe, Knox, Santos, Robbins, Kelly, Ms. Gray and Ms. Greenwood voting yes.

V. ITEMS FOR STAFF REVIEW

Trustees requested for staff to look into the sustainability elements in the budgeting process. In addition, trustees requested staff to consider developing a written budget adjustment policy. Trustees also requested that staff review 8th Floor restroom facilities.

November 4, 2021

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VI. GOOD OF THE ORDER

There were no items to report.

VII. ADJOURNMENT

There being no further business to come before the Committee, the meeting was adjourned at 10:44 a.m.

December 9, 2021

TO: Each Trustee,
Joint Organizational Governance Committee

FROM: Steven P. Rice, *SPR*
Chief Counsel

FOR: December 15, 2021 Joint Organizational Governance Committee Meeting

SUBJECT: Approval of Teleconference Meetings Under AB 361 and Government Code Section 54953(e)

RECOMMENDATION

That, under AB 361 and Government Code Section 54953(e)(3) of the Brown Act, the Joint Organizational Governance Committee (JOGC) consider whether to find that the Governor's COVID-19 State of Emergency continues to directly impact the ability of the JOGC to meet safely in person and that the County of Los Angeles and other agencies still recommend social distancing such that the JOGC shall hold teleconference meetings for the next 30 days, and if so, direct staff to comply with the agenda and public comment requirements of the statute.

LEGAL AUTHORITY

Under Section 10 of its Charter, the JOGC sets its own meeting schedule. Section 8 of the Charter provides that, "The JOGC is subject to the Ralph M. Brown Act." Therefore, the JOGC has the ability to manage the scheduling and manner of Committee meetings under the Brown Act and to evaluate and act on legal options for the conduct of its meetings, such as whether to invoke teleconferencing of meetings under the terms and conditions provided in AB 361 and Government Code Section 54953(e) of the Brown Act to protect the health and safety of Trustees, staff, and the public.

DISCUSSION

A. Summary of Law.

On September 16, 2021, the Governor signed AB 361 which enacted new Government Code Section 54953(e) of the Brown Act to put in place, effective immediately and through December 31, 2023, new relaxed teleconferencing rules that may be invoked by local legislative bodies, such as the JOGC, upon making certain findings and following certain agenda and public comment requirements.

Specifically, Section 54953(e)(3) provides that the JOGC may hold teleconference meetings, without the need to comply with the more stringent procedural requirements of

Section 54953(b)(3), if a state of emergency under Section 8625 of the California Emergency Services Act remains active or state or local officials have imposed or recommended social distancing rules, provided that the JOGC makes the following findings by majority vote:

- (A) The JOGC has considered the circumstances of the state of emergency;
- (B) Any of the following circumstances exist:
 - (i) The state of emergency continues to directly impact the ability of the Trustees to meet safely in person;
 - (ii) State or local officials continue to impose or recommend measures to promote social distancing.

If the JOGC makes the required findings, the Committee may hold teleconference meetings for the next 30 days without the need to comply with the regular rules of Section 54953(b)(3) provided that: agendas are prepared and posted under the Brown Act; members of the public are allowed to access the meeting via a call-in option or an internet-based service option; and the agenda provides an opportunity for public comment in real time and provides notice of the means of accessing the meeting for public comment.

B. Information Supporting the Required Findings and Process if the JOGC Determines to Invoke Section 54953(e).

The Governor's State of Emergency for the COVID-19 pandemic as declared in the Proclamation of a State of Emergency dated March 4, 2020 remains active. The Proclamation was issued under the authority of Section 8625 of the California Emergency Services Act. It is unclear when the State of Emergency will end, although the Governor recently extended certain COVID-19 emergency provisions to March 31, 2022. See Order No. N-21-21, issued November 10, 2021.

The Los Angeles County Department of Public Health maintains guidance to "Keep your distance. Use two arms lengths as your guide (about 6 feet) for social distancing with people outside your household when you are not sure that they are vaccinated." <http://publichealth.lacounty.gov/acd/ncorona2019/reducingrisk/>. The County Public Health Department also maintains guidance that employers should, "Implement policies and practices that support physical distancing: Whenever possible, take steps to reduce crowding indoors and enable employees and customers to physically distance from each other. Generally, at least 6 feet of distance (2 arm lengths) is recommended, although this is not a guarantee of safety, especially in enclosed or poorly ventilated spaces." <http://publichealth.lacounty.gov/acd/ncorona2019/bestpractices/>

The Centers for Disease Control and Prevention (CDC) also still advise the public that, "Outside your home: . . . Stay at least 6 feet (about 2 arm lengths) from other people,

especially if you are at higher risk of getting very sick.”
<https://www.cdc.gov/coronavirus/2019-ncov/prevent-getting-sick/prevention.html#stay6ft%20>.

It is important to acknowledge that guidance from federal, state, and local governments with respect to COVID-19 precautions, inside and outside the workplace, has evolved over the past several months and continues to change. Some guidance has been relaxed. However, the guidance quoted above remains in effect.

The pandemic continues to present a significant health risk, as the virus appears in different variants. LACERA has not yet returned to the office. Management is preparing return to office vaccination and testing protocols to ensure the safety of LACERA employees, members, and others, including Trustees.

Under these circumstances, the JOGC may continue to reasonably conclude and find that teleconferencing under Section 54953(e) is appropriate for JOGC meetings during the next 30 days because (1) the state of emergency continues to directly impact the ability of the Trustees to meet safely in person, and (2) the County and other authorities continue to recommend measures to promote social distancing, as required by the statute. The JOGC made these findings at its November 4, 2021 meeting.

If the JOGC renews these findings and directs teleconferencing under Section 54953(e), procedures exist and will be implemented to ensure compliance with the agenda and public comment requirements of the statute, as stated above.

CONCLUSION

Based on the above information, staff recommends that, under AB 361 and Government Code Section 54953(e)(3) of the Brown Act, the JOGC consider whether to find that the Governor's COVID-19 State of Emergency continues to directly impact the ability of the JOGC to meet safely in person and that the County of Los Angeles and other agencies still recommend social distancing such that the JOGC shall hold teleconference meetings for the next 30 days, and if so, direct staff to comply with the agenda and public comment requirements of the statute.

c: Santos H. Kreimann
Jonathan Grabel
Luis Lugo
JJ Popowich
Laura Guglielmo
Carly Ntoya



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

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

November 30, 2021

TO: Joint Organizational Governance Committee
Shawn R. Kehoe (BOI), Chair
Elizabeth Greenwood (BOI), Vice Chair
Alan J. Bernstein (BOR)
Vivian H. Gray (BOR)
Joseph Kelly (BOI)
Keith Knox (BOR/BOI)
Les Robbins (BOR)
Herman B. Santos (BOR)

FROM: Shawn R. Kehoe, Chair
Joint Organizational Governance Committee

FOR: December 15, 2021 Joint Organizational Governance Committee Meeting

SUBJECT: **Trustee Travel Policy: Business Class Travel**

RECOMMENDATION

That the Joint Organizational Governance Committee discuss whether it is necessary to amend the *Trustee Travel Policy* on business class travel.

LEGAL AUTHORITY

Pursuant to Section 7.3 of the Joint Organizational Governance Committee (JOGC) Charter, the JOGC has the responsibility to oversee and make recommendations with respect to the *Education and Travel Policy*.¹

DISCUSSION

The *Trustee Travel Policy* provides that trustees will travel in coach/economy class except that they may travel in business class or its equivalent for, besides red-eye flights or international travel, flights having a scheduled non-stop flight time or total connecting travel time from the original departing airport to the final destination airport of five hours or more.

The Trustee Travel Policy does not provide authority to the Chief Executive Officer (CEO) or Board Chair to make an exception to the policy's requirements for business class travel. Any request for business class travel that falls outside of these requirements would need to be approved by the Board that authorized the travel.

¹ As of December 16, 2020, the *Education and Travel Policy* was restated into two separate policies: the *Trustee Education Policy* and the *Trustee Travel Policy*.

Since the policy does not provide discretion for the CEO or Board Chair to make an exception to the policy, a question arose recently that highlighted an administrative burden if a trustee must wait for approval at the next regularly scheduled Board meeting before booking business class travel that does not fall under the policy's requirements, especially if a scheduled flight time is close to but not at least five hours. During the interim, ticket prices may go up further or there may be fewer scheduled flights available by the time Board approval is obtained. Thus, from an administrative perspective, the approval process may not necessarily be efficient or cost-effective.

IT IS THEREFORE RECOMMENDED THAT THE COMMITTEE discuss whether it is necessary to amend the *Trustee Travel Policy* on business class travel.

Attachment

Trustee Travel Policy

cc: Santos H. Kreimann
Luis Lugo
JJ Popowich
Laura Guglielmo
Steven P. Rice
Jon Gabel
Barry W. Lew



TRUSTEE TRAVEL POLICY

LACERA Board of Retirement & Board of Investments

Adopted December 16, 2020

TRUSTEE TRAVEL POLICY

I. PURPOSE

The purpose of this policy is to align travel by Trustees in connection with educational conferences and administrative meetings on LACERA's behalf with the Mission, Vision, Values, and work culture of the organization. The Board of Retirement and Board of Investments recognize that travel associated with education and administrative meetings on LACERA's behalf is a component of building the knowledge base and operational understanding of Trustees given their fiduciary responsibilities and will equip them to discharge their fiduciary duties for the sole benefit of active members, retirees, and their beneficiaries. To ensure reimbursement for travel is allowed for only those expenses deemed reasonable and necessary for the proper administration of the system, the policy will be administered in a manner that can be overseen by the Boards and understood by LACERA members and other stakeholders as reasonable, cost effective, value-driven, and necessary to fulfill LACERA's Mission to Produce, Protect, and Provide the Promised Benefits.

This policy applies to travel in connection with Educational Conferences and Administrative Meetings. "Educational Conferences" are those conferences, seminars, and meetings that have an educational purpose. "Administrative Meetings" are meetings attended by Trustees in their LACERA capacity and that have a non-educational purpose in furtherance of LACERA's interests, including legislative advocacy, speaking engagements, positions in the administration of pension related organizations, and similar events. This policy applies to LACERA Trustees only.

II. PRINCIPLES

The following principles shall govern Trustee travel in connection with Educational Conferences and Administrative Meetings on LACERA's behalf and the interpretation of this policy.

A. *Performance of Fiduciary Duty.* Travel for educational conferences and administrative meetings in furtherance of LACERA's interests is necessary and should be encouraged and undertaken in order that Trustees may obtain and share knowledge relevant to the proper performance of their fiduciary duty under the California Constitution, the County Employees Retirement Law of 1937 (CERL), and other applicable laws by a reasonable method and at reasonable cost for the value received. Specifically:

1. Duty of Loyalty. Education and attendance at administrative meetings must assist the Trustees to perform their fiduciary duty of loyalty to act solely in the interest of providing benefits to members and their beneficiaries, minimizing employer contributions, and defraying reasonable expenses of administering the system, with the duty to members and their beneficiaries being paramount.

2. Duty of Prudence. Education and attendance at administrative meetings must assist the Trustees to perform their fiduciary duty to act with the care, skill,

TRUSTEE TRAVEL POLICY

prudence, and diligence that a prudent person acting in a like capacity would use in the conduct of a public pension system.

B. Member-Centric Concentration. Trustees have a fiduciary duty to make policy decisions consistent with applicable law, including constraints imposed by the Fund's budget. At the same time, travel may be necessary to support and enhance LACERA's Mission to Produce, Protect and Provide the Promised Benefits on behalf of LACERA members.

- i. Trustees are expected to be and believed to be mindful and financially prudent in all travel and trip-related expenditures that consume resources funded by LACERA members.
- ii. All monies held in the Fund by LACERA are ultimately due and payable in the form of pension benefits to active and retired members. Therefore, all administrative, operational and travel expenditures should be able to withstand the scrutiny of our members, stakeholders, plan sponsors and the public at large, thereby minimizing any reputational risk to LACERA.
- iii. Trustees are accountable for their actions and responsible for appropriate use of organizational resources and establishing policy creating limits and constraining expenditures. Travel policies for staff can be more restrictive depending on circumstances and financial constraints.

C. Transparency. Travel administrative procedures and guidelines are established and carried out in a manner that is easy for members to identify actions taken by Trustees.

- i. Expenses incurred for travel and trips are clearly identifiable as business-related expenses only, not for personal expenses of the Trustee or any traveling companions.
- ii. Travel expenses and trip information are reported to LACERA members and stakeholders via a public forum.
- iii. Trustees recognize and accept their accountability and responsibility to LACERA members for travel and trip expenditures which are charged to LACERA.
- iv. All Trustees acknowledge and sign a travel attestation document (Appendix B) annually, confirming their commitment to act responsibly and prudently and in the best interest of LACERA members.

D. Simplicity, Uniformity and Consistency. Travel administrative procedures and guidelines for claiming and reimbursing expenses are designed to be simple, uniform, and consistent, and should not be overly onerous so as to negatively affect Trustees.

- i. Travel procedures should be a guide with simple, unambiguous rules for making and approving travel arrangements, and for the timely processing and accounting of trip related expenditures and reimbursements.
- ii. Travel expenditures are documented on expense claims that are clear and concise.

TRUSTEE TRAVEL POLICY

- iii. Travel expense reimbursement processes should be clear, consistent, transparent, convenient, efficient, and compliant with the Trustee Travel Policy.
- iv. Travel expense methods are simple and universally applied so the reimbursement claim process is streamlined (e.g., all meals are claimed under the Per Diem Method).
- v. Travel procedures, including administrative expense guidelines and reimbursement process, are maintained under the direction of the Chief Executive Officer (CEO) or their designee.

E. Ease of Execution. Travel administrative procedures and guidelines are established with administrative ease and designed to reduce the manual processes and the considerable effort required of staff. Processes related to travel reimbursements and processing expense claims should not be cumbersome and complicated for staff and Trustees.

- i. Travel accommodations and Trustee conveniences are streamlined and provide a group of appropriate choices instead a vast menu of options.
- ii. The process itself of conducting travel bookings and expense processing are considered a priority.
- iii. Expense categories, reimbursement process, and claim forms are periodically reviewed and updated by staff.
- iv. Trustees, not proxies, are responsible for obtaining, gathering, and submitting the appropriate documentation justifying expenditures in a timely manner.
- v. External providers including travel agents and other travel-related industry services are to be considered and integrated into the process for Trustees and administrative ease.
- vi. Technological tools for capturing and recording trip documentation are employed where reasonable and necessary considering cost implications.
- vii. Practices will periodically be reviewed to ensure best practices and industry norms are included within the Trustee Travel Policy.

III. TRUSTEE TRAVEL

A. Approval. All travel requires approval of that Trustee's Board, except Educational Conferences and Administrative Meetings in California where the total cost of attendance is no more than \$2,000 are pre-approved for attendance and reimbursement, provided that a Trustee may not incur over \$10,000 for all expenses of attending all such Educational Conferences and Administrative Meetings in a fiscal year without Board approval.

B. Cease Travel. Trustees shall cease arranging future travel for Educational Conferences once they become aware their term of service will end. For appointed Trustees, this occurs in the final year of their appointment and after the Board of Supervisors votes on the next appointment. For elected Trustees this occurs if an elected Trustee is replaced once election results are certified

TRUSTEE TRAVEL POLICY

by the Board of Supervisors. For the Ex-Officio Trustee, this occurs once a retirement is announced.

C. *Authorized Expenses.* Authorized travel expenses shall be determined by the Boards as set forth in Appendix A. LACERA Trustees shall be reimbursed for reasonable and necessary expenses incurred, and documented, in connection with LACERA business.

D. *Costs of Administration.* Travel expenses for Trustees shall be administrative costs of the Fund and may not be paid through third party contracts. It is LACERA's policy that LACERA, as an agency, and its Trustees shall not accept gifts of travel.

E. *Claims for Reimbursement.*

- i. Submission. A travel expense reimbursement shall be claimed by completing an expense voucher form available on the LACERA intranet website and submitting it to the appropriate authorizing person. Trustees may submit their expense reimbursements to their respective Executive Board Assistant. All expense reimbursement requests shall be accompanied by receipts and/or other reasonable documentation. Expense reimbursement records are subject to disclosure under the Public Records Act, with redaction of confidential information. The deadline for submitting an education and travel reimbursement claim is 90 days after completing the education, or 30 days after the fiscal year-end, whichever comes first. Extensions to this deadline may be granted by the Board Chair.
- ii. Approval. The Executive Board Assistants will receive and review, for compliance with this policy, all expense reimbursement requests prior to submission. The Financial and Accounting Services Division (FASD) will review expense reimbursement requests for compliance with this policy and shall only process and pay those that are in compliance and approved by the CEO or their designee. FASD will notify the CEO or their designee of all deficiencies in a submission by a Trustee, and the CEO or their designee will in turn notify the respective Trustee. LACERA will not reimburse a Trustee for expenses that are not authorized under this policy unless specifically exempted and approved by that Trustee's Board.

F. *Cancellation of Travel Arrangements.*

- i. Responsibility for Time Cancellation. Trustees are responsible for timely canceling travel arrangements made on behalf of the Trustee which will not be used so that no costs will be incurred by LACERA.
- ii. Responsibility for Untimely Cancellation Costs. Trustees are responsible for all costs LACERA incurs as a result of the Trustee's failure to cancel travel

TRUSTEE TRAVEL POLICY

arrangements before cancelation charges accrue, unless the failure to cancel was due to facts or circumstances beyond the Trustee's control. The Trustee must reimburse LACERA within 30 days after notification of the amount due. If reimbursement is not made within such 30-day period, and payment is still due, the amount shall be deducted from any payment due the Trustee from LACERA. If a Trustee is enrolled for an Educational Conference or Administrative Meeting but fails to attend or timely cancel and LACERA incurs an expense as a result (e.g., conference registration, travel and lodging cancelation fees), that conference or meeting counts toward the limit under Section IV.C.2. of the Trustee Education Policy until the Trustee reimburses LACERA for all expenses incurred or cancelation is excused under Section III. F. iii. of this Trustee Travel Policy.

- iii. Approval of Cancelation Costs with Good Cause. If the Trustee believes the failure to cancel was due to facts or circumstances beyond their control, they must submit written justification to the Board Chair within 30 days after receiving notification of the cancelation expenses due. For Trustees, the Board Chair will approve or disapprove the excuse in writing to the Trustee, with a copy to the Executive Board Assistant. If the individual is a Board Chair, then the written excuse must be submitted to that Board's Vice Chair who will then approve or disapprove the excuse. If the individual is a Vice Chair simultaneously serving as the acting Chair, then the Vice Chair's written excuse must be submitted to that Board's Secretary who will then approve or disapprove the excuse. Should a Trustee disagree with the Board Officer's determination, the Trustee may request the Executive Board Assistant to agendaize the matter for consideration by the full Board.

G. Cash Advances. Cash advances will not be allowed unless specifically approved for Trustees by the appropriate Board.

H. Expenses for Traveling Companions. Travel expenses for family members and/or traveling companions are not reimbursable by LACERA.

I. Additional Travel Days to Minimize Overall Travel Cost. Travel resulting in arrival one day prior to and/or one day after an Educational Conference or Administrative Meeting will be reimbursed if reasonably necessary because of time constraints. Travel resulting in arrival two days prior to and/or one day after international travel will be reimbursed as reasonably necessary based on the location of the Educational Conference or Administrative Meeting. In addition, lodging and per diem for extra days prior to or after an Educational Conference or Administrative Meeting will be reimbursed if such extension results in lower overall trip costs. If a Trustee adds personal travel before or after a trip, the extra personal days outside of the above restrictions shall not be reimbursed. Written justification for travel expenses incurred prior to or after an Educational Conference or Administrative Meeting shall be submitted with the claim for reimbursement.

TRUSTEE TRAVEL POLICY

J. *Ground Transportation.* Trustees will be expected to use taxis or ride sharing services to and from domestic destinations. Limousine or executive car services shall not be used in domestic locations unless the cost for such services is comparable to that of taxi services and/or airport parking; they may be used without restriction in international locations. Reimbursement of rental vehicles require justification and prior approval from the Chief Executive Officer. When renting a vehicle, purchase of optional insurance is not necessary as LACERA's insurance will cover the same risks.

K. *International Travel Insurance.* LACERA will purchase travel insurance covering Trustees while traveling internationally on LACERA business. The insurance will include accident, medical, security assistance and evacuation, travel assistance, trip cancelation, interruption or delay, and baggage loss or delay coverage.

L. *Travel Reports.*

- i. Monthly. A monthly Travel Report shall be submitted to both Boards listing the current fiscal year's completed, anticipated, and canceled Education Conferences and Administrative Meetings (including whether excused under Section III. F. iii).
- ii. Quarterly. A quarterly Travel Report shall be submitted to both Boards listing education and administrative travel expenses paid/reimbursed by LACERA. Such report shall identify whether each item of travel was for an Educational Conference or Administrative Meeting, the purpose, location, cost by expense category, and whether excused under Section III. F. iii.
- iii. Availability. The monthly and quarterly reports shall be agendized as reports for the Boards in the first month after they are available (and for privacy and personal security reasons, after travel has been completed) and shall be posted on lacera.com.

IV. ADMINISTRATIVE MEETINGS

For attendance at an Administrative Meeting, as defined above, the Trustee will notify the relevant Board of a Trustee's need to attend and the Board will provide approval on such terms as deemed appropriate.

Due to the unique nature of Administrative Meetings, this travel does not have number limits, subject to the cost limits of Section III. A., and does not count towards the maximum approved number limits for travel unless in conjunction with an Educational Conference.

TRUSTEE TRAVEL POLICY

V. BROWN ACT COMPLIANCE

Attendance at external Education Conferences and Administrative Meetings by more than four Trustees of a Board is not a violation of this provision, provided that the Trustees may not discuss any item of LACERA business.

VI. GIFTS AND CONFLICTS

The Boards desire to avoid even the appearance of impropriety in connection with education, and related expenses. The Boards acknowledge that acceptance of gifts of education and related expenses, such as registration, transportation, meals, and lodging by a public agency, though permitted under certain circumstances by applicable law, can create the appearance that LACERA encourages “pay to play” and may, unwittingly, create opportunities for undue influence on Trustees. This policy therefore does not permit LACERA as an entity to accept gifts of education, and related expenses. This policy does not prohibit certain payments for education and/or related expenses as part of the negotiated consideration under agreements with vendors, consultants, and managers, although all such payments should be reviewed in advance with the Legal Division to ensure compliance with applicable law, regulations, and reporting.

Items provided during Educational Conferences and Administrative Meetings may constitute reportable gifts.

Trustees should be familiar with the provisions of LACERA’s Code of Ethical Conduct as it may apply to certain education and administrative meeting interaction with and items received from the sponsors or other attendees.

The Boards acknowledge that international travel, though expensive, is increasingly necessary in light of today’s global economy and LACERA’s ongoing prudent investment of a substantial portion of its assets outside the United States.

VII. EDUCATION POLICY AND PROCEDURES

This policy is subject to and will be read and interpreted in conjunction with the Trustee Education Policy.

VIII. POLICY PROVISIONS AND APPLICABLE LAW

A. Waiver of Policy Provisions. For good cause presented in writing, and in the exercise of its sound discretion, the Board of Retirement or the Board of Investments may waive compliance with specific requirements of this policy when in the best interest of LACERA.

B. Applicable Law. This policy is to be implemented in compliance with the relevant provisions of the California Government Code and other applicable law, and in

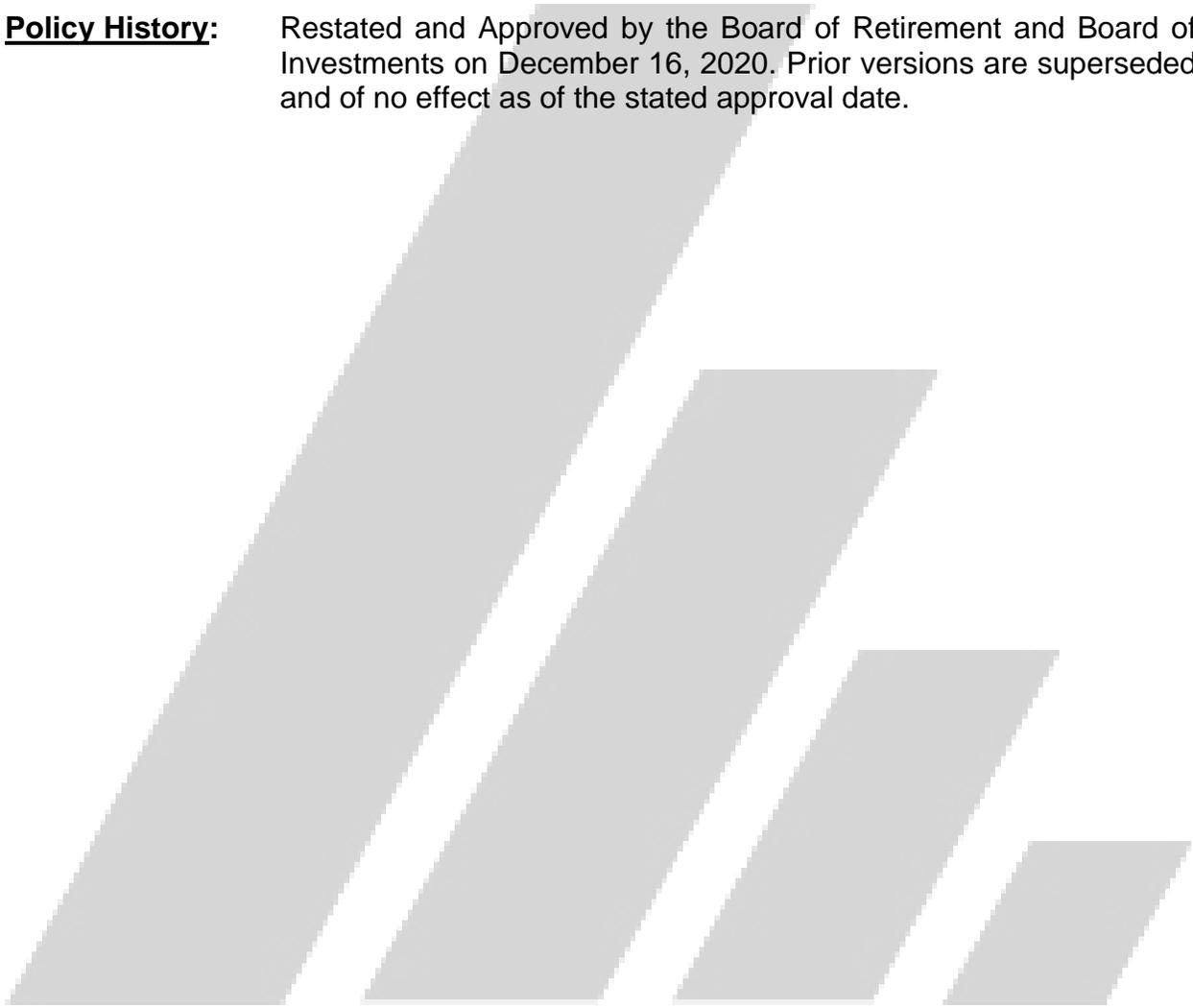
TRUSTEE TRAVEL POLICY

harmony with existing philosophy, objectives, policies and guidelines previously approved by the Board of Retirement and the Board of Investments.

IX. REVIEW

This policy shall be reviewed by the Joint Organizational Governance Committee, the Board of Retirement, and the Board of Investments every three years or as needed and may be amended by both Boards at such time.

Policy History: Restated and Approved by the Board of Retirement and Board of Investments on December 16, 2020. Prior versions are superseded and of no effect as of the stated approval date.



TRUSTEE TRAVEL POLICY

APPENDIX A REIMBURSEMENT SCHEDULE

Amounts which can be reimbursed for transportation, lodging, meals, and other covered items are indicated as follows:

I. TRANSPORTATION:

A. Airline Travel

1. Trustees will travel in coach/economy class except that they may travel in business class or its equivalent for:
 - a. Flights having a scheduled non-stop flight time or total connecting travel time from original departing airport to the final destination airport of five hours or more, and
 - b. Red-eye flights. "Red-eye flights" are defined as flights in which a majority of the flight time occurs between 10:00 PM and 6:00 AM.
 - c. Flights arriving or departing at an international location, including Canada and Mexico.
2. LACERA will reimburse the additional cost of coach/economy class seats advertised as having additional leg room regardless of flight time.
3. Air travel will only be reimbursed at the lowest available non-refundable fare at the time of purchase (for class travel authorized under this Policy). Trustee may elect to fly on United, American, Delta, JetBlue, or Southwest Airlines for the dates and times of travel. Other carriers are authorized, but reimbursement shall not exceed the lowest non-refundable fare offered either amongst the five major airlines carriers mentioned above or other major carriers who fly to selected destination.
4. Recognizing air carriers have begun charging for incidental items historically included in the ticket price (for example, checking luggage, providing pillows, blankets, and non-alcoholic beverages during flights, etc.), LACERA also will reimburse carrier charges for such incidental items upon submission of an itemized receipt. Alcoholic beverages will not be reimbursed.
5. Substantiation of airline travel shall include a copy of the ticket or E-mail confirmation showing the cost of the air travel.
6. Trustees traveling by air to conduct LACERA business may use only regularly scheduled airline services operating by an air carrier certified by the Federal Aviation Administration or comparable foreign authority. Trustees are

TRUSTEE TRAVEL POLICY

APPENDIX A REIMBURSEMENT SCHEDULE

prohibited from traveling on LACERA business via private aircraft, including but not limited to aircraft owned, leased, or rented by the individual Trustee. Persons traveling on LACERA business via private aircraft will be deemed to be acting outside the scope of their responsibilities and employment. They will not be covered by LACERA's liability insurance.

B. Other Common Carrier Travel

1. Travel permitted under this policy should be accomplished in the most cost-effective and efficient manner practicable, considering the costs of the mode of transportation, travel time, accommodations, and per diem.
2. Generally, air travel is the most cost-effective and efficient means for long distance travel, with "long distance travel" defined as a travel to a site more than 300 miles from LACERA's headquarters.
3. Where a traveler has special travel needs or concerns such that travel by air for long distance travel is not practicable, then the traveler may use an alternate common carrier (e.g., train or bus) and incur such reasonable expenses associated with that mode of travel (e.g., sleeper car, additional days of per diem).
4. Substantiation of other common carrier travel shall include a copy of the ticket or E-mail confirmation showing the cost of the travel.

II. LODGING:

A. Room Cost

Reimbursement is limited to a standard class single room rate, including mandatory taxes and hotel fees. Actual expenses for lodging will be reimbursed upon submittal of receipts. For example, room upgrades, and bed and breakfast additions will be at the expense of the Trustee, unless for good cause such as the unavailability of standard rooms and/or international destinations.

B. Government Rates

Trustees traveling on LACERA business should always request government rates when making reservations and/or checking in. LACERA recognizes that the governmental rate offered for local governmental entities like LACERA may be higher than the federal government rate, or may not be available at all, especially in connection with international travel.

TRUSTEE TRAVEL POLICY

APPENDIX A REIMBURSEMENT SCHEDULE

C. Attendance at Educational Conferences and Administrative Meetings.

LACERA acknowledges that the cost of a standard room at an event hotel may exceed the standard lodging reimbursement rate. Nevertheless, Trustees attending events may stay at the designated hotel to promote convenient access, networking, and safety. Reimbursement for lodging at an event is limited to the standard room rate charged by the event hotel unless for good cause such as the unavailability of standard rooms and/or international destinations. When lodging at the event hotel is unavailable, reimbursement is limited to the best available rate for a standard room at a nearby hotel of comparable quality. The Trustee will be responsible for any excess cost.

D. Travel Not Connected With An Established Hotel Venue

The maximum lodging amounts are intended to cover the cost of lodging at adequate, suitable and moderately-priced facilities located near the destination city's airport or the specific area in the destination city where LACERA's business will be conducted without association with an established hotel venue. Reimbursement for lodging connected with such travel is limited to:

1. Domestic: Not more than three times the regular per diem rate for the location as established from time to time by the Internal Revenue Service, found at www.gsa.gov (click on "per diem rates").
2. International: Not more than three times the rate for the location as established from time to time by the United States Department of State, found at: www.state.gov/m/a/als/prdm.

III. MEALS:

It is the policy's intent for the Trustee to be reimbursed for meals not pre-paid for by LACERA. As such, LACERA will not reimburse the Trustee for a meal which has been pre-paid for by LACERA (e.g., when conference registration includes meals), whether or not the Trustee consumed the meal, except where the Trustee could not consume the pre-paid meal because:

1. The Trustee has special dietary or medical concerns, or
2. It was reasonably necessary for the Trustee to conduct LACERA business while the pre-paid meal was being served.

TRUSTEE TRAVEL POLICY

APPENDIX A REIMBURSEMENT SCHEDULE

Written justification as to which of the above two exceptions applies will be provided with the reimbursement request. However, written justification for any dietary restrictions or medical concerns need only be provided once annually by the Trustee.

Likewise, LACERA will not reimburse the Trustee for a meal paid for by a third party.

Meal Reimbursement

Reimbursement for meals shall be based on the "Per Diem Method" only as defined below.

A. The Per Diem Method

1. Under the Per Diem Method, the Trustee agrees to accept a flat rate for meals. Trustees are not required to submit receipts.
2. The per diem allowance will be computed using the Meals & Incidental Expenses rate (the "M&IE Rate") published by the Internal Revenue Service and in effect on the date of travel for the locality of travel.
3. The per diem allowance shall be claimed in accordance with the Meals & Incidental Expenses Breakdown ("M&IE Breakdown") per the IRS, based on the M&IE Rate. The portion of the per diem the Trustee receives depends upon when the travel occurs. For example, if the travel occurs during normal breakfast and lunch times, the Trustee receives the per diem for breakfast and lunch; if the travel occurs during normal lunch and dinner times, the Trustee receives the per diem for lunch and dinner, etc.

IV. PORTERAGE:

Porterage may not be claimed using the Per Diem Method, as the Per Diem Method's IRS tables already factor in porterage reimbursement.

V. PARKING:

Parking, including airport parking, will be reimbursed at actual rate (receipt required).

VI. MILEAGE:

Use of a personal vehicle will be reimbursed on a per mile basis at the rate approved by the Internal Revenue Service as of the date of travel.

VII. OTHER BUSINESS EXPENSES:

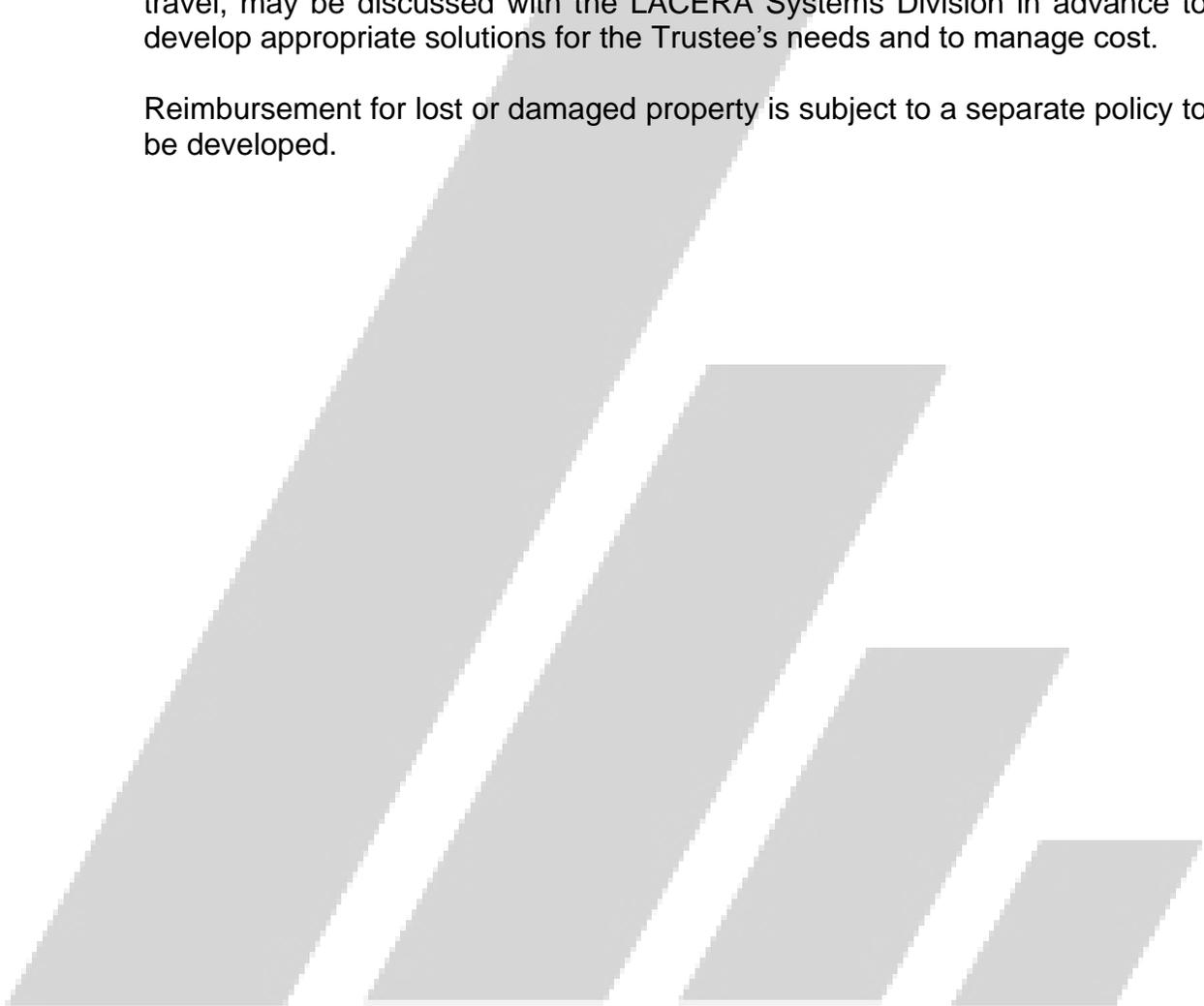
Other covered business expenses reasonably incurred in connection with LACERA business, such as registration fees, business and personal

TRUSTEE TRAVEL POLICY

APPENDIX A REIMBURSEMENT SCHEDULE

telephone, fax, internet access, gym access (including the standard gym fee charged by the Trustee's hotel or, if hotel gym access is not available, the reasonable cost of daily access to a local gym or health facility), dry cleaning, and similar business expenses, shall be reimbursed upon submittal of receipts. The cost of membership in TSA Pre, Global Entry, NEXUS, SENTRI, or other expedited security and border processing programs shall be reimbursed upon submittal of receipts. Technology needs, for both international and domestic travel, may be discussed with the LACERA Systems Division in advance to develop appropriate solutions for the Trustee's needs and to manage cost.

Reimbursement for lost or damaged property is subject to a separate policy to be developed.



TRUSTEE TRAVEL POLICY

**APPENDIX B
TRAVEL ATTESTATION**

As a LACERA Board Trustee, I acknowledge:

- a. I have received, read, and understand all of the provisions within the Trustee Travel Policy; and
- b. I attest my commitment to act responsibly and prudently in the best interest of LACERA members, in all travel-related matters.

LACERA Board

Name

Signature

Date

December 2, 2021

TO: Each Trustee
Joint Organizational Governance Committee

FROM: Santos H. Kreimann ^{SHK}
Chief Executive Officer

FOR: December 15, 2021 Joint Organizational Governance Committee Meeting

SUBJECT: **BOARD & COMMITTEE AGENDA MANAGEMENT, RECORDINGS, ONLINE ARCHIVES, AND PUBLIC INTERFACE**

RECOMMENDATION

That the Joint Organizational Governance Committee (“JOGC”) provide input and make a recommendation to the Board of Retirement and the Board of Investments (“Boards”) to utilize Prime Government Solutions, Inc., (“[PrimeGov](#)”) for the management of Board and Committee meetings, including agenda management, livestreaming, recordings, online archives, and a public interface solution and provide guidance on the length of archiving the recordings on lacera.com.

BACKGROUND

Currently, all facets of managing, conducting, and livestreaming Board and Committee meetings are accomplished using manual processes and meeting recordings are not available online. To enhance this process, LACERA is looking to implement a more effective meeting management tool to help streamline the planning and conducting of Board meetings and improving transparency and public access.

The following lists some of the manual processes used currently to conduct LACERA’S Board and Committee meetings:

- Meeting Materials: Agenda and item creation, review, and approval; and distribution of meeting materials to the Trustees, staff, and consultants.
- In Meeting Management: Livestreaming, recording, roll call, motions, actions, votes, speaker queue, and public comments.
- Post Meeting Management: Preparation of minutes; and archiving recordings internally. Public records for recordings are handled manually via production of a link or DVD.

All of the items above can be streamlined using a tool such as PrimeGov to manage meetings and improve transparency and public access. For additional background information, a memo from the February 24, 2021 JOGC meeting on this topic is attached (Attachment A). The JOGC memo for its meeting on April 22, 2021 (Attachment B) was agendized but pulled by staff for further development.

Staff has now completed its due diligence as described more fully below and is ready to present an option for discussion and recommendation by the JOGC.

LEGAL AUTHORITY

The JOGC has the authority to evaluate and formulate a recommendation to the Boards concerning this issue as it is a matter that affects both Boards within the scope of Section 7.9 (Miscellaneous Matters) of the JOGC Charter and is the subject of joint board policy with respect to meeting process under Section 7.3 (Joint Policies) of the Charter.

The management of board meetings, and the process related thereto, is within the plenary authority and exclusive fiduciary responsibility of the Boards over administration of the system under Article XVI, Section 17 of the California Constitution.

In regard to posting and archiving of Board and Committee recordings, the Boards have the legal authority, but not the obligation, to publicly broadcast or record their open meetings by audio or video. If recordings of an open meeting are made, they are considered public records under the Brown Act and the Public Records Act. Government Code Section 54953.5(b) in the Brown Act provides:

Any audio or video recording of an open and public meeting made for whatever purpose by or at the direction of the local agency shall be subject to inspection pursuant to the California Public Records Act (Chapter 3.5 (commencing with Section 6250) of Division 7 of Title 1), but, notwithstanding Section 34090, may be erased or destroyed 30 days after the recording. Any inspection of an audio or video recording shall be provided without charge on equipment made available by the local agency.

Closed session meetings are confidential, without specific Board authorization for public release, under Government Code Section 54963 of the Brown Act. Accordingly, closed session meetings will not be subject to public broadcasting or archiving if the JOGC and the Boards determine to implement such a proposal.

DISCUSSION

Evaluation Process

In an effort to find the best solution that would streamline the manual Board document process, improve boardroom technology, and enhance transparency for all stakeholders, LACERA issued a Request for Information (“RFI”) in April 2021 for an agenda management, recordings, online archives, and public interface solution.

The evaluation team for the RFI included members from Executive, Communications, Legal, and Systems Divisions. The evaluation team received responses from Diligent iCompass, eSCRIBE, Granicus, Hyland, PrimeGov, and Provox and staff were provided a demonstration by each vendor. The team then rated each vendor based on criteria which included but were not limited to product tools, features, capabilities, flexibility in customization, integration, ease of use, implementation process, and customer service

support. The team then narrowed the original list to the top two providers, PrimeGov and Granicus, and proceeded with client references. In addition, staff also reviewed the current application, Nasdaq Boardvantage, currently used for distributing Board and Committee materials electronically. The evaluation team concluded that the current solution does not address all of LACERA's identified needs. Therefore, after reviewing the references and further discussions with the evaluation team, staff recommends proceeding with PrimeGov due its focus on catering its services to government entities in a single platform solution, flexible configurability and its ease of use.

PrimeGov's RFI response is attached (Attachment C). The RFI and the process mentioned above that led to the recommendation made in this memo complied with LACERA's Policy for Purchasing Goods and Services ("Procurement Policy").

All told, the project team met many times and spent many hours of additional effort in evaluating options, proposals, and developing the recommendation to the JOGC set forth in this memo.

PrimeGov offers a cloud-based solution that facilitates staff's processes from beginning to end utilizing one application and provides flexibility in process configurations. The PrimeGov solution also provides tools and resources for all stakeholders including Trustees, members, the public, and staff. It enhances public engagement by providing the members of the public with features such as subscribing for meeting notices and updates, livestreaming, facilitating public records requests, requests to speak during a meeting, and streamlining the meeting management processes such as roll call, motions, and voting. Currently, the majority of these processes are done manually. PrimeGov provides a solution that will allow for the management of LACERA's Board and Committee meetings to be completed more efficiently and assist in the accuracy of Board votes and actions, recording minutes, and improved public access, including posting of agendas, livestreaming of meetings, public comment, and archiving of recordings so they are available on lacera.com.

The following provides additional product details that are included in the PrimeGov solution being recommended:

- Agenda Automation
 - Ability to create agendas, packets, and summaries; design workflow steps for agenda/item collaboration; track agenda items throughout the review process; and search tools for archived meeting materials.
- Community Engagement
 - Ability to allow the public to subscribe to meeting updates, livestreaming of meetings, and access meeting recordings and other public records. In addition, the ability for the public to provide oral and/or written public comments is made available.

- Meeting Management
 - Ability to distribute meeting material and capture timestamps, roll call, minutes, motions, votes, and actions during the meeting. Board material distribution to trustees will include full secured annotation features for the user, such as highlighting, drawing, sticky notes, and text box options for typed comments.
 - The PrimeGov portal for Board materials is web-based and can be accessed through a desktop, laptop, and/or iPad.

- Livestreaming and Archiving
 - Ability to provide livestream, recordings, and archive of historical recordings on lacera.com, agendas, and meeting materials. Recordings include high-definition and Americans with Disabilities Act (“ADA”) compliant videos for the public. Features include closed captioning and language preferences.

Proposed Action Plan

LACERA is currently under contract with Nasdaq BoardVantage until September 2022, and the plan is to use BoardVantage until this time. Therefore, staff proposes the following action plan should this recommendation be approved by the JOGC and the Boards:

December 2021: JOGC provides input and feedback and recommends the proposed solution to the Boards for approval.

January 2022: Board approves JOGC’s recommendation/s and provides feedback for creation of Board/Committee recordings, online archives or length of archiving, and public interface policy (“Policy”). (*Details located in Recording/Archiving Guidance on page 5*)

February/March 2022: Provide the JOGC with a draft “Policy” with a recommendation for approval to the Boards the following month.

February – June 2022: Negotiate and execute contract with PrimeGov. Begin implementation process with the new vendor, which includes, but is not limited to, transitioning manual processes, creating internal procedures and workflows, the configuration of vendor application templates, staff training, and conducting mock meetings.

June – August 2022: Provide training to Trustees interested in utilizing the application; archive any notes/annotations saved by Trustees in the current application; and provide a JOGC presentation with the public interface features (i.e., livestreaming, recordings, timestamping, ADA features, closed captioning/different languages, etc.) that will be made available on lacera.com.

September 2022: Complete transition to the new vendor.

Recording/Archiving Guidance

Board and Committee open session meetings are currently being livestreamed and recorded. The meetings can be viewed by members of the public via the livestream on lacera.com when the meeting is occurring but cannot be viewed once the meeting has ended. In addition, recordings are internally saved for staff reference, but not made available to the public on lacera.com. To obtain a recording, a member of the public must submit a Public Records Act request.

In considering whether LACERA should provide public online access to meetings, through an online archive, the JOGC may consider that such access will:

- Increase transparency; and
- Provide another form of communication with members and other stakeholders and insight into the Boards' decision-making.

Staff seeks the Committee's guidance on the preference of archiving the recordings on lacera.com. For example, the length of time recordings should be made available (i.e., indefinitely, ten years, etc.) and recording format (audio and visual or audio only). This feedback will be provided to the Boards for consideration and input in order for staff to draft a "Policy" for JOGC review and consideration to the Boards.

Preparation for In-Person Meetings

In preparation for onsite meetings, the Boards approved visual and network upgrades in the FY 21-22 budget. Boardroom upgrades to accommodate in person and hybrid Board and Committee meetings will be completed by mid-January 2022.

Budget

The first year cost for the PrimeGov solution will be approximately \$40,000, which includes approximately \$8,000 for hardware and one-time set up costs and ongoing support and maintenance costs of approximately \$32,000. The proposed agreement has a three year term with 3% annual increases for support and maintenance costs. These costs assume the use of YouTube as the video hosting platform. Should LACERA determine that a different hosting platform is required, additional fees of up to \$30,000 per year should be anticipated. Sufficient funds exist in the FY 2021-22 Budget for first year costs. If approved, future year costs will be included in the proposed budgets for the Board's approval. Of note, use of the PrimeGov solution would result in annual savings of between \$30,000 and \$60,000, depending upon the potential use of a supplemental web hosting platform.

Security

Prime Government Solutions ("PrimeGov"), is a reputable technology company that provides public meeting recording and archiving services. Their solutions utilize the security settings and controls of the Office365 and Zoom platforms and will facilitate monitoring and security standards currently deployed at LACERA. In addition, PrimeGov service operations infrastructure and applications run in Microsoft Azure. The Azure services consumed are certified to SOC2, FedRamp High, ISO 27001 and many other

relevant standards. More broadly, PrimeGov's security policy is based on NIST Cyber Security Framework.

The Information Security Division is comfortable in moving forward with PrimeGov and will provide their Vendor Risk Opinion Memo confirming their recommendation if/when an approval is recommended to the Boards. PrimeGov is preparing an extensive third party audit that is scheduled to be completed at the end of December 2021. The audit report will be reviewed and included in the Information Security Division's final memo. In the meantime, PrimeGov has been added to the LACERA RiskRecon Portfolio for continuous monitoring and review.

References

References obtained were from LA City, City of Lancaster and Ventura County. References including individuals involved in the agenda meeting management and IT support. Each reference recommended the use of PrimeGov services and shared positive feedback in terms of their customer service during the implementation process and in meeting support, flexibility of application templates and workflow, and overall experience in using PrimeGov.

CONCLUSION

Staff recommends PrimeGov as the solution to streamline internal processes, agenda packet distribution, in meeting features, and the option to enhance public transparency of archived recordings and materials. This solution will provide a modern and sustainable system to support meeting operations and accommodate in-person, remote, or hybrid meetings in the future.

IT IS THEREFORE RECOMMENDED THAT THE COMMITTEE:

- 1) Provide input and make a recommendation to the Board of Retirement and Board of Investments with staff's recommended solution, Prime Government Solutions, Inc., for the Board and Committee agenda management, recordings, online archives, and public interface, and
- 2) Provide guidance on the length of archiving the recordings on lacera.com.

SK:bn

Attachments

- A- JOGC February 24, 2021 Memo
- B- JOGC April 22, 2021 Memo (Excluding Attachments)
- C- RFI PrimeGov Proposal

cc:

Luis A. Lugo	Kathy Delino	Bob Schlotfeld
JJ Popowich	Cynthia Martinez	
Laura Guglielmo	Steven P. Rice	

Attachment A
February 24, 2021 JOGC Memo

February 17, 2021

TO: Each Trustee,
Joint Organizational Governance Committee

FROM: Kathy Delino ^{KD}
Interim Systems Division Manager

FOR: February 24, 2021 Joint Organizational Governance Committee Meeting

SUBJECT: Board & Committee Meeting Recordings & Online Archives

RECOMMENDATION

That the Joint Organizational Governance Committee (JOGC) discuss and provide input on Board and Committee recordings and online archives.

BACKGROUND

Prior to Covid-19, Board and Committee meetings were held onsite in the LACERA Boardroom for Trustees, staff, members, and the public. The meeting recordings were recorded on DVDs and were available to the public through a PRA (Public Request Act) request.

In March 2020, due to the Covid-19 pandemic and in adherence to [Executive Order N-29-20](#), Board and Committee meetings were held virtually in order to adhere to the social distancing guidelines set forth by local, state, and federal agencies. This allowed the Boards and staff to allow the public, staff, members, and consultants to participate safely. With meetings being held virtually, meeting recordings are now being saved electronically.

DISCUSSION

Staff would like the Committee's input and direction on a solution/s for meeting recordings and online archives. Staff is prepared to provide the Boards and PRA requests with immediate access, via SharePoint, to the open session recordings of the Board & Committees in the interim. A copy of a screenshot showing the SharePoint portal is attached. Staff can prepare a permanent solution, which would provide recording archives on lacera.com to be available to the public when the new site is launched later this year.

Staff looks forward to the Committee's comments and input at the JOGC meeting on February 24, 2021.

Attachment B
April 22, 2021 JOGC Memo
(Excluding Attachments)

April 13, 2021

TO: Each Trustee,
Joint Organizational Governance Committee

FROM: Kathy Delino 
Interim Systems Division Manager

Bob Schlotfelt 
Interim Chief Information Security Officer

FOR: April 22, 2021 Joint Organizational Governance Committee Meeting

SUBJECT: Policy and Action Plan - Board & Committee Recordings, Online Archives,
and Public Interface

RECOMMENDATION

That the Joint Organizational Governance Committee (JOGC) discuss and provide input regarding the policy and action plan for Board/Committee recordings, online archives, and the public interface.

DISCUSSION

At the February 24, 2021 JOGC, the Committee voted to have staff return with a policy and action plan for Board/Committee recordings, online archives, and the public interface. The Management of Audio and Visual Recordings Policy (the "Policy") (Attachment A) and the Board/Committee Meeting Recording Archival and Publication Action Plan ("Action Plan") (Attachment B) are attached for your review. Staff looks forward to the Committee's feedback on both attachments.

At the February meeting, the JOGC provided comments regarding preferences for meeting recordings, recording archives, and the public interface to access both. The suggestions included but were not limited to the impact of [Assembly Bill 339](#), recording/archival of audio and video content, and agenda item timestamping for recordings. These comments are incorporated into both the draft Policy and draft Action Plan.

The Action Plan includes tasks to be completed as well as a timeline for completion. The important milestones in the plan include providing access to Board and Committee meeting recordings on lacera.com, as well as implementing a modern, sustainable system to record, stream, and archive meetings. To that end, staff has issued a Request for Information (RFI) to gather information on possible solutions for a modern, sustainable

Re: Policy and Action Plan - Board & Committee Recordings, Online Archives, and
Public Interface
April 13, 2021
Page 2 of 2

system to support meeting operations. RFI responses will be received mid-May and staff will come back to the JOGC in July to provide a demonstration of the recording, streaming, archival, and agenda timestamping features suggested by the Committee.

CONCLUSION

Staff recommends that the JOGC approve the attached Action Plan and recommend the Management of Audio and Visual Recordings Policy for approval by the Board of Retirement and Board of Investments.

Attachments

c: Santos H. Kreimann
Johanna Fontenot

Attachment C
PrimeGov RFI Proposal



**Los Angeles County Employees Retirement Association
(LACERA)**

**RFI: Agenda Management, Livestream, Recording, and
Archiving**

May 15, 2021

LACERA
PO Box 7060
Pasadena, CA 91109-7060

Josh Hurni, Director of Sales
PrimeGov
4250 Drinkwater Blvd, Ste. 300
Scottsdale, AZ 85251



Prime Government Solutions | 4250 Drinkwater Blvd. Suite 300 | Scottsdale AZ 85251 | 1-833-634-6349

May 14, 2021

Letter of Introduction

Dear LACERA,

Thank you for the opportunity to help you upgrade to a cohesive board management system that manages your public meeting processes with the latest, easy-to-use technology. Prime Government Solutions, Inc. ("PrimeGov") is familiar with LACERA's needs in part because we have selectively recruited the most experienced team members in the industry. In fact, we started PrimeGov because we had developed strong relationships with government staff over the years and we were disheartened by the steady decline in the quality of service and the lack of technical innovation by the big software providers in this space.

PrimeGov is different because our only focus is managing the public meeting process. We do not build websites or other non-legislative products. We live to make clerks' lives easier. It's just what we do. Having that focus means that every day our team is in the field with our clients to see and hear for ourselves exactly where the legislative process needs automation. Then, because our development team is not distracted by other products, we quickly build solutions to meet those challenges. A recent example is the ability to send property notices via postcard without ever leaving our system.

Here are some of the many ways we stand above the rest:

- Every member of our executive team and board has **years of experience** working with clerks. Unlike document management companies or private equity firms, we understand the pressure staff is under during a meeting and the need for us to respond quickly, especially when the council and the public are waiting.
- We build our solution on **widely used and supported web applications**. Technology, particularly video, has improved dramatically over the last five years; it no longer makes sense to recreate a video player or storage when Google and Microsoft have spent billions developing and maintaining their products. Our role as a company isn't to recreate the wheel but to adapt software to meet the specific needs of clerks. We offer seamless, superior integrations with popular, easy-to-use products such as Laserfiche, YouTube, Word, Zoom, Chrome, and more.
- Our dedication to delivering the **best solutions specific to local government** frees up our team to develop software relevant to clerks and members of the public looking for



information. This feature, along with our new Quick Voting solution, is why the City of Los Angeles contracted with us to replace four of their existing systems with our one.

- PrimeGov's software is **100% cloud-based** and can be used from any location without a VPN (Virtual Private Network) setup. There are no client-side installations, stream-lining deployment and implementation. PrimeGov's completely virtual environment ensures business continuity even when faced with the toughest externalities, such as a natural disaster or a public health crisis.
- PrimeGov's agenda management system allows for the **instant generation of agenda packets**. Compiling and converting staff reports and attachments into a complete agenda packet can take hours, but with PrimeGov, this important function happens immediately.
- The system does an **automatic check** to ensure that the files of supporting documents function prior to compiling, and if they are corrupt, it identifies the broken file for easy replacement, saving you hours of time otherwise spent searching for the specific file.
- PrimeGov provides **powerful and flexible workflows** that can be set up to automate a number of tasks such as appointing citizens to boards or sending emails to appointees. Furthermore, staff can create a peer review group as part of a workflow that allows reviewing or editing permissions for staff members without disrupting the standard approval process.
- PrimeGov's **agenda solution is directly tied to our committee management tool** and allows for direct item approval through the entire agenda process. This means your workflow and forms controls can be based on specific committee processes. In addition, items can be pushed through the approval process by automation-based approval actions.

We are professionally and personally committed to making LACERA's deployment a success. Our implementation plan, flexible training options, and understanding of your requirements ensure that your system is widely adopted. Once deployment is complete, we'll be there for you with our experienced support staff and stable, modern technology.

We look forward to providing an in-depth demonstration so you can see for yourself how easy PrimeGov is to use and why our experience, technology, and focus on the legislative process make us uniquely capable of meeting LACERA's requirements.

Sincerely,



Tom Spengler, CEO



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Section 1: Administrative Information

PrimeGov works solely with local governments clients, bringing our expertise, understanding, and consultative approach to our vendor/client partnerships. Launched in 2015, PrimeGov has partnered with nearly fifty California customers, including the City of Los Angeles, and several counties in southern California, including Orange and Ventura Counties.

- 1. Name, mailing address, overnight delivery address (if different from mailing address), phone number, fax number, and e-mail of designated point of contact.**

PrimeGov is based at 4250 Drinkwater Blvd., Suite 300, Scottsdale, AZ 85251. Our website is www.primegov.com and our phone number is 1-833-634-6349. We do not have a fax number at this time.

LACERA's point of contact is Joshua Hurni, who can be reached at joshua.hurni@primegov.com and (510) 519-9000.

- 2. Business type (large business, small business, small disadvantaged business, woman-owned small business, very small business, veteran-owned small business, service-disabled veteran-owned small business), and commitment to diversity.**

PrimeGov is a small business comprised of 40 employees. We are a corporation that is committed to diversity in our hiring, employee retention, and promotion practices. PrimeGov is committed to the philosophy of equal opportunity employment and does not discriminate against any employee or applicant on the basis of race, color, ancestry, age, religion, sex, sexual orientation, gender identity or expression, national origin, disability, medical condition, marital status, veteran status, or other non-job-related criteria.

PrimeGov is working to build a company that future generations can be proud of. A company where everyone is welcome. A company where everyone can be themselves and where we are committed to diversity, equity, inclusion, and action.



Section 2: Requested Information

1. Agenda Management: Development/Compilation/Workflow/Amendment

Please see response to #2 below for a full description of our Agenda Automation solution.

2. Paperless Agenda Software

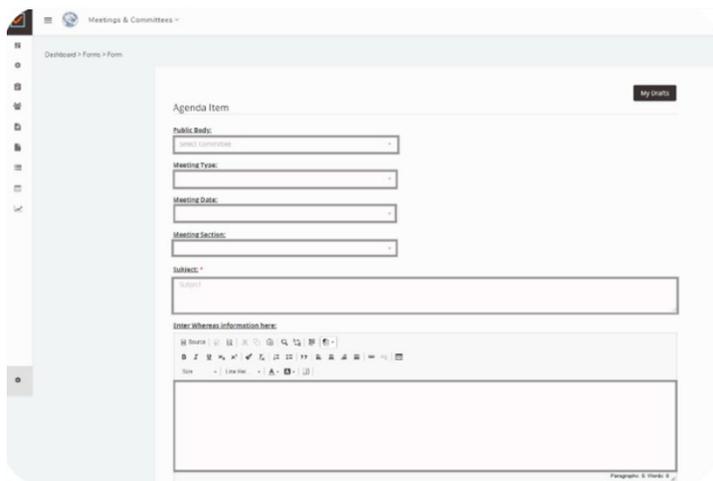
2.1. Annotation/Notes features

We provide full annotation functionality such as highlighting, drawing and sticky note functionality both in our pre meeting process and for board members and staff on the published agenda. We also provide a separate note feature should people decide to take notes in a text box rather than on the agenda item itself.

2.2. IOS Applications

With PrimeGov, you can manage the entire agenda process--from submitting an agenda item for a meeting to ensuring that the item has all the necessary supporting materials to be heard. Agenda items can have pertinent item information tracked, such as: sponsor, background, speaker, and recommendations. All custom fields can be tracked for reporting purposes. Agenda items can be moved or copied to another

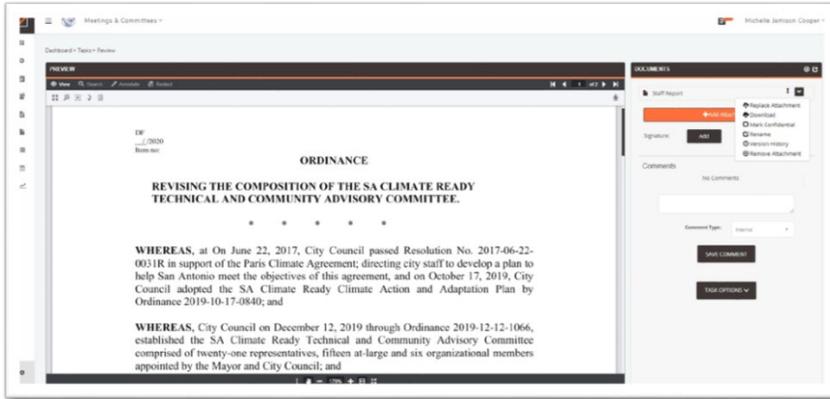
meeting with a full legislative history available. As items are moved, copied or arranged within the meetings, the numbering and formatting of the item is automatically adjusted. This makes last-minute changes simple to handle.



As part of Agenda Automation, PrimeGov

includes electronic forms and our Workflow module. Using this automation, the Client

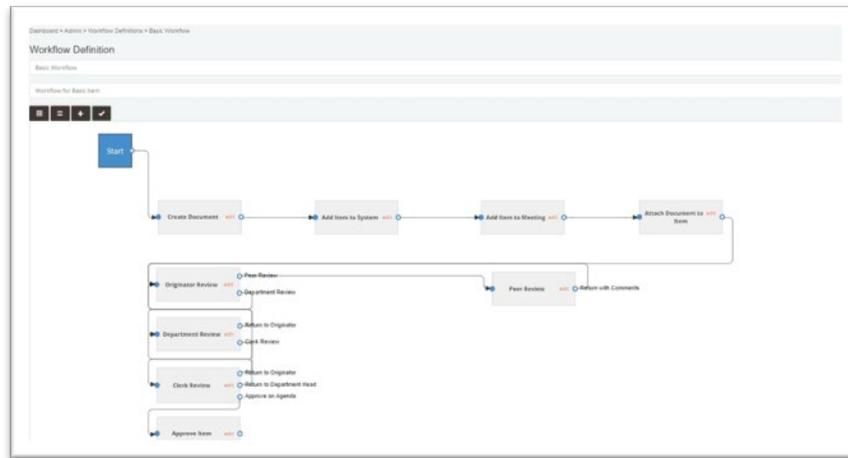
can add an agenda item and send it through an approval process. This automation provides an efficient and trackable way of making sure that an item is properly reviewed and ready to be presented at a meeting.



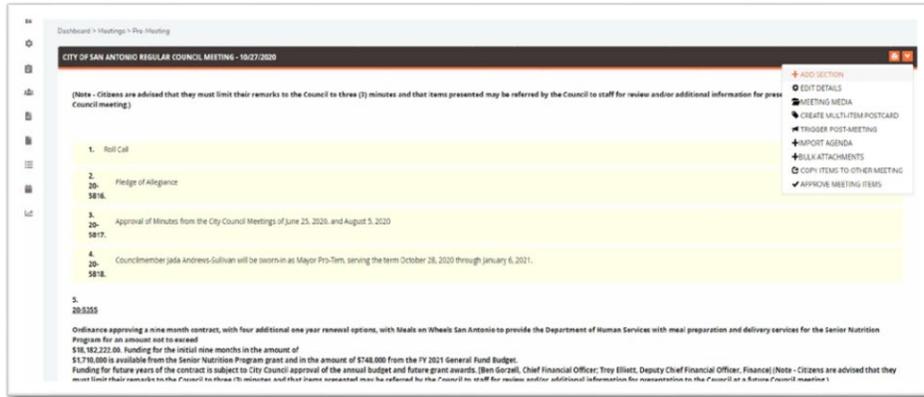
There is no limit to the number of agenda templates that can be created in the solution. Multiple templates can even be created for individual meeting types. For example, there could be a regular meeting and a

closed session meeting for the same body. The Client has complete control of the templates, and how they are formatted.

Documents that are added to an item either directly or through workflow can be in any format and will have OCR performed on them so they can be searched easily. They will also be converted to PDF. There are no proprietary file formats used in the solution.



Once an agenda and all its supporting materials have been added to the system the Client can compile them into a packet with the click of a button. That packet as well as the agenda can be published to the Client website with another click of a button.

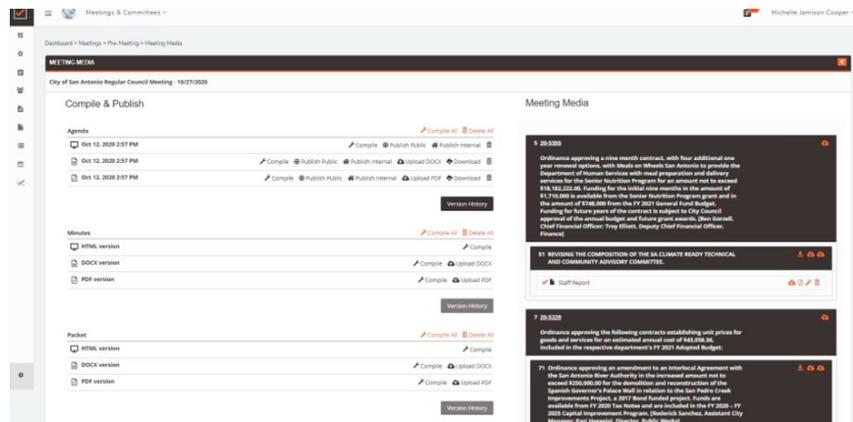


Key Module: Workflow

The PrimeGov Workflow module allows for the automation of virtually any business process. This means that not only can it be used to track and manage the submission of agenda items, but it can also be configured to automate the processes surrounding meeting such as: scheduling, notifications, agenda review, agenda distribution, citizen input, meeting actions, and staff follow up after the meeting.

Features include:

- Automatic initiation of workflow when an action request is submitted electronically
- Easy document routing for review and approval
- Automatic notification via email or workflow queue
- Parallel work process
- User friendly administration
- Unlimited workflows can be created
- Reporting
- Real-time monitoring of flows to show where action requests are in the process



- Deadlines can be set for tasks to be completed

Key Module: Meeting Viewer and Annotations

The PrimeGov Meeting Viewer is provided with the solution. Meeting Viewer allows users to view different document types without having to have the native application on their device. It also allows users to annotate their copy of the agenda and supporting materials. Some of the annotations included are notes, highlighting, redaction, signatures, and more. When a user annotates their copy of the agenda, they will have their annotations on the agenda when they log in for the meeting. Because the PrimeGov solution is 100% web-based and has been designed with mobile-first technology, users can access the system from any device that has a web browser.

3. Posting of Meeting Materials

Our single legislative management solution makes it easy to post meeting materials in both an HTML and PDF format. The system automatically checks supporting documents to make sure the files function and provides clear message if they are corrupt. This makes it easy to replace the bad files directly from the pre posting page rather than having to go back to the item submitter and have them update the file.

Once the agenda is posted, we provide advanced search functionality to make it easy for members of the public to find their information, including full text search and search parameters such as meeting date, body, etc.

4. Electronic/Live Voting

The Meeting Management interface called Meeting Viewer also provides a means for the members to record their vote during a meeting and offers the ability to communicate the voting process of agenda items to the public. This solution allows voting members and support personnel the opportunity to electronically view items and supporting documentation on the agenda and to electronically cast votes on motions. The Voting solution provides an automated and effective approach to recording the events of the meeting to make it easy for the supporting personnel to follow along and manage the meeting as it is in session.

5. Public Comment Features (call-in, written comments)

Improving community engagement options is core to the PrimeGov mission. We believe technology can improve communications between elected officials and their local community. The Community Engagement module includes the following:

Key Feature: Community Comment

This software creates a public portal for citizens to comment on individual agenda items. The comments are text-based and a character limit can be established to replicate the time limit used for public speakers when meetings are in person. All comments will be aggregated into a simple report and provided to elected officials. Comments are not publicly viable until they are published by the agency during or after the meeting.

Key Feature: Community Request-to-Speak

The Request to Speak functionality allows community members to sign up to request to speak for any agenda item. The software will manage the sign-up and provide an ordered list of public speakers that can be called on during the meeting.

6. Livestream (with agenda timestamp) for Audio and Video

The Video/Audio recording is integrated into the live meeting module and allows the video to be easily started, items to be timestamped, and video to be embedded into the public portal and legislative history. All of this is from within the same interface used for running the meeting. The live stream and on-demand recordings are managed through YouTube's powerful distribution platform. One of the advantages to using YouTube is that they provide a free audio-translation component that can be used for closed captions. The Client will need an encoder to stream, but all existing cameras, microphones, etc. will work.

7. Recording/Archive for Audio and Video

7.1. Quality (i.e., HD, others)

We provide full 1080 multi-bite rate HD

7.2. Timestamp

With a simple double click, you can timestamp the video. Our data migration from your current provider will include timestamps.

7.3. Translation Services

We have a number of clients who use our product in conjunction with a translation service. We do not provide translation services ourselves.

7.4. Duration of Archive

Data is hosted until you delete it. We do not delete data.

8. Closed Captioning Features

Clients may choose to take advantage of PrimeGov's cloud-based Live Closed Captioning offering to enhance their meeting videos. Automated closed captioning is available without the purchase of any additional equipment and increases accessibility and transparency for constituents.

The live stream and on-demand recordings are managed through YouTube's powerful distribution platform. One of the advantages to using YouTube is that they provide a free audio-translation component that can be used for closed captions.

9. Management of Closed Session

9.1. Entering and leaving closed session

Typically, people would turn off the cameras and then start a separate closed session meeting. Our granular permissions would allow board members to see confidential information during the closed session meeting. When closed session is over the closed session meeting would be ended in the system and then people would reenter the regular meeting.

9.2. Separate recording of closed sessions when required

In general, closes session meetings are not recorded however we could set it up so that the closed session meeting is recorded locally on the encoder and not live streamed to the public.

10. Company Profile

10.1. Business & Ownership Structure (Public, Private, LLC etc.)

PrimeGov is a small, privately owned corporation that is a subsidiary of Rock Solid Technologies.

10.2. Total Annual Revenue

As a small business, PrimeGov does not publicly disclose this information as it would put us at undue risk and exposure to competitors. We can share this information upon contract award.

10.3. HQ and office locations

PrimeGov is located at 4250 Drinkwater Blvd., Suite 300, Scottsdale, AZ 85251.

10.4. Cloud Infrastructure Partner

All of our data is hosted on Microsoft Azure, which is a Tier 4 data center.

10.5. SoCal presence

We have roughly 25 clients in Southern California, including: the City of Los Angeles, LA Department of Water and Power, the Clean Power Alliance, Orange County, Ventura County, and many other cities.

10.6. Competitive distinction and value proposition versus competitors

Prime Government Solutions (“PrimeGov”) was founded in 2014 when several jurisdictions—dissatisfied with their current agenda management software options—began looking for a company committed to the legislative process. The PrimeGov team came together to solve this problem. We are a group of leaders that have been serving municipal clerks for more than 20 years. We are passionate about providing quality products, world-class customer service, and close collaboration with our clients. We are dedicated to unlocking the potential of municipal governments through technology, to promoting transparency to empower communities, and to fostering civic engagement.

Prior to 2014, our team designed and implemented hundreds of legislative management solutions as founders of Granicus, Inc. Over the years, we have worked hard to develop strong relationships with government staff throughout the US and Canada and we were disheartened to see the steady decline in service quality and the lack of legislative focus by the leading software providers. It's because of this decline that our founder started developing the PrimeGov Legislative Management Suite in February 2015. The goal was to utilize the latest technology, strategic partners, and our decades of experience to bring the best possible legislative management product to market. By building our solution on widely used and supported "commercial" web applications and social media, we have been able to rapidly build a single product that can handle the entire legislative process.

Cities and counties all over the country soon took notice and entered into agreements with us. In the last six years, we have gone from one client to more than sixty of all sizes: from the City of Los Angeles to Oklahoma City to Oviedo, Florida. Some have wondered how we are able to handle such high growth and the answer is our experience, our use of non-proprietary technology, and our total focus on the public meeting process. To illustrate our experience, our Head of Engineering is Javier Muniz, co-founder and CTO of Granicus prior to its acquisition by private equity. Our President, Sherif Agib, started in Granicus customer service nearly 20 years ago and worked his way up to VP of Operations before its sales. The point is simple: we understand the legislative process, we understand the technology, and, most importantly, we understand our clients.

11. Technology and Security

11.1.1. Is your solution a private/dedicated or shared/multi-tenant service?

PrimeGov is a multi-tenant service.

11.1.2. Provider and location of Primary server?

The primary server is located in the Western United States.

11.1.3. Provider and location of Secondary server?

The secondary server is located in the Midwest United States.

11.1.4. Do you offer geographic redundancy?

Yes, this is standard functionality.

11.1.5. Does your solution utilize AI for closed captioning and transcriptions?

Yes, our closed captioning is AI-generated. The City of Los Angeles is an example of client using this service.

11.1.6. Does your live stream player have any dependencies?

The only dependency is a camera, internet connection and the use of the AJA HELO encoder.

11.1.7. Does your video player have any dependencies?

We use an unbranded version of YouTube as our video player.

11.1.8. Does your solution provide an API?

The PrimeGov Legislative Management Suite is driven by Restful Web Services. This allows virtually anyone (other software vendors, open data developers) the Client allows to consume the data available in the system. Access is controlled by the Client and the available “datasets” are published by the Client, just like publishing an agenda.

11.1.9. Do you integrate with Active Directory for user management?

We currently support AD via Office 365 SSO

11.1.10. Do you support MFA?

PrimeGov has application-managed authentication and can use SAML 2.0.

11.1.11. Speak of data archiving and how data destruction is assured?

PrimeGov hosts all data in Azure and all connectivity is managed by the Azure infrastructure automatically. Azure guarantees a permanent data failover PrimeGov follows the standard protocols for recovery stated by Azure.

We do not delete your data. Users with the right permissions within your organization could delete data but we do not delete data. Clients can export data for additional storage. PrimeGov offers configurations for encoder local backup for video content as well as a Laserfiche integration for additional data backup. PrimeGov does not regularly provide clients with local stored copies of data. However, this data can be

made available upon request. Downloads of videos can be attained from YouTube using off the shelf tools.

11.1.12. Describe your disaster recovery and business continuity support. SLA guarantees?

PrimeGov hosts all data in Azure and all connectivity is managed by the Azure infrastructure automatically. Azure guarantees a permanent data failover PrimeGov follows the standard protocols for recovery stated by Azure. PrimeGov uses HTTP2 protocol, so all communication between the client and server is secure and encrypted. For our database, backups and other data at rest, everything is on Azure resources that have automatic encryption on all the elements.

11.1.13. Does your company maintain SSAE18 SOC 1 Type 2 and SOC2 certification? Which audit company is used?

These audits occur regularly on Microsoft Azure. More information can be found here: <https://servicetrust.microsoft.com/ViewPage/MSComplianceGuideV3>.

11.1.14. Are you FEDRAMP & SOCS 2 Certified?

We do not currently hold these certifications.

11.1.15. Do you have Government Licensing available?

PrimeGov works solely with government and so we do not have separate government licensing available.

12. Implementation and Support

12.1.1. Describe your implementation approach and methodology. For an implementation, detail the profile of staff roles/resources needed from us to support the project.

At PrimeGov, we take pride in fully understanding your project before it begins. Before project initiation, we will provide the Client with a project plan and, if requested, a Scope of Work (“SOW”) document to support a clear understanding of the project. Although PrimeGov makes every attempt to provide accurate estimates, it is possible that additional Client requirements or details can emerge. If new requirements are discovered or additional products and/or services are required, it may change the estimated cost and timeline provided.

PrimeGov Implementation: Methods and Stages

PrimeGov's implementation methodology framework includes planning and discovery, implementation, and project closure. The discovery period includes comprehensive review and analyses of the Client's business processes for agenda and management. Additional discovery sessions will be held with subject matter experts to map and document workflows, forms, and documents to drive a successful Configuration period and lead into Training, Go Live, and Transition to the Support team for on-going, long-term support.

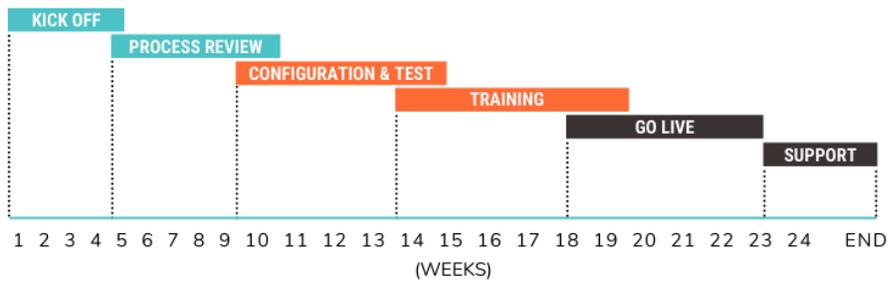


The project will consist of three distinct stages:

1. Planning & Discovery
 - Kick Off
 - Process Review
2. Implementation
 - Configuration & Test
 - Training
3. Project Closure
 - Go Live
 - Transition to Support

Projected Timeline

The estimated project timeline is 24 weeks. The projected timeline can be impacted by changes to the project scope and based on commitments to the general project requirements.



Sample Timeline

The PrimeGov Project Manager will work with the Client team during the Planning and Discovery Phase to identify implementation priorities and may shift the timeline and the timeline duration based on those priorities.

Project Team

PrimeGov’s Project Team includes a dedicated Project Manager, Implementation Consultant, and Technical Lead. Throughout the project, our team’s goal is to ensure a successful, on-time Go Live of the PrimeGov system and long-term successful use. Our team brings industry best practices and product expertise to all sessions to ensure we are meeting your needs and working to simplify and improve processes, workflows, committee management, and meeting management. The PrimeGov Project Manager will be responsible for leading the project to drive dates, deliverables, and completion of the project. The PrimeGov team will partner with the assigned Client Project Manager during the entire project cycle to ensure transparency, accountability, and successful completion of the project.

Client Team

It is important for the Client to create a solid project team for a successful PrimeGov implementation and wide adoption of the solution. Below are the recommended project team roles:

1. **Project Manager:** The Project Manager should be someone who manages the Client team’s performance of project tasks and secures acceptance and approval of deliverables from the Client stakeholders. The Project Manager is responsible for communication, including status reporting, risk management, escalation of issues, and, in general, making sure the project is delivered on schedule and within scope. The Project Manager will have signature authority for the acceptance of deliverables by Client. The Project Manager’s responsibilities will also include, but not be limited to:

- a. Collaboration with PrimeGov resources on the project schedule deliverables;
 - b. Coordination with key stakeholders, representatives, and decision makers;
 - c. Facilitation of timely decision-making and resolution of issues; and
 - d. Coordination of Client resources for decision-making, project management, testing, training, etc.
2. **System Administrator:** The System Administrator should be a person who is closely involved with the legislative process: from the approval process of legislation to the creation of minutes. This person should consider him or herself computer-savvy. The System Administrator is responsible for maintaining the administration tab, managing the configuration of the system, user management, etc. in PrimeGov. The System Administrator’s responsibilities will also include, but not be limited to:
- a. Collaboration with PrimeGov resources on the project schedule deliverables;
 - b. Serving as internal resource to PrimeGov users; and
 - c. Coordination with key stakeholders, representatives, and decision makers.
3. **IT Lead:** The IT Lead works closely with the Project Manager to ensure that PrimeGov is deployed properly and helps solve IT issues that might arise.
4. **Subject Matter Experts:** It is important that Subject Matter Experts—such as the Clerk, department management and staff, and the City Manager—are an integral part of the Project Team to consult on the legislative process of the Council, from the approval process of legislation to the creation of minutes. These people may also be responsible for indexing the recording during the meeting if video/audio recording is involved.
5. **Backup System Administrator:** This Backup System Administrator will serve as support to the System Administrator and preferably has a solid understanding of the legislative process of the Client jurisdiction—from the approval process of legislation to the creation of minutes—as well as a good level of technological skills.

User Testing

PrimeGov’s implementation includes Prime walk-throughs and approvals of the system by the Client for each milestone ("User Acceptance Testing"). Thorough testing is required throughout the project plan prior to designated walk-throughs and approvals ("Sign-Off"). Prior to training and overall project completion, end-to-end

walkthroughs of the system and approval is required during the Implementation Stage.

Testing starts with PrimeGov’s comprehensive testing of each area throughout the configuration. Once testing passes PrimeGov’s standards, the Client and PrimeGov will walk-through the area. After the walk-through, the Client's user groups will spend time—as a group and as individuals—continuing to test all areas of the project prior to moving to the next project milestone. Issues reported are tracked and organized on a templated test case system to ensure transparency and real-time access to updates and improvements. Issues reported will be fixed and feature requests will be documented prior to sign-off.

Prior to Training, extensive end-to-end testing will be completed by the PrimeGov team. We will assign the Client project team members with user acceptance testing for final sign-off and further familiarity with the PrimeGov solution. Training materials are available at this stage to enhance the user testing experience prior to final walk-through and sign-off.

Training Plan

As part of system set-up, PrimeGov offers live training sessions through Zoom. The PrimeGov training package includes up to 15 hours of live training. Our recommended training schedule is a total of 12.5 hours over a four-day period and is organized to train three user groups: System Admins, Clerks/Staff and Council Members.

We also include an additional 2.5 hours that can be used for any additional training needs as determined by the project team. Training hours are valid during the training stage of implementation and expire two weeks after your first live meeting with PrimeGov.

The table in this document summarizes the recommended training schedule including audiences, length, and descriptions for each session. This training package is included in the PrimeGov system set-up fee. In addition to live training, the Client will also have 24/7 access to PDF and video resources in our support knowledgebase.

Live Training Notes

- Trainings are delivered virtually through Zoom and range between 60-120 minutes per session.
- Trainings are recorded for future reference and links to recordings will be provided.

- We recommend users be logged into their PrimeGov accounts to follow along with trainings.
- We recommend System Admins attend all trainings.
- The training schedule outlined below is flexible and can be revised if that is determined to be desirable and/or necessary by the project managers for Client and PrimeGov.

Training Requirements by Audience

- System Admins: 12.5 hours of training sessions. We recommend Admins attend all sessions.
- Clerks/Staff: 8 hours of training sessions.
- Council/Committee Members: One 60-minute training session. Members need their tablet or laptop devices typically used for voting and viewing in documents with them at these trainings.

Training Breakdown

Training Day	Audience(s)	Training Session	Length	Description
1	- System Admins	System Management: Session 1	90 mins	This is the first of two sessions for system administrators only. This training will dive into the Admin area in the PrimeGov system and cover "maintenance" or "system upkeep" responsibilities like updating positions/user access/meeting roles/etc.
		System Management: Session 2	60 mins	This is the second of two sessions for system administrators only. This training will continue from the first admin session.]
2	- Clerks/Staff - System Admins	Building an Agenda: Submitting Items and Managing Task Lists	90 mins	This session will cover all areas of building an agenda before the meeting. We'll start with submitting an agenda item through a form all the way through managing tasks and moving items through the workflow to ultimately make it onto the agenda.
		Finalizing an Agenda and the Live Meeting	90 mins	This session will cover all areas of finalizing and compiling agendas to the public before a meeting. We'll also dive into a live meeting covering your steps right before 'go-live' and during the meeting actions. Come ready to participate and get familiar with the live meeting system.
		Post Meeting Processes	60 mins	This session will cover post-meeting responsibilities. Topics like post-meeting clean up, time stamping videos and compiling Minutes and Packets to publish publicly will all be covered during this session.

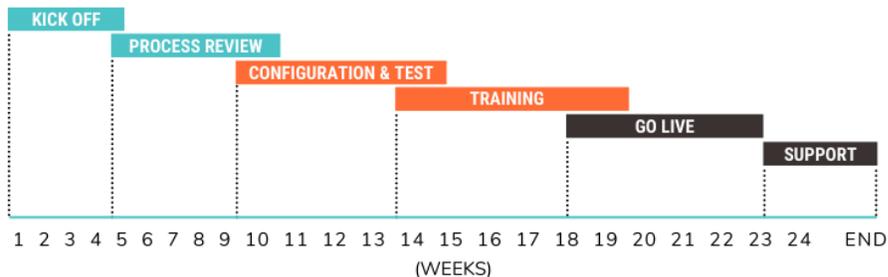
Training Day	Audience	Training Session	Length	Description
3	- Clerks/Staff - System Admins	Mock (short) Live Meeting #1	120 mins	This will be the first of two practice walkthroughs of a live meeting. This is interactive mimicking the behaviors and actions of a meeting like activating items, roll call, minutes and motions, etc. Includes Q/A session.
4	- Council Members <small>*council members attend only 1 session.</small> - System Admins	Council/Committee Member Training (Group #1)	60 mins	This session is for the first group of council and committee members. We will show council members and committee members how to use the PrimeGov system for their meeting participation. We'll cover viewing agenda details along with voting and using Zoom, if you're virtual. Voting devices are required for this session for each member. Each member should attend only one of the council member and committee member trainings. There should be no majority of council members present.
		Council/Committee Member Training (Group #2)	60 mins	This session is for the second group of council and committee members. We will cover the same details as with the first group.
	- Clerks/Staff - System Admins	Mock (short) Live Meeting #2	120 mins	This will be the second of two practice walkthroughs of a live meeting.
Misc.	TBD	TBD	150 mins	This is a 2.5-hour bucket of optional training sessions to be used at the discretion of the project team.

12.1.2. Relate estimates (days) for a typical project.

The estimated project timeline is 24 weeks or approximately 120 business days. The projected timeline can be impacted by changes to the project scope and based on commitments to the general project requirements.

The PrimeGov Project Manager will work with the Client team during the Planning and Discovery Phase to identify implementation priorities and may shift the timeline and the timeline duration based on those priorities.

12.1.3. What is the typical timeline for a Go-Live for a project likes ours?



PrimeGov’s implementation methodology framework includes planning and discovery, implementation, and project closure. The discovery period includes comprehensive review and analyses of the Client’s business processes for agenda and management. Additional discovery sessions will be held with subject matter experts to map and document workflows, forms, and documents to drive a successful Configuration period and lead into Training, Go Live, and Transition to the Support team for on-going, long-term support.



The project will consist of three distinct stages:

Planning & Discovery

- Kick Off
- Process Review

Implementation

- Configuration & Test
- Training

Project Closure

- Go Live
- Transition to Support

12.1.4. Rough estimate in weeks/months.

The estimated project timeline is 24 weeks. The PrimeGov Project Manager will work with the Client team during the Planning and Discovery Phase to identify implementation priorities and may shift the timeline and the timeline duration based on those priorities.

12.1.5. What factors typically impact the success of a project?

PrimeGov’s consultative implementation approach ensures project success, wide internal adoption of the PrimeGov solution, and customer satisfaction.

PrimeGov’s Project Team includes a dedicated Project Manager, an Implementation Consultant, and a Technical Lead. Throughout the project, our team’s goal is to ensure a successful, on-time Go Live of the PrimeGov system and long-term successful use. Our team brings industry best practices and product expertise to all sessions to ensure we are meeting your needs and working to simplify and improve processes, workflows, committee management, and meeting management. The PrimeGov Project Manager will be responsible for leading the project to drive dates, deliverables, and completion of the project. The PrimeGov team will partner with the assigned Client Project Manager during the entire project cycle to ensure transparency, accountability, and successful completion of the project.

The projected timeline can be impacted by changes to the project scope and based on commitments to the general project requirements. The PrimeGov Project Manager will work with the Client team during the Planning and Discovery Phase to identify implementation priorities and may shift the timeline and the timeline duration based on those priorities.

12.1.6. Describe your Help Desk Support organization.

PrimeGov insists that its clients have access to the best customer support in the industry. At PrimeGov, we built our support system with alerts to anticipate any service disruption so that our Customer Success team can address any technical items before they become an issue for our customers. In the case where a Customer discovers an issue, or the Service is unavailable, the Customer should notify the PrimeGov Customer Success team through one of the following channels:

- a. Entering a ticket in the help desk system at support.primegov.com.
- b. E-mailing the Customer Success team directly at support@primegov.com.
- c. Calling the Customer Success team at 1-833-634-6349.

12.1.7. Include details of Level 1, Level 2 and escalation procedures.

The Customer will supply their determined priority for each support item logged in accordance with the following Priority Code:

PRIORITY CODE	DESCRIPTION
P1 - Critical	The problem is impacting all Users by the Service being unavailable with no work-around available.

High	The problem is impacting a significant number of Users and is causing a significant business impact, where there is no work-around available.
Moderate	The problem is impacting a small number of Users and is causing a minor business impact or is causing a significant business impact, but there is a workaround available.
Low	Non-service affecting defect. Non-urgent or cosmetic problems, queries, causing inconvenience only.

A Support Call's Priority Code may be escalated by either the Customer or PrimeGov, if it is found to be more business critical than first realized or if the steps to resolve are proving unsatisfactory. In the event of escalation, the following contacts from PrimeGov should be called:

ROLE	NAME	CONTACT EMAIL
Technical Support Lead	Sydney Erickson	sydney.erickson@primegov.com
Technical Support Director	Larry Thorpe	larry.thorpe@primegov.com
President	Sherif Agib	sherif@primegov.com

12.1.8. Describe your support services.

In addition to the Help Desk Support outlined in 12.1.6, PrimeGov provides a searchable online knowledge base for questions and issue resolution that is available at support.primegov.com. The documentation provided includes product updates, technical assistance, and tutorials. The content is regularly updated and expanded and each article contains links to related articles for increased navigation. The knowledge base is available on the same website as the support ticket management system for ease-of-use.

12.1.9. Hours of operation, contact information, ticket submission, response times, etc.

Regular Support Services are provided between 8:00 am and 6:00 pm Mountain Time, Monday through Friday. On-call and emergency support are provided outside

of regular Support Service hours online and by phone. More specifically, the hours are as follows:

- i. **Call for phone support.** Phone support is available twenty-four (24) hours a day, seven (7) days a week by calling 1-833-634-6349.
- ii. **Enter an issue in the help desk system.** This service is available twenty-four (24) hours a day, seven (7) days a week at support.primegov.com.
- iii. **Email an issue to the Customer Success team.** This service is available twenty-four (24) hours a day, seven (7) days a week.

PrimeGov will aim to provide the Customer with a response within a specific time limit based on the agreed Priority Code of the Support Issue. The following Target Response Times are within the hours of coverage:

PRIORITY CODE	DESCRIPTION	TARGET RESPONSE TIME <
P1	Critical	30 minutes
P2	High	1 hour
P3	Moderate	2 hours
P4	Low	40 hours

12.1.10. Describe how you provide support to our suppliers.

Suppliers typically do not have access to the PrimeGov solution. Theoretically you could set up a supplier as a user in our system for example if you wanted to have outside legal review agenda items as part of the approval process. A staff member would need to seek support from our help desk.

13. Cost

13.1.1. What is the cost for closed captioning?

Closed captioning is based on the number of hours of captioning used on an average month with larger volumes receiving a discount. The rate could vary between \$60 per hour for a small volume of captioning or \$20 per hour for a high volume of captioning.

13.1.2. What is the cost for streaming appliance if required?

\$2000 per encoder

13.1.3. What is the cost of fully managed indexing service?

We can partner with either GovTV or Swaggit for this service.

13.1.4. What is the cost of fully remotely managed multi-camera service?

We can partner with either GovTV or Swaggit for this service.

13.1.5. What is the cost of a hybrid Zoom integrated meeting feature?

Integration with Zoom Business is provided at no additional cost to our video streaming clients.

13.1.6. What is the pricing structure for live streams?

Live streaming pricing is based on operating budget.

13.1.7. What is the pricing structure for hosted videos?

Unlimited hosting is included in the cost of the streaming service.

13.1.8. Is there a setup Fee?

Set up is roughly 20% of the annual recurring service fee.

13.1.9. Are there limits to video storage?

PrimeGov provides unlimited data storage for its clients as part of our standard solution offerings.



Section 3: Contracting Terms and Options

PRIMEGOV SERVICE AGREEMENT (“Agreement”)

THIS AGREEMENT is made on the _____ day of _____ 20____
BETWEEN

1. **PRIME GOVERNMENT SOLUTIONS Inc**, having its principal office at 4250 Drinkwater Blvd., Suite 300, Scottsdale, AZ 85251 (the “Supplier”); and
2. _____, whose registered office is at _____ (the “Customer”)
(and at times referred to in this Agreement as a “party” or “parties”)

BACKGROUND

- A. The Supplier has developed and owns the Service (as defined in clause 1) and has granted to the Customer a non-exclusive license to use such Service solely for Customer’s internal operations and in accordance with the terms and conditions of this Agreement. The terms of this Agreement shall also apply to any updates and upgrades subsequently provided by Supplier to Customer for the Service. Supplier may update the functionality of or make modifications to the Service and user interface of the Service from time to time in its sole discretion and shall not be liable to Customer or to any third party for any modification of the Service. Supplier will use commercially reasonable efforts to notify Customer of any material modifications.
- B. The Customer wishes the Supplier to provide certain support services in respect of the Service in accordance with the provisions set out in Schedule 1 of this Agreement (“Support Services”).

OPERATIVE PROVISIONS

1. DEFINITIONS

In this Agreement the following expressions will have the following meanings unless inconsistent with the context:

“Affiliate”	means any company or non-corporate entity that controls, is controlled by, or is under common control with a party. An entity shall be regarded as in control of another company or entity if it owns or directly or indirectly controls more than 50 per cent. of the voting rights of the other company or entity.
“Application Password”	means any encryption keys, certificates, passwords, access codes, user IDs or other login information provided to or used by Customer for the purpose of accessing and using the Service.
“Business Day”	a day that is not a Saturday, Sunday, or public holiday.
“Client Environment”	means the Customer hardware and software system containing the minimum specification, which the Customer, as advised by Supplier, is required to have to enable the Customer to connect with the Service.
“Customer Data”	means data, information or material provided or submitted by Customer or any User to the Supplier in the course of utilizing the Service.
“Data Controller”	means the party that controls the procedures and purpose of data usage, including collection, modification, storage, and disposal.
“Data Processor”	means the party that processes the data under the Data Controller’s specific instruction.
“Effective Date”	means the date of this Agreement signed by the Supplier and the Customer.
“Intellectual Property Rights”	means all intellectual and industrial property rights of any kind whatsoever, registered or unregistered, including patents, know-how, software, code, intellectual property specifications, design plans, prototypes, drawings, software, software documentation, material, documents, ideas, operations, processes, product information, know how, and the like including mode and procedures of development of source code, registered trademarks, registered designs, utility



	models, applications for and rights to apply for any of the foregoing, unregistered design rights, unregistered trademarks, rights to prevent passing off for unfair competition and copyright, database rights, topography rights, and any other rights in any invention, discovery or process, in each case in all countries in the world and together with all renewals and extensions.
"Personal Data"	means data that is processed by the Supplier on behalf of the Customer in relation to this Agreement and may include any information or data derived from Services that alone or together with any other information relates to an identified or identifiable natural person, or data considered to be personal data as defined under applicable privacy law.
"Pricing Schedule"	means Schedule 2 to this Agreement which sets out the prices and payment terms for the Service.
"Professional Services"	means the general consulting, implementation and/or training services to be provided to Customer.
"Purchase Order"	means a purchase order issued by the Customer to the Supplier for the Service.
"Service"	means Supplier's online software applications purchased by Customer and maintained through Support Services by Supplier including associated offline components and ancillary online or offline services to which Customer is granted access under this Agreement.
"Service Level Commitments"	the service level commitments in respect of the Service to the Customer as more particularly set out in Schedule 1.
"Term"	means the term of this Agreement as specified in clause 3.
"User"	means one (or, if more than one, "Users") of Customer's employees, representatives, consultants, contractors or agents and other persons expressly permitted by Customer in connection with Customer's business affairs who are authorized to use the Service and have been supplied User identifications and passwords by Customer.

2. INTERPRETATION

1. **Person:** The expression "person" means any individual, firm, body corporate, unincorporated association, or partnership, government, state, or agency of a state or joint venture.
2. **Headings:** The index and headings to the clauses, the Appendices and Schedules of this Agreement are for convenience only and will not affect its construction or interpretation.
3. **Statutes:** Any reference to a statute or statutory provision and all regulations and notices made pursuant to it (whether made before or after the date of this Agreement), includes a reference to the same as from time to time amended, modified, extended, re-enacted, consolidated, or replaced provided that amendments, consolidations, modifications, extensions, re-enactments or replacements made after the date of this Agreement will not have substantively changed any provision which is relevant to this Agreement.
4. **Provisions of the Agreement:** Any reference in this Agreement to a clause, Schedule or Appendix is a reference to a clause, Schedule or Appendix of this Agreement and references in any Schedule or Appendix to paragraphs relate to the paragraphs in that Schedule or Appendix. The Schedules and Appendices form part of this Agreement and will have the same force and effect as if expressly set out in the body of this Agreement and any reference to this Agreement will include the Schedules and Appendices.
5. **Writing:** Any references to "writing" or "written" includes references to any communication effected by post, facsimile, email or any comparable means.

3. TERM

1. This Agreement shall unless terminated in accordance with clause 19, commences on the Effective Date and shall continue for an initial period of XXXX (X) years therefrom (the "Initial Term").
2. The term of this Agreement shall automatically extend for a period of one (1) year (the "Extended Term") at the end of the Initial Term and at the end of each Extended Term, unless either party gives written notice to the other party not later than three (3) months before the end of the Initial Term or the relevant Extended Term, to terminate this Agreement at the end of the Initial Term or the relevant Extended Term, as the case may.

4. CUSTOMER USE OF THE SERVICE

1. Supplier grants Customer a license to access and use the Service during the Term via the internet under and subject to the terms of this Agreement. Supplier reserves the right to make changes and updates to the functionality and/or documentation of the Service from time to time.

5. FEES AND PAYMENT

1. Customer agrees to pay fees as set forth in the Pricing Schedule ("Service Fees").
2. The Service Fees are to be paid annually in advance commencing on the Effective Date of this agreement and are non-refundable.

3. The Service Fees shall be billable and payable annually in advance for a twelve (12) month period at a time (a “**Service Year**”) on the anniversary of the Effective Service Date (“**Renewal Date**”) for the first year and for each year thereafter the Service Fees shall be payable annually in advance on each subsequent anniversary of the Renewal Date. One month prior to the expiry of a Service Year (“**Service Year Expiry Date**”) the Service Fees for the Service Year will be invoiced by the Supplier to the Customer in respect of the Service to be provided in the following Service Year. The Customer shall pay the Service Fees on or before the relevant Service Year Expiry Date.
 4. Where any additional Service(s) is acquired by the Customer during the period between one Renewal Date and the next Renewal Date (the “**Installation Year**”) the Service Fees payable shall be calculated pro-rata, from the date of the Purchase Order for the Service(s) in the Installation Year up to the next Renewal Date applicable to Customer’s other Licenses. For all subsequent years thereafter, the Service Fees shall be payable annually in advance on each anniversary of the Renewal Date in accordance with this Agreement.
 5. Where the Supplier performs Professional Services under this Agreement (such as configuration of the Support Service if requested by Customer or migration of Customer Data to the Service), such services shall be invoiced by the Supplier on a time and material basis in accordance with the Supplier’s rates in effect at the time of provision of such services (“**Professional Services Fees**”) unless otherwise agreed in writing between the Parties and will be payable without withholding, deduction or off set of any amounts for any purpose.
 6. The Service Fees and Professional Service Fees do not include local or foreign taxes, duties, fees, and levies imposed from time to time by any government or other authority (“**Taxes**”) and such Taxes, where applicable, will be payable by the Customer on the Service Fees and Professional Services Fees, at the rate applicable at the time of supply of the Service and/or Professional Services.
 7. The Customer shall pay each invoice within thirty (30) days of receipt of this invoice.
 8. Customer agrees to provide Supplier billing and contact information as Supplier may reasonably require. Customer agrees to update this information promptly by means of email to the Supplier and in any case within fifteen (15) days, if there is any change.
- 6. NON-PAYMENT**
1. Customer’s account will be considered delinquent (in arrears) if the Supplier has not received payment in full within thirty (30) days after the due date, and without prejudice to any other rights and remedies of the Supplier;
 2. Interest shall accrue on any payments (or any part thereof) outstanding at a rate of one and a half per cent (1.5%) per month or the highest rate allowed by applicable law, whichever is lower, plus all expenses of collection, including reasonable legal fees and court costs;
 3. Subject to clause 6.4 below, the Supplier may, upon giving ten (10) days written notice but without liability to the Customer, disable/suspend the Customer’s password, account and access to all or part of the Service and the Supplier shall be under no obligation to provide any or all of the Service while the invoice(s) or any part thereof, remains unpaid;
 4. Supplier may in its discretion, decide not to exercise its rights under clause 6.2 (interest) and 6.3 (suspension), if Customer is disputing the applicable Service Fees and/or Professional Services Fees reasonably and in good faith and is cooperating diligently to resolve the dispute.
 5. Supplier reserves the right to impose a reconnection fee if the Service is suspended (as a result of Customer’s breach) but subsequently reinstated.
 6. Without recourse to clause 6.1 (delinquency), Supplier reserves the right to terminate this Agreement if Customer’s account falls into arrears thirty (30) days after the due date.
- 7. RESTRICTIONS ON USE OF THE SERVICE**
1. The Customer may not:
 - 7.1.1 make the Service or use the Service for the benefit of anyone else other than the Customer and the Customer’s Users. Customer shall access and use the Service only to the extent of authorizations acquired by the Customer in accordance with this Agreement (for example the quantity specified in the relevant Purchase Order) and Customer agrees that the Customer is solely responsible for use of the Service by any Users who access and/or use the Service. Customer agrees to immediately notify the Supplier if Customer becomes aware of any loss or theft or unauthorized use of Customer’s account credentials.
 - 7.1.2 sublicense, resell or supply the Service for use in or for the benefit of any other organization, entity, business, or enterprise without Supplier’s prior written consent;
 - 7.1.3 submit to the Service any material that is illegal, misleading, defamatory, indecent or obscene, in poor taste, threatening, infringing of any third-party proprietary rights, invasive of personal privacy, or otherwise objectionable (collectively “**Objectionable Matter**”). Customer will be responsible to ensure that its Users do not submit any Objectionable Matter. In addition, the Supplier may, at its option, adopt rules for permitted and appropriate use and may update them from time to time on the Supplier web site and Customer and Customer’s Users will be bound by any such rules. Supplier reserves the right to remove any Customer Data that constitutes Objectionable Matter or violates any Supplier rules regarding appropriate use but is not obligated to do so. Customer and Customer’s Users will comply with all applicable laws regarding Customer Data and use of the Service.
 - 7.1.4 interfere with or disrupt the integrity or attempt to gain unauthorized access to the Service or the Supplier’s intellectual property therein;
 - 7.1.5 copy the Service or any part, feature, function or user interface thereof;
 - 7.1.6 frame or mirror any part of any Service on any other server or wireless or internet-based device outside of the agreed usage in this contract; or

- 7.1.7 access any part of the Service in order to build a competitive product or service or to build a product using similar ideas, features, functions or graphics of the Service;
2. Supplier reserves the right to disable, suspend or terminate this Agreement for cause in case the Customer breaches the provisions of this clause 7.

8. CUSTOMER DATA

1. The Customer shall own all rights, title and interest in and to all of the Customer Data and shall have sole responsibility for the legality, reliability, integrity, accuracy and quality of the Customer Data.
2. Supplier will use best efforts to provide protection using current technological standards to protect Customer Data against unauthorized disclosure or use.
3. In the event of any loss or damage to Customer Data, the Customer's sole and exclusive remedy shall be for the Supplier to use reasonable commercial endeavors to restore the lost or damaged Customer Data from the latest back-up of such Customer Data maintained by the Supplier. The Supplier shall not be responsible for any loss, destruction, alteration, or disclosure of Customer Data caused by any third party (except those third parties sub-contracted by the Supplier to perform services related to Customer Data maintenance and back-up).
4. Subject to the terms and conditions of this Agreement, Customer grants to Supplier a non-exclusive license to use, copy, store, transmit and display Customer Data to the extent reasonably necessary to provide and maintain the Service.

9. CUSTOMER'S OBLIGATIONS

1. The Customer shall:
 - 9.1.1 provide the Supplier with:
 - (i) all necessary co-operation in relation to this Agreement; and
 - (ii) all necessary access to such information as may be required by the Supplier in order to render the Service, including but not limited to Customer Data, security access information and configuration services;
 - 9.1.2 comply with all applicable laws and regulations with respect to its activities under this Agreement;
 - 9.1.3 carry out all other Customer responsibilities set out in this Agreement in a timely and efficient manner. In the event of any delays in the Customer's provision of such assistance as agreed by the parties, the Supplier may adjust any agreed timetable or delivery schedule as reasonably necessary;
 - 9.1.4 ensure that the Users use the Service in accordance with the terms and conditions of this Agreement and shall be responsible for any User's breach of this Agreement;
 - 9.1.5 obtain and shall maintain all necessary licenses, consents, and permissions necessary for the Supplier, its contractors and agents to perform their obligations under this Agreement, including without limitation the Service;
 - 9.1.6 ensure that its network and systems comply with the relevant specifications provided by the Supplier from time to time;
 - 9.1.7 shall be solely responsible for protecting and safeguarding all Application Passwords, as Customer will be the only party with knowledge of its passwords. If Customer makes such Application Passwords available to any third party, Customer shall be liable for all actions taken by such third party in connection with the Service. Customer shall not disclose or make available the Application Password other than to Customer's authorized employees or contractors, shall use all commercially reasonable efforts to prevent unauthorized access to, or use of, the Application Password and the Service and will notify the Supplier promptly of any such unauthorized access or use and make any disclosures related to such unauthorized access or use which may be required under any applicable laws; and
 - 9.1.8 be solely responsible for procuring and maintaining its network connections and telecommunications links from its systems to the Supplier, and all problems, conditions, delays, delivery failures and all other loss or damage arising from or relating to the Customer's network connections or telecommunications links or caused by the internet.

10. PROFESSIONAL SERVICES

1. Customer may retain Supplier to perform Professional Services as the parties may agree upon in writing ("**Work Order**"). Supplier will use reasonable efforts to carry out the Professional Services stated in the Work Order and to provide any resulting functionality in the Service made available online to Customer and Customer's Users. Except as the parties otherwise agree in a Work Order, Professional Services and the results thereof are made available "AS IS."
2. Unless otherwise agreed in writing either under this Agreement or in the Work Order, Professional Services are provided by Supplier on a time and materials basis. Maintenance and support of code or functionality created by means of Professional Services will likewise be on a Work Order basis under this clause 10 unless otherwise agreed in writing. The code and functionality made or provided under this clause 10 and all proprietary and intellectual property interests therein, will be Supplier's property. Access to the results of Professional Services will be available, subject to any further terms as may be agreed between the parties, as part of the Service during the Term unless otherwise agreed in writing.

11. INTELLECTUAL PROPERTY RIGHTS

1. Customer will not acquire any title copyright or other proprietary rights or Intellectual Property Rights in the Service or to the source code of the Service including in any materials or supporting documentation provided under the Service as provided in this Agreement.
2. The Supplier shall at all times be the sole owner of all title and Intellectual Property Rights emanating from any intellectual property, additional coding, data or patents, any discovery, invention, secret process, development, research or improvement in procedure that may be generated in connection with this Agreement including, but not limited to, any derivative works and Customer-specific enhancements and modifications. All intellectual property and other proprietary rights made, conceived or

developed by the Supplier alone or in connection with the Customer in the course of the supply of the Service shall at all times be and remain the sole and exclusive property of the Supplier along with any improvement of any process, know-how, technology and any other materials in respect of the Service to be provided under this Agreement.

3. The Customer agrees not to remove, modify or use in any way any of Supplier's proprietary marking, including any trademark, product or service names or copyright notice, without the prior written consent of the Supplier.

12. PRIVACY

Supplier agrees to implement its privacy policies in effect from time to time.

13. SERVICE LEVEL WARRANTY

Supplier warrants during the Term of this Agreement that the Service will meet the Service Level Commitment stated in Schedule 1.

14. ADDITIONAL WARRANTIES

Each party represents and warrants that it has the legal power and authority to enter into this Agreement.

15. INDEMNIFICATION

1. Supplier will defend, indemnify, and hold Customer (and its officers, directors, employees and agents) harmless from and against all costs, liabilities, losses, and expenses (including reasonable legal fees) (collectively, "Losses") arising from any third-party claim, suit, action, or proceeding arising from the actual or alleged infringement of any copyright, patent, trademark, or misappropriation of a trade secret by the Service or Supplier Content (other than that due to Customer Data). In case of such a claim, Supplier may, in its discretion, procure a license that will protect Customer against such claim without cost to Customer or replace the Service with a non-infringing Service. THIS CLAUSE 15.1 STATES CUSTOMER'S SOLE AND EXCLUSIVE REMEDIES FOR INFRINGEMENT OR CLAIMS ALLEGING INFRINGEMENT. This indemnity by Supplier shall not apply to the extent that the claim of infringement of Intellectual Property Rights arose as a result of i) any negligent act or omission or willful misconduct of the Customer pursuant to this Agreement; (ii) any misuse or modification of the Service by the Customer, including, but not limited to the Customer's use of the Service in a manner inconsistent with information, directions, specifications, or instructions provided and approved by Supplier; (iii) the Customer's use of the Service in combination or conjunction with any product, service, device, or method not owned, developed, furnished, recommended, or approved by Supplier; (iv) the combination, operation or use of the Service with non-Supplier programs, data, methods or technology if such infringement would have been avoided without the combination, operation or use of the Service with other programs, data, methods or technology, or (v) Customer's breach of any of the provisions of section 7 of this Agreement.
2. Customer will defend, indemnify, and hold Supplier (and its officers, directors, employees and agents) harmless from and against all Losses arising out of or in connection with a claim, suit, action, or proceeding by a third party (i) alleging that the Customer Data or other data or information supplied by Customer infringes the intellectual property rights or other rights of a third party or has caused harm to a third party or (ii) arising out of breach of clause 7 above.
3. Customer will defend, indemnify, and hold Supplier (and its officers, directors, employees and agents) harmless from any expense or cost arising from any third-party subpoena or compulsory legal order or process that seeks Customer Data and/or other Customer-related information or data, including, without limitation, prompt payment to Supplier of all costs (including legal fees) incurred by Supplier as a result. In case of such subpoena or compulsory legal order or process, Customer also agrees to pay Supplier for its staff time in responding to such third-party subpoena or compulsory legal order or process at Supplier's then applicable hourly rates.
4. In case of any claim that is subject to indemnification under this Agreement, the party that is indemnified ("Indemnitee") will provide the indemnifying party ("Indemnitor") reasonably prompt notice of the relevant claim. Indemnitor will defend and/or settle, at its own expense, any demand, action, or suit on any claim subject to indemnification under this Agreement. Each party will cooperate in good faith with the other to facilitate the defense of any such claim and will tender the defense and settlement of any action or proceeding covered by this clause 15 to the Indemnitor upon request. Claims may be settled without the consent of the Indemnitee, unless the settlement includes an admission of wrongdoing, fault, or liability.

16. DISCLAIMERS AND LIMITATIONS

1. Except with regard to Customer's payment obligations under clause 5 and with regard to either party's indemnification obligations under clause 15, in no event will either party's aggregate liability exceed the Service Fees due for the preceding twelve (12) month period at the time of the event or circumstance giving rise to such claim. Except in regard to Customer's breach of clause 7, in no event will either party be liable for any indirect, special, incidental, consequential damages of any type or kind (including, without limitation, loss of data, revenue, profits, use or other economic advantage).
2. The Supplier is not responsible for any defects or damages resulting from Customer's or Customer's agents or employees mishandling, abuse, misuse, accident, or Force Majeure. The Customer agrees to inform the Supplier of any Customer system change that may reasonably be expected to affect the Supplier's ability to provide the Service and shall notify the Supplier of any change to its IT configuration affecting the Services. The Supplier shall not be held responsible for the availability of telephone lines, the Internet, electricity, or servers outside its reasonable control. The Supplier provides no warranty or guarantee in relation to speed of delivery of the Service, including the speed of any restores. The speed of delivery of the Service is dependent on factors outside the control of the Supplier including inter alia the speed, functionality and condition of the Customer's IT infrastructure, the amount of data being restored and/or the bandwidth of the Customer's internet connection. Any errors caused arising from the inadequacy or defectiveness of the Customer's IT infrastructure and/or the connectivity and bandwidth of the Customer's internet connection may affect the delivery of the Service including the performance of any restores. The Supplier will notify

Customer of any technical failures in respect of delivery of the Service of which it is aware and subject to the terms of the Service Level Commitments, will endeavor to work with Customer to assist with rectification of any such failures. Customer acknowledges that changes may be required to the Customer's IT infrastructure and/or to its internet connectivity including its bandwidth capacity or otherwise to improve the speed, performance and/or delivery of the Service. Customer shall be responsible for the cost of any such changes. Any administrative and technical notifications in respect of the delivery of the Service will be sent by email to the Customer.

3. Except as set forth in the Service Level Commitments, the Supplier makes no warranty that the Service will be uninterrupted, timely, secure or error free. The Supplier expressly disclaims all liability howsoever arising from any change made to the Customer's IT configuration of the Client Environment of which Customer has not notified the Supplier in writing. No statement, whether oral or written, obtained by Customer from the Supplier shall create any warranty not expressly made herein.
4. The Customer recognizes that the Internet consists of multiple participating networks that are separately owned and not subject to the Supplier's control. The Customer agrees that the Supplier shall not be liable for damages incurred or sums paid when the Service is temporarily or permanently unavailable due to malfunction of, or cessation of, internet services by networks or Internet service providers not subject to the Supplier's control, or for transmission errors in, corruption of, or the security of the Customer Data or data transmitted through the Service carried on such networks or Internet service providers. The Supplier shall have no liability hereunder for damages incurred or sums paid due to any fault of Customer or any third party, or by any harmful components (such as computer viruses, worms and computer sabotage). The Supplier is not liable for any breach of security on the Customer's network, regardless of whether any remedy provided in this Agreement fails in its essential purpose.
5. THE WARRANTIES EXPRESSLY STATED IN THIS AGREEMENT ARE THE SOLE AND EXCLUSIVE WARRANTIES OFFERED BY SUPPLIER. THERE ARE NO OTHER WARRANTIES OR REPRESENTATIONS, EXPRESS OR IMPLIED, INCLUDING WITHOUT LIMITATION, THOSE OF MERCHANTABILITY OR FITNESS FOR A PARTICULAR PURPOSE. THE SERVICES ARE PROVIDED TO CUSTOMER ON AN "AS IS" AND "AS AVAILABLE" BASIS. CUSTOMER ASSUMES ALL RESPONSIBILITY FOR DETERMINING WHETHER THE SERVICE OR THE INFORMATION GENERATED THEREBY IS ACCURATE OR SUFFICIENT FOR CUSTOMER'S PURPOSES.

17. CONFIDENTIALITY

1. "Confidential Information" means non-public information, technical data or know-how of a party and/or its Affiliates, which is furnished to the other party in written or tangible form in connection with this Agreement. Oral disclosure will also be deemed Confidential Information if it would reasonably be considered to be of a confidential nature or if it is confirmed at the time of disclosure to be confidential.
2. Notwithstanding the foregoing, Confidential Information does not include information which is: (i) already in the possession of the receiving party and not subject to a confidentiality obligation to the providing party; (ii) independently developed by the receiving party; (iii) publicly disclosed through no fault of the receiving party; (iv) rightfully received by the receiving party from a third party that is not under any obligation to keep such information confidential; (v) approved for release by written agreement with the disclosing party; or (vi) disclosed pursuant to the requirements of law, regulation, or court order, provided that the receiving party will promptly inform the providing party of any such requirement and cooperate with any attempt to procure a protective order or similar treatment.
3. Neither party will use the other party's Confidential Information except as reasonably required for the performance of this Agreement. Each party will hold in confidence the other party's Confidential Information by means that are no less restrictive than those used for its own confidential materials. Each party agrees not to disclose the other party's Confidential Information to anyone other than its employees or subcontractors who are bound by confidentiality obligations and who need to know the same to perform such party's obligations hereunder. The confidentiality obligations set forth in this clause 17 will survive for five (5) years after the termination or expiration of this Agreement.
4. Upon termination or expiration of this Agreement, except as otherwise agreed in writing or otherwise stated in this Agreement, each party will, upon the request of the disclosing party, either: (i) return all of such Confidential Information of the disclosing party and all copies thereof in the receiving party's possession or control to the disclosing party; or (ii) destroy all Confidential Information and all copies thereof in the receiving party's possession or control. The receiving party will then, at the request of the disclosing party, certify in writing that no copies have been retained by the receiving party, its employees or agents.
5. In case a party receives legal process that demands or requires disclosure of the disclosing party's Confidential Information, such party will give prompt notice to the disclosing party, if legally permissible, to enable the disclosing party to challenge such demand.

18. DATA PROTECTION

1. The parties agree that the Customer is the Data Controller and the Supplier is the Data Processor in respect of any Personal Data.
2. The Supplier will:
 - 18.2.1 take appropriate technical and organizational measures against unauthorized or unlawful processing of, and accidental loss or destruction of, or damage to, Personal Data, having regard to the state of technological development and the cost of implementing any measures, to ensure a level of security appropriate to the harm that might result from such unauthorized or unlawful processing, accidental loss, destruction or damage and the nature of the Personal Data;
 - 18.2.2 only process Personal Data in accordance with instructions from the Customer and the Customer shall not provide the Supplier access to sensitive personal information that imposes specific security data security obligations for the processing of such data.; and
 - 18.2.3 take reasonable steps to ensure the reliability of its employees who have access to the Personal Data.

19. TERMINATION

1. If a party:

- a. commits a material breach of this Agreement which cannot be remedied; or
 - b. commits a material breach of this Agreement which can be remedied but fails to remedy that material breach within sixty (60) days of a written notice setting out the breach and requiring it to be remedied being given by the other party (or such longer period where agreed between the parties.

the other party may terminate this Agreement immediately by giving not less than sixty (60) days' written notice to that effect to the party in breach. A breach can be remedied if the party in breach can comply with the relevant obligation in all respects other than as to time of performance unless time of performance of such obligation is of the essence. This clause 19.1 will not apply to any failure by the Customer to make any payment due to the Supplier under this Agreement on or before the due date. Clause 19.2 will apply instead to any such failure.
2. The Supplier may terminate this Agreement by giving not less than thirty (30) days' written notice to that effect to the Customer if the Customer fails to make any payment due to the Supplier under this Agreement within sixty (60) days after the relevant due date for payment.
3. Either party may terminate this Agreement immediately by giving written notice to that effect to the other party if the other party becomes insolvent. Each party will notify the other party immediately upon becoming insolvent.
4. If an application for an administration order, a notice of intention to appoint an administrator or a winding up petition is the only grounds for giving notice to terminate, that notice will be deemed to be ineffective if:
 1. in the event of an application for an administration order being made, that application is withdrawn or dismissed within ten (10) Business Days of being made;
 2. in the event of a notice of intention to appoint an administrator being filed, no administrator is appointed within ten (10) Business Days of the notice being filed; or
 3. in the event of a winding up petition being presented, that petition is withdrawn or dismissed prior to advertisement and within ten (10) Business Days of presentation.
5. The Supplier's rights of termination set out in this Agreement are in addition to and not in substitution for any rights of termination which may exist at common law.
6. Termination of this Agreement for any reason, shall not affect the accrued rights, remedies, obligations or liabilities of the parties existing at termination.

20. CONSEQUENCES OF TERMINATION

1. The termination of this Agreement howsoever arising is without prejudice to the rights, duties and liabilities of either party accrued prior to termination.
2. If the Supplier terminates or suspends the Service under this Agreement, Customer must pay within thirty (30) days all Service Fees and Professional Services Fees that have accrued prior to such termination or suspension, as well as any fees that remain unpaid for the Service up to date of termination or suspension plus related taxes and expenses. If the Agreement is terminated by Customer for any reason other than a termination expressly permitted by the Agreement, Customer agrees that the Supplier shall be entitled to the Service Fees payable for the Service under the Agreement for the entire Initial Term or if terminated during an Extended Term, the Service Fees payable for the entire Extended Term, unless a provision to the contrary is stipulated in the Agreement.
8. The clauses in this Agreement which expressly or impliedly have effect after termination will continue to be enforceable notwithstanding termination.
9. The Customer shall not be entitled on or after the termination of this Agreement for any reason whatsoever to a rebate of any Service Fees paid in advance of their due date.
10. On termination of this Agreement howsoever arising the Customer will at the direction of the Supplier return to the Supplier any documents in its possession or control which contain or record any Confidential Information.

21. FORCE MAJEURE

1. Neither party to this Agreement will be deemed to be in breach of this Agreement or otherwise liable to the other party in any manner whatsoever for any failure or delay in performing its obligations under this Agreement due to Force Majeure, provided that it has complied and continues to comply with its obligations set out in clause 21.2. "Force Majeure" means in this Agreement catastrophic events of environmental and unforeseen nature. Examples defined as Force Majeure include, but are not limited to, hurricanes, tornados, earthquakes, and others of like unforeseen environmental impacts.
2. If a party's performance of its obligations under this Agreement is affected by Force Majeure:
 1. it will give written notice to the other party, specifying the nature and extent of the Force Majeure, within seven days of becoming aware of the Force Majeure and will at all times use all reasonable endeavors to bring the Force Majeure event to an end and, whilst the Force Majeure is continuing, to mitigate its severity, without being obliged to incur any expenditure;
 2. subject to the provisions of clause 21.3, the date for performance of such obligation will be deemed suspended only for a period equal to the delay caused by such event; and
 3. it will not be entitled to payment from the other party in respect of extra costs and expenses incurred by virtue of the Force Majeure.
3. If the Force Majeure in question continues for more than three (3) months a party may give written notice to the other to terminate this Agreement. The notice to terminate must specify the termination date, which must not be less than fifteen (15) days and once such notice has been validly given, this Agreement will terminate on that termination date.
4. If the Agreement is terminated in accordance with clause 21.3, then neither party will have any liability to the other except that rights and liabilities which accrued prior to such termination will continue to exist.

22. EMPLOYEES NON-SOLICITATION

1. Notwithstanding any degree of supervision exercised by either party over employees of the other, in no circumstances will the relationship of employer and employee be deemed to arise between either party and an employee of the other.
2. Unless this Agreement is earlier terminated by reason of the Supplier's Insolvency ("Insolvency Event") when no such restrictions shall apply, during the term of this Agreement and for a period of six months after its termination, Customer will not and will ensure that its Affiliates will not, directly or indirectly, without the prior written consent of the other, solicit, or permit any of its group companies to solicit or entice, the employment of any person who is employed by the other party or any of its group companies and whose role either wholly or partly relates to the provision of the Service or the performance of this Agreement. For the purposes of this clause 22, "solicit" or "entice" means the soliciting or enticing of such person with a view to engaging such person as an employee, director, subcontractor, consultant or independent contractor or through a company owned by such person or his or her family but will not apply in the case of any such person responding without enticement to a job advertisement which is capable of being responded to by members of the public (or sections thereof) generally.
3. In such circumstances where the Supplier suffers an Insolvency Event, nothing in this clause 22 will prohibit the Customer from soliciting or enticing or attempting to solicit or entice the employment of any of the key personnel for the duration of that Insolvency Event.

23. ASSIGNMENT

1. Either party may assign, novate or deal in any other manner with any of its rights and obligations under this Agreement.
2. Subject to the foregoing, this Agreement will be binding upon, and inure to the benefit of the parties and their respective successors and permitted assigns.

24. NOTICES

1. Notices will be in writing, in the English language, marked for the attention of the specified representative of the party to be given the notice or communication and:
 1. sent by pre-paid first-class post to that party's address;
 2. sent by e-mail to that party's e-mail address (with a copy sent by pre-paid to that party's address within twenty-four (24) hours after sending the e-mail).

The address, e-mail address and representative for each party are set out below and may be changed by that party giving at least five (5) Business Days' notice in accordance with this clause 24:

Prime Government Solutions Inc.
3429 Derry Street
Harrisburg, PA 17111

Attention of:

Attention of: **PrimeGov Finance**
billing@primegov.com

2. Any Notice given in accordance with 24.1 will be deemed to have been served:
 1. if given as set out in clause 24.1.1 at 9.00 am on the second Business Days after the date of posting; or
 2. if given as set out in clause 21.2.3, at the time of sending (except that if an automatic electronic notification is received by the sender within twenty-four (24) hours after sending the e-mail informing the sender that the e-mail has not been delivered to the recipient or that the recipient is out of the office, that e-mail will be deemed not to have been served).

25. RELIANCE ON REPRESENTATIONS

1. The Customer acknowledges that this Agreement has not been entered into wholly or partly in reliance on, nor has the Supplier given or made, any warranty, statement, promise or representation other than as expressly set out in this Agreement.
2. Nothing in this clause 25 will exclude any liability which one party would otherwise have to the other party in respect of any statements made fraudulently.

26. SET-OFF OR WITHHOLDING

All payments to be made by the Customer to the Supplier under this Agreement will (in the absence of express written agreement from the Supplier) be made in full without any set-off, restriction or condition and without any deduction or withholding for or on account of any counterclaim or any present or future taxes, levies, duties, charges, fees, deductions or withholdings of any nature unless the Customer is required by law to make any such deduction or withholding and Customer has given prior notification to Supplier of such legal obligations on the Customer's part.

27. ENFORCEMENT BY THIRD PARTIES

The terms and conditions of this Agreement are for the sole benefit of the parties and nothing herein will be construed as giving any rights to any person or party not a party to it.

28. INVALIDITY/SEVERABILITY

If any clause or part of this Agreement is found by any court, tribunal, administrative body or authority of competent jurisdiction to be illegal, invalid or unenforceable then that provision will, to the extent required, be severed from this Agreement and will be ineffective

without, as far as is possible, modifying any other clause or part of this Agreement and this will not affect any other provisions of this Agreement which will remain in full force and effect.

29. VARIATION

This Agreement may only be varied or amended in writing and signed by the parties or their authorized representatives of each of the parties.

30. WAIVER

No failure or delay by the Supplier to exercise any right, power or remedy will operate as a waiver of it nor will any partial exercise preclude any further exercise of the same, or of some other right, power or remedy.

31. DISPUTE RESOLUTION

1. If a dispute arises out of or in connection with this Agreement or the performance, validity or enforceability of it (“Dispute”) then, except as expressly provided in this Agreement, the parties shall follow the dispute resolution procedure set out in this clause 31.
2. The parties will initially seek to resolve the Dispute through discussion and negotiation in good faith between the appropriate officers of the parties. If the Dispute is not resolved, through discussion and negotiation under this section, within thirty (30) days (or such alternative time period as may be agreed between the Parties), the following procedure will apply:-
 1. Any dispute relating to the terms, interpretation or performance of this Agreement (other than claims for preliminary injunctive relief or other pre-judgment remedies) will be resolved at the request of either party through binding arbitration. Arbitration will be conducted under the rules and procedures of the American Arbitration Association (“AAA”). The parties will request that AAA appoint a single arbitrator. Judgment on the arbitrator’s award may be entered in any court having jurisdiction. In the event any provision of this Agreement is held by a tribunal of competent jurisdiction to be contrary to the law, the remaining provisions of this Agreement will remain in full force and effect and an enforceable provision that most closely reflects the parties’ intent will be substituted for the unenforceable provision. The waiver of any breach or default of this Agreement will not constitute a waiver of any subsequent breach or default, and will not act to amend or negate the rights of the waiving party.

32 GOVERNING LAW AND JURISDICTION

- 32.1** The formation, existence, construction, performance, validity and all aspects whatsoever of this Agreement or of any term of this Agreement will be governed by the laws of the State of Utah.
- 32.2** The courts of Salt Lake City, Utah will have non-exclusive jurisdiction to settle any disputes which may arise out of or in connection with this Agreement. The parties irrevocably agree to submit to that jurisdiction except that either party may seek injunctive relief in any court of competent jurisdiction.

33 MERGER AND MODIFICATION

This Agreement, including the attached documents, constitutes the entire agreement between the parties. There are no understandings, agreements, or representations, oral or written, not specified within this Agreement. This Agreement may not be modified, supplemented, or amended, in any manner, except by written agreement signed by both parties.

34 INTERLOCAL AGREEMENT

This Agreement may be extended for use by other municipalities and governmental agencies upon execution of an addendum or other signed writing setting forth all of the terms and conditions for such use, including the products and services and fees applicable thereto. Any such usage by other entities must be in accordance with the code, charter, and/or procurement rules and regulations of those respective governmental entities.

35 NONDISCRIMINATION AND COMPLIANCE WITH LAWS

Supplier agrees to comply with all applicable laws, rules, regulations, and policies, including those relating to nondiscrimination, accessibility, and civil rights. Supplier agrees to timely file all required reports, make required payroll deductions, and timely pay all taxes and premiums owed, including sales and use taxes and unemployment compensation and workers’ compensation premiums. Supplier shall have and keep current at all times during the term of this Agreement all licenses and permits required by law.

SIGNED BY the parties on the date stated at the beginning of this Agreement.

CUSTOMER NAME

PRIMEGOV

.....
Authorized Signature

.....
Authorized Signature

.....
Print Name/Title

Sherif Agib/President
Print Name/Title



SCHEDULE 1 – Support Services Contract

This Support Services Contract describes the expected performance of the PrimeGov Service, the procedures for reporting an issue, and expected turnaround time on issues reported.

1. **Service Uptime Target.** PrimeGov has a target uptime of >99.95% measured on a monthly basis. This time excludes any planned maintenance that have been identified to the Customer. PrimeGov shall give a minimum of two (2) business days’ notice for planned maintenance updates. Planned maintenance will be targeted to occur between 12:00 a.m. (midnight) to 03:00 a.m. Mountain Time on Friday. Update notes are published as part of the maintenance notification, highlighting new features, improvements, and bug fixes. Maintenance time frames are subject to change by PrimeGov, and proper notification is provided to the Customer within the minimum two (2) business day period.

2. **Reporting an Issue.**

a. **Contact Details.** At PrimeGov, we built our support system with alerts to anticipate any service disruption so that our Customer Success team can address any technical items before they become an issue for our customers. In the case where a Customer discovers an issue, or the Service is unavailable, the Customer should notify the PrimeGov Customer Success team through one of the following channels:

- i. Entering a ticket in the help desk system at support.primegov.com.
- ii. E-mailing the Customer Success team directly at support@primegov.com.
- iii. Calling the Customer Success team at 1-833-634-6349.

b. **Hours of Coverage.** Regular Support Services are provided between 8:00 am and 6:00 pm Mountain Time, Monday through Friday. On-call and emergency support are provided outside of regular Support Service hours online and by phone. More specifically, the hours are as follows:

- i. **Call for phone support.** Phone support is available twenty-four (24) hours a day, seven (7) days a week by calling 1-833-634-6349.
- ii. **Enter an issue in the help desk system.** This service is available twenty-four (24) hours a day, seven (7) days a week at support.primegov.com.
- iii. **Email an issue to the Customer Success team.** This service is available twenty-four (24) hours a day, seven (7) days a week.

c. **Customer Priority Identification.** The Customer will supply their determined priority for each support item logged in accordance with the following Priority Code:

PRIORITY CODE	DESCRIPTION
P1 - Critical	The problem is impacting all Users by the Service being unavailable with no work-around available.
P2 - High	The problem is impacting a significant number of Users and is causing a significant business impact, where there is no work-around available.
P3 - Moderate	The problem is impacting a small number of Users and is causing a minor business impact or is causing a significant business impact, but there is a workaround available.
P4 - Low	Non-service affecting defect. Non-urgent or cosmetic problems, queries, causing inconvenience only.

3. **Resolving an Issue**

a. **Steps to Resolution.**

- i. PrimeGov Customer Success staff will analyze the issue and revert to the Customer with an assessment of the issue.
- ii. The issue will then result in one of the following actions:
 - 1. The PrimeGov Customer Success staff will send a set of steps to close the issue with associated times.
 - 2. PrimeGov Customer Success staff will ask for more clarification/ information on the issue.
 - 3. PrimeGov Customer Success staff may discuss the priority of the issue.
 - 4. The Customer and the PrimeGov Customer Success staff will mutually agree to close or reprioritize an issue.
- iii. If a support issue is closed because it has been successfully resolved, then PrimeGov Customer Success staff will provide a brief description of the final solution to the Customer.

b. **Target Response Time.** PrimeGov will aim to provide the Customer with a response within a specific time limit based on the agreed Priority Code of the Support Issue (a “**Target Response Time**”). The following Target Response Times are within the hours of coverage:

PRIORITY CODE	DESCRIPTION	TARGET RESPONSE TIME <
P1	Critical	30 minutes



P2	High	1 hour
P3	Moderate	2 hours
P4	Low	40 hours

4. **Problem Escalation.** A Support Call's Priority Code may be escalated by either the Customer or PrimeGov, if it is found to be more business critical than first realized or if the steps to resolve are proving unsatisfactory. In the event of escalation, the following contacts from PrimeGov should be called:

ROLE	NAME	CONTACT EMAIL
Technical Support Lead	Sydney Erickson	sydney.erickson@primegov.com
Technical Support Director	Larry Thorpe	larry.thorpe@primegov.com
President	Sherif Agib	sherif@primegov.com

5. **Minor Enhancements.** Requests by the Customer for minor enhancements or changes to the Service not relating to a defect or error inherent in the Service will be considered on a case-by-case basis and will be included under this Agreement at the sole discretion of PrimeGov if in the PrimeGov software product roadmap.

6. **Knowledge Base.** PrimeGov provides a searchable online knowledge base for questions and issue resolution is available at support.primegov.com. The documentation provided includes product updates, technical assistance, and tutorials. The content is regularly updated and expanded and each article contains links to related articles for increased navigation. The knowledge base is available on the same website as the support ticket management system for ease-of-use.

7. **Exclusions**

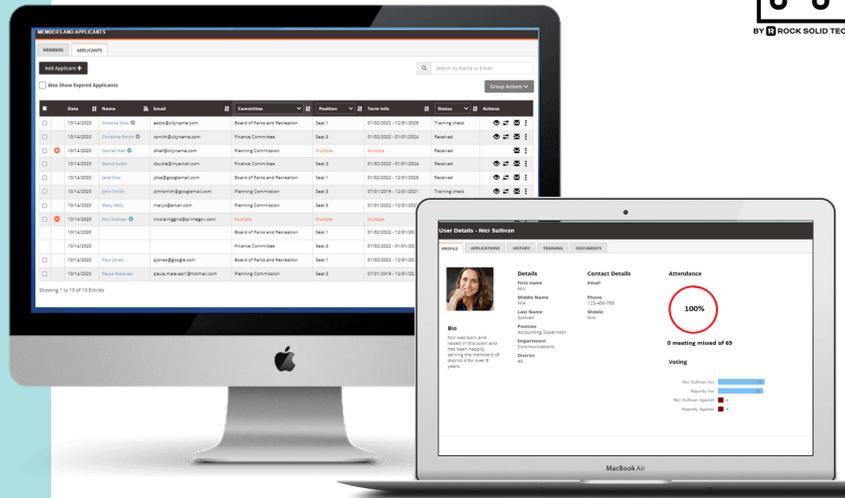
- a. Requests by the Customer for significant enhancements or changes to the Service not relating to a defect or error inherent in the Service will be excluded from this Agreement and will be managed separately.
- b. PrimeGov is only obliged to provide the Support Services with respect to the then current version of the Service. If PrimeGov provides Support Services for older versions/releases, this is done without obligation on an "as-is" basis at PrimeGov's sole discretion and without any service level applying and PrimeGov may make the provision of further Support Services for older versions of the Service subject to the payment of additional fees.
- c. Any alteration, modification or maintenance of the Service by the Customer or any third party which has not been authorized in writing by PrimeGov.
- d. Any failure by the Customer to implement any recommendations, solutions to faults, problems or updates previously advised or delivered by PrimeGov to the Customer.
- e. Either Party being subject to Force Majeure.
- f. The Customer's failure, inability or refusal to allow PrimeGov's personnel proper and uninterrupted access to the Service.

PrimeGov Solution



PrimeGov:

PrimeGov empowers local governments to optimize and digitize their agenda, meeting, and committee management processes with a single end-to-end cloud-based solution. With PrimeGov, you can seamlessly host hybrid meetings with remote voting capabilities, therefore, saving time, increasing efficiency, and promoting transparency with your constituents.



Our Solution Helps You:



Save Time

Save time by optimizing your agenda management processes with a single end-to-end solution.



Enhance Accuracy

Our comprehensive workflow system ensures accuracy by reducing document review time.



Increase Efficiency

Eliminate hours spent gathering, printing, and distributing meeting packages. Standardize and digitize your processes in a single, secure platform.



Promote Transparency

Empower your constituents to access and consume all the meeting documents at any time at their discretion. Increase constituent involvement through virtual meetings and video streaming.



Productive Collaboration

Increase productive collaboration with internal stakeholders by seamlessly working on agenda creation processes.



Product Modules

Agenda Automation

Manage agenda items from beginning to end and track them throughout the entire journey. Create agendas, packets and summaries with a single click.

Meeting Management

Seamlessly manage your pre-meeting, during meeting, and post-meeting activities with a single interface.

Committee Manager

An end-to-end solution tailored to save you time and end your dependency on spreadsheets for applicant tracking.

Community Engagement

Connect the public and government through automatic website and social media updates during meetings.

Video Streaming

Get citizens involved in the democratic process with live stream videos and on-demand recordings of public meetings and events.

Single End-to-End Solution

Pre-Meeting

- Customizable templates for your agenda documents
- Create and manage as many meeting types as you need
- Easily reschedule items and adjust your agenda
- Add and manage positions and terms of service for all members in all committees

During Meeting

- Record motions, minutes, actions, and notes on an item
- Manage speaker list and timer
- Quick motion shortcuts and block voting capabilities to maximize meeting efficiency
- Allow elected officials to vote digitally for both in person and virtual meetings

Post-Meeting

- Update meeting minutes and information immediately
- Generate comprehensive reports
- Full text search capability for item and supporting material
- Full 1080p HD responsive video capabilities. Multi-bit rate eliminates buffering



Our Customers Love Us



"The PrimeGov program offered our city the best solution to automating our agenda management, committee management, and constituent ease of use. Internally, the program will save us vast amounts of time for staff in preparing agendas."

Jesse Guillen

Legislative Liaison, Santa Fe, NM

"We needed a product that our users embrace and find efficient, where they don't need to call IT for support" said John. "Your product nailed that. The way you guys built it, you guys knew how the clerks think...I felt that we had a light at the end of the tunnel when we found you, so I'm thankful we have found you."

John Lin

IT Manager, Ventura County

Are you ready to optimize and digitize your agenda, meeting, and committee management processes? Take a closer look at PrimeGov



Email sales@primegov.com to schedule a demo

About PrimeGov

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PrimeGov Integrations

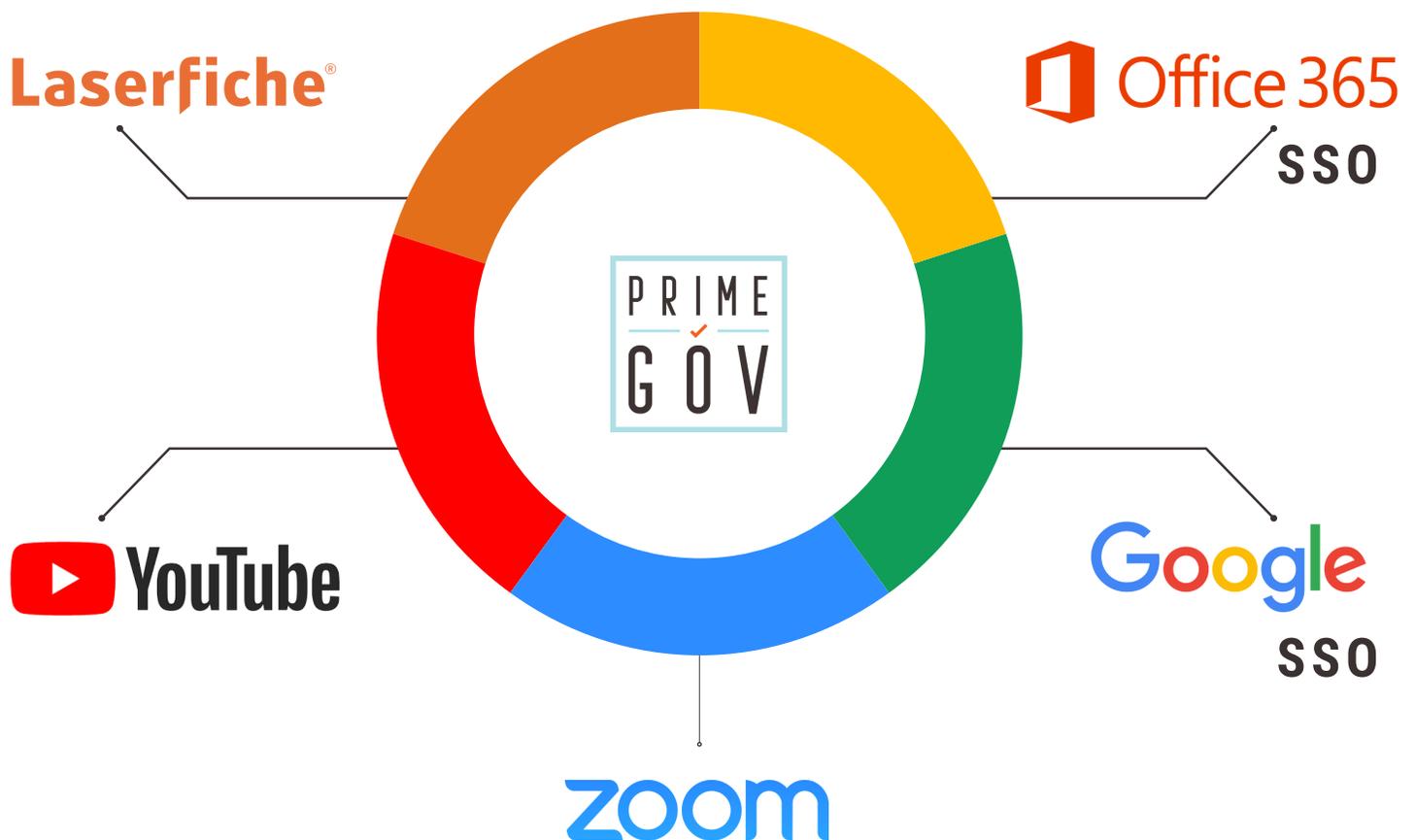
Laserfiche, Zoom, Microsoft Office365 SSO, Google SSO, and YouTube

PrimeGov:

PrimeGov empowers local governments to optimize and digitize their agenda, meeting, and committee management processes with a single end-to-end cloud-based solution. With PrimeGov, clients can seamlessly host hybrid meetings with remote voting capabilities; therefore saving time, increasing efficiency, and promoting transparency.

We build our solution on widely used and supported web applications. Technology, particularly video, has improved dramatically over the last few years. Our role as a company isn't to reinvent the wheel but to adapt software to meet the specific needs of clerks.

We provide out-of-the-box Laserfiche, Zoom, Microsoft Office365 SSO, Google SSO, and YouTube integrations to pair our best-in-class solutions with our clients' existing systems.



Laserfiche®

At PrimeGov, our customers' needs are our top priority. We have established a Laserfiche integration at the forefront to help our customers manage their documents and link with their existing software.

The PrimeGov integration with Laserfiche provides two primary features:

- Documents, and their related metadata, can be published to selected Laserfiche folders when pulled from PrimeGov.
- Laserfiche folders can be accessed to select files to upload when adding attachments to sections and items in PrimeGov.

Our solution removes the need for users to manually download files from one system to place in the other.

The mapping of metadata when publishing documents from the PrimeGov system into Laserfiche provides additional time savings and error reduction, ensuring data is accurate and present in all files.

At PrimeGov we focus on the problem our clients are trying to solve, working with them to find the best possible solution. We are open to integrating with compatible providers of solutions that compliment our product, where we can work together to provide a service that helps our client get the job done.

Nicola Sullivan
VP Product Management | PrimeGov

zoom

The world is moving to virtual and committee/board meetings are adjusting fast. At PrimeGov, we support and enable our customers to meet and to work with their users and constituents where they are: online.

We have integrated with Zoom, the popular video conferencing tool, to provide features that support virtual committee meetings. With Zoom integration, you can host virtual meetings, video conference, and:

- Live-stream video conferences directly to YouTube.
- Share meeting information with the public: items under discussion, a summary of vote results, streamed video, and more.
- Prompt members with vote options.

- Capture minutes, motions, and vote information in the PrimeGov application.
- Run and stream multiple meetings at the same time.

Our Zoom integration empowers local governments to get citizens seamlessly involved in the democratic process.



YouTube

PrimeGov seamlessly integrates directly with YouTube to live-stream your meetings and retain all past meeting recordings. Once PrimeGov is connected to the client's YouTube channel, public meeting videos will be created and linked from PrimeGov automatically.

- Establish a direct connection to their YouTube channel.
- Automatically create videos from within PrimeGov, without the need to access YouTube.
- Control meeting settings including:
 - Privacy settings
 - Streaming options
 - Streaming resolution

- Add alternative video links from YouTube post-meeting.
- Live-stream YouTube videos and make them available post-meeting.
- Embed YouTube videos directly into our Public Portal, with direct links to indexed timestamps recorded on an item during the meeting.



Office 365 and Google

Single Sign-On (SSO)

Managing many passwords across multiple applications can turn into a maintenance nightmare and frustrate your users. PrimeGov has designed a single sign-on (SSO) to work with Microsoft Office365 and Google to simplify logging in and enhance security for our users.

- With SSO, PrimeGov clients can:
 - Manage user passwords in a single location: Office365 or Google.
 - Log in to PrimeGov with a single click, using saved Office365/Google passwords.
 - Reduce the issues with forgotten passwords for users.

At PrimeGov, we take pride in our consultative approach towards product creation and enhancing the customer experience.

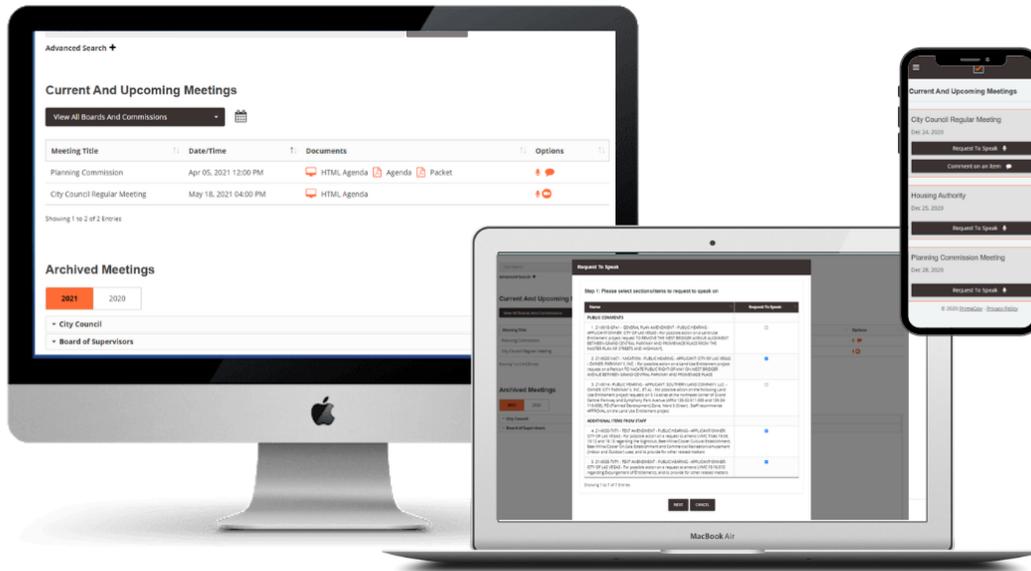


If you have any questions, please email sales@primegov.com and we will be glad to guide you.

About PrimeGov

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Keep Community Members Apprised of Public Meetings and Encourage Participation in the Process



Local governments have a significant—but underestimated—impact on the day-to-day lives of those who live, study, and work within their boundaries. Cities and counties must engage constituents in the legislative and decision-making process, yet it's challenging for officials to create a seamless experience for residents in the digital era and to remove barriers to involvement.

PrimeGov offers an out-of-the-box, holistic solution that empowers government officials to manage the front- and back-end of the engagement process and make it easier for government officials and constituents to communicate with each other

Amplify Your Community's Participation



Empower

Empower city officials with tools to facilitate engagement with constituents.



Subscribe

Encourage community members to subscribe to meeting updates, video streaming, and public records.



Engage

Engage constituents by encouraging and enabling them to speak and ask questions during meetings.

Community Engagement Tools at Your Fingertips

Request to Speak

- Allow constituents sign up to speak on meeting items quickly and easily.
- Individual items can be enabled for comment.
- Customizable submission form to capture the data that matters most to you.
- Speakers can be accessed and activated during the meeting.

Submit Comments

- Allow constituents submit comments on meeting items quickly and easily.
- Attachment support option available to allow submission of supporting materials with comments Individual items can be enabled for comment.
- Customizable submission form to capture the data that matters most to you.

Kiosk View

- Tablet-based kiosk view adds physical access to the solution.
- Allow constituents sign up to speak quickly and easily from within the meeting spaces.
- Options to view all upcoming meetings, meetings today, meetings for the next x days, or a single meeting only.

Reports

- Onscreen reports containing relevant speaker and comment information.
- Filter to specific items to provide relevant reports.
- Export as PDF for sharing with members.

Our solution helps you to:



Amplify Community Participation

Designed to encourage and broaden community participation in the public meeting process.



Seamless Communication

Facilitate two-way communication between elected officials and their constituents.



Increase Subscribers

Allow individuals to subscribe to the updates that matter most to them.

If you are ready to amplify your community engagement, take a closer look at PrimeGov



About PrimeGov

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December 1, 2021

TO: Each Trustee,
Joint Organizational Governance Committee

FROM: Carly Ntoya, Ph.D. *CN*
Director of Human Resources

FOR: December 15, 2021 Joint Organizational Governance Committee Meeting

SUBJECT: Secretarial Classification/Compensation Changes

RECOMMENDATION

It is recommended that the proposed classification and compensation changes be approved for implementation for the existing Executive Secretary, Secretary, Senior Secretary, and Management Secretary classifications by the Board of Retirement and Board of Investments, including submission to the Board of Supervisors.

It is recommended that the proposed classification and compensation changes be approved for implementation for the creation of a new Senior Legal Secretary classification by the Board of Retirement and Board of Investments, including submission to the Board of Supervisors.

SUMMARY OF PROPOSED CLASSIFICATION AND COMPENSATION CHANGES

Action	Current Classification Title	Current Sal Sch	New Classification Title	New Sal Sch	% Increase
Title Change	Executive Secretary, LACERA (Item 0442)	101G NM	Executive Administrative Assistant	-	0%
New Class		97G NM	Senior Legal Secretary	99B NM	4.3%
-	Sr Management Secretary (Item 0441)		<i>Red-Tagged for Deletion</i>	-	0%
Title/Sal Change	Management Secretary (0440)	93G NM	Legal Secretary	94H NM	3%
Title/Sal Change	Senior Secretary (Item 0439)	89G NM	Senior Administrative Assistant	90F NM	2.5%
Title/Sal Change	Secretary (0438)	83D NMVO	Administrative Assistant	84C NMVO	2.5%

The recommended titles and salary ranges serve to bring LACERA's classes closer to compensation levels provided by the market while preserving LACERA's current pay differential practice to ensure appropriate internal equity.

The authority to implement proposed title changes and proposed salary adjustments for the above classifications rest jointly with the Board of Retirement and Board of Investments, acting independently in accordance with their fiduciary duty and plenary authority. Such authority is

December 1, 2021

Re: Secretarial Classification/Compensation Changes

Page 2 of 5

provided in the California Government Code Section 31522.1, and Article XVI, Section 17 of the California Constitution.

EXECUTIVE SUMMARY

Background

It is a human resources best practice to update class specifications and market price salaries on a periodic basis, in line with LACERA's philosophy to pay fair and competitive wages that will attract, retain and motivate a highly skilled workforce and support its Mission to Produce, Protect and Provide the Promised Benefits to its membership. LACERA's secretarial series class specifications have not been revised since 2004, and it was determined that a classification and compensation study of the positions should be conducted.

In 2018, Human Resources (HR) engaged CPS Consulting (CPS) to conduct the study of LACERA's secretarial positions. CPS possesses expertise in the area of classification and salaries. They are uniquely qualified to assist LACERA because of their broad public sector human resources consulting experience and their prior working relationship with LACERA and the County of Los Angeles. The study was precipitated by:

- The goal to ensure that class descriptions reflect current assignments, programs, responsibilities, and technology; and
- The desire to update LACERA's classification plan that will support LACERA's business and operational needs for the foreseeable future.

As part of the study, CPS reviewed the existing class specifications, Position Description Questionnaires submitted by current incumbents, and compared the salary levels of LACERA's secretarial positions to a diverse peer group consistent with past studies, which included California-based public pension funds, Los Angeles County, and the private sector.

The Study included twenty-nine (29) positions in five (5) existing classifications. One (1) classification, Secretary, is represented by Service Employees International Union (SEIU).

1. Executive Secretary
2. Senior Management Secretary
3. Management Secretary
4. Senior Secretary
5. Secretary (Represented)

The study initially also included two (2) Staff Assistant I positions. It was determined during the study that those positions were best reviewed in a separate study together with Staff Assistant II positions as a series; therefore, the two (2) Staff Assistants were excluded from this study findings/recommendations.

Secretary Study findings and recommendations provided by CPS Consulting include title changes, description revisions, and/or salary changes to all five (5) studied classifications.

December 1, 2021

Re: Secretarial Classification/Compensation Changes

Page 3 of 5

CLASSIFICATION AND COMPENSATION STUDY

Classification Recommendations

A fundamental principle in classification is that the class specification should describe and define the nature and scope of responsibilities, work activities, qualifications, and other level defining characteristics of the class so that it is properly classified within the classification structure.

Classes, and jobs within them, evolve for many reasons and under many influences. A classification may undergo gradual growth that results in additional or changed duties and responsibilities and thereby require a corresponding class specification be amended or a position be reclassified to a new or existing classification. To keep current, a class specification should be reviewed when significant duties and level of responsibilities change.

It is LACERA's goal to ensure that titles and class specifications reflect current assignments, responsibilities, programs, and technology. CPS based its comparative analysis on essential job functions, level of responsibility, and reporting relationships. As a result of the study, CPS recommended revisions to current classification titles and class descriptions to more accurately reflect duties and responsibilities performed. The recommended title changes for the Secretarial classes to "Administrative Assistant" are consistent with modern business usage of this title in lieu of "Secretary"; and the proposed "Legal Secretary" titles are aligned with allocation to the LACERA legal divisions.

LACERA Existing Classification Title Map to Proposed New Classification Titles:

Current Classification Title	New Classification Title
Executive Secretary	Executive Administrative Assistant
Senior Management Secretary	Senior Legal Secretary
Management Secretary	Legal Secretary
Senior Secretary	Senior Administrative Assistant
Secretary	Administrative Assistant

CPS recommendations for reclassification to new titles are generally aligned within the current series of the studied positions, except for one (1) Senior Management Secretary found performing at a level equivalent to Senior Secretary. The incumbent supports a major investments section, not a legal office as done by a Senior Management Secretary/Senior Legal Secretary. CPS recommends that the position be reclassified to Senior Administrative Assistant based on the duties performed.

HR proposes creating a new Senior Legal Secretary classification and red-tagging the Senior Management Secretary classification for deletion once the incumbent is no longer holding the payroll title. Current Senior Management Secretaries performing legal secretarial work will go through the Civil Service Process to promote to the new Senior Legal Secretary classification. All other participants holding an Executive Secretary, Management Secretary, Senior Secretary, or Secretary payroll title will automatically convert to the updated classification titles as shown in the proposed Title Map.

All other title and compensation changes will be implemented through a revision of the existing secretarial classifications in the ordinance.

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Re: Secretarial Classification/Compensation Changes

Page 4 of 5

Classification Study findings per position are shown in **Attachment A**.

Class Specifications developed by CPS are shown as **Attachment B**.

Compensation

As part of the aforementioned study, CPS also concluded that four (4) of the five (5) LACERA Secretarial classifications were compensated below the market rate. LACERA recommends aligning the compensation for the studied positions to market rates while taking into consideration internal equity and sufficient salary differentials between positions.

Of the studied classifications, the following one (1) classification was found to be currently compensated at above the market; therefore, no salary range adjustment is recommended.

Classification	Current Pay Range	Salary Maximum
Executive Administrative Assistant	101G NM	\$8,624.64

The Study found the following four (4) classifications are being compensated below the market; therefore, the following salary range adjustments are recommended:

Classification	Current Pay Range	Current Salary Maximum	New Pay Range	New Salary Maximum
Senior Legal Secretary	97G NM	\$7,738.55	99B NM	\$8,069.09
Legal Secretary	93G NM	\$6,942.55	94H NM	\$7,150.82
Senior Administrative Assistant	89G NM	\$6,229.18	90F NM	\$6,384.54
Administrative Assistant	83D NMVO	\$5,547.18	84C NMVO	\$5,685.36

Budget Impact

Implementation of the study findings as recommended will result in an annual budget increase of \$78,681.35.

HR's summary of current and proposed salaries and a breakdown of the budget impact is shown in **Attachment C**.

PROCEDURE FOR ESTABLISHING CLASSIFICATIONS AND PAY RANGES

LACERA provides Local 721 notice and consult regarding new classifications of which the primary duties are derived from represented classifications. LACERA notified Local 721 of proposed changes to the Secretary classification title, class description, and compensation on January 13, 2021.

Upon approval from the Board of Retirement and Board of Investments, Human Resources (HR) will prepare a memorandum to the Los Angeles County's Chief Executive Office (LACCEO) which will include the class specification and salary schedule. HR staff, with the LACERA Legal Office's oversight, will also prepare and submit an ordinance amending Sections 6.28.050 and 6.127.010 of LACERA's Salary Code to the Los Angeles County Counsel's Office and the BOS for adoption.

RECOMMENDATION

THAT THE COMMITTEE RECOMMENDS 1) the proposed classification and compensation changes be approved for implementation for the existing Executive Secretary, Secretary, Senior

December 1, 2021

Re: Secretarial Classification/Compensation Changes

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Secretary, and Management Secretary classifications by the Board of Retirement and Board of Investments, including submission to the Board of Supervisors; and

2) the proposed classification and compensation changes be approved for implementation for the creation of a new Senior Legal Secretary classification by the Board of Retirement and Board of Investments, including submission to the Board of Supervisors.

Reviewed and Approved:



Santos H. Kreimann
Chief Executive Officer

cc: Steven P. Rice
Luis A. Lugo
Laura Guglielmo
JJ Popowich

Classification Findings Per Position

DIVISION	CURRENT CLASSIFICATION	RECOMMENDED CLASSIFICATION
Benefits	Secretary	Administrative Assistant
Benefits	Senior Secretary	Senior Administrative Assistant
Benefits	Secretary	Administrative Assistant
Communications	Staff Assistant I	No Change (Staff Assistant I)
Disability Litigation	Senior Management Secretary	Senior Legal Secretary
Disability Litigation	Senior Management Secretary	Senior Legal Secretary ¹
Disability Litigation	Senior Management Secretary	Senior Legal Secretary
Disability Retirement	Senior Secretary	Senior Administrative Assistant
Executive Office	Executive Secretary	Executive Administrative Assistant
Executive Office	Executive Secretary	Executive Administrative Assistant
Financial & Accounting Services	Secretary	Administrative Assistant
Financial & Accounting Services	Senior Secretary	Senior Administrative Assistant
Internal Audit	Senior Secretary	Senior Administrative Assistant
Investment Office	Senior Secretary	Senior Administrative Assistant
Investment Office	Senior Secretary	Senior Administrative Assistant
Investment Office	Senior Management Secretary	Senior Administrative Assistant
Investment Office	Senior Secretary	Senior Administrative Assistant
Legal Office	Management Secretary	Legal Secretary
Legal Office	Senior Management Secretary	Senior Legal Secretary
Legal Office	Senior Management Secretary	Senior Legal Secretary
Legal Office	Senior Management Secretary	Senior Legal Secretary
Legal Office	Management Secretary ²	Legal Secretary
Legal Office	Senior Management Secretary	Senior Legal Secretary
Member Services	Senior Secretary	Senior Administrative Assistant
Member Services	Secretary	Administrative Assistant
Quality Assurance & Metrics	Senior Secretary	Senior Administrative Assistant
Retiree Healthcare	Senior Secretary	Senior Administrative Assistant
Retirement Systems	Senior Secretary	Senior Administrative Assistant ³
Retirement Systems	Staff Assistant I	No Change (Staff Assistant I)

NOTES - The following recommendations are different than what was found in the study:

1. Staff Member was promoted from Management Secretary to Senior Management Secretary after completion of the study and is currently performing at the higher level.
2. Staff Member was hired as a Management Secretary after completion of the study. The position was vacant during the study.
3. The incumbent of the Retirement Systems Senior Secretary was not performing at the level. The position has since been vacated and the Division intends to fill at the higher-level of Senior Administrative Assistant.

LAST UPDATE: 6/17/2021

CLASSIFICATION TITLE: ~~Executive Secretary~~ Administrative Assistant, LACERA

ITEM NO: 0442

DEFINITION:

~~Provide administrative support to the Executive Office of the Los Angeles County Employee's Retirement Association (LACERA). Acts as secretary to (1) the Chief Executive Officer or (2) Assistant Executive Officers or (3) the Board of Investments, or the Board of Retirement (Executive Management) of the Los Angeles County Employees Retirement Association (LACERA).~~

POSITION INFORMATION:

~~Positions allocable to this advanced journey-level class provide primary administrative support to the Chief Executive Officer; Deputy, Chief Executive Officer; or to Assistant Executive Officers in directing and overseeing operations of LACERA. Incumbents perform complex assignments, often without established procedures or protocols and requiring a great deal of independent and sound judgment, initiative, discretion and confidentiality to manage highly sensitive and confidential subject matter. Positions engage in activities with significant consequences and impact to the executives and organization, with the authority and discretion to make critical decisions.~~

~~These positions require thorough knowledge of LACERA operations, policies, procedures, and practices; organizational by-laws and applicable governmental rules and regulations; general administrative principles, practices, and standards; modern office equipment and software operations; and protection of confidential and sensitive information. Incumbents must have strong written and verbal communication skills and refined interpersonal skills to develop, maintain, and promote cooperative, effective working relationships with others and exercise professionalism, tact, discretion, and diplomacy as a representative of LACERA and the Executive Office.~~

~~The Executive Administrative Assistant, LACERA is distinguished from the Senior Administrative Assistant, LACERA in that the latter performs routine-to-complex assignments affecting divisional operations, whereas the Executive Administrative Assistant, LACERA makes independent judgments and decisions with less management oversight and having greater consequences to the organization. Incumbents may also serve as lead to lower-level administrative support staff.~~

~~The Executive Administrative Assistant, LACERA is distinguished from the Executive Board Assistant, LACERA in that the latter provides administrative support to Board Trustees and committees.~~

~~The Administrative Assistant, LACERA series is distinguished from the Staff Assistant, LACERA series in that the latter provides specialized administrative support and analysis of Division operational processes and programs in the areas of procurement, procedures, budget, report preparation and records maintenance.~~

The Administrative Assistant, LACERA series is distinguished from the Clerk, LACERA and Typist-Clerk, LACERA series in that the latter perform primarily clerical duties requiring highly specialized knowledge of a particular function, with or without skilled typing.

All classes in the Secretarial Group perform duties composed of essentially the same basic activities and operations. Positions in these classes are allocated when the work of the supervisor requires full-time personal secretarial assistance. The level of secretary allocated may be related primarily to the level of supervisor served. The positions allocable to this class act as secretary to the Executive Management of LACERA.

EXAMPLES OF ESSENTIAL JOB FUNCTIONS:

The following examples are intended to describe the general nature and level of work performed by persons assigned to each classification. Depending on the assignment, duties may include, but are not limited to the following:

Provides specialized administrative support to LACERA Executives in overseeing the LACERA organization.

Handles highly confidential and sensitive interactions, information and processes with exceptional customer service, tact, and judgment, ensuring security of information.

Facilitates problem solving by directing issues, matters and people to where they best can be addressed and tracks outcome.

Assists Executive Board Assistants in preparing the board packages for Committee and Board meetings by preparing, creating, proofing, and formatting the documents.

May provide technical support for Board or Committee meetings such as operate voting equipment or facilitating presentations.

Prepares, replies to, composes, proofreads, formats, collates, and distributes formal correspondence on behalf of the Executive supported.

Greets office visitors and meets the public; answers and screens telephone calls and directs callers to the correct department or individual to assist, and makes appointments and arrangements for the Executive Office.

Secures information on behalf of executives regarding status of pending matters, reasons for delay and outcome of items differed.

Manages and maintains Executive Office calendars; coordinates and schedules arrangements, appointments and travel including airfare, hotel and transportation; tracks time and attendance for assigned area; assists with payroll processing; reconciles and tracks expenses; resolves credit card disputes; and processes expense reimbursements and invoices for payment.

Organizes and schedules executive meetings and appointments that may include high-ranking officials, including creating agendas, inviting participants, recording accurate and concise minutes, arranging meeting spaces and refreshments, and tracking attendance.

Coordinates the day to day duties of Executive staff and keeps them on schedule.

Creates and maintains executive office records and files, including those of a confidential and sensitive nature.

May conduct research, analyze data, make recommendations, and prepare special reports or projects such as board agenda history, data files, and schedule.

May have budgetary responsibility for a program, event, or process.

May chair the Administrative Assistants Policy and Procedure Committee and or other committees.

May supervise and/or lead other classes within the Administrative Assistant series.

Provides back-up to other Executive Administrative Assistants and Executive Board Assistants.

Other projects and duties as assigned to further the objectives of the organization.

~~Replies to personal and other correspondence composes letters, and memorandums.~~

~~Screens office and telephone callers, meets the public, makes appointments, and arranges conferences and speaking engagements.~~

~~Directs callers to other departments and officials or to other individuals, divisions, or sections of the department where assigned.~~

~~Takes care of day to day inquiries or problems wherever possible.~~

~~Secures information on the status of pending matters and reasons for delay in the completion of projects.~~

~~Maintains office files and records, including those of a confidential nature.~~

~~Schedules and organizes meetings, notifies participants, and acts as liaison to committees or boards, obtains agenda information, prepares and distributes agendas, takes and maintains record of minutes, complies with meeting notice posting requirements.~~

~~Maintains calendars and schedules, and coordinates appointments, meetings, travel and a variety of conferences and events.~~

~~Performs confidential and personal services, as requested.~~

~~Recognizes the need for revisions in office, clerical, and secretarial procedures, and makes recommendations regarding such changes.~~

~~May assign and supervise the work of other employees.~~

~~Performs other related duties as assigned.~~

REQUIREMENTS:

TRAINING AND EXPERIENCE:

OPTION 1: One (1) year of highly complex and highly responsible administrative experience at the level of Senior Administrative Assistant, LACERA or Senior Legal Secretary, LACERA

OPTION 2: One (1) year of experience at the level of Staff Assistant II, LACERA assisting the manager of a line operation division.

OPTION 3: Three (3) years of experience providing highly responsible complex administrative support to the top executive(s) of an organization.

~~One (1) year's highly complex and highly responsible secretarial experience at the level of Senior Secretary, LACERA, or Senior Management Secretary, LACERA~~

~~-OR-~~

~~One (1) year's experience at the level of Staff Assistant II, LACERA assisting the manager of a line operation department~~

~~-OR-~~

~~Two (2) years' complex and highly responsible secretarial experience at the level of Secretary, LACERA or Management Secretary, LACERA.~~

~~-OR-~~

~~Two (2) years' experience at the level of Staff Assistant I, LACERA, assisting the manager of a line operation.~~

KEYBOARDING RATE: ~~40 net words per minute.~~

LICENSE: ~~A valid California Class C Driver License or the ability to utilize an alternative method of transportation when needed to carry out job-related essential functions.~~

ADDITIONAL INFORMATION:

PHYSICAL CLASS II -- ~~Light physical effort which may include occasional light lifting to a 10 pound limit, and occasional bending, walking, stooping or~~

squatting.--Incumbents_sit_for_extended_periods_of_time.--Work_is_performed_in_an
office_environment_in_a_controlled_climate

LAST UPDATE: 6/17/2021

CLASSIFICATION TITLE: Executive Administrative Assistant, LACERA

ITEM NO: 0442

DEFINITION:

Provide administrative support to the Executive Office of the Los Angeles County Employee's Retirement Association (LACERA).

POSITION INFORMATION:

Positions allocable to this advanced journey-level class provide primary administrative support to the Chief Executive Officer; Deputy, Chief Executive Officer; or to Assistant Executive Officers in directing and overseeing operations of LACERA. Incumbents perform complex assignments, often without established procedures or protocols and requiring a great deal of independent and sound judgment, initiative, discretion and confidentiality to manage highly sensitive and confidential subject matter. Positions engage in activities with significant consequences and impact to the executives and organization, with the authority and discretion to make critical decisions.

These positions require thorough knowledge of LACERA operations, policies, procedures, and practices; organizational by-laws and applicable governmental rules and regulations; general administrative principles, practices, and standards; modern office equipment and software operations; and protection of confidential and sensitive information. Incumbents must have strong written and verbal communication skills and refined interpersonal skills to develop, maintain, and promote cooperative, effective working relationships with others and exercise professionalism, tact, discretion, and diplomacy as a representative of LACERA and the Executive Office.

The Executive Administrative Assistant, LACERA is distinguished from the Senior Administrative Assistant, LACERA in that the latter performs routine-to-complex assignments affecting divisional operations, whereas the Executive Administrative Assistant, LACERA makes independent judgments and decisions with less management oversight and having greater consequences to the organization. Incumbents may also serve as lead to lower-level administrative support staff.

The Executive Administrative Assistant, LACERA is distinguished from the Executive Board Assistant, LACERA in that the latter provides administrative support to Board Trustees and committees.

The Administrative Assistant, LACERA series is distinguished from the Staff Assistant, LACERA series in that the latter provides specialized administrative support and analysis of Division operational processes and programs in the areas of procurement, procedures, budget, report preparation and records maintenance.

The Administrative Assistant, LACERA series is distinguished from the Clerk, LACERA and Typist-Clerk, LACERA series in that the latter perform primarily clerical duties

requiring highly specialized knowledge of a particular function, with or without skilled typing.

EXAMPLES OF ESSENTIAL JOB FUNCTIONS:

The following examples are intended to describe the general nature and level of work performed by persons assigned to each classification. Depending on the assignment, duties may include, but are not limited to the following:

Provides specialized administrative support to LACERA Executives in overseeing the LACERA organization.

Handles highly confidential and sensitive interactions, information and processes with exceptional customer service, tact, and judgment, ensuring security of information.

Facilitates problem solving by directing issues, matters and people to where they best can be addressed and tracks outcome.

Assists Executive Board Assistants in preparing the board packages for Committee and Board meetings by preparing, creating, proofing, and formatting the documents.

May provide technical support for Board or Committee meetings such as operate voting equipment or facilitating presentations.

Prepares, replies to, composes, proofreads, formats, collates, and distributes formal correspondence on behalf of the Executive supported.

Greets office visitors and meets the public; answers and screens telephone calls and directs callers to the correct department or individual to assist, and makes appointments and arrangements for the Executive Office.

Secures information on behalf of executives regarding status of pending matters, reasons for delay and outcome of items differed.

Manages and maintains Executive Office calendars; coordinates and schedules arrangements, appointments and travel including airfare, hotel and transportation; tracks time and attendance for assigned area; assists with payroll processing; reconciles and tracks expenses; resolves credit card disputes; and processes expense reimbursements and invoices for payment.

Organizes and schedules executive meetings and appointments that may include high-ranking officials, including creating agendas, inviting participants, recording accurate and concise minutes, arranging meeting spaces and refreshments, and tracking attendance.

Coordinates the day to day duties of Executive staff and keeps them on schedule.

Creates and maintains executive office records and files, including those of a confidential and sensitive nature.

May conduct research, analyze data, make recommendations, and prepare special reports or projects such as board agenda history, data files, and schedule.

May have budgetary responsibility for a program, event, or process.

May chair the Administrative Assistants Policy and Procedure Committee and or other committees.

May supervise and/or lead other classes within the Administrative Assistant series.

Provides back-up to other Executive Administrative Assistants and Executive Board Assistants.

Other projects and duties as assigned to further the objectives of the organization.

REQUIREMENTS:

TRAINING AND EXPERIENCE:

OPTION 1: One (1) year of highly complex and highly responsible administrative experience at the level of Senior Administrative Assistant, LACERA or Senior Legal Secretary, LACERA

OPTION 2: One (1) year of experience at the level of Staff Assistant II, LACERA assisting the manager of a line operation division.

OPTION 3: Three (3) years of experience providing highly responsible complex administrative support to the top executive(s) of an organization.

KEYBOARDING RATE: 40 net words per minute.

LICENSE: A valid California Class C Driver License or the ability to utilize an alternative method of transportation when needed to carry out job-related essential functions.

PHYSICAL CLASS II - Light physical effort which may include occasional light lifting to a 10 pound limit, and occasional bending, walking, stooping or squatting. Incumbents sit for extended periods of time. Work is performed in an office environment in a controlled climate

LAST UPDATE: ~~5/25/211/21/2021~~

CLASSIFICATION-TITLE: ~~Senior-SecretaryAdministrative Assistant,-LACERA~~

ITEM NO: 0439

DEFINITION:

~~Provides administrative support to manager(s), supervisor(s), or senior professional(s) by performing routine and more difficult and complex tasks for a LACERA division or major investments section. Acts as secretary to the head of a division in the Los Angeles County Employees Retirement Association (LACERA).~~

POSITION INFORMATION:

~~Positions allocable to this senior journey-level class perform complex administrative-support assignments with minimal assistance or direction and serve as the lead secretary for the Division or major investments section assigned. The position works independently on routine and complex projects and assignments following established guidelines, policies, and procedures, referring to the supervisor for non-routine projects, situations or deviations from guidelines, policies and procedures. The position has the authority to set priorities within guidelines and prescribed procedures at the discretion of the supervisor.~~

~~The positions require knowledge of regulations applicable to assigned work area, documentation, and processes; LACERA policies, procedures, and practices; modern office equipment and software operations; general administrative principles, practices, and standards; and protection of confidential and sensitive information.~~

~~The Senior Administrative Assistant, LACERA is distinguished from the Administrative Assistant, LACERA in that the latter performs primarily routine duties following established policies and procedures and requiring greater supervisory oversight and approval, whereas the Senior Administrative Assistant, LACERA provides high-level administrative support that includes performing routine and more difficult and complex assignments with the discretion to determine methods for completion. In addition, the Senior Administrative Assistant, LACERA is party to highly confidential and sensitive information and is responsible for exercising a commensurate level of discretion to maintain confidentiality.~~

~~The Senior Administrative Assistant, LACERA is distinguished from the Executive Administrative Assistant, LACERA in that the latter specializes in supporting the needs of the Executive Office, has greater discretion to make independent judgments and decisions with less managerial oversight, and performs complex assignments that often have no predetermined standards or guidelines for completion.~~

~~The Administrative Assistant, LACERA series is distinguished from the Staff Assistant, LACERA series in that the latter provides specialized administrative support and analysis of Division operational processes and programs in the areas of procurement, procedures, budget, report preparation and records maintenance.~~

The Administrative Assistant, LACERA series is distinguished from the Clerk, LACERA and Typist-Clerk, LACERA series in that the latter perform primarily clerical duties requiring highly specialized knowledge of a particular function, with or without skilled typing.

All classes in the Secretarial Group perform duties composed of essentially the same basic activities and operations. Positions in these classes are allocated when the work of the supervisor requires full-time personal secretarial assistance. The level of secretary allocated is related primarily to the level of supervisor served.

EXAMPLES OF ESSENTIAL JOB FUNCTIONS:

The following examples are intended to describe the general nature and level of work performed by persons assigned to each classification. Depending on the assignment, duties may include, but are not limited to the following:

Provides advanced administrative support to managers, supervisors and/or professionals within a division or section.

Handles confidential and sensitive information, interactions, and processes such as personnel evaluations, promotions, recognitions, and other employee transactions and data.

Provides administrative support to Executive Board Assistants in gathering, preparing, proofing, editing, and submitting documents for Board Packages related to their Division.

Greets office visitors, answers and screens telephone calls, and directs callers to the correct department or individual to assist.

Provides specific administrative support for a technical process such as preparing monthly financial or member services reports, performing calculations for an assigned asset class for Investments, preparing board presentations, or working on special projects or presentations.

Manages calendars, coordinates and schedules arrangements, appointments and travel including airfare, hotel and transportation; coordinates and tracks time and attendance for assigned area; assists with processing, reconciling, and tracking expenses; and processes expense reimbursements and invoices for payment.

Prepares, replies to, composes, proofreads, formats, collates, and distributes correspondence.

Organizes and schedules division meetings, including creating agendas, inviting participants, recording minutes, arranging meeting spaces and refreshments, and tracking attendance.

Completes data entry, tracks & tabulates data, creates and runs reports.

Files, indexes, archives, duplicates, scans, and follows LACERA guidelines for records retention and maintaining confidentiality.

Uses computer and software programs, photocopiers, scanners, and other office equipment.

Identifies and makes suggestions for changes and corrections to administrative processes.

Provides back-up to other administrative staff as needed.

May serve as secretary for various LACERA Committees.

May track division expenses and budgets, process invoices and reconcile expenses.

May train or act as lead to other support staff.

May act as Human Resources liaison or Systems liaison for division.

Other projects and duties as assigned to further the objectives of the organization
~~Replies to correspondence with or without dictation.~~

~~Screens office and telephone callers by furnishing the information requested, referring to others those who may be better served elsewhere, and personally taking care of those whose business does not require the attention of the supervisor.~~

~~Makes appointments and arranges conferences and meetings for supervisor.~~

~~Acts as intermediary between supervisor and staff, transmitting messages, orders, and requests, both written and verbal, and acting for supervisor in the supervisor's absence, as authorized.~~

~~Acts as liaison officer between the supervisor's office and other departments, agencies, and jurisdictions.~~

~~Prepares inter-office notices, bulletins, and memoranda, with or without dictation, including interpretations of departmental policy and the laws and regulations governing the activities of the office.~~

~~Gathers data for general information purposes or special reports, contacting other departments, employees, agencies, and individuals for additional material as necessary, and may prepare reports for supervisor's approval upon request.~~

~~Checks material being submitted for supervisor's attention to ascertain that all relevant data, files, and signatures are included.~~

~~Relieves supervisor of routine personnel, budget, and other operating details such as scheduling, timekeeping, approving material and purchase requisitions, and contacting the Chief Administrative Office, Department of Human Resources, and other departments.~~

~~Keeps check on the execution of plans, improvements, and projects instituted by the supervisor and recommends improvements in departmental procedures.~~

REQUIREMENTS:

TRAINING AND EXPERIENCE:

OPTION 1: Two (2) years of responsible administrative experience at the level of Administrative Assistant, LACERA, or Staff Assistant I, LACERA.

OPTION 2: Two (2) years of responsible experience providing administrative support to managers, supervisors, and/or staff in the management of a large office or division.

One (1) year's responsible secretarial experience at the level of Los Angeles County's class of Secretary I, Secretary II, or Stenographic Secretary

~~-OR-~~

~~One (1) year's experience as a Secretary, LACERA.~~

KEYBOARDING SKILLSRATE: ~~40 net words per minute.~~

LICENSE: ~~A valid California Class C Driver License or the ability to utilize an alternative method of transportation when needed to carry out job-related essential functions.~~

PHYSICAL CLASS II ~~Light physical effort which may include occasional light lifting to a 10 pound limit, and occasional bending, walking, stooping or squatting. Incumbents sit for extended periods of time. Work is performed in an office environment in a controlled climate~~

SPECIALTY REQUIREMENTS:

SPECIALIZED EXAMINATIONS MAY INCLUDE

~~Stenography skill: Dictation rate of 80 words per minute.~~

LAST UPDATE: 5/25/21

CLASSIFICATION TITLE: Senior Administrative Assistant, LACERA

ITEM NO: 0439

DEFINITION:

Provides administrative support to manager(s), supervisor(s), or senior professional(s) by performing routine and more difficult and complex tasks for a LACERA division or major investments section.

POSITION INFORMATION:

Positions allocable to this senior journey-level class perform complex administrative-support assignments with minimal assistance or direction and serve as the lead secretary for the Division or major investments section assigned. The position works independently on routine and complex projects and assignments following established guidelines, policies, and procedures, referring to the supervisor for non-routine projects, situations or deviations from guidelines, policies and procedures. The position has the authority to set priorities within guidelines and prescribed procedures at the discretion of the supervisor.

The positions require knowledge of regulations applicable to assigned work area, documentation, and processes; LACERA policies, procedures, and practices; modern office equipment and software operations; general administrative principles, practices, and standards; and protection of confidential and sensitive information.

The Senior Administrative Assistant, LACERA is distinguished from the Administrative Assistant, LACERA in that the latter performs primarily routine duties following established policies and procedures and requiring greater supervisory oversight and approval, whereas the Senior Administrative Assistant, LACERA provides high-level administrative support that includes performing routine and more difficult and complex assignments with the discretion to determine methods for completion. In addition, the Senior Administrative Assistant, LACERA is party to highly confidential and sensitive information and is responsible for exercising a commensurate level of discretion to maintain confidentiality.

The Senior Administrative Assistant, LACERA is distinguished from the Executive Administrative Assistant, LACERA in that the latter specializes in supporting the needs of the Executive Office, has greater discretion to make independent judgments and decisions with less managerial oversight, and performs complex assignments that often have no predetermined standards or guidelines for completion.

The Administrative Assistant, LACERA series is distinguished from the Staff Assistant, LACERA series in that the latter provides specialized administrative support and analysis of Division operational processes and programs in the areas of procurement, procedures, budget, report preparation and records maintenance.

The Administrative Assistant, LACERA series is distinguished from the Clerk, LACERA and Typist-Clerk, LACERA series in that the latter perform primarily clerical duties requiring highly specialized knowledge of a particular function, with or without skilled typing.

EXAMPLES OF ESSENTIAL JOB FUNCTIONS:

The following examples are intended to describe the general nature and level of work performed by persons assigned to each classification. Depending on the assignment, duties may include, but are not limited to the following:

Provides advanced administrative support to managers, supervisors and/or professionals within a division or section.

Handles confidential and sensitive information, interactions, and processes such as personnel evaluations, promotions, recognitions, and other employee transactions and data.

Provides administrative support to Executive Board Assistants in gathering, preparing, proofing, editing, and submitting documents for Board Packages related to their Division.

Greets office visitors, answers and screens telephone calls, and directs callers to the correct department or individual to assist.

Provides specific administrative support for a technical process such as preparing monthly financial or member services reports, performing calculations for an assigned asset class for Investments, preparing board presentations, or working on special projects or presentations.

Manages calendars, coordinates and schedules arrangements, appointments and travel including airfare, hotel and transportation; coordinates and tracks time and attendance for assigned area; assists with processing, reconciling, and tracking expenses; and processes expense reimbursements and invoices for payment.

Prepares, replies to, composes, proofreads, formats, collates, and distributes correspondence.

Organizes and schedules division meetings, including creating agendas, inviting participants, recording minutes, arranging meeting spaces and refreshments, and tracking attendance.

Completes data entry, tracks & tabulates data, creates and runs reports.

Files, indexes, archives, duplicates, scans, and follows LACERA guidelines for records retention and maintaining confidentiality.

Uses computer and software programs, photocopiers, scanners, and other office equipment.

Identifies and makes suggestions for changes and corrections to administrative processes.

Provides back-up to other administrative staff as needed.

May serve as secretary for various LACERA Committees.

May track division expenses and budgets, process invoices and reconcile expenses.

May train or act as lead to other support staff.

May act as Human Resources liaison or Systems liaison for division.

Other projects and duties as assigned to further the objectives of the organization

REQUIREMENTS:

TRAINING AND EXPERIENCE:

OPTION 1: Two (2) years of responsible administrative experience at the level of Administrative Assistant, LACERA, or Staff Assistant I, LACERA.

OPTION 2: Two (2) years of responsible experience providing administrative support to managers, supervisors, and/or staff in the management of a large office or division.

KEYBOARDING RATE: 40 net words per minute.

LICENSE: A valid California Class C Driver License or the ability to utilize an alternative method of transportation when needed to carry out job-related essential functions.

PHYSICAL CLASS II - Light physical effort which may include occasional light lifting to a 10 pound limit, and occasional bending, walking, stooping or squatting. Incumbents sit for extended periods of time. Work is performed in an office environment in a controlled climate

CLASSIFICATION TITLE: ~~Secretary, LACERA~~ Administrative Assistant, LACERA

ITEM NO: 0438

DEFINITION:

Provide administrative support to one (1) or more manager(s), supervisor(s), or staff of a LACERA division or section performing routine and occasionally complex assignments.

~~Acts as secretary to a section manager of the Los Angeles County Retirement Association (LACERA).~~

POSITION INFORMATION:

Positions allocable to this journey-level class perform routine administrative support assignments following prescribed, detailed procedures and guidelines, referring to a supervisor for more complex assignments. Incumbents generally work independently and may have the authority to set priorities within guidelines and prescribed procedures at the discretion of the supervisor.

These positions require knowledge of regulations applicable to assigned work area, documentation, and processes; LACERA policies, procedures, and practices; modern office equipment and software operations; and general administrative principles, practices, and standards.

The Administrative Assistant, LACERA is distinguished from the Senior Administrative Assistant, LACERA in that the latter provides high-level administrative support including the performance of routine-to-complex assignments with the discretion to determine methods for completion, and may serve as a lead to lower-level administrative and clerical staff, whereas the Administrative Assistant performs mostly routine duties following established policies and procedures with greater supervisory oversight and approval.

The Administrative Assistant, LACERA series is distinguished from the Staff Assistant, LACERA series in that the latter provides specialized administrative support and analysis of Division operational processes and programs in the areas of procurement, procedures, budget, report preparation and records maintenance.

The Administrative Assistant, LACERA series is distinguished from the Clerk, LACERA and Typist-Clerk, LACERA series in that the latter perform primarily clerical duties requiring highly specialized knowledge of a particular function, with or without skilled typing.

~~All classes in the Secretarial Group perform duties composed of essentially the same basic activities and operations. Positions in these classes are allocated when the work; of the supervisor requires full-time personal secretarial assistance. The level of secretary allocated is related primarily to the level of supervisor served. Typically, positions allocable to this class are characterized by highly sensitive and complex work performed. Also allocable to this class are positions which provide personal secretarial assistance to~~

~~administrative support positions in either (1) a supervisory staff capacity or (2) a highly responsible staff capacity. Incumbents of this position must have knowledge of secretarial procedures, shorthand/speedwriting, personal computer operations, and general office clerical requirements.~~

EXAMPLES OF ESSENTIAL JOB FUNCTIONS:

The following examples are intended to describe the general nature and level of work performed by persons assigned to each classification. Depending on the assignment, duties may include, but are not limited to the following:

Provides administrative support to manager(s), supervisor(s), or staff of the division or section.

Handles confidential and sensitive information, interactions, and processes.

Greets office visitors; answers and screens telephone calls and directs callers to the correct department or individual to assist.

Provides specific administrative support for a technical process, such as preparing monthly financial or member services reports, scheduling and tracking workshop sessions, processing subpoenas, maintaining overpayment databases, or working on special projects or presentations.

Manages calendars, schedules arrangements and appointments, tracks time and attendance for assigned area, assists with payroll processing, tracks expenses, and processes expense reimbursements and invoices for payment.

Prepares, replies to, composes, proofreads, formats, collates, and distributes correspondence.

Files, archives, duplicates, scans, and follows LACERA guidelines for records retention. Completes data entry, tracks data, creates and runs reports.

Coordinates timekeeping processes for the department/division.

Schedules travel including airfare, hotel and transportation and processes expense reports for reimbursement.

Uses computer and software programs, photocopiers, scanners, and other office equipment.

Identifies and makes suggestions for changes and corrections to administrative processes.

Provides back-up to other administrative staff as needed.

May track division expenses and process invoices.

Performs other projects and duties as assigned to further the objectives of the organization. Replies to correspondence with or without dictation.

~~Screens office and telephone callers by furnishing the information requested, referring to others those who may be better served elsewhere, and personally taking care of those whose business does not require the attention of the supervisor.~~

~~Makes appointments and arranges conferences and meetings for supervisor.~~

~~Acts as intermediary between supervisor and staff, transmitting messages, orders, and requests, both written and verbal, and acting for supervisor in the supervisor's absence, as _____ authorized.~~

~~Acts as liaison officer between the supervisor's office and other departments, agencies, and _____ jurisdictions.~~

~~Prepares inter-office notices, bulletins, and memoranda, with or without dictation, including interpretations of departmental policy and the laws and regulations governing _____ the _____ activities _____ of _____ the _____ office.~~

~~Gathers data for general information purposes or special reports, contacting other departments, employees, agencies, and individuals for additional material as necessary, and may prepare reports for supervisor's approval upon request.~~

~~Checks material being submitted for supervisor's attention to ascertain that all relevant _____ data, _____ files, _____ and _____ signatures _____ are _____ included.~~

~~Relieves supervisor of routine personnel, budget, and other operating details such as scheduling, timekeeping, approving material and purchase requisitions, and contacting the Chief Administrative Office, Department of Human Resources, and other _____ departments.~~

~~Keeps check on the execution of plans; improvements, and projects instituted by the supervisor and recommends improvements in departmental procedures.~~

~~May be required to perform other duties as assigned.~~

REQUIREMENTS:

TRAINING AND EXPERIENCE:

Three (3) years of experience performing specialized responsible clerical work requiring a knowledge of specialized subject matter and the use of initiative and judgement within procedural and policy limits.

One (1) year's highly specialized office clerical experience keyboarding using a computer or typewriter at the level of, Senior Typist-Clerk, LACERA

~~-OR-~~

One (1) year's experience at the level of Word Processor I, LACERA operating electronic

text editing word processing equipment to produce type copy.

KEYBOARDING- RATESSKILLS:- 40 net words per minute.

LICENSE:- A valid California Class C Driver License or the ability to utilize an alternative method of transportation when needed to carry out job-related essential functions.

SPECIALTY _____ **REQUIREMENTS:**
SPECIALIZED EXAMINATION MAY INCLUDE: Stenography Skill: Dictation rate of 80 _____ words _____ per _____ minute.

Physical Class**PHYSICAL CLASS- II - - Light** physical effort which may include occasional light lifting to a 10 pound limit, and occasional bending, walking, stooping or squatting. Incumbents sit for extended periods of time. Work is performed in an office environment in a controlled climate

LAST UPDATE: 5/25/21

CLASSIFICATION TITLE: Administrative Assistant, LACERA

ITEM NO: 0438

DEFINITION:

Provide administrative support to one (1) or more manager(s), supervisor(s), or staff of a LACERA division or section performing routine and occasionally complex assignments.

POSITION INFORMATION:

Positions allocable to this journey-level class perform routine administrative support assignments following prescribed, detailed procedures and guidelines, referring to a supervisor for more complex assignments. Incumbents generally work independently and may have the authority to set priorities within guidelines and prescribed procedures at the discretion of the supervisor.

These positions require knowledge of regulations applicable to assigned work area, documentation, and processes; LACERA policies, procedures, and practices; modern office equipment and software operations; and general administrative principles, practices, and standards.

The Administrative Assistant, LACERA is distinguished from the Senior Administrative Assistant, LACERA in that the latter provides high-level administrative support including the performance of routine-to-complex assignments with the discretion to determine methods for completion, and may serve as a lead to lower-level administrative and clerical staff, whereas the Administrative Assistant performs mostly routine duties following established policies and procedures with greater supervisory oversight and approval.

The Administrative Assistant, LACERA series is distinguished from the Staff Assistant, LACERA series in that the latter provides specialized administrative support and analysis of Division operational processes and programs in the areas of procurement, procedures, budget, report preparation and records maintenance.

The Administrative Assistant, LACERA series is distinguished from the Clerk, LACERA and Typist-Clerk, LACERA series in that the latter perform primarily clerical duties requiring highly specialized knowledge of a particular function, with or without skilled typing.

EXAMPLES OF ESSENTIAL JOB FUNCTIONS:

The following examples are intended to describe the general nature and level of work performed by persons assigned to each classification. Depending on the assignment, duties may include, but are not limited to the following:

Provides administrative support to manager(s), supervisor(s), or staff of the division or section.

Handles confidential and sensitive information, interactions, and processes.

Greets office visitors; answers and screens telephone calls and directs callers to the correct department or individual to assist.

Provides specific administrative support for a technical process, such as preparing monthly financial or member services reports, scheduling and tracking workshop sessions, processing subpoenas, maintaining overpayment databases, or working on special projects or presentations.

Manages calendars, schedules arrangements and appointments, tracks time and attendance for assigned area, assists with payroll processing, tracks expenses, and processes expense reimbursements and invoices for payment.

Prepares, replies to, composes, proofreads, formats, collates, and distributes correspondence.

Files, archives, duplicates, scans, and follows LACERA guidelines for records retention. Completes data entry, tracks data, creates and runs reports.

Coordinates timekeeping processes for the department/division.

Schedules travel including airfare, hotel and transportation and processes expense reports for reimbursement.

Uses computer and software programs, photocopiers, scanners, and other office equipment.

Identifies and makes suggestions for changes and corrections to administrative processes.

Provides back-up to other administrative staff as needed.

May track division expenses and process invoices.

Performs other projects and duties as assigned to further the objectives of the organization.

REQUIREMENTS:

TRAINING AND EXPERIENCE:

Three (3) years of experience performing specialized responsible clerical work requiring a knowledge of specialized subject matter and the use of initiative and judgement within procedural and policy limits.

KEYBOARDING RATE: 40 net words per minute.

LICENSE: A valid California Class C Driver License or the ability to utilize an alternative

method of transportation when needed to carry out job-related essential functions.

PHYSICAL CLASS II - Light

LAST UPDATE: 6/17/20212

CLASSIFICATION TITLE: ~~Senior Management Legal~~ Secretary, LACERA

ITEM NO: 0441

DEFINITION:

~~Provide high-level specialized technical legal secretarial support to a LACERA legal division by completing difficult and highly complex legal administrative tasks. Acts as secretary to the Board of Retirement, Board of Investments, Chief Legal Counsels or the Chief Investment Officer of the Los Angeles County Employees Retirement Association (LACERA).~~

POSITION INFORMATION:

~~Positions allocable to this advanced journey-level class specialize in supporting a LACERA legal office by performing technical legal administrative duties within the division. Incumbents receive highly complex assignments, often without established procedures or protocols and requiring a great deal of independent judgment, discretion, confidentiality, and specialized technical legal knowledge and skills. Work is often performed under tight time constraints and deadlines.~~

~~These positions require knowledge of LACERA organizational by-laws and applicable governmental rules and regulations; familiarity with legal terminology and applicable legislation; LACERA policies, procedures, and practices; general and technical legal administrative principals, practices, and standards; modern office equipment and software operations; procedures for classifying and indexing files to statutory codes; and protection of confidential and sensitive information.~~

~~Senior Legal Secretary, LACERA is distinguished from Legal Secretary, LACERA in that the latter performs routine duties that may be of a complex nature, with greater oversight, guidance, and approval from supervisor and with some independence, whereas the Senior Legal Secretary utilizes specialized technical legal knowledge to independently perform complex and difficult assignments.~~

~~The Legal Secretary, LACERA series is distinguished from the Administrative Assistant, LACERA and Staff Assistant, LACERA series in that the former requires specialized technical legal knowledge and skills in addition to administrative knowledge and skills.~~

~~The Legal Secretary, LACERA series is distinguished from the Clerk, LACERA and Typist-Clerk, LACERA series in that the latter perform primarily clerical duties requiring highly specialized knowledge of a particular function, with or without skilled typing.~~

~~All classes in the Secretarial Group perform duties composed of essentially the same basic activities and operations. Positions in these classes are allocated when the work of the supervisor requires full-time personal secretarial assistance. The level of secretary allocated is related primarily to the level of supervisor served.~~

EXAMPLES_OF_ESSENTIAL_JOB_FUNCTIONS:

The following examples are intended to describe the general nature and level of work performed by persons assigned to each classification. Depending on the assignment, duties may include, but are not limited to the following:

Provides specialized technical administrative support to LACERA Legal Divisions.

Handles highly confidential and sensitive interactions, information and processes with exceptional customer service, tact, and judgment and diffuses difficult or emotional situations.

Answers telephones, screens, and greets callers and in-house guests.

Facilitates problem solving by resolving issues, if possible, or directing to appropriate person/division for resolution.

Prepares correspondence, briefs, pleadings, contracts, warrants, summonses, complaints, indictments, motions, subpoenas, amendments, exhibits, legal forms, and other legal documents for filing and serving. May submit completed documents to court if applicable.

Performs technical work under the oversight of staff attorney or professional legal analyst.

Proofreads, edits, checks citations for accuracy and ensures they are to code.

Manages calendars, coordinates and schedules arrangements, appointments and travel including airfare, accommodations, and transportation; tracks time and attendance for assigned area; assists with payroll processing; and reconciles and tracks expense reimbursements and invoices for payment.

Initiates contact with interested parties to obtain missing case file documentation. May interview case witnesses.

Organizes and schedules division meetings, conferences, and hearings, including creating agendas, arranging meeting locations, inviting participants, taking accurate and concise minutes, and arranging refreshments, if applicable and tracking attendance.

Manages records by classifying, indexing, and archiving files and folders, preparing files for closing, scanning, copying, and tracking.

Maintains law library resources.

Provides back-up support to other Legal Secretaries, legal projects, or processes.

May conduct initial case file research under the supervision and guidance of Staff Counsel; speaks to members, pro per members or witnesses; searches databases for missing case information and gathers missing data for attorney review.

May supervise or lead other Legal Secretaries or special projects within the Division.

May provide additional support to Division Managers and Executive Office in overseeing division expenses such as reporting, budget management (tracking, analyzing, reporting and forecasting), reconciling credit cards, processing expense reimbursements and invoices for payment, acting as liaison with Accounting or other divisions of interest.

May arrange for case file documentation to be delivered to court or file court documents electronically according to statutory requirements and timeframes.

May coordinate delivery of Administrative Record to Superior Court and outside counsel.

May oversee time tracking for division, process timecards, track, and schedule time off.

Performs other projects and duties as assigned to further the objectives of the organization. ~~On behalf of the supervisor served:~~

~~Replies to personal and other correspondence, composing letters with or without dictation.~~

~~Screens office and telephone callers, meets the public, makes appointments, and arranges conferences and speaking engagements.~~

~~Directs callers to other departments and officials or to other individuals, divisions, or sections of the department where assigned.~~

~~Takes care of day-to-day inquiries or problems wherever possible.~~

~~Secures information on the status of pending matters, and reasons for delay in the completion of projects.~~

~~Maintains office files and records, including those of a confidential nature.~~

~~Performs confidential and personal services, as requested.~~

~~Recognizes the need for revisions in office, clerical, and secretarial procedures, and makes recommendations regarding such changes.~~

~~May assign and supervise the work of other employees.~~

REQUIREMENTS:

TRAINING AND EXPERIENCE:

OPTION 1: Three (3) years of increasingly responsible and highly complex legal secretary experience at the level of Legal Secretary, LACERA.

OPTION 2: Five (5) years of increasingly responsible and highly complex legal secretary experience working in a law office.

~~One (1) year's complex and highly responsible secretarial experience at the level of Los Angeles County's class of Secretary V, Senior Secretary III, Senior Secretary IV, Management Secretary I, Management Secretary II, or Senior Stenographic Secretary~~

~~-OR-~~

~~One (1) year's experience at the level of Staff Assistant I, LACERA assisting the manager of a line operation~~

~~-OR-~~

~~Two (2) years highly responsible secretarial experience at the level of Los Angeles County's class of Secretary III, Secretary IV, Senior Secretary I, Senior Secretary II or Intermediate Stenographic Secretary.~~

KEYBOARDING SKILL: ~~40 net words per minute.~~

LICENSE: ~~A valid California Class C Driver License or the ability to utilize an alternative method of transportation when needed to carry out job-related essential functions.~~

SPECIALTY REQUIREMENTS:

~~Specialized examinations may include:~~

~~Stenography Skill: Dictation rate of 80 words per minute.~~

PHYSICAL CLASS II - Light physical effort which may include occasional light lifting to a 10 pound limit, and occasional bending, walking, stooping or squatting. Incumbents sit for extended periods of time. Work is performed in an office environment in a controlled climate.

LAST UPDATE: 6/17/20212

CLASSIFICATION TITLE: Senior Legal Secretary, LACERA

ITEM NO: 0441

DEFINITION:

Provide high-level specialized technical legal secretarial support to a LACERA legal division by completing difficult and highly complex legal administrative tasks.

POSITION INFORMATION:

Positions allocable to this advanced journey-level class specialize in supporting a LACERA legal office by performing technical legal administrative duties within the division. Incumbents receive highly complex assignments, often without established procedures or protocols and requiring a great deal of independent judgment, discretion, confidentiality, and specialized technical legal knowledge and skills. Work is often performed under tight time constraints and deadlines.

These positions require knowledge of LACERA organizational by-laws and applicable governmental rules and regulations; familiarity with legal terminology and applicable legislation; LACERA policies, procedures, and practices; general and technical legal administrative principals, practices, and standards; modern office equipment and software operations; procedures for classifying and indexing files to statutory codes; and protection of confidential and sensitive information.

Senior Legal Secretary, LACERA is distinguished from Legal Secretary, LACERA in that the latter performs routine duties that may be of a complex nature, with greater oversight, guidance, and approval from supervisor and with some independence, whereas the Senior Legal Secretary utilizes specialized technical legal knowledge to independently perform complex and difficult assignments.

The Legal Secretary, LACERA series is distinguished from the Administrative Assistant, LACERA and Staff Assistant, LACERA series in that the former requires specialized technical legal knowledge and skills in addition to administrative knowledge and skills.

The Legal Secretary, LACERA series is distinguished from the Clerk, LACERA and Typist-Clerk, LACERA series in that the latter perform primarily clerical duties requiring highly specialized knowledge of a particular function, with or without skilled typing.

EXAMPLES OF ESSENTIAL JOB FUNCTIONS:

The following examples are intended to describe the general nature and level of work performed by persons assigned to each classification. Depending on the assignment, duties may include, but are not limited to the following:

Provides specialized technical administrative support to LACERA Legal Divisions.

Handles highly confidential and sensitive interactions, information and processes with exceptional customer service, tact, and judgment and diffuses difficult or emotional situations.

Answers telephones, screens, and greets callers and in-house guests.

Facilitates problem solving by resolving issues, if possible, or directing to appropriate person/division for resolution.

Prepares correspondence, briefs, pleadings, contracts, warrants, summonses, complaints, indictments, motions, subpoenas, amendments, exhibits, legal forms, and other legal documents for filing and serving. May submit completed documents to court if applicable.

Performs technical work under the oversight of staff attorney or professional legal analyst.

Proofreads, edits, checks citations for accuracy and ensures they are to code.

Manages calendars, coordinates and schedules arrangements, appointments and travel including airfare, accommodations, and transportation; tracks time and attendance for assigned area; assists with payroll processing; and reconciles and tracks expense reimbursements and invoices for payment.

Initiates contact with interested parties to obtain missing case file documentation. May interview case witnesses.

Organizes and schedules division meetings, conferences, and hearings, including creating agendas, arranging meeting locations, inviting participants, taking accurate and concise minutes, and arranging refreshments, if applicable and tracking attendance.

Manages records by classifying, indexing, and archiving files and folders, preparing files for closing, scanning, copying, and tracking.

Maintains law library resources.

Provides back-up support to other Legal Secretaries, legal projects, or processes.

May conduct initial case file research under the supervision and guidance of Staff Counsel; speaks to members, pro per members or witnesses; searches databases for missing case information and gathers missing data for attorney review.

May supervise or lead other Legal Secretaries or special projects within the Division.

May provide additional support to Division Managers and Executive Office in overseeing division expenses such as reporting, budget management (tracking, analyzing, reporting and forecasting), reconciling credit cards, processing expense reimbursements and invoices for payment, acting as liaison with Accounting or other divisions of interest.

May arrange for case file documentation to be delivered to court or file court documents electronically according to statutory requirements and timeframes.

May coordinate delivery of Administrative Record to Superior Court and outside counsel.

May oversee time tracking for division, process timecards, track, and schedule time off.

Performs other projects and duties as assigned to further the objectives of the organization.

REQUIREMENTS:

TRAINING AND EXPERIENCE:

OPTION 1: Three (3) years of increasingly responsible and highly complex legal secretary experience at the level of Legal Secretary, LACERA.

OPTION 2: Five (5) years of increasingly responsible and highly complex legal secretary experience working in a law office.

KEYBOARDING SKILL: 40 net words per minute.

LICENSE: A valid California Class C Driver License or the ability to utilize an alternative method of transportation when needed to carry out job-related essential functions.

PHYSICAL CLASS II - Light physical effort which may include occasional light lifting to a 10 pound limit, and occasional bending, walking, stooping or squatting. Incumbents sit for extended periods of time. Work is performed in an office environment in a controlled climate.

LAST UPDATE: 5/21/2021

CLASSIFICATION TITLE: ~~Management Secretary~~ Legal Secretary, -LACERA

ITEM NO: 0440

DEFINITION:

Provides technical legal secretarial support to a LACERA legal division by completing routine-to-complex legal administrative tasks. The incumbent for this position will provide a full range of legal secretarial/clerical services, including the processing and filing of various legal documents with minimum instructions, the management of docket and calendar systems, and the preparation of contracts and other transactional documents for the attorneys of LACERA'S Legal Office.

POSITION INFORMATION:

Positions allocable to this journey-level class support a LACERA legal office by performing technical legal administrative duties within the division. Incumbents occasionally receive complex assignments without established procedures or protocols. Work is often performed under tight time constraints and deadlines.

These positions require knowledge of LACERA organizational by-laws and applicable governmental rules and regulations; familiarity with legal terminology and applicable legislation; LACERA policies, procedures, and practices; general and technical legal administrative principals, practices, and standards; modern office equipment and software operations; procedures for classifying and indexing files to statutory codes; and protection of confidential and sensitive information.

Legal Secretary, LACERA is distinguished from Senior Legal Secretary, LACERA in that the latter utilizes specialized technical legal knowledge and skills to perform more difficult and complex assignments requiring a high-degree of discretion and independence, whereas the Legal Secretary, LACERA primarily performs routine duties, occasionally those of a complex nature, and typically under greater supervisory oversight.

The Legal Secretary, LACERA series is distinguished from the Administrative Assistant, LACERA and Staff Assistant, LACERA series in that the former requires specialized technical legal knowledge and skills in addition to administrative knowledge and skills.

The Legal Secretary, LACERA series is distinguished from the Clerk, LACERA and Typist-Clerk, LACERA series in that the latter perform primarily clerical duties requiring highly specialized knowledge of a particular function, with or without skilled typing. All classes in the Secretarial Group perform duties composed of essentially the same basic activities and operations. Positions in these classes are allocated when the work of the supervisor requires full time personal secretarial assistance. The level of secretary allocated is related primarily to the level of supervisor served. Positions allocable to this classification are located in LACERA's Legal Office.

EXAMPLES_OF_ESSENTIAL_JOB_FUNCTIONS:

The following examples are intended to describe the general nature and level of work performed by persons assigned to each classification. Depending on the assignment, duties may include, but are not limited to the following:

Provides technical secretarial support to LACERA Legal Divisions.

Handles highly confidential and sensitive interactions, information and processes with exceptional customer service, tact, and judgment and diffuses difficult or emotional situations.

Answers telephones, screen and greet callers and in-house guests.

Facilitates problem solving by resolving issues, if possible, or directing to appropriate person/division for resolution.

Prepares correspondence, briefs, pleadings, contracts, warrants, summonses, complaints, indictments, motions, subpoenas, amendments, exhibits, legal forms, and other legal documents for filing and serving.

Performs technical work under the oversight of staff attorneys or professional legal analysts.

Proofreads legal documents, edits, checks citations for accuracy and ensures they are to code.

Manages calendars, coordinates and schedules arrangements, appointments and travel including airfare, hotels, and transportation; tracks time and attendance for assigned area; assists with payroll processing; and reconciles, processes and tracks expense reimbursements and invoices for payment.

Organizes and schedules division meetings, conferences, and hearings, including creating agendas, arranging meeting place, inviting participants, recording accurate and concise minutes, and arranging refreshments, if applicable and tracking attendance.

Manages case records by classifying, indexing, and archiving files and folders, preparing files for closing, scanning, copying, and tracking.

May conduct initial case file research under the supervision and guidance of Staff Counsel; speaks to members, pro per members or witnesses; searches databases for missing case information; and gathers missing data for attorney review.

May initiate contact with interested parties to obtain missing case file documentation.

May process invoices for payments and periodically prepare reports.

May assist in maintaining law library resources.

May coordinate and gather documentation to fulfill Public Records Requests.

May provide additional support to supervisor such as tracking and reporting on data and serve as liaison to Human Resources, Systems or other divisions.

Provides back-up support to other Legal Secretaries within the Division.

May oversee time tracking for division, process timecards, track and schedule time off.

Other projects and duties as assigned to further the objectives of the organization. ~~On behalf of the supervisor served:~~

~~Replies to correspondence, composes letters.~~

~~Screens office and telephone callers, meets the public, makes appointments, and arranges conferences and speaking engagements.~~

~~Directs callers to other departments and officials or to other individuals, divisions, or sections of the department where assigned.~~

~~Takes care of day-to-day inquiries or problems wherever possible.~~

~~Secures information on the status of pending matters and reasons for delay in the completion of projects.~~

~~Maintains office files and records, including those of a confidential nature.~~

~~Recognizes the need for revisions in office, clerical, and secretarial procedures, and makes recommendations regarding such changes.~~

~~May assign and supervise the work of other employees.~~

~~Processes and files legal documents with government agencies and regulatory bodies.~~

~~Communicates with representatives of advisors, regulators, and other legal professionals.~~

~~Formats and proofreads legal documents, correspondence, and presentation materials.~~

~~Maintains and organizes corporate record keeping systems.~~

REQUIREMENTS:

TRAINING AND EXPERIENCE:

Two (2) years of increasingly responsible legal secretary experience working in a law office. One (1) year's highly responsible secretarial experience at the level of Los Angeles County's class of Secretary III, Secretary IV, Senior Secretary I, Senior Secretary II or Intermediate Stenographic Secretary

~~-OR-~~

~~-~~

~~One (1) year's highly responsible experience as a Senior Secretary, LACERA~~

~~—OR—~~

~~Two (2) years responsible secretarial experience at the level of Los Angeles County's class of Secretary I, Secretary II or Stenographic Secretary.~~

~~Keyboarding Rate~~**KEYBOARDING RATE:** ~~40 net words per minute.~~

SPECIALTY REQUIREMENTS:

~~Specialized examinations may include: Stenography Skill: Dictation rate of 80 words per minute.~~

LICENSE: A valid California Class C Driver License or the ability to utilize an alternative method of transportation when needed to carry out job-related essential functions.

PHYSICAL CLASS II - Light physical effort which may include occasional light lifting to a 10 pound limit, and occasional bending, walking, stooping or squatting. Incumbents sit for extended periods of time. Work is performed in an office environment in a controlled climate.

ADDITIONAL INFORMATION:

Physical Class:

~~"2" — Light. Incumbents constantly sit, and use repetitive hand motions including simple grasping, fine manipulation, and pushing and pulling. Occasionally, incumbents walk, bend, twist the neck and waist, and reach above and below shoulder level. Work is performed in an office environment; a controlled climate~~

Special Information:

~~Specialized examinations may include: Stenography Skill: Dictation rate of 80 words per minute.~~

LAST UPDATE: 5/21/2021

CLASSIFICATION TITLE: Legal Secretary, LACERA

ITEM NO: 0440

DEFINITION:

Provides technical legal secretarial support to a LACERA legal division by completing routine-to-complex legal administrative tasks.

POSITION INFORMATION:

Positions allocable to this journey-level class support a LACERA legal office by performing technical legal administrative duties within the division. Incumbents occasionally receive complex assignments without established procedures or protocols. Work is often performed under tight time constraints and deadlines.

These positions require knowledge of LACERA organizational by-laws and applicable governmental rules and regulations; familiarity with legal terminology and applicable legislation; LACERA policies, procedures, and practices; general and technical legal administrative principals, practices, and standards; modern office equipment and software operations; procedures for classifying and indexing files to statutory codes; and protection of confidential and sensitive information.

Legal Secretary, LACERA is distinguished from Senior Legal Secretary, LACERA in that the latter utilizes specialized technical legal knowledge and skills to perform more difficult and complex assignments requiring a high-degree of discretion and independence, whereas the Legal Secretary, LACERA primarily performs routine duties, occasionally those of a complex nature, and typically under greater supervisory oversight.

The Legal Secretary, LACERA series is distinguished from the Administrative Assistant, LACERA and Staff Assistant, LACERA series in that the former requires specialized technical legal knowledge and skills in addition to administrative knowledge and skills.

The Legal Secretary, LACERA series is distinguished from the Clerk, LACERA and Typist-Clerk, LACERA series in that the latter perform primarily clerical duties requiring highly specialized knowledge of a particular function, with or without skilled typing.

EXAMPLES OF ESSENTIAL JOB FUNCTIONS:

The following examples are intended to describe the general nature and level of work performed by persons assigned to each classification. Depending on the assignment, duties may include, but are not limited to the following:

Provides technical secretarial support to LACERA Legal Divisions.

Handles highly confidential and sensitive interactions, information and processes with exceptional customer service, tact, and judgment and diffuses difficult or emotional situations.

Answers telephones, screen and greet callers and in-house guests.

Facilitates problem solving by resolving issues, if possible, or directing to appropriate person/division for resolution.

Prepares correspondence, briefs, pleadings, contracts, warrants, summonses, complaints, indictments, motions, subpoenas, amendments, exhibits, legal forms, and other legal documents for filing and serving.

Performs technical work under the oversight of staff attorneys or professional legal analysts.

Proofreads legal documents, edits, checks citations for accuracy and ensures they are to code.

Manages calendars, coordinates and schedules arrangements, appointments and travel including airfare, hotels, and transportation; tracks time and attendance for assigned area; assists with payroll processing; and reconciles, processes and tracks expense reimbursements and invoices for payment.

Organizes and schedules division meetings, conferences, and hearings, including creating agendas, arranging meeting place, inviting participants, recording accurate and concise minutes, and arranging refreshments, if applicable and tracking attendance.

Manages case records by classifying, indexing, and archiving files and folders, preparing files for closing, scanning, copying, and tracking.

May conduct initial case file research under the supervision and guidance of Staff Counsel; speaks to members, pro per members or witnesses; searches databases for missing case information; and gathers missing data for attorney review.

May initiate contact with interested parties to obtain missing case file documentation.

May process invoices for payments and periodically prepare reports.

May assist in maintaining law library resources.

May coordinate and gather documentation to fulfill Public Records Requests.

May provide additional support to supervisor such as tracking and reporting on data and serve as liaison to Human Resources, Systems or other divisions.

Provides back-up support to other Legal Secretaries within the Division.

May oversee time tracking for division, process timecards, track and schedule time off.

Other projects and duties as assigned to further the objectives of the organization.

REQUIREMENTS:

TRAINING AND EXPERIENCE:

Two (2) years of increasingly responsible legal secretary experience working in a law office.

KEYBOARDING RATE: 40 net words per minute.

LICENSE: A valid California Class C Driver License or the ability to utilize an alternative method of transportation when needed to carry out job-related essential functions.

PHYSICAL CLASS II - Light physical effort which may include occasional light lifting to a 10 pound limit, and occasional bending, walking, stooping or squatting. Incumbents sit for extended periods of time. Work is performed in an office environment in a controlled climate.

Secretarial Study
SUMMARY

No. of Pos	Budgeted Position	CURRENT SALARY (1/1/21)			Proposed New Titles	LACERA PROPOSED SALARY			FLSA?	BUDGET IMPACT			% Change
		Sch	Max Salary	Annual		Sch	Max Salary	Annual		Per Position	With Benefits	Total	
2	Executive Board Assistant	104K NM	\$ 9,425.00	\$ 113,100.00	Executive Board Assistant positions were not part of this study. Listed for reference only.								0.0%
2	Executive Secretary	101G NM	\$ 8,624.64	\$ 103,495.68	Executive Administrative Assistant	101G NM	\$ 8,624.64	\$ 103,495.68	Yes	\$ -	\$ -	\$ -	0.0%
1	Senior Management Secretary	97G NM	\$ 7,738.55	\$ 92,862.60	Senior Administrative Assistant	93J NM	\$ 6,976.73	\$ 83,720.76	Yes	\$ (9,141.84)	\$ (14,169.85)	\$ (14,169.85)	-9.8%
7	Senior Management Secretary	97G NM	\$ 7,738.55	\$ 92,862.60	Senior Legal Secretary	99B NM	\$ 8,069.09	\$ 96,829.08	Yes	\$ 3,966.48	\$ 6,148.04	\$ 43,036.31	4.3%
2	Management Secretary	93G NM	\$ 6,942.55	\$ 83,310.60	Legal Secretary	94H NM	\$ 7,150.82	\$ 85,809.84	Yes	\$ 2,499.24	\$ 3,873.82	\$ 7,747.64	3.0%
11	Senior Secretary	89G NM	\$ 6,229.18	\$ 74,750.16	Senior Administrative Assistant	90F NM	\$ 6,384.54	\$ 76,614.48	Yes	\$ 1,864.32	\$ 2,889.70	\$ 31,786.66	2.5%
4	Secretary	83D NMVO	\$ 5,547.18	\$ 66,566.16	Administrative Assistant	84C NMVO	\$ 5,685.36	\$ 68,224.32	Yes	\$ 1,658.16	\$ 2,570.15	\$ 10,280.59	2.5%
29	TOTAL NUMBER OF POSITIONS											\$ 78,681.35	



December 6, 2021

To: Joint Organizational Governance Committee

From: Board of Retirement and Committee on Board Roles and Responsibilities

Re: Recommendations for Revision of JOGC Charter

At its meeting of November 3, 2021, the Board of Retirement heard the report of the Committee on Board Roles and Responsibilities (the Committee). Following that report and discussion, the Board of Retirement voted to refer the report of the Committee and its recommended JOGC Charter changes to the JOGC for its review, discussion, and possible recommendation of a revised Charter to both Boards.

The above action arose from the Committee on Board Roles and Responsibilities meeting of October 21, 2021, which recommended a revised Charter for the Joint Organizational Governance Committee (JOGC) for consideration by the Board of Retirement.

The following is the report and recommendation of the Committee as presented to the BOR:

This report explains the reasons for the revisions and the Committee's recommendation to the Board. The primary basis for the recommendation is that CERL specifies those areas of responsibility that belong specifically to the Board of Retirement (BOR) and those that belong to the Board of Investment (BOI). The existing JOGC Charter confuses those boundaries. The proposed revised Charter simplifies the Charter and the JOGC's responsibilities to the core areas of the Boards' joint responsibilities.

The Committee identified the following responsibilities as solely those of the BOR¹. Where appropriate, CERL citations are noted.:

- i. Pension benefits administration upon service retirement. (Section 31670.)*

¹The statutory list is taken from the March 27, 2018 memo from Chief Legal Officer Steven Rice and the accompanying endorsement dated June 15, 2018 from then fiduciary counsel Harvey Leiderman.

- ii. *Compensation earnable and pensionable compensation, including implementation of applicable provisions of PEPRA. (Sections 7522.34, 31461.)*
- iii. *Disability retirement benefits administration. (Sections 31530, 31720 et seq.)*
- iv. *All other benefits and benefit-related issues. All other benefits and benefit-related issues under CERL and PEPRA, including, for example, survivor benefits, death benefits, investigation of benefits questions, felony forfeiture, and reciprocity, are within the BOR's authority.*
- v. *Collections. The BOR oversees collection issues, including underpayment of contributions and overpayment of benefits.*
- vi. *Administrative appeals. The BOR has established and oversees an administrative appeals process, to provide due process and hears and decides member appeals with regard to plan administration issues.*
- vii. *Procedure for assessing and determining whether an element of compensation was paid to enhance benefits. (Section 31542.) The BOR is required to implement a procedure to address potential "pension spiking." If the BOR determines that compensation was paid to enhance a member's benefit, the member or employer may present evidence that the compensation was not paid for that purpose and request the BOR to reverse its decision. This requirement was implemented in part through the administrative appeals process described in (vi) above.*
- viii. *LACERA operations. All LACERA operational issues are addressed by the BOR, other than those assigned to the Boards jointly or to the BOI. This includes such important matters as privacy, Public Records Act requests, member communications, and all issues not specifically provided to be performed elsewhere.*
- ix. *Financial and accounting services. (Section 31593.) Aside from financial, actuarial, and auditing responsibilities of the BOI and the Audit Committee as explained above, the BOR monitors and supervises the Financial and Accounting Services Division and*

related financial reporting compliance issues and approves retention of LACERA's external financial auditor based on a recommendation from the Audit Committee.

- x. Personnel issues. The personnel function, which includes Human Resources, is part of the management of the system, and is therefore under the jurisdiction of the Board of Retirement. Personnel issues includes employment claims and litigation, excluding the CEO and the CAE, who report jointly to both Boards as noted above. It also excludes classification, compensation, and union contracts (although negotiations will be overseen by the BOR), which are joint board responsibilities. Boards have an interest in significant personnel issues concerning senior management, such as the Chief Counsel, who regularly advise the BOR. Accordingly, while the BOR will have oversight responsibility for most personnel issues, certain personnel issues may appropriately be addressed by both Boards working together or by the BOI alone.*
- xi. Aids to benefits administration. The BOR's broad authority over benefits, including service retirements, disability retirements, and other benefits, encompasses the ability to procure consultants and whatever other aids are necessary for the effective performance of that work.*
- xii. Tax compliance issues. The BOR oversees tax qualification issues and monitors that LACERA remains in compliance with applicable requirements of the Internal Revenue Code for plan qualification and member related matters such as withholding and tax reporting.*
- xiii. Adopt BOR regulations. (Sections 31525, 31526.)*
- xiv. Filling of BOR vacancies. (Section 31523.) The BOR is required to cause an election to be held at the earliest possible date for any vacancy in the elected positions.*
- xv. Separation from County service. (Section 31524.) Separation from County service of an elected member vacates the trustee's office.*

- xvi. 24 hours of trustee education. (Section 31522.8.) BOR trustees are required to obtain 24 hours of education every two years on the subjects listed in Section 31522.8.*
- xvii. Conflict of interest and “revolving door” limits. (Section 31528.)*
- xviii. Authority to obtain legal representation. (Sections 31529, 31529.1, 31529.5, 31529.6, 31529.9.)*
- xix. Litigation related to LACERA benefits, operations, and management, excluding investment related litigation.*
- xx. Issuance of subpoenas. (Section 31535.1)*
- xxi. Administration of the OPEB program. (Sections 31691, 31694.) The BOR administers the retiree healthcare program under the 1982 Agreement, as amended, with the County and under separate agreements with participating districts.*
- xxii. Approval of travel. The BOR has the responsibility under the Education and Travel Policy to approve travel and educational opportunities for its trustees according to the terms of the policy.*
- xxiii. Appointment of Committees as provided in BOR Regulations.*

Attached to this report is the revised JOGC Charter (Attachment A) as recommended by the Committee. It eliminates certain functions currently delegated to the JOGC and reduces the number of issues within the JOGC’s designated portfolio of responsibilities.

In addition to some stylistic changes to comport with editorial changes, the following substantive changes were made in the revised draft charter as reflected in the attached draft:

Section 3 Purpose - Three of the stated purposes in the current charter have been eliminated, as explained below:

The first is “combined oversight of both Boards.” The Committee’s view was that the JOGC is designed to coordinate where the duties of the BOR and the BOI intersect as required by law, not to act as an oversight vehicle of the distinct duties of each Board.

The second was acting as a liaison between the two Boards. The Committee’s view is that communication can best be handled between the Chairs with the assistance of the CEO and other management. Using the JOGC in the current form created a blurring of the lines of the statutory duties unique to each

Board.

The third recommended change was deleting the statement that the JOGC's purpose was to ensure that each Board is comfortable that its perspectives are properly represented. The Committee expressed the view that this shared perspective should be reserved to the specific duties conferred jointly in the Boards by CERL.

Section 4 Scope - The Committee recommended combining certain responsibilities and eliminating others as set forth below. As the Scope is expanded in Section 7, the corresponding changes in that Section of the current Charter are also discussed here:

Eliminated were "Organizational Philosophy," "CEO Search," "Legislation, Engagement and Advocacy," and "Board disputes." The Committee expressed the belief that these were too general and again lead to responsibility drift. Reference to Organizational Philosophy in Section 7.1, Legislation in Section 7.5 and Board Disputes in Section 7.8 was also eliminated.

The scope for CEO Search was altered to assistance in recommending a consultant for both CEO and Chief Legal Officer vacancies as those positions equally serve both Boards. This is also referenced in a change to current Section 7.7 (renumbered as 7.4) Current Section 7.5 (renumbered as 7.3) relating to claims and litigation has been narrowed to litigation involving senior staff and other litigation affecting the interests of both Boards. The Committee recommended that litigation concerning senior staff would be managed with assistance from the CEO and the Chief Legal Officer.

"Education and Travel" was combined with "Joint Board Policy Development" to ensure that policies common to the statutory work of both Boards was uniform, while still leaving each Board the flexibility to tailor education and travel to its own needs. This is also reflected in existing Section 7.4 (renumbered as 7.3)

Strategic Planning and Budgeting were divided into separate items. The former may involve the use of an outside consultant and primarily involves Board policy making, whereas budget development is largely a staff driven function. These functions are more specifically described in current Section 7.2 (renumbered as 7.1)

Classification and salaries of staff was added as this is a responsibility imposed on both Boards by law.

Lastly, a miscellaneous category was retained but made dependent on both Boards requesting the JOGC's assistance.

Section 10 Meeting Frequency:

The Committee members expressed concern about both the number of meetings (Board and committees) and the length of meetings. This would suggest an increase in the amount of delegation to staff of ministerial matters may be desirable. As a result of the recommended changes in the mission of the JOGC, a fixed meeting schedule was eliminated in favor of meetings called at the joint request of the Board Chairs.

Implementation of the Recommendations:

The current JOGC membership (whether the name is retained or not) could serve as a committee to vet and reach a preliminary consensus on the above issues. Once properly vetted, they could be presented for adoption jointly by the BOR and BOI. The above recommendations are consistent with the recommendation of the Committee. In particular, paragraph 7.3 (formerly 7.5) reflects the Committee's belief that in personnel matters, the direct involvement of the CEO and Chief Legal Officer are essential.

Additional Recommendation proposed by Fiduciary Counsel

In the course of the Committee's work, it was noted by Fiduciary Counsel that LACERA has a significant number of policies and procedures in separate documents. In addition to the Charter revisions, Fiduciary Counsel recommended creating a master index of all policies which could aid Board members, staff, and advisors in assuring that advice and subsequent decision-making was consistent with existing practice. That does not suggest that once developed, policies and practices should remain unchanged. The Boards were specifically granted rule making authority so that the constantly changing needs of the System allowed for a dynamic process of policy change. This is regular and critical review of policies and practices by each Board itself a sound fiduciary "best practice." To that end, each Board could establish a regular schedule of policy review. In the alternative, the first step of that process could be delegated to staff or advisors. The Committee also adopted that recommendation by Fiduciary Counsel and it is incorporated in the Committee's recommendation the Board of Retirement.

Summary of Committee Action and Recommendations:

In summary, the following action was unanimously recommended by the Committee to the Board of Retirement:

1. Approve the revised JOGC Charter, which would then need to be forwarded to the BOI for its consideration; and

December 6, 2021

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2. Direct staff to create a master index of existing BOR (and BOI) policies, practices, and documents into a single, consolidated resource. (This recommendation was adopted by the BOR and not part of the referral to the JOGC).

Requested Action by the JOGC

The BOR requests the JOGC for its consideration and comments on the proposed changes to the JOGC Charter, together with its recommendations for any further revision.

ATTACHMENT A

JOGC Charter (Red-Lined Version)



LOS ANGELES COUNTY EMPLOYEES RETIREMENT ASSOCIATION

Joint Organizational Governance Committee Charter

Revised and Restated
Adopted by Board of Retirement on May 1, 2019
Adopted by the Board of Investments on May 15, 2019

LACERA
Joint Organizational Governance Committee Charter

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Joint Organizational Governance Committee Charter

1 Overview of the LACERA Board of Retirement and the Board of Investments¹

The Los Angeles County Employees Retirement Association (LACERA) is a public pension system formed in 1937 in accordance with the County Employees Retirement Law of 1937 (the '37 Act or CERL) and administered pursuant to the '37 Act, the California Public Employees' Pension Reform Act of 2013 (PEPRA), and the California Constitution. ~~Since 1971, LACERA has also administered~~ see the Retiree Healthcare Benefits Program for the County and outside districts, through contractual agreements with the County, and the Other Postemployment Benefits Program (OPEB) trusts formed by the County, LACERA, and the Los Angeles Superior Court to provide support for the retiree health program in the future.

LACERA is an independent governmental entity. LACERA is the largest county retirement system in America. LACERA is funded by the County, participating employers, employees, and investment earnings.

LACERA is governed by two Boards. Both Boards include a mix of trustees that are appointed and elected members and an ex-officio member, the sitting County Treasurer and Tax Collector. The Board of Retirement (BOR) is responsible for the overall management of the retirement system and the LACERA-administered Retiree Healthcare Benefits Program. The Board of Investments (BOI) is responsible for determining LACERA's investment objectives, strategies, and policies, as well as exercising authority and control over the investment management of the Fund. The BOI also invests and manages the ~~Other Postemployment Benefits Program (OPEB) trust~~ OPEB trust assets for participating employers. In addition, the BOI is responsible for obtaining pension actuarial valuations that measure the funded status and serve as the basis for setting employer and employee contribution rates required to fund the system. The BOR is responsible for obtaining actuarial valuations for the OPEB Program as part of its responsibility for administration of the OPEB Program.

The BOR and BOI have joint authority under CERL over certain shared responsibilities, including: classification and compensation of personnel; adoption of LACERA's administrative budget; the appointment and evaluation of the Chief Executive Officer (CEO); and other matters as specified in CERL.

Under the California Constitution, the Boards have plenary authority over administration of the pension fund.

¹ For a detailed analysis of the statutory duties of each board and their joint duties, please review the memorandum from Chief Legal Officer Steven Rice date March 27, 2018 and the concurrence from then fiduciary counsel Harvey Leiderman dated June 15, 2018.

Joint Organizational Governance Committee Charter

2 Purpose of this Document

The purpose of this document is to describe:

- the purpose, scope, responsibilities, meetings, and structure of the Joint Organizational Governance Committee (JOGC);

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- the committee’s membership and leadership; and
- meeting frequency and dates.

3 Purpose of the JOGC

The purpose of the JOGC is to:

- serve and facilitate the work of both Boards when the two boards duties intersect;
- make recommendations, not decisions.

4 Scope

The scope of the JOGC’s responsibilities, as explained and defined in Section 7, includes:

- Strategic Planning;
- ~~Budgeting;~~
- Joint Board Policy Development for ~~s~~System-wide policies such as ethics, conflict of interest, media, and education and travel;
- Senior Staff Related Employment Litigation and other litigation affecting the interests of both Boards ;
- Assist in recommending Search Consultant for Chief Executive Officer and Chief Legal Officer-;
- ~~Recommendations concerning selection of CEO, Chief Legal Officer, and Fiduciary Counsel serving both Boards~~
- ~~Such other assistance as may be jointly requested by the Boards; and~~
- ~~Classification and salaries of staff (consistent) with County Ordinance~~

5 Powers Reserved for the BOR and BOI

The BOR reserves for itself all powers related to (i) retirement and healthcare benefits including policy, legislation, litigation, operations, and administration, and (ii) actuarial valuations of the OPEB Program.

The BOI reserves for itself all powers related to (i) investments, including policy, legislation,

LACERA

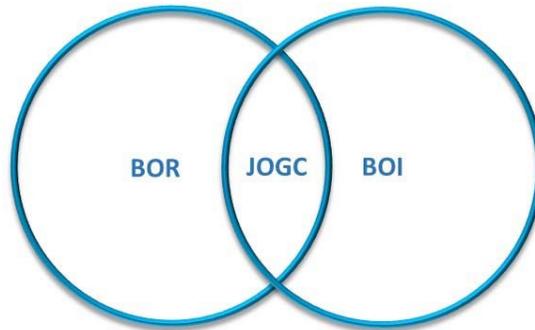
Joint Organizational Governance Committee Charter

litigation, operations, and administration, (ii) actuarial valuations of the pension fund, and (iii) oversight of the OPEB Trusts.

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6 Authority

The JOGC will only make recommendations to each Board on matters that intersect and affect both the BOR and BOI as described in Section 7, Responsibilities of this Charter. The following Venn diagram visually highlights the JOGC role to facilitate the work of both Boards when the Boards' duties intersect.



7 Responsibilities

7.1 Strategic Planning and Budgeting

Provide guidance on the development of a three-year strategic plan and the associated annual budgeting process for the Administrative, Retiree Healthcare, OPEB Program, and Non-Administrative budgets and make recommendations to the Boards, including the following:

- Strategic Plan: Provide oversight and guidance on the development of a three-year strategic plan that will guide the annual budgeting process, including resources needed to achieve organizational objectives.

In providing input and guidance on the development of the strategic plan, and associated budget plans, the JOGC will take into account, but will not reconsider, actions taken by the Boards within the areas of their separate jurisdiction, including the Board of Retirement for pension, healthcare, and administrative matters and the Board of

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Investments for investment-related strategic planning. The JOGC's role reflects an understanding that the entire budget process for LACERA, under Government Code Section 31580.2, is subject to the approval of both Boards, and that therefore oversight and guidance for the development of the budget is a joint Board responsibility, based in part upon actions taken by the Boards separately, including vendor selections and other matters.

Additionally, the JOGC's role reflects an understanding that each three-year strategic plan is a rolling plan and will also take into account past strategic plan initiatives that have already been set in motion and for which resources have already been allocated and expended as they provide input on new expectations and initiatives.

- Staffing Needs.
 - Staff Classifications: Review and make recommendations on staff requests to create all new Staff Member classifications.
 - Staff Compensation: Review and make recommendations on Staff Member requests related to:
 - Negotiation and approval of collective bargaining agreements;
 - Approval of initial compensation levels and ranges applicable to new positions to be added to the County Code;
 - Approval of compensation level and range changes for existing positions that require changes to the County Code; and
 - Budgeting for compensation to be provided for existing positions within existing County Code ranges.
- Budget Development: Provide guidance during the annual budget development cycle for the Administrative, Retiree Healthcare, OPEB Program, and Non- Administrative budgets. The staff will develop preliminary budget plans that take into account and support the approved strategic plans and general operating needs. The JOGC will review and provide a recommendation regarding the proposed budgets which will in turn be presented to the Boards during budget hearings. Both Boards will then independently take action on the JOGC's recommended proposed budget.

Staff will present a three-year strategic plan for the SS system as a whole incorporating the strategic plan of each Board and annual budget plan development process, including a proposed JOGC meeting schedule with respect to planning and budget issues, for the JOGC's approval. This process will govern how the organization will conduct the strategic plan and budgeting process on an annual basis. Once approved the process will remain in effect until reviewed and modified

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by the JOGC and staff, with a mandatory review every six years.

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The JOGC will complete its strategic planning and budgeting responsibilities on a timetable outlined in the approved annual strategic planning and budgeting process. All plans will include presentation of the budget to the Boards for final approval no later than June of each year.

On-going Oversight: Once a three-year strategic plan and annual budget is approved the JOGC will provide on-going oversight of the budget-to-actual results and the progress made towards fulfilling the Strategic Plan initiatives of each Board and the combined Strategic Plan for the ~~s~~System as a whole, during the fiscal year according to a schedule approved by the Committee in consultation with the staff.

By this section, the JOGC does not assume and will not exercise any responsibility as Appointing Authority not granted to the Boards under the Los Angeles County Code, including Section 5 (Personnel) and Section 6 (Salaries), or otherwise in conflict with the County Code and LACERA Policy.

~~7.2 — Education and Travel~~

~~Oversee and make recommendations with respect to the:~~

- ~~• Education and Travel Policy; and~~
- ~~• Other training issues relevant to both Boards as needed.~~

~~7.3~~7.2 Joint Policies

When not otherwise reserved to either the BOR or the BOI, assist in the ~~-~~development of and make recommendations with respect to all joint policies, such as ethics, conflict of interest, media, and education and travel as outlined in Section 4, ~~.~~

~~7.4 — Legislation, Engagement, and Advocacy~~

~~May make recommendations about legislation, engagement, and advocacy that impact both Boards.~~

~~7.5~~7.3 Litigation and Claims

Make recommendations about employment related and other Litigation and Claims affecting the interests of both Boards as described in Section 4. In matters specifically related to employment litigation concerning senior staff that serve both Boards, the CEO and Chief Legal Officer shall participate in the Committee's deliberations.

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. They may also include any other Litigation and Claims, including onesthat each Board is generally expected to separately manage, that the Board Chairs, the CEO, or Chief Counsel reasonably believe justify the involvement of this Committee because of mutual interest and concern to both Boards.

Litigation and Claims are defined as court actions, pre-litigation demands or claims, potential court actions, demands, or claims, and other forms of dispute resolution, such as arbitration and mediation.

Each Board is generally expected to separately manage:

- (1) As to the Board of Retirement, Litigation and Claims relating to the regular course of business regarding retirement, disability, and healthcare benefits, all LACERA personnel (other than the Chief Executive Officer, and all those reporting directly to them or as to whom the Boards or any of their committees have an Appointing Authority role as stated in this section), and the general operations and administration of the retirement system and the OPEB Program (including actuarial services for the OPEB Program),
- (2) As to the Board of Investments, Litigation and Claims relating to the regular course of business regarding investments, pension actuarial services, and the OPEB Trusts, and
- (3) Litigation and Claims concerning contracts approved only by that Board.

By this section, the JOGC does not assume any responsibility as Appointing Authority not granted to the Boards under the Los Angeles County Code, including Section 5 (Personnel) and Section 6 (Salaries) or otherwise in conflict with the County Code.

[7.67.4](#) Chief Executive Officer and Chief Legal Officer

Should a vacancy occur:

- Make a recommendation for a search consultant; and
- Provide such additional assistance in the selection process as the Boards may determine at the time.

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[7.7.5](#) [Miscellaneous Matters](#)

Miscellaneous matters that may need to be brought before the JOGC will be determined on a case by case basis by the respective Board Chairs and the Chair of the JOGC in consultation with the CEO. Additionally, miscellaneous matters may be brought before the JOGC by any JOGC member.

8 Membership, Quorum, and Rules

There will be eight (8) members with no designated alternates. The JOGC will be comprised of the BOR and BOI Chairs and Vice-Chairs plus one member appointed by each Chair and one member elected by each Board. In making their appointment, each Chair will endeavor to include an overall mix of trustees who are appointed by the Board of Supervisors, elected by active employees (general and safety), elected by retired members, and who serve in an ex officio capacity. The Chairs will also consider continuity of service when appointing members, so that development of expertise and familiarity with the subject matters jurisdictional to the JOGC are encouraged, and to benefit the JOGC's goals.

If there is one JOGC member who represents both Boards (one overlap), then an additional appointment will be made by the BOR Chair in even years and by the BOI Chair in odd years. If there is more than one overlap, the BOR and BOI Chairs will make an equal number of additional appointments; if there are an odd number of overlaps, the final appointment, after the Board Chairs make their separate appointments, will be made following the rule as stated in the preceding sentence that applies in the case of one overlap.

A quorum exists when a majority of the members are present, without regard to the Board from which individual members were appointed.

The JOGC is subject to the Ralph M. Brown Act (Brown Act), and its meetings will be noticed, agendaized, and conducted in accordance with the Brown Act. The JOGC may meet in closed session as provided in the Brown Act.

Robert's Rules of Order will also apply in the JOGC's meetings. A motion may be made or seconded by any member. A motion passes if a majority of the members present, without regard to the Board from which they were appointed, vote in favor of the motion.

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Joint Organizational Governance Committee Charter

9 Leadership

The Chair and Vice Chair of the JOGC will be elected by members of the JOGC at the first meeting of each year.

10 Meeting Frequency and Dates

10.1 Frequency

The Committee shall meet as needed with the concurrence of the Board Chairs ~~with exception of budget. Meetings related to budget and strategic planning shall be scheduled _____~~. All meetings shall be noticed in accordance with the Ralph M. Brown Act.

10.2 Dates

To the extent possible, meetings will alternate between scheduled BOR and BOI meetings, and as needed.

11 Charter Review

The BOR and BOI shall review and update this Charter, based on recommendations from the JOGC, at least once every three years.

~~This Charter was adopted by the Board of Retirement on _____ and by the Board of Investments on _____.~~

HISTORY:

Revised and Restated by the Board of Retirement on _____ and by the Board of Investments on _____.

ATTACHMENT B

JOGC Charter (Clean Version)



LOS ANGELES COUNTY EMPLOYEES RETIREMENT ASSOCIATION

Joint Organizational Governance Committee Charter

Revised and Restated
Adopted by Board of Retirement on May 1, 2019
Adopted by the Board of Investments on May 15, 2019

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Joint Organizational Governance Committee Charter

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Joint Organizational Governance Committee Charter

1 Overview of the LACERA Board of Retirement and the Board of Investments¹

The Los Angeles County Employees Retirement Association (LACERA) is a public pension system formed in 1937 in accordance with the County Employees Retirement Law of 1937 (the '37 Act or CERL) and administered pursuant to the '37 Act, the California Public Employees' Pension Reform Act of 2013 (PEPRA), and the California Constitution. LACERA also administers the Retiree Healthcare Benefits Program for the County and outside districts, through contractual agreements with the County, and the Other Postemployment Benefits Program (OPEB) trusts formed by the County, LACERA, and the Los Angeles Superior Court to provide support for the retiree health program in the future.

LACERA is an independent governmental entity. LACERA is the largest county retirement system in America. LACERA is funded by the County, participating employers, employees, and investment earnings.

LACERA is governed by two Boards. Both Boards include a mix of trustees that are appointed and elected members and an ex-officio member, the sitting County Treasurer and Tax Collector. The Board of Retirement (BOR) is responsible for the overall management of the retirement system and the LACERA-administered Retiree Healthcare Benefits Program. The Board of Investments (BOI) is responsible for determining LACERA's investment objectives, strategies, and policies, as well as exercising authority and control over the investment management of the Fund. The BOI also invests and manages the OPEB trust assets for participating employers. In addition, the BOI is responsible for obtaining pension actuarial valuations that measure the funded status and serve as the basis for setting employer and employee contribution rates required to fund the system. The BOR is responsible for obtaining actuarial valuations for the OPEB Program as part of its responsibility for administration of the OPEB Program.

The BOR and BOI have joint authority under CERL over certain shared responsibilities, including classification and compensation of personnel; adoption of LACERA's administrative budget; the appointment and evaluation of the Chief Executive Officer (CEO); and other matters as specified in CERL.

Under the California Constitution, the Boards have plenary authority over administration of the pension fund.

2 Purpose of this Document

The purpose of this document is to describe:

¹ For a detailed analysis of the statutory duties of each board and their joint duties, please review the memorandum from Chief Legal Officer Steven Rice date March 27, 2018 and the concurrence from then fiduciary counsel Harvey Leiderman dated June 15, 2018.

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- the purpose, scope, responsibilities, meetings, and structure of the Joint Organizational Governance Committee (JOGC);
- the committee’s membership and leadership; and
- meeting frequency and dates.

3 Purpose of the JOGC

The purpose of the JOGC is to:

- serve and facilitate the work of both Boards when the two boards duties intersect;
- make recommendations, not decisions.

4 Scope

- The scope of the JOGC’s responsibilities, as explained and defined in Section 7, includes: Strategic Planning;
- Budgeting; Joint Board Policy Development for system-wide policies such as ethics, conflict of interest, media, and education and travel;
- Senior Staff Related Employment Litigation and other litigation affecting the interests of both Boards ;
- Assist in recommending Search Consultant for Chief Executive Officer and Chief Legal Officer;
- Such other assistance as may be jointly requested by the Boards; and Classification and salaries of staff

5 Powers Reserved for the BOR and BOI

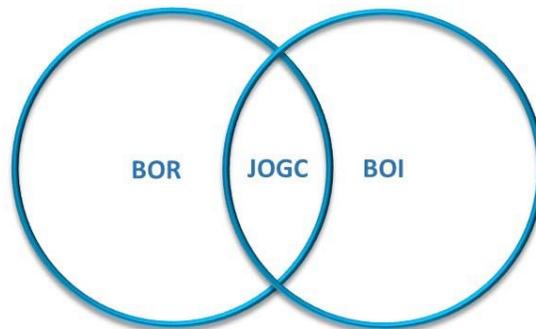
The BOR reserves for itself all powers related to (i) retirement and healthcare benefits including policy, legislation, litigation, operations, and administration, and (ii) actuarial valuations of the OPEB Program.

The BOI reserves for itself all powers related to (i) investments, including policy, legislation, litigation, operations, and administration, (ii) actuarial valuations of the pension fund, and (iii) oversight of the OPEB Trusts.

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6 Authority

The JOGC will only make recommendations to each Board on matters that intersect and affect both the BOR, and BOI as described in Section 7, Responsibilities of this Charter. The following Venn diagram visually highlights the JOGC role to facilitate the work of both Boards when the Boards' duties intersect.



7 Responsibilities

7.1 Strategic Planning and Budgeting

Provide guidance on the development of a three-year strategic plan and the associated annual budgeting process for the Administrative, Retiree Healthcare, OPEB Program, and Non-Administrative budgets and make recommendations to the Boards, including the following:

- Strategic Plan: Provide oversight and guidance on the development of a three-year strategic plan that will guide the annual budgeting process, including resources needed to achieve organizational objectives.

In providing input and guidance on the development of the strategic plan, and associated budget plans, the JOGC will take into account, but will not reconsider, actions taken by the Boards within the areas of their separate jurisdiction, including the Board of Retirement for pension, healthcare, and administrative matters and the Board of Investments for investment-related strategic planning. The JOGC's role reflects an understanding that the entire budget process for LACERA, under Government Code Section 31580.2, is subject to the approval of both Boards, and that therefore oversight and guidance for the development of the budget is a joint Board responsibility, based in part upon actions taken by the Boards separately, including vendor selections and other matters.

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Additionally, the JOGC's role reflects an understanding that each three-year strategic plan is a rolling plan and will also take into account past strategic plan initiatives that have already been set in motion and for which resources have already been allocated and expended as they provide input on new expectations and initiatives.

- Staffing Needs.
 - Staff Classifications: Review and make recommendations on staff requests to create all new Staff Member classifications.
 - Staff Compensation: Review and make recommendations on Staff Member requests related to:
 - Negotiation and approval of collective bargaining agreements;
 - Approval of initial compensation levels and ranges applicable to new positions to be added to the County Code;
 - Approval of compensation level and range changes for existing positions that require changes to the County Code; and
 - Budgeting for compensation to be provided for existing positions within existing County Code ranges.
- Budget Development: Provide guidance during the annual budget development cycle for the Administrative, Retiree Healthcare, OPEB Program, and Non- Administrative budgets. The staff will develop preliminary budget plans that take into account and support the approved strategic plans and general operating needs. The JOGC will review and provide a recommendation regarding the proposed budgets which will in turn be presented to the Boards during budget hearings. Both Boards will then independently take action on the JOGC's recommended proposed budget.

Staff will present a three-year strategic plan for the system as a whole incorporating the strategic plan of each Board and annual budget plan development process, including a proposed JOGC meeting schedule with respect to planning and budget issues, for the JOGC's approval. This process will govern how the organization will conduct the strategic plan and budgeting process on an annual basis. Once approved the process will remain in effect until reviewed and modified by the JOGC and staff, with a mandatory review every six years.

The JOGC will complete its strategic planning and budgeting responsibilities on a timetable outlined in the approved annual strategic planning and budgeting process. All plans will include presentation of the budget to the Boards for final approval no later than June of each year.

On-going Oversight: Once a three-year strategic plan and annual budget is approved the JOGC

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will provide on-going oversight of the budget-to-actual results and the progress made towards fulfilling the Strategic Plan initiatives of each Board and the combined Strategic Plan for the system as a whole, during the fiscal year according to a schedule approved by the Committee in consultation with the staff.

By this section, the JOGC does not assume and will not exercise any responsibility as Appointing Authority not granted to the Boards under the Los Angeles County Code, including Section 5 (Personnel) and Section 6 (Salaries), or otherwise in conflict with the County Code and LACERA Policy.

7.2 Joint Policies

When not otherwise reserved to either the BOR or the BOI, assist in the development of and make recommendations with respect to all joint policies, such as ethics, conflict of interest, media, and education and travel.

7.3 Litigation and Claims

Make recommendations about employment related and other Litigation and Claims affecting the interests of both Boards as described in Section 4. In matters specifically related to employment litigation concerning senior staff that serve both Boards, the CEO and Chief Legal Officer shall participate in the Committee's deliberations.

They may also include any other Litigation and Claims, including one that each Board is generally expected to separately manage, that the Board Chairs, the CEO, or Chief Counsel reasonably believe justify the involvement of this Committee because of mutual interest and concern to both Boards.

Litigation and Claims are defined as court actions, pre-litigation demands or claims, potential court actions, demands, or claims, and other forms of dispute resolution, such as arbitration and mediation.

Each Board is generally expected to separately manage:

- (1) As to the Board of Retirement, Litigation and Claims relating to the regular course of business regarding retirement, disability, and healthcare benefits, all LACERA personnel (other than the Chief Executive Officer, and all those reporting directly to them or as to whom the Boards or any of their committees have an Appointing Authority role as stated in this section), and the general operations and administration of the retirement system and the OPEB Program (including actuarial services for the OPEB Program),
- (2) As to the Board of Investments, Litigation and Claims relating to the regular course of business regarding investments, pension actuarial services, and the OPEB Trusts, and

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(3) Litigation and Claims concerning contracts approved only by that Board.

By this section, the JOGC does not assume any responsibility as Appointing Authority not granted to the Boards under the Los Angeles County Code, including Section 5 (Personnel) and Section 6 (Salaries) or otherwise in conflict with the County Code.

7.4 Chief Executive Officer and Chief Legal Officer

Should a vacancy occur:

- Make a recommendation for a search consultant; and
- Provide such additional assistance in the selection process as the Boards may determine at the time.

7.5 Miscellaneous Matters

Miscellaneous matters that may need to be brought before the JOGC will be determined on a case by case basis by the respective Board Chairs and the Chair of the JOGC in consultation with the CEO. Additionally, miscellaneous matters may be brought before the JOGC by any JOGC member.

8 Membership, Quorum, and Rules

There will be eight (8) members with no designated alternates. The JOGC will be comprised of the BOR and BOI Chairs and Vice-Chairs plus one member appointed by each Chair and one member elected by each Board. In making their appointment, each Chair will endeavor to include an overall mix of trustees who are appointed by the Board of Supervisors, elected by active employees (general and safety), elected by retired members, and who serve in an ex officio capacity. The Chairs will also consider continuity of service when appointing members, so that development of expertise and familiarity with the subject matters jurisdictional to the JOGC are encouraged, and to benefit the JOGC's goals.

If there is one JOGC member who represents both Boards (one overlap), then an additional appointment will be made by the BOR Chair in even years and by the BOI Chair in odd years. If there is more than one overlap, the BOR and BOI Chairs will make an equal number of additional appointments; if there are an odd number of overlaps, the final appointment, after the Board Chairs make their separate appointments, will be made following the rule as stated in the preceding sentence that applies in the case of one overlap.

A quorum exists when a majority of the members are present, without regard to the Board from which individual members were appointed.

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The JOGC is subject to the Ralph M. Brown Act (Brown Act), and its meetings will be noticed, agendaized, and conducted in accordance with the Brown Act. The JOGC may meet in closed session as provided in the Brown Act.

Robert's Rules of Order will also apply in the JOGC's meetings. A motion may be made or seconded by any member. A motion passes if a majority of the members present, without regard to the Board from which they were appointed, vote in favor of the motion.

9 Leadership

The Chair and Vice Chair of the JOGC will be elected by members of the JOGC at the first meeting of each year.

10 Meeting Frequency and Dates

10.1 Frequency

The Committee shall meet as needed with the concurrence of the Board Chairs. All meetings shall be noticed in accordance with the Ralph M. Brown Act.

10.2 Dates

To the extent possible, meetings will alternate between scheduled BOR and BOI meetings, and as needed.

11 Charter Review

The BOR and BOI shall review and update this Charter, based on recommendations from the JOGC, at least once every three years.

HISTORY:

Revised and Restated by the Board of Retirement on _____ and by the Board of Investments on _____.

ATTACHMENT C

April 4, 2018 - Joint and Separate Responsibilities of
the Boards Memo

FOR INFORMATION ONLY

March 27, 2018

TO: Each Member
Board of Retirement
Board of Investments

FROM: Steven P. Rice *SPR*
Chief Counsel

FOR: April 4, 2018 Joint Board of Retirement and Board of Investments Meeting

SUBJECT: Joint and Separate Responsibilities of the Boards

At the March 15, 2018 Board of Retirement (BOR) meeting, certain BOR members requested a legal analysis of the joint and separate responsibilities of the BOR and the Board of Investments (BOI) (together, Boards) in order to facilitate a clear understanding and compliance with applicable law.

LEGAL AUTHORITY

The responsibilities of the Boards are enumerated in Article XVI, Section 17 of the California Constitution, the County Employees Retirement Law of 1937 (CERL), Cal. Gov't Code §§ 31450, *et seq.*, the California Public Employees' Pension Reform Act of 2013 (PEPRA), Cal. Gov't Code §§ 7522, *et seq.*, and the Internal Revenue Code, 26 U.S.C. §§ 401(a), *et seq.*

The Boards' overarching plenary authority and fiduciary responsibilities are addressed in Article XVI, Section 17 of the Constitution. Article XVI, Section 17 applies generally to all California public pension boards. The Constitution does not change the division of responsibilities between the Boards as established in CERL.

Specific operational responsibilities of the Boards are set forth in CERL and PEPRA, which describe the duties of LACERA's Boards in detail.

LACERA is the only California public pension system that has separate boards for administration and investments (although a number of California charter cities have established separate pension funds and boards for safety and general members).

DISCUSSION

A. Constitution.

Under Article XVI, Section 17 of the Constitution, "the retirement board of a public pension or retirement system shall have plenary authority and fiduciary responsibility for

investment of moneys and administration of the system.” The Constitution only uses the singular term “retirement board,” but it does not create that board. Rather, the Constitution confers duties on governing board(s) otherwise established by plan sponsor agencies under the laws that provide for their respective plans. For example, the Public Employees’ Retirement Law, Cal. Gov’t Code §§ 20000, *et seq.* (PERL), establishes the Board of CalPERS; the Teachers’ Retirement Law, Cal. Ed. Code §§ 22000, *et seq.*, establishes the Board of CalSTRS. So, too, CERL authorizes the twenty California counties adopting the CERL to establish the retirement boards for their respective county systems. For Los Angeles County, CERL authorized the County to establish two boards for jointly governing a single retirement system, and the County exercised that authority to create the BOI. Because of the unique authority granted by CERL, both LACERA Boards have constitutional fiduciary obligations that are important to the performance of their coordinated governance of the retirement system. The Boards both have the same constitutional mission and the same fiduciary duties of prudence and loyalty. It is important to review these fiduciary duties because they have a direct bearing on how the Boards should interact with each other in considering their joint and separate operational responsibilities under CERL.

Article XVI, Section 17 provides for the following duties, which apply to both the BOR and the BOI:

- “The retirement board . . . shall have the sole and exclusive fiduciary responsibility over the assets” of the system. (Section 17(a).)
- “The retirement board shall also have sole and exclusive responsibility to administer the system in a manner that will assure prompt delivery of benefits and related services to the participants and their beneficiaries.” (Section 17(a).)
- Fund assets “are trust funds and shall be held for the exclusive purposes of providing benefits to participants . . . and their beneficiaries and defraying reasonable expenses of administering the system.” (Section 17(a).)
- Trustees “shall discharge their duties with respect to the system solely in the interest of, and for the exclusive purposes of providing benefits to, participants and their beneficiaries, minimizing employer contributions thereto, and defraying reasonable expenses of administering the system. A retirement board’s duty to its participants and their beneficiaries shall take precedence over any other duty.” This is the duty of loyalty. (Section 17(b); *see also* CERL, Section 31595(a).)
- Trustees “shall discharge their duties with respect to the system with the care, skill, prudence, and diligence under the circumstances then prevailing that a prudent person acting in a like capacity and familiar with these matters would

use in the conduct of an enterprise of a like character and with like aims.” This is the duty of prudence. (Section 17(b).)

In addition, Article XVI, Section 17 includes two duties that apply to the BOI, although the BOI is not mentioned by name:

- Trustees “shall diversify the investments of the system so as to minimize the risk of loss and to maximize the rate of return, unless under the circumstances it is clearly not prudent to do so.” (Section 17(d); see *also* CERL, Section 31595(c).)
- The board, “consistent with the exclusive fiduciary responsibilities vested in it, shall have the sole and exclusive power to provide for actuarial services in order to assure the competency of the assets of the public pension or retirement system.” (Section 17(e).)

The BOR and BOI share the same constitutional fiduciary duties in furtherance of the same purpose. The trustees of the boards are co-fiduciaries of the retirement system. The Boards must work together to achieve the purpose of the fund. The need to work together is a constitutional requirement that follows from the duty of prudence because any reasonable trustee in a like position must cooperate fully with their trustees on the other board. Joint effort also follows from the duty of loyalty because the interests of the members and their beneficiaries could be impaired if there are jurisdictional disagreements between the Boards. The Boards must respect clear lines drawn in CERL as to their separate and joint authorities. The Boards should also be flexible and collaborative in addressing ambiguities in the law as to board authority where they exist in CERL and PEPRA and in addressing special circumstances that may prudently require joint action or joint communication.

B. CERL and PEPRA.

1. Background.

a. BOR.

Section 31520 of CERL provides, “Except as otherwise delegated to the board of investments and except for statutory duties of the county treasurer,¹ the management of the retirement system is vested in the board of retirement” Section 31520 provides for a five-member board of retirement. However, where a system (like LACERA) provides for safety member contributions and retirement, Section 31520.1 provides for a nine-

¹ CERL provides that the Boards may delegate certain responsibilities, such as the holding and investment of assets, to the treasurer. The Boards have not exercised this authority.

member board of retirement, with an alternate safety member. The nine members include four elected by the members (two by general members, one by safety members, and one by retired members), four appointed by the board of supervisors, and the county treasurer, sitting ex officio. Section 31520.5 provides for a retired member alternate to the board of retirement.

LACERA has had its Board of Retirement since the fund's formation in 1938.

b. BOI.

Section 31520.2 provides that, in any county with over \$800 million in assets, the board of supervisors may establish a nine-member board of investments. The membership of the board of investments follows the same pattern as described above for the board of retirement, except that there are no alternate members.

LACERA has had a Board of Investments since 1972, shortly after the Board of Supervisors voted to authorize it. LACERA is the only CERL system with a board of investments. Under Section 31520.2(b), "The board of investments shall be responsible for all investments of the retirement system."

2. Definition of "Board."

The responsibilities of the BOR and BOI are contained in various CERL and PEPRA provisions. Sometimes, the statutes are clear and specific as to which board is given a particular responsibility. Other provisions simply use the term "board" or are vague as to whether they apply to the BOR, the BOI, or both. Section 31459.1 provides a definition of "board" which is applicable only to LACERA, as follows:

(a) In a county in which a board of investments has been established pursuant to Section 31520.2:

(1) As used in Sections 31453, 31453.5, 31454, 31454.1, 31454.5, 31472, 31588.1, 31589.1, 31591, 31592.3, 31594, 31595.1, 31595.9, 31596, 31596.1, 31601.1, 31607, 31610, 31611, 31612, 31613, 31616, 31618, 31621.11, 31625, 31639.26, 31784, and 31872, "board" means board of investments.

(2) As used in the first paragraph of Section 31592.2 and the first paragraph and subdivision (c) of the second paragraph of Section 31595, "board" means a board of investments.

(3) Sections 31521, 31522, 31522.1, 31522.2, 31523, 31524, 31525, 31528, 31529, 31529.5, 31535.1, 31580.2, 31614, 31680, and 31680.1,

apply to both the board of retirement and board of investments, and “board” means either or both the board of retirement and board of investments.

(4) Subdivision (a) of Section 31526 and subdivisions (a) and (b) of the second paragraph of Section 31595 apply to both the board of retirement and board of investments, and “board” means either or both the board of retirement and board of investments.

(b) In Article 17 (commencing with Section 31880) of this chapter, “board” means the Board of Administration of the Public Employees’ Retirement System.

(c) In all other cases, “board” means the board of retirement.

(d) This section shall apply only in a county of the first class, as defined in Section 28020, as amended by Chapter 1204 of the Statutes of 1971, and Section 28022, as amended by Chapter 43 of the Statutes of 1961.

The specific CERL sections mentioned in Section 31459.1 are discussed in detail in the next section of this memo. Section 31459.1 does not list all provisions of CERL that specifically mention the board of investments. Other provisions must be interpreted in developing a list of the Boards’ responsibilities. In addition, it is important to note that Section 31459.1 is not itself a grant of authority to either board; it is a definitional section to assist in interpreting some but not all of the substantive provisions of CERL that describe specific areas of board responsibility.

3. Responsibilities and Authorities of the Boards.

As quoted above, Section 31520 states that “the management of the retirement system is vested in the board of retirement,” and Section 31520.2(b) provides that “The board of investments shall be responsible for all investments of the retirement system.” However, these statements are so general that they do not provide much practical guidance in understanding how the many specific functions of managing a public retirement system are to be handled by the Boards.

Understanding of the detailed allocation of responsibilities is found in the definition quoted above from Section 31459.1 and in other provisions of CERL that specifically mention one or both of the Boards. Based on Section 31459.1 and the rest of CERL, certain responsibilities belong to both the BOI and the BOR, certain responsibilities belong to the BOI, and everything else that is not specifically identified belongs to the BOR. The next three subsections of this memo list specific responsibilities that fall into each category. CERL is a long and complex statute, over 360 pages in length. There may be specific separate responsibilities of the BOR or BOI that are not listed below. However, the lists below include major responsibilities and authorities of the Boards.

a. Joint Responsibilities and Authorities of the BOR and BOI.

Under CERL, there are two specific responsibilities and authorities that require joint action of both the BOR and the BOI:

- i. Appointment of personnel.* (Sections 31522.1, 31522.2, 31522.4.) These provisions provide that “the board of retirement and both the board of retirement and board of investment may appoint” the retirement administrator and other staff. Since LACERA has both the BOR and BOI, the statutory language giving appointing authority to “both” the BOR and the BOI governs. Appointing authority includes the power to approve organizational staffing needs, classifications and classification changes, evaluation, compensation adjustments, and discipline. Accordingly, appointment of staff is a statutory joint responsibility of the Boards.

Long ago, the Boards determined to retain joint appointing authority over the Chief Executive Officer (CEO) and delegate appointing authority for all other positions, other than the Chief Audit Executive,² to the CEO. This structure is reflected in County Salary Ordinance provisions, as required by CERL.³

The Salary Ordinance provides, “The person appointed by the Boards of Retirement and Investments to act as retirement administrator pursuant to Government Code Section 31522.2, shall be known as the Chief Executive Officer.” (Ordinance 6.127.020(A).) The Salary Ordinance defines “Appointing Authority” for the CEO as “the board of retirement and the board of investments jointly” and for staff as the “retirement administrator.” (Ordinance 6.127.040(B)(1).)

² The Boards have determined that they are the appointing authority for the Chief Audit Executive (CAE) with respect to appointment, discipline, dismissal, and/or removal. The Audit Committee is the CAE’s appointing authority with respect to performance management and salary adjustments. The CAE reports to the CEO for administrative purposes. The role of the Boards, the Audit Committee, and CEO are fully described in the Audit Committee Charter. Note that changes to the Salary Ordinance to implement the system described in this footnote, as approved by the Boards in January 2017, are pending approval by the Board of Supervisors as of the date of this memo.

³ This structure is not unique to LACERA. A similar arrangement exists in the City of San José, which has separate boards to administer its Police and Fire Department Retirement Plan and its Federated City Employees’ Retirement System. By City Charter (Section 810.1(a)), however, the two boards have the authority to “jointly appoint the chief executive officer and the chief investment officer.”

The CEO's compensation "may be determined by written agreement between the boards of retirement and investments and such designated person." (Ordinance 6.127.030(B)(1); see *also* Ordinance 6.127.040(C).) The CEO's salary may be adjusted "by the boards of retirement and investments," even if it falls outside designated Salary Ranges. (Ordinance 6.127.030(B)(3).) The Boards jointly may authorize additional compensation to the CEO for "exceptional or extraordinary service." (Ordinance 6.127.030(B)(2).) The County's Table of Classes of Positions with Salary Schedule and Level does not state the CEO's compensation; instead, it refers back to the Board's joint compensation setting authority under Ordinance 6.127.020(A). (Ordinance 6.127.050, Note N37.)

Under the Ordinance, salary adjustments and performance management for LACERA staff are the responsibility of the CEO as Appointing Authority under Chapter 127 of the Ordinance.

The Boards also have the independent authority, by joint resolution, to create a Performance Compensation Program for LACERA employees. (Ordinance 6.127.030(C).)

The Boards may, by joint action, request a change in the Ordinance. However, at present, the structure for personnel is as described above. The Civil Services Rules are consistent, where applicable.

- ii. *Budget approval.* (Section 31580.2.) This statute provides that, where "the board of retirement, or the board of retirement and the board of investments, have appointed personnel . . . , the respective board or boards shall annually adopt a budget covering the entire expense of administration of the retirement system which expense shall be charged against the earnings of the retirement fund." At LACERA, since the Boards jointly appoint personnel under CERL as discussed above, the responsibility and authority to adopt a budget belongs as a matter of law under Section 31580.2 to both Boards acting jointly. This is in fact the way LACERA conducts its budget process.

Although appointment of personnel and budget approval are the only two specified areas of joint Board action under CERL and PEPR, there may be other important issues that flow from the specified areas or otherwise reasonably should be handled by both Boards. Examples include: litigation that presents significant organizational risks; union contracts; legislation that affects LACERA's overall governance structure; changes in LACERA's

Mission, Values, or Vision; joint committees such as the Audit Committee;⁴ policies that affect both Boards, such as the Audit Committee Charter, Education and Travel Policy, Legislative Policy, Code of Ethical Conduct, Conflict of Interest Code, and similar policies that cross board lines; and engagement of fiduciary counsel to advise both Boards. As noted above, a spirit of cooperation, collaboration, and flexibility is legally required among the Boards as a matter of their co-fiduciary duties in addressing other issues of joint interest.

b. BOI Responsibilities and Authorities.

CERL is generally structured so that the responsibilities and powers of the BOI are specifically identified. Any responsibilities and powers not given to the BOI belong to the BOR. Despite this structure, there are still some ambiguities because Section 31459.1 is not complete and other CERL and PEPR provisions are also ambiguous. Responsibilities and authorities that the BOI, and its trustees, may separately exercise as identified in governing law include the following:

- i. All investments.* (Sections 7514.2, 31520.2(b), 31594, 31595, 31595.1, 31595.9, 31601.1, 31602, 31603.) The BOI “shall be responsible for all investments of the retirement system.” (Section 31520.2(b).) The statutory authority is very broad. Investments may be made “in any form or type of investment deemed prudent” in compliance with the BOI’s fiduciary duties. (Section 31494.) Note that investments in real property require approval by at least six votes, except that nine votes are required if the Board of Supervisors or County Board of Education has a material interest. (Section 31601.1.) Investments in in-state infrastructure projects are specifically addressed by statute. (Section 7514.2.)
- ii. Diversification of investments.* (Section 31595(c).) The BOI is required to “diversify the investments of the system so as to minimize the risk of loss and to maximize the rate of return, unless under the circumstances it is clearly prudent not to do so.” (*Id.*) This same language appears in Article XVI, Section 17(d).

⁴ The responsibilities and authorities of the Audit Committee include oversight of Internal Audit, oversight of the CAE (see footnote 2), oversight of and recommendations regarding selection of the External Auditor, monitoring of the financial reporting process, monitoring management’s system of internal controls and compliance, and conflicts and ethics. These responsibilities are fully defined in the Audit Committee Charter approved by both Boards.

- iii. Delegation of investment authority. (Sections 31595, 31595.1, 31596.) The BOI has the authority and discretion to “invest, or delegate the authority to invest, the assets of the fund.” (Section 31595.) One party to whom the BOI may delegate authority is the treasurer. (Sections 31595.1, 31596.)
- iv. Actuarial investigations, assumptions, and valuations. (Sections 31453, 31453.6, 31454, 31454.1, 31515.1.) The BOI has sole authority under CERL over actuarial matters related to the pension fund. Actuarial issues are also recognized in the Constitution, which provides that board (as to LACERA, the BOI) “shall have the sole and exclusive power to provide for actuarial services in order to assure the competency of the assets of the public pension or retirement system.” (Article XVI, Section 17(e).)
- v. Retirement benefit funding policy. (Sections 7522.52, 31591.) The BOI sets the funding policy for LACERA, which includes the funding goal, annual implementation, allocation of actuarial assets, and the valuation cycle.
- vi. Recommendation of interest rates on deposits. (Sections 31453, 31454, 31472, 31591.) Based on actuarial investigation, valuation, and recommendations, the BOI recommends to the Board of Supervisors changes in the interest rate on deposits.
- vii. Recommendation of member contribution rates. (Sections 31453, 31454, 31621.11, 31625, 31639.26, 31872.) Based on actuarial input, the BOI recommends to the Board of Supervisors the rates of member contributions.
- viii. Recommendation of employer contribution rates and appropriations. (Sections 31453, 31453.5, 31454, 31454.5, 31495.) Similarly, the BOI recommends to the Board of Supervisors employer contributions rates and appropriations based on actuarial findings.
- ix. Transfer of excess interest. (Section 31592.2(a).) The BOI has authority, when the surplus interest in excess of the amount credited to contributions and reserves exceeds 1% of total assets, to transfer such surplus into a county advance reserve for the payment of benefits.
- x. Selection of custodian. (Section 31596.) The BOI is responsible to select LACERA’s custodian.

- xi. Investment, actuarial, custodial, and investment legal expenses. (Section 31596.1) The BOI manages expenses of investment, the fund's actuary, the custodian, and investment counsel, all of which are then charged against investment earnings or fund assets as the BOI determines.
- xii. Adopt BOI regulations. (Sections 31525, 31526(a).) The BOI is required to adopt board regulations providing for election of officers, their terms, meetings, and all other matters relating to the administrative procedure of the board.
- xiii. Interest on unpaid installments of death benefit. (Section 31784.) The BOI determines the rate at which interest is paid to a person who elects to receive a death benefit over time.
- xiv. Certain Plan E actions. (Sections 31488, 31491(f) and (g), 31492(b) and (c).) The interest and mortality tables adopted by the BOI are used for calculation of the early retirement adjustment factors that may be employed under Plan E. (Section 31491(f).) The BOI also adjusts primary insurance amounts for Plan E based on the advice of the actuary. (Section 31491(g).) In addition, the BOI approves the actuarial equivalence of a Plan E member's election for an increased survivor allowance. (Section 31492(c).)
- xv. Filling of BOI vacancies. (Section 31523.1.) The BOI is required to cause an election to be held at the earliest possible date for any vacancy in the elected positions.
- xvi. Separation from County service. (Section 31524.) Separation from County service of an elected member vacates the trustee's office.
- xvii. 24 hours of trustee education. (Section 31522.8.) BOI trustees are required to obtain 24 hours of education every two years on the subjects listed in Section 31522.8.
- xviii. Conflict and revolving door limits. (Section 31528.) Members of the BOI may not have a personal interest, direct or indirect, in the making of any investment, the profit or losses on any investments, or the sale of any investment, or act as agent for others in the use of trust funds. BOI members also may not, for a period of two years after leaving office, act as an agent or attorney for or otherwise represent for compensation any person, except the County, before the BOI, BOR, or staff by personal appearance or any oral or written communication for the purpose of influencing LACERA administrative or legislative

action or concerning a contract, grant, or purchase or sale of good or property. Beyond Section 31528, the BOI has authority to regulate conflicts that may arise in the conduct of its affairs and the matters under its authority.

- xix. Authority to obtain legal representation. (Sections 31529, 31529.1, 31529.5, 31529.6, 31529.9, 31607.) The BOI may retain outside counsel to act as counsel for the board or assist in the performance of its responsibilities.
- xx. Securities and investment-related litigation. Authorization and oversight of securities and other investment-related litigation is the responsibility of the BOI because the issues involve matters within the broad investment responsibility of that board.
- xxi. Issuance of subpoenas. (Section 31535.1) The BOI has the authority to issue subpoenas in connection with its areas of responsibility.
- xxii. OPEB trust investments and trust administration. (Sections 31694.1, 31694.3, 31694.5.) The BOI may invest Other Post-Employment Benefit (OPEB) trust assets contributed by participating employers. The BOI is trustee under the County, Court, and Master OPEB Trust Agreements with responsibility for trust investment and administration.
- xxiii. Approval of travel. The BOI has the responsibility under the Education and Travel Policy to approve travel for its trustees according to the terms of the policy.
- xxiv. Committees. Under the BOI Regulations, the BOI Chair may appoint such standing and ad hoc committees as he or she deems necessary to accomplish the BOI's responsibilities. The BOI as a whole also has authority to establish committees.

The BOI has the authority to perform and manage their specific responsibilities as listed above, adopt policies and procedures, retain other consultants and vendors, and take other reasonable and necessary actions related to their specifically assigned responsibilities. The BOI's authorities and responsibilities are further addressed in the BOI's Regulations (or Bylaws), Board Charter, Powers Reserved Defined, Powers Reserved and Delegated Authorities, the Powers and Duties of Investments Board Members, Investment Policy Statement, Corporate Governance Committee Charter, Corporate Governance Principles and Policy, Domestic Proxy Voting Guidelines, and other existing policies and procedures. The BOI must manage its meetings and affairs so as to comply with the Brown Act, Cal. Gov't Code 54950, *et seq.*

c. BOR Responsibilities and Authorities.

Under Section 31520, “the management of the retirement system is vested in the” BOR, except for those responsibilities specifically assigned to both Boards or the BOI. Accordingly, the short answer to the question of the BOR’s responsibilities and authorities is that the BOR separately can do anything, required under CERL, PEPRA, and the Constitution to manage the system, that is not specifically listed in paragraph 3(a) (joint BOR and BOI responsibilities) and paragraph 3(b) (BOI responsibilities). However, to provide a more helpful response, the responsibilities and authorities that may be separately exercised by the BOR include the following:

- i. Pension benefits administration upon service retirement.* (Section 31670.) The BOR approves all service retirements and administers all issues and processes under CERL and PEPRA related to delivery and support of pension benefits, including Member Services, Benefits, and Quality Assurance.
- ii. Compensation earnable and pensionable compensation.* (Sections 7522.34, 31461.) The BOR makes determinations as to whether pay codes are compensation earnable under CERL. The BOR also acts upon pensionable compensation recommendations under PEPRA, although there is less board discretion under PEPRA than there is under CERL because PEPRA does not specifically reference a board determination.
- iii. Disability retirement benefits administration.* (Sections 31530, 31720 *et seq.*) The BOR approves all disability retirements. In that role, the BOR administers Disability Retirement Services, engages physicians, manages the board’s medical advisor, decides applications, appoints referees to conduct appeal hearings, receives and acts upon referee reports, sets rules for disability applications and hearings, and makes such other decisions and performs such other oversight as required for delivery of disability retirement benefits. Member Services, Benefits, and Quality Assurance may also be necessary, from time to time, to support the administration of disability retirement.
- iv. All other benefits and benefit-related issues.* All other benefits and benefit-related issues under CERL and PEPRA, including, for example, survivor benefits, death benefits, investigation of benefits questions, felony forfeiture, and reciprocity, are within the BOR’s authority.

- v. Collections. The BOR oversees collection issues, including underpayment of contributions and overpayment of benefits.
- vi. Administrative appeals. The BOR has established and oversees an administrative appeals process, and hears and decides member appeals with regard to plan administration issues. The administrative appeals process adopted by the BOR provides due process to members with disputes.
- vii. Procedure for assessing and determining whether an element of compensation was paid to enhance benefits. (Section 31542.) The BOR is required to implement a procedure to address potential “pension spiking.” If the BOR determines that compensation was paid to enhance a member’s benefit, the member or employer may present evidence that the compensation was not paid for that purpose and request the BOR to reverse its decision. This requirement was implemented in part through the administrative appeals process described in (vi) above.
- viii. LACERA operations. All LACERA operational issues are addressed by the BOR, other than those assigned to the Boards jointly or to the BOI as described in the preceding sections of this memo. The BOR’s operational responsibilities are broad, except as limited, and include such important matters as privacy, Public Records Act requests, member communications, and all issues not specifically provided to be performed elsewhere.
- ix. Financial and accounting services. (Section 31593.) Aside from financial, actuarial, and auditing responsibilities of the BOI and the Audit Committee as explained above, the BOR monitors and supervises the Financial and Accounting Services Division and related financial reporting compliance issues and approves retention of LACERA’s external financial auditor based on a recommendation from the Audit Committee.
- x. Personnel issues. The personnel function, which includes Human Resources, is part of the management of the system, and is therefore under the jurisdiction of the Board of Retirement. Personnel issues includes employment claims and litigation. This responsibility excludes the CEO and the CAE, which report jointly to both Boards as noted above. It also excludes classification, compensation, and union contracts (although negotiations will be overseen by the BOR), which are joint board responsibilities. In addition, it is reasonable to

acknowledge that both Boards have an interest in significant personnel issues concerning senior management, such as the Chief Counsel, who regularly advise the BOR. Accordingly, while the BOR will have oversight responsibility for most personnel issues, certain personnel issues may appropriately be addressed by both Boards working together or by the BOI alone.

- x. Aids to benefits administration.* The BOR's broad authority over benefits, including service retirements, disability retirements, and other benefits, encompasses the ability to procure consultants and whatever other aids are necessary for the effective performance of that work.
- xii. Tax compliance issues.* The BOR oversees tax qualification issues and monitors that LACERA remains in compliance with applicable requirements of the Internal Revenue Code. The BOR also monitors compliance with other tax laws, such as state and federal withholding requirements for member and beneficiary payments.
- xiii. Adopt BOR regulations.* (Sections 31525, 31526.) The BOR is required to adopt board regulations providing for election of officers, their terms, meetings, and all other matters relating to the administrative procedure of the board.
- xiv. Filling of BOR vacancies.* (Section 31523.) The BOR is required to cause an election to be held at the earliest possible date for any vacancy in the elected positions.
- xv. Separation from County service.* (Section 31524.) Separation from County service of an elected member vacates the trustee's office.
- xvi. 24 hours of trustee education.* (Section 31522.8.) BOR trustees are required to obtain 24 hours of education every two years on the subjects listed in Section 31522.8.
- xvii. Conflict and revolving door limits.* (Section 31528.) Members of the BOR may not have a personal interest, direct or indirect, in the making of any investment, the profit or losses on any investments, or the sale of any investment, or act as agent for others in the use of trust funds. BOR members also may not, for a period of two years after leaving office, act as an agent or attorney for or otherwise represent for compensation any person, except the County, before the BOI, BOR, or staff by personal appearance or any oral or written communication for the purpose of influencing LACERA administrative or legislative action or concerning a contract, grant, or purchase or sale of goods or

property. Beyond Section 31528, the BOR has authority to regulate conflicts that may arise in the conduct of its affairs and the matters under its authority.

- xviii. Authority to obtain legal representation. (Sections 31529, 31529.1, 31529.5, 31529.6, 31529.9.) The BOR may retain outside counsel to act as counsel for the board or assist in the performance of its responsibilities.
- xix. Litigation related to LACERA benefits, operations, and management. All non-investment related litigation is managed by the BOR, with the possible exception that there may be limited, extraordinary situations where good governance and fiduciary duty suggests that the best case management will be performed by both Boards.
- xx. Issuance of subpoenas. (Section 31535.1) The BOR has the authority to issue subpoenas in connection with its areas of responsibility.
- xxi. Administration of the OPEB program. (Sections 31691, 31694.) The BOR administers the retiree healthcare program under the 1982 Agreement, as amended, with the County and under separate agreements with participating districts.
- xxii. Approval of travel. The BOR has the responsibility under the Education and Travel Policy to approve travel for its trustees according to the terms of the policy.
- xxiii. Committees. Under the BOR Regulations, the BOR Chair may appoint such standing and ad hoc committees as he or she deems necessary to accomplish the BOR's responsibilities. The BOR as a whole also has the authority to establish committees.

The BOR also has the authority to perform and manage their specific responsibilities as listed above, adopt policies and procedures, and take other reasonable and necessary actions related to their specifically assigned responsibilities. The BOR's authorities and responsibilities are further addressed in the BOR's Regulations, Board Charter, Committee Charters, the Power and Duties of Retirement Board Members, Policies and Procedures for Handling Disability Applications, Procedures for Disability Retirement Hearings, and other existing policies and procedures. The BOR must manage its meetings and affairs to comply with the Brown Act, Cal. Gov't Code 54950, *et seq.*

///

CONCLUSION

This summary of the Boards' responsibilities is based on the current state of the law. It is also important to repeat that, while this memo is intended to be comprehensive, there may be specific responsibilities of the Boards that are not mentioned with particularity. To the extent there are ambiguities in the law or the Boards would like to change existing practice, LACERA can seek legislative changes. The Boards, separately or jointly depending on the subject matter, also have the discretion to adopt additional policies and procedures to clarify their respective responsibilities.

c:	Robert Hill	Vincent Lim	Leilani Ignacio
	James Brekk	Ted Granger	Fern Billingsy
	John Popowich	John McClelland	Johanna Fontenot
	Bernie Buenaflor	Christopher Wagner	Frank Boyd
	Jon Grabel	Vache Mahseredjian	Michael Herrera
	Beulah Auten	Ted Wright	Christine Roseland
	Richard Bendall	Jude Perez	John Harrington
	Allan Cochran	Jim Rice	Jill Rawal
	Vanessa Gonzalez	Scott Zdrasil	Cheryl Lu
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***CONFIDENTIAL AND PRIVILEGED
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To: Members of the Board of Retirement and Board of Investments
Los Angeles County Employees Retirement Association
c/o Steven P. Rice, Chief Counsel

Date: June 15, 2018

Subject: Boards' Responsibilities

It came to our attention yesterday that some members of the Boards had requested that we, as Fiduciary Counsel, provide an analysis of the law and policies establishing the respective responsibilities of the two Boards, separate and apart from the analysis presented to the Boards during the joint meeting held on April 4, 2018. This Memorandum addresses that request.

Chief Counsel submitted a Memorandum to the Boards, dated March 27, 2018, regarding the "Joint and Separate Responsibilities of the Boards," for the April 4th joint meeting (copy attached.) Prior to submitting that Memorandum, Chief Counsel afforded us an opportunity to review and comment on its content, which we did; our comments and suggestions were incorporated into the final Memorandum presented to the Boards. At the April 4, 2018 meeting, we accompanied Chief Counsel in presenting the Memorandum to the Boards and responding to Board member questions and comments. At the conclusion of the meeting counsel was directed to incorporate the Memorandum into the Board Charters.

Although not expressly stated in the Chief Counsel's Memorandum, we fully agree with the legal analysis and conclusions found in the Memorandum. The respective responsibilities of the two Boards are detailed extensively in the Memorandum, sourced to their statutory bases, and are consistent with the common law of trusts (particularly the law relating to the fiduciary obligations of co-trustees.) Where the law may not be crystal clear in its direction, the Boards have established reasonable policies and procedures to accommodate their respective duties and implement the intent of the law.

In sum, we believe that the March 27, 2018 Memorandum accurately states the current status of the law establishing the respective powers and duties of the Boards, and here confirm our agreement with its analysis and conclusions.

If we can provide further guidance to the Boards please let us know.



December 8, 2021

TO: Each Member
Joint Organizational Governance Committee

FROM: Laura Guglielmo 
Assistant Executive Officer

FOR: December 15, 2021 Joint Organizational Governance Committee

SUBJECT: **FY 2020-2021 Final Budget Control Report**

Attached is a copy of the Final Budget Control Report for the LACERA Administrative, Retiree Health Care Benefits Program, and Other-Post Employment Benefits (OPEB) Trust Budget for FY 2020-2021.

LACERA ADMINISTRATIVE BUDGET

The total operating expenses were \$90,280,647. This represents an under expenditure of \$10,009,870 compared to LACERA's operating budget of \$100,290,517.

Contributing factors to the under expenditure include, but not limited to:

- Recruitment delays and unplanned vacancies which also had a direct impact on lower than anticipated variable benefits.
- Several Systems projects deferred to next fiscal year.
- COVID-19 related restrictions including Travel and Transportation, in-person seminars and training.

The attached FY 2020-2021 Final Budget Control Report provides further details on the major factors contributing to the variances noted above.

RETIREE HEALTH CARE BENEFITS PROGRAM (RHCBP) BUDGET

The total operating expenses were \$8,099,102. This represents an under expenditure of \$1,054,565 compared to the RHCBP operating budget of \$9,153,667.

OTHER POST-EMPLOYMENT BENEFITS (OPEB) TRUST BUDGET

The total operating expenses were \$583,643. This represents an over expenditure of \$1,447 compared to the OPEB Trust operating budget \$582,196.

If you have any questions, please call Laura at (626) 564-6000, ext. 4486.

REVIEWED AND APPROVED

A handwritten signature in blue ink that reads "Luis Lugo". The signature is written in a cursive style and is positioned above a horizontal line.

Luis Lugo
Deputy Chief Executive Officer

Attachment

c: S. Kreimann
J. Popowich

LKG:LL:ku



FISCAL YEAR 2020-2021

FINAL BUDGET CONTROL REPORT

BASED ON EXPENDITURES AS OF JUNE 30, 2021

ADMINISTRATIVE BUDGET

RETIREE HEALTHCARE BENEFITS PROGRAM (RHCBP) BUDGET

OTHER POST-EMPLOYMENT BENEFITS (OPEB) TRUST BUDGET

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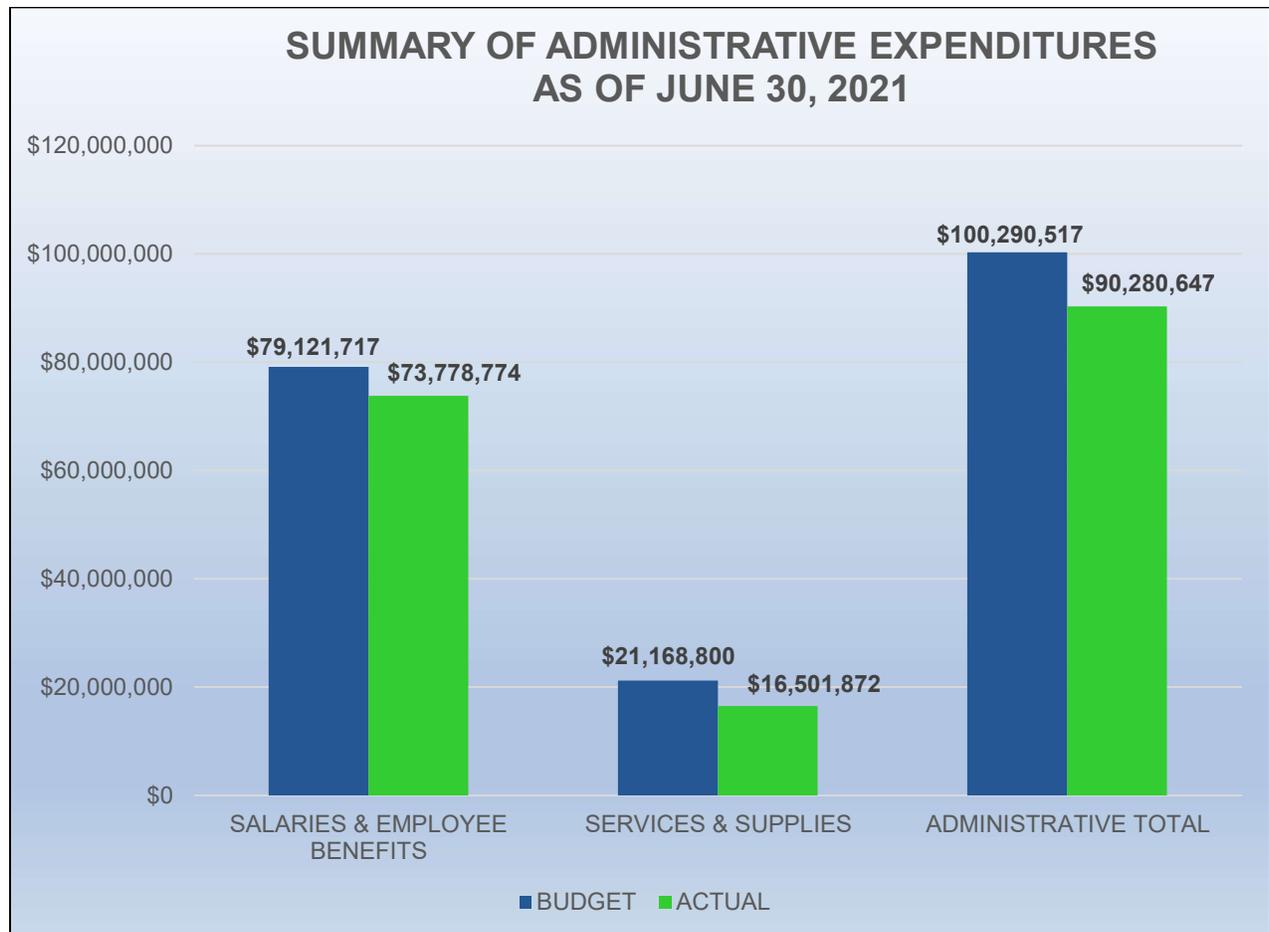
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SECTION I - ADMINISTRATIVE BUDGET SUMMARY

LACERA's Fiscal Year 2020-2021 ended June 30, 2021 with actual administrative expenses of \$90,280,647 or 90.0% of the \$100,290,517 administrative approved budget. This represents an under expenditure of \$10,009,870 or 10.0% of the \$100,290,517 administrative approved budget.

SUMMARY OF ADMINISTRATIVE EXPENDITURES AS OF JUNE 30, 2021					
ADMINISTRATIVE EXPENSES	BUDGET	ACTUAL	OVER/(UNDER) BUDGET	% UTILIZED	% OVER/ (UNUTILIZED)
SALARIES & EMPLOYEE BENEFITS	\$79,121,717	\$73,778,774	(\$5,342,943)	93.2%	-6.8%
SERVICES & SUPPLIES	\$21,168,800	\$16,501,872	(\$4,666,928)	78.0%	-22.0%
ADMINISTRATIVE TOTAL	\$100,290,517	\$90,280,647	(\$10,009,870)	90.0%	-10.0%

* All amounts rounded to the nearest dollar.



Salaries & Employee Benefits (S&EB)

Salaries and Employee Benefits (S&EB) costs incurred as of June 30, 2021 were \$73,778,774 or 93.2% of the \$79,121,717 approved budget. This represents an under expenditure of \$5,342,943 or 6.8% of the \$79,121,717 administrative approved budget for this category. A summary of all S&EB expenses and explanations of significant variances are provided below.

SUMMARY OF SALARIES AND EMPLOYEE BENEFITS BASED ON EXPENDITURES FOR AS OF JUNE 30, 2021					
	BUDGET	ACTUAL	OVER/(UNDER) BUDGET	% UTILIZED	% OVER/ (UNUTILIZED)
<u>SALARIES & OTHER PAYS</u>					
Permanent / County Temporary	\$46,345,730	\$42,947,287	(\$3,398,443)	92.7%	-7.3%
Agency Temporary	3,826,000	3,796,181	(29,819)	99.2%	-0.8%
LACERA Intern Program	72,000	3,750	(68,250)	5.2%	-94.8%
Stipends	65,000	58,288	(6,712)	89.7%	-10.3%
Overtime	801,900	755,356	(46,544)	94.2%	-5.8%
Bilingual Bonus	21,600	17,600	(4,000)	81.5%	-18.5%
Transportation Allowance	7,200	7,200	0	0.0%	0.0%
Rideshare Allowance	70,300	2,973	(67,327)	4.2%	-95.8%
Sickleave Buyback	66,500	51,913	(14,587)	78.1%	-21.9%
Reserve For Remuneration	0	0	0	0.0%	0.0%
TOTAL SALARIES & OTHER PAYS	\$51,276,230	\$47,640,549	(\$3,635,681)	92.9%	-7.1%
<u>VARIABLE BENEFITS</u>					
Retirement	8,744,312	8,392,845	(351,467)	96.0%	-4.0%
FICA Contribution	760,948	690,840	(70,108)	90.8%	-9.2%
County Subsidy - Insurance	2,492,210	2,145,701	(346,509)	86.1%	-13.9%
Options Plan	4,188,775	3,826,104	(362,671)	91.3%	-8.7%
Life Insurance	18,369	16,222	(2,147)	88.3%	-11.7%
Health Insurance Temps	277,043	38,656	(238,387)	14.0%	-86.0%
Flexible Benefit Plan	37,419	19,615	(17,804)	52.4%	-47.6%
Thrift Plan / Horizons	1,456,663	1,321,610	(135,053)	90.7%	-9.3%
Savings Plan	1,093,054	948,578	(144,476)	86.8%	-13.2%
Pension Savings Plan	36,850	8,528	(28,322)	23.1%	-76.9%
Megaflex	4,543,926	4,608,453	64,527	101.4%	1.4%
TOTAL VARIABLE BENEFITS	\$23,649,568	\$22,017,154	(\$1,632,414)	93.1%	-6.9%
OPEB CONTRIBUTION	\$1,234,919	\$1,252,237	\$17,318	101.4%	1.4%
OTHER BENEFITS	\$2,961,000	\$2,868,835	(\$92,165)	96.9%	-3.1%
TOTAL EMPLOYEE BENEFITS	\$27,845,487	\$26,138,226	(\$1,707,261)	93.9%	-6.1%
TOTAL SALARIES & EMPLOYEE BENEFITS	\$79,121,717	\$73,778,774	(\$5,342,943)	93.2%	-6.8%

* All amounts rounded to the nearest dollar.

Permanent Salaries & Variable Benefits

Permanent Salaries expenditures were \$42,947,287 or 92.7% of the approved Permanent Salaries budget of \$46,345,730. This represents an under expenditure of \$3,398,443. This variance is the result of recruitment delays, hiring plan changes and unplanned vacancies.

Variable Benefit expenditures were \$22,017,154 or 93.1% of the approved Variable Benefits budget of \$23,649,568. These expenditures were lower than anticipated due to vacancies that correlate to reduced benefit costs.

At the end of the year, the status of vacant positions is reflected in the difference between budget and actual S&EB. Vacant positions are budgeted at the first step and salary savings are calculated by reducing the salary cost by the number of months it takes to hire against the position. We estimate the vacancy at six months unless otherwise specified. Positions are hired at various stages or remain vacant for the entire year. This is reflected in the gap between budget and actual S&EB.

See table on page 4 for details related to vacant positions.

Other Variances

LACERA Intern Program

LACERA Intern Program expenditures were \$3,750 or 5.2% of the approved budget of \$72,000. This represents an under expenditures of \$68,250. There was only one intern who was recruited during this fiscal year due to Human Resources' inability to secure sufficient interns.

Rideshare Allowance

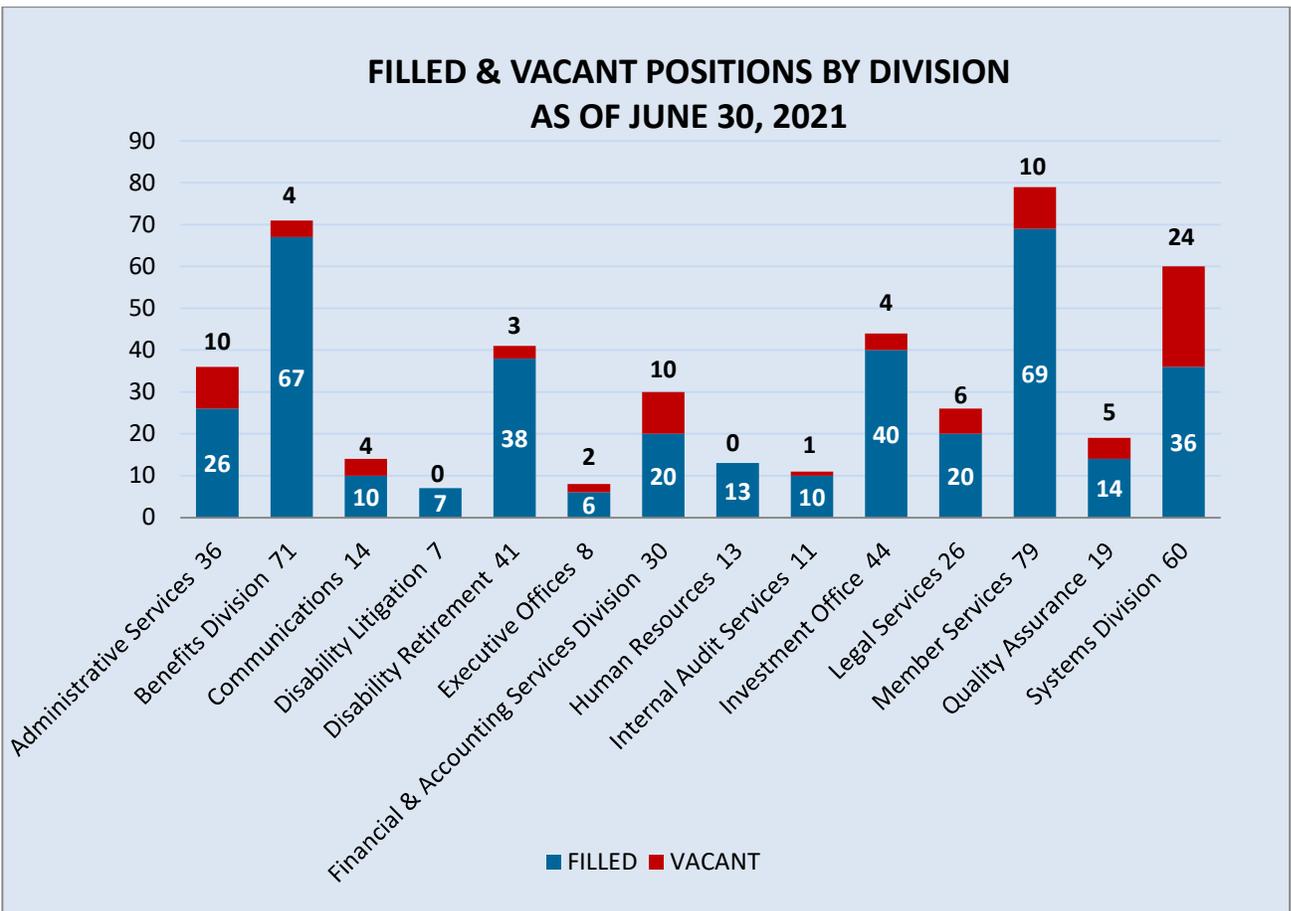
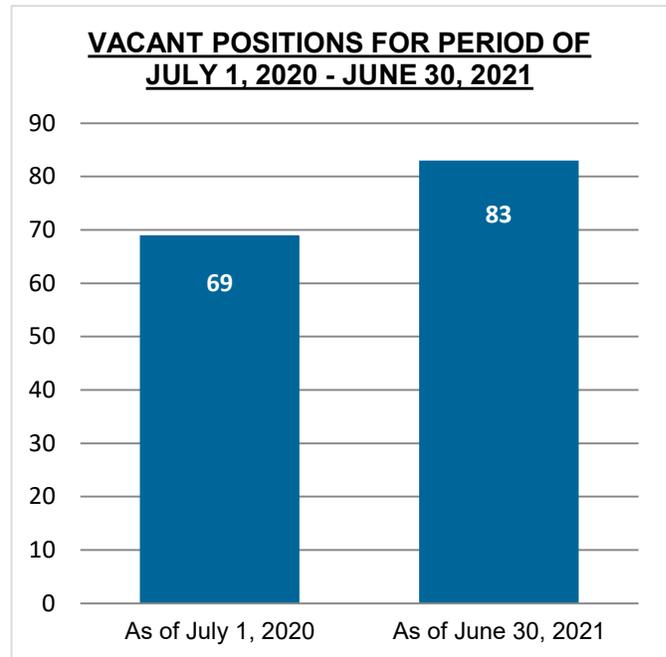
Rideshare Allowance expenditures were \$2,973 or 4.2% of the approved budget of \$70,300. This represents an under expenditure of \$67,327. This variance is due to the majority of staff working remotely, resulting in the ineligibility to meet the Rideshare Allowance criteria.

Overtime

Overtime expenditures were \$755,356 or 94.2% of the approved budget of \$801,900. This represents an under expenditure of \$46,544. Overtime was less frequent and reduced during this fiscal year due to less overtime incurred for projects, Saturday workshops, and cancellation of Board offsites and in-person meetings. In addition, staff were able to manage overtime more efficiently than last year, so the work was completed during regular work hours resulting in savings from the budgeted amount.

Vacancies

The LACERA Management Team is dedicated and committed to filling every vacant position. We ended last Fiscal Year 2019-2020 with 66 staff vacancies out of 456 budgeted positions at rate of 14.5%. We began the fiscal year with 69 staff vacancies out of 459 budgeted positions with a rate of 15.0%. Great strides were made throughout the year with hiring staff. However, the cumulative impact of resignations, retirements and recruitment delay due to the COVID-19 pandemic minimized the effect of improving the vacancy rate. LACERA ended the fiscal year as of June 30, 2021 with 83 vacancies and a rate of 18.1%.



Services & Supplies (S&S)

Services & Supplies (S&S) costs incurred as of June 30, 2021 were \$16,501,872 or 78.0% of the \$21,168,800 administrative approved budget. This represents an under expenditure of \$4,666,928 or 22.0% of the \$21,168,800 administrative approved budget for this category. A summary of all S&S expenses and explanations of significant variances are provided below.

SUMMARY OF SERVICES AND SUPPLIES BASED ON EXPENDITURES FOR AS OF JUNE 30, 2021

S&S CATEGORY	BUDGET	ACTUAL	OVER/(UNDER) BUDGET	% UTILIZED	% OVER/ (UNUTILIZED)
Auto Expenses	\$36,800	\$11,116	(\$25,684)	30.2%	-69.8%
Communications	740,000	690,917	(49,083)	93.4%	-6.6%
Transportation & Travel	455,500	7,338	(448,162)	1.6%	-98.4%
Postage	991,400	685,084	(306,316)	69.1%	-30.9%
Stationery & Forms	640,100	560,860	(79,240)	87.6%	-12.4%
Office Supplies & Equipment	959,000	1,028,951	69,951	107.3%	7.3%
Insurance	748,300	750,934	2,634	100.4%	0.4%
Equipment Maintenance	638,000	239,213	(398,787)	37.5%	-62.5%
Equipment Rents & Leases	310,000	210,747	(99,253)	68.0%	-32.0%
Building Costs	3,034,000	2,648,095	(385,905)	87.3%	-12.7%
Parking Fees	377,000	455,982	78,982	121.0%	21.0%
Professional & Specialized Services	3,872,600	2,272,094	(1,600,506)	58.7%	-41.3%
Bank Services	195,000	183,052	(11,948)	93.9%	-6.1%
Legal Fees & Services	435,500	923,084	487,584	212.0%	112.0%
Disability Fees & Services	2,086,000	1,734,903	(351,097)	83.2%	-16.8%
Computer Services & Support	3,910,100	3,254,741	(655,359)	83.2%	-16.8%
Educational Expenses	1,137,200	723,324	(413,876)	63.6%	-36.4%
Miscellaneous	602,300	121,437	(480,863)	20.2%	-79.8%
TOTAL	\$21,168,800	\$16,501,872	(\$4,666,928)	78.0%	-22.0%

* All amounts rounded to the nearest dollar.

- Professional & Specialized Services expenditures were \$2,272,094 or 58.7% of the annual budget in this category of \$3,872,600. This under expenditure of \$1,600,506 is mainly due to the following services in this category:
 - Under expenditure of \$584,050 for Cloud Migration due to Modern IT Disaster Recovery plan implementation services, IBM Mainframe Hosting, and GP Cloud Migration projects were deferred until FY 2021-2022.
 - Under expenditure of \$405,800 for Knowledge and Document Management Project due to Centera replacement project was deferred to the following fiscal year because of other organizational priorities.

- Under expenditure of \$235,000 for Security Assessment and Monitoring due to 3rd party security assessment/pen testing project was deferred to the following fiscal year because of other organizational priorities.
- Legal Fees & Services expenditures were \$923,084 or 212.0% of the annual budget for this category of \$435,500. This over expenditure of \$487,584 relates to Board-approved settlements that were not anticipated during the budget process and nonrecurring legal costs associated with Board and CEO-approved investigations, fiduciary counsel, claim defense, and public relations.
- Miscellaneous expenditures were \$121,437 or 20.2% of the annual budget for this category of \$602,300. This under expenditure of \$480,863 is mainly related to Recruitment expenses being under because of recruitment delay and cancellations of Off-Site Board and Management meetings, and other LACERA events.
- Transportation and Travel expenditures were \$7,338 or 1.6% of the annual budget for this category of \$455,500. This under expenditure of \$448,162 in Transportation & Travel is mainly due to the novel coronavirus pandemic travel restrictions and subsequent organization-wide travel ban.
- Educational Expenses expenditures were \$723,324 or 63.6% of the annual budget for this category of \$1,137,200. This under expenditure of \$413,876 in Educational Materials is mainly due to lower than anticipated costs for Memberships, Registration Fees, and Departmental Training. The COVID-19 pandemic and travel restrictions have resulted in multiple in-person seminar/training/conference cancellations and postponements causing this category to be under budget.
- Equipment Maintenance expenditures were \$239,213 or 37.5% of the annual budget for this category of \$638,000. This under expenditure of \$398,787 in Equipment Maintenance is mainly due to lower than anticipated costs for LAN Hardware Maintenance and Mainframe License & Maintenance. Mainframe License & Maintenance were under due to cost reduction resulted in removal of unneeded licenses for CICS and Filenet IS, and some portions of mainframe hardware support was not renewed due to anticipated hosted mainframe migration project. Several LAN hardware upgrade and maintenance costs were deferred to the following fiscal year resulted in lower than anticipated costs for this category.
- Postage expenditures were \$685,084 or 69.1% of the annual budget for this category of \$991,400. This under expenditure of \$306,316 is primarily due an early postage bill for FY 2020-2021 that was submitted too early during FY 2019-2020 resulted in over the budget in FY 2019-2020 and under in FY 2020-2021.

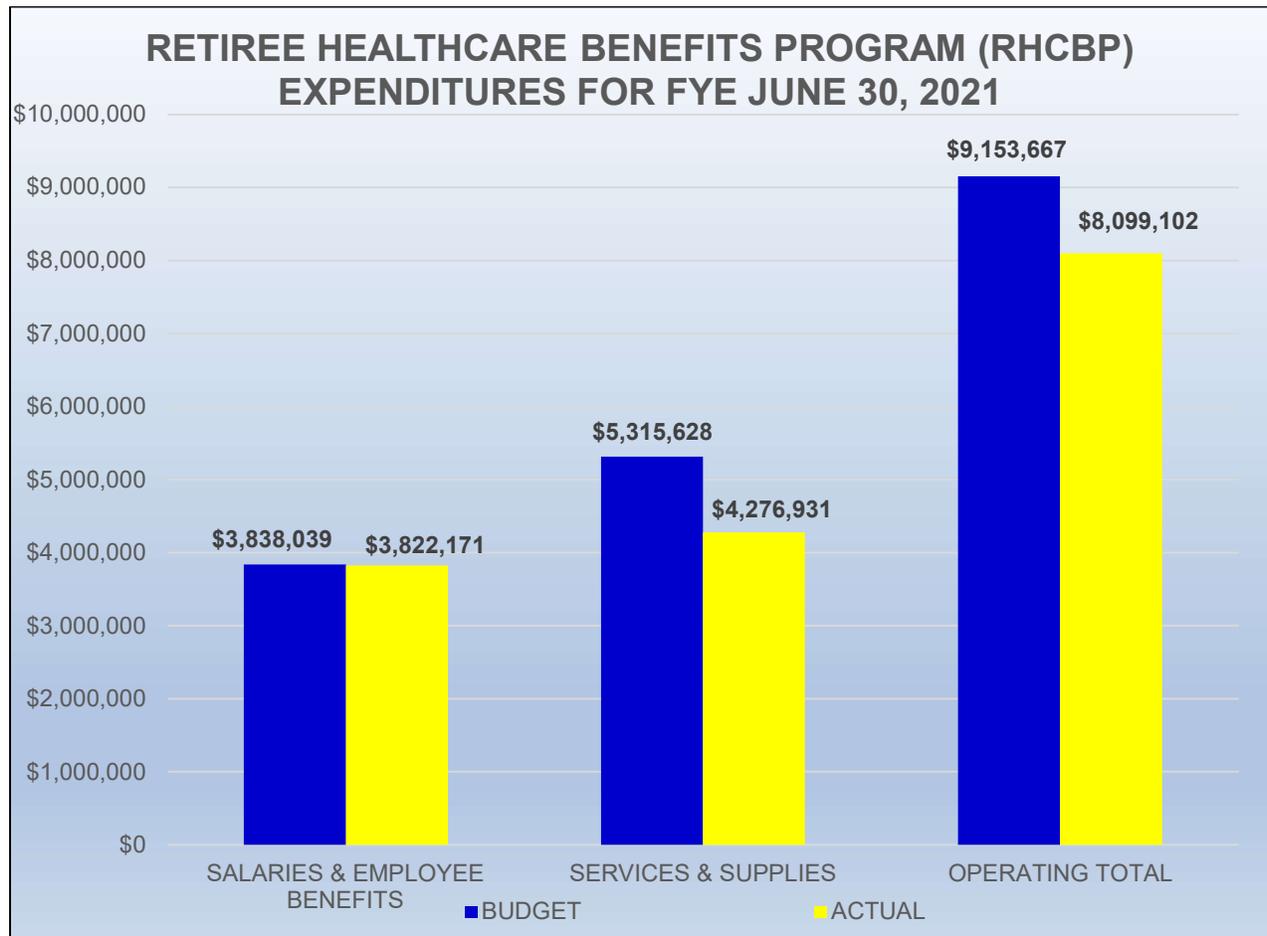
For additional details on LACERA expenses see Appendix A.

SECTION II - RETIREE HEALTHCARE BENEFITS BUDGET SUMMARY

Following is a summary of the Retiree Healthcare Benefits Program Final Budget Control Report for Fiscal Year 2020-2021 for the period ending June 30, 2021. The total program administrative expenses were \$8,099,102 or 88.5% of the \$9,153,667 administrative approved budget. This represents an under expenditure of \$1,054,565 or 11.5% of the \$9,153,667 administrative approved budget.

RETIREE HEALTHCARE BENEFITS PROGRAM (RHCBP) SUMMARY OF ADMINISTRATIVE EXPENDITURES AS OF JUNE 30, 2021					
RHCBP	BUDGET	ACTUAL	OVER/(UNDER) BUDGET	% UTILIZED	% OVER/ (UNUTILIZED)
SALARIES & EMPLOYEE BENEFITS	\$3,838,039	\$3,822,171	(\$15,868)	99.6%	-0.4%
SERVICES & SUPPLIES	\$5,315,628	\$4,276,931	(\$1,038,697)	80.5%	-19.5%
OPERATING TOTAL	\$9,153,667	\$8,099,102	(\$1,054,565)	88.5%	-11.5%

*All amounts rounded to the nearest dollar.



Salaries and Employee Benefits (S&EB):

Salaries and Employee Benefits costs were \$3,822,171 or 99.6% of the \$3,838,039 administrative approved budget. This represents an under expenditure of \$15,868 or 0.4% of the \$3,838,039 administrative approved budget. This variance is primarily attributed to lower than anticipated costs for agency temporary staff.

Services and Supplies (S&S):

Services & Supplies costs were \$4,276,931 or 80.5% of the \$5,315,628 administrative approved budget. This represents an expenditure of \$1,038,697 or 19.5% of the \$5,315,628 approved budget and is primarily due to the following factors:

- Operational Costs of \$2,517,821 results in an under expenditure of \$751,507 or 23.0% of the approved budget and is due to lower than anticipated cost for Departmental Overhead. The overhead amount represents cost incurred by other LACERA Divisions to support the RHC mission. For FY 2020-2021, the RHC Departmental Overhead cost was lower than anticipated due to LACERA's overall under-expenditures in both S&EB and S&S.
- Professional and Specialized Services expenditure of \$1,434,169 results in an under expenditure of \$127,331 or 8.2% against the approved budget of \$1,561,500 and is due to the following:
 - Under expenditure of \$198,029, or 45.5% of the approved budget of \$435,000, is due to Audits that were postponed. The Retiree Drug Subsidy Program Audit and Dependent Eligibility Audit were postponed because of other organizational priorities.
 - Over expenditure of \$80,598 for OPEB Valuation costs is 21.5% over the approved budget of \$375,000 and is due to FY 2019-2020 late bills and expenses not received and captured prior to the accrual deadline which resulted in expenses booked as a FY 2020-2021 expense. Also, the budget request was based on the estimates Milliman provided LACERA in December, 2019. However, Milliman provided revised estimates in May, 2020 once the valuation and experience study were closer to completion. The adjustments were mainly associated with the initial year of OPEB agent plan reporting for the valuation, experience study, and GASB 75.
- Postage expenditure of \$299,949 or 75.0% of the approved budget of \$400,000 represents an under expenditure of \$100,051 and is due to lower than anticipated cost for Special Retiree Mailings. There were no other unanticipated special mailings that occurred during this fiscal year.

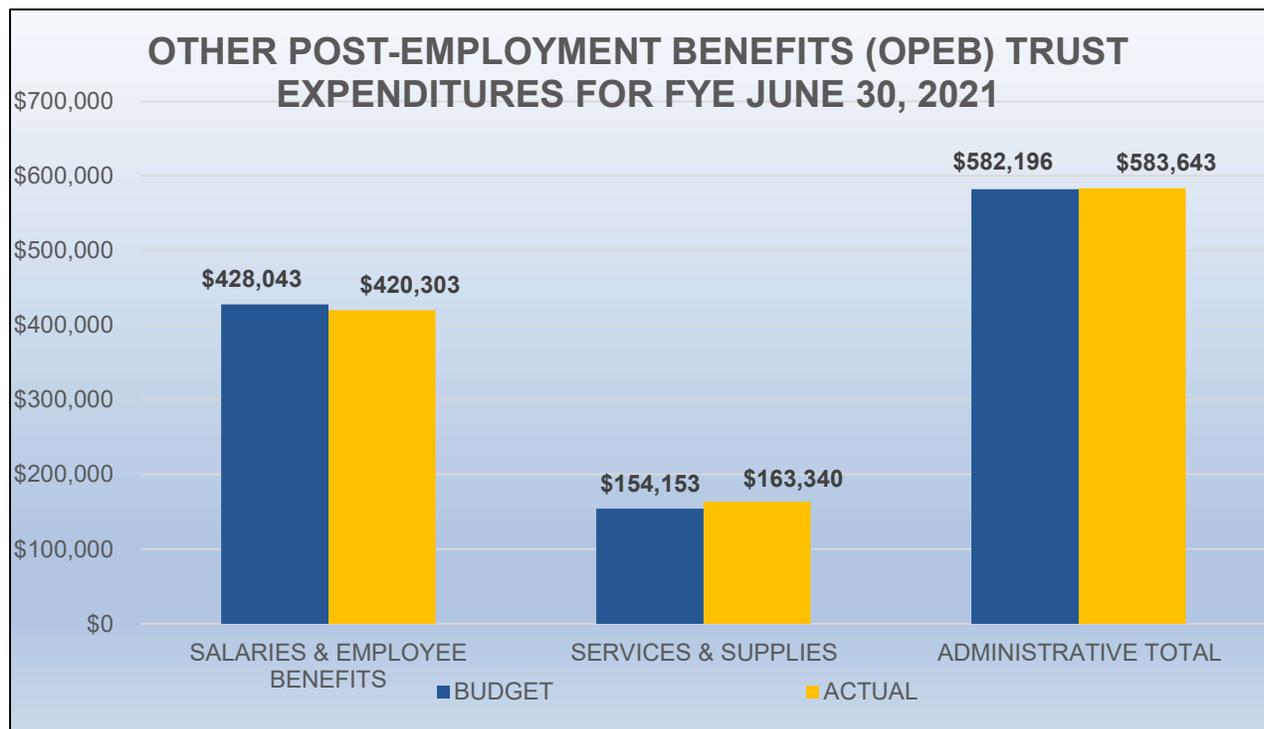
For additional details on RHCBP expenses see Appendix B.

SECTION III - OTHER POST-EMPLOYMENT BENEFITS BUDGET SUMMARY

Following is a summary of the Final Budget Control Report for Other Post-Employment Benefits (OPEB) Trust for the period ending June 30, 2021. The total OPEB Trust administrative expenses were \$583,643 or 100.2% of the \$582,196 administrative approved budget. This represents an over expenditure of \$1,447 or 0.2% of the \$582,196 administrative approved budget.

OTHER POST-EMPLOYMENT BENEFITS (OPEB) TRUST SUMMARY OF ADMINISTRATIVE EXPENDITURES AS OF JUNE 30, 2021					
OPEB TRUST	BUDGET	ACTUAL	OVER/(UNDER) BUDGET	% UTILIZED	% OVER/ (UNUTILIZED)
SALARIES & EMPLOYEE BENEFITS	\$428,043	\$420,303	(\$7,740)	98.2%	-1.8%
SERVICES & SUPPLIES	\$154,153	\$163,340	\$9,187	106.0%	6.0%
ADMINISTRATIVE TOTAL	\$582,196	\$583,643	\$1,447	100.2%	0.2%

* All amounts rounded to the nearest dollar.



The over expenditure is mainly attributed to higher than anticipated costs for services and supplies associated with OPEB Trust audit fees.

For additional details on OPEB Trust expenses see Appendix C.

APPENDIX A

FISCAL YEAR 2020-2021

**LOS ANGELES COUNTY EMPLOYEES RETIREMENT ASSOCIATION
(LACERA)**

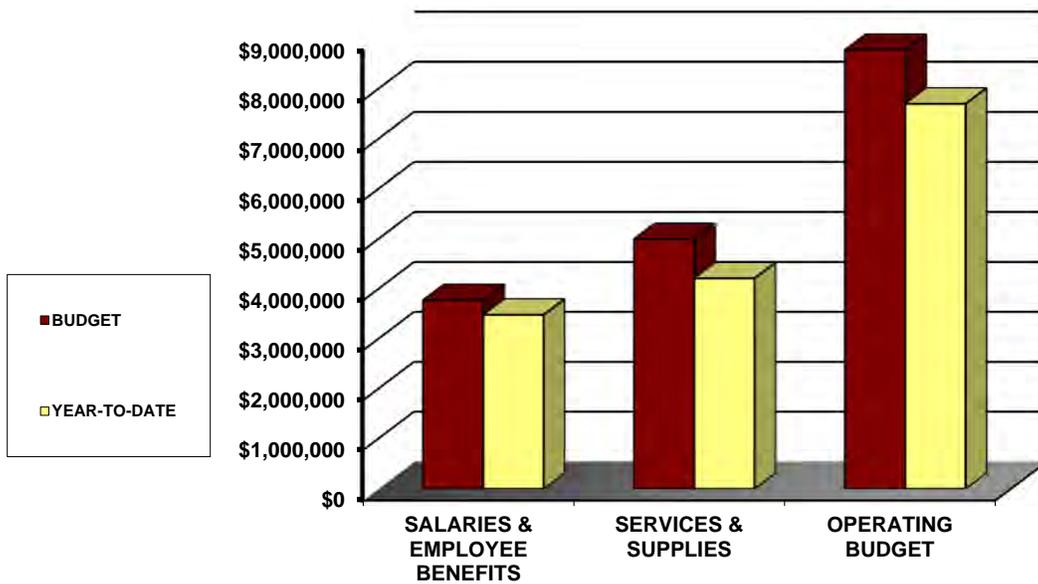
BUDGET CONTROL REPORT

**BASED ON EXPENDITURES AS OF
JUNE 30, 2021**

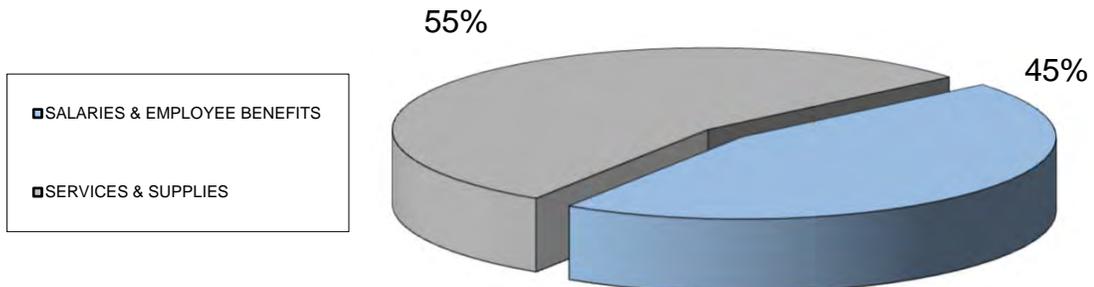
ADMINISTRATIVE SERVICES

BUDGET CONTROL REPORT - FISCAL YEAR 2020-2021 BASED ON EXPENDITURES AS OF JUNE 30, 2021

<u>CATEGORY</u>	<u>BUDGET</u>	<u>YEAR-TO-DATE</u>	<u>OVER / (UNDER) BUDGET</u>
SALARIES & EMPLOYEE BENEFITS	\$3,778,350	\$3,488,226	(\$290,124)
SERVICES & SUPPLIES	\$5,002,400	\$4,219,614	(\$782,786)
OPERATING BUDGET	\$8,780,750	\$7,707,840	(\$1,072,910)
Budgeted Positions	36		
Filled Positions	26		



Total Expenditures by Category



FISCAL YEAR 2020-2021

ADMINISTRATIVE SERVICES

SUMMARY OF SALARIES AND EMPLOYEE BENEFITS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

	BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
SALARIES & OTHER PAYS			
PERMANENT / COUNTY TEMPORARY	\$2,040,210	\$1,941,840	(\$98,370)
AGENCY TEMPORARY	305,200	236,187	(69,013)
LACERA INTERN PROGRAM	0	0	0
STIPENDS	0	0	0
OVERTIME	43,700	19,806	(23,894)
BILINGUAL BONUS	0	0	0
PAY IN LIEU OF SALARY REDUCTION	0	0	0
TRANSPORTATION ALLOWANCE	0	0	0
RIDESHARE ALLOWANCE	6,900	2,093	(4,807)
SICKLEAVE BUYBACK	7,300	1,837	(5,463)
RESERVE FOR REMUNERATION	0	0	0
TOTAL SALARIES & OTHER PAYS	\$2,403,310	\$2,201,762	(\$201,548)
VARIABLE BENEFITS			
RETIREMENT	418,502	395,694	(22,808)
FICA CONTRIBUTION	30,786	29,219	(1,567)
COUNTY SUBSIDY - INSURANCE	38,021	42,047	4,026
OPTIONS PLAN	530,533	486,416	(44,117)
LIFE INSURANCE	1,301	1,307	6
HEALTH INSURANCE TEMPS	0	0	0
FLEXIBLE BENEFIT PLAN	19,949	19,615	(334)
THRIFT PLAN / HORIZONS	59,440	55,752	(3,688)
SAVINGS PLAN	14,819	13,836	(983)
PENSION SAVINGS PLAN	0	0	0
MEGAFLEX	56,620	40,963	(15,657)
TOTAL VARIABLE BENEFITS	\$1,169,970	\$1,084,849	(\$85,121)
OPEB CONTRIBUTION	60,355	60,211.29	(143.71)
OTHER BENEFITS	144,716	141,403	(3,313)
TOTAL EMPLOYEE BENEFITS	\$1,375,042	\$1,286,463	(\$88,579)
TOTAL SALARIES & EMPLOYEE BENEFITS	\$3,778,350	\$3,488,226	(\$290,124)

*All amounts rounded to the nearest dollar.

FISCAL YEAR 2020-2021

ADMINISTRATIVE SERVICES DIVISION

**DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
BASED ON EXPENDITURES AS OF JUNE 30, 2021**

		BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
AUTO EXPENSES				
9102	AUTO MAINTENANCE/REPAIR	\$11,000	\$2,807	(\$8,193)
9103	GAS	1,100	557	(543)
9105	LICENSE FEES	400	390	(10)
	TOTAL	<u>12,500</u>	<u>3,754</u>	<u>(8,746)</u>
TRANSPORTATION AND TRAVEL				
9181	TRANSPORTATION	1,200	0	(1,200)
9182	TRAVEL	5,100	0	(5,100)
	TOTAL	<u>6,300</u>	<u>0</u>	<u>(6,300)</u>
POSTAGE				
9201	POSTAGE METER	300,000	150,000	(150,000)
9204	CALLER BOX SERVICE ANNUAL FEE	1,400	1,310	(90)
	TOTAL	<u>301,400</u>	<u>151,310</u>	<u>(150,090)</u>
STATIONERY AND FORMS				
9264	MISC STATIONERY & FORMS/DIRECTORIES	3,500	3,572	72
	TOTAL	<u>3,500</u>	<u>3,572</u>	<u>72</u>
OFFICE SUPPLIES AND EQUIPMENT				
9302	SPECIAL ORDERS/MINOR EQUIP	46,000	24,677	(21,323)
9305	SAFETY AND HEALTH SUPPLIES	31,000	32,333	1,333
9306	COMPUTER SUPPLIES	91,000	48,559	(42,441)
9307	STANDARD STOCK	121,000	127,714	6,714
9337	OFFICE FURNISHINGS	56,000	10,294	(45,706)
9352	ERGONOMIC ITEMS	1,000	693	(307)
	TOTAL	<u>346,000</u>	<u>244,268</u>	<u>(101,732)</u>
INSURANCE				
9381	FIDUCIARY INSURANCE	299,600	296,886	(2,714)
9382	UMBRELLA POLICY	22,400	22,944	544
9384	EARTHQUAKE/FLOOD	87,200	87,298	98
9386	CRIME INSURANCE POLICY	21,700	18,533	(3,167)
9387	BUSINESS PACKAGE	54,400	55,475	1,075
9388	EMPLOYMENT PRACTICE LIABILITY INSURANCE	107,500	102,743	(4,757)
9390	CYBER LIABILITY INSURANCE	147,100	158,383	11,283
9391	TERRORISM INSURANCE	8,400	8,671	271
	TOTAL	<u>748,300</u>	<u>750,934</u>	<u>2,634</u>

FISCAL YEAR 2020-2021

ADMINISTRATIVE SERVICES DIVISION

**DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
BASED ON EXPENDITURES AS OF JUNE 30, 2021**

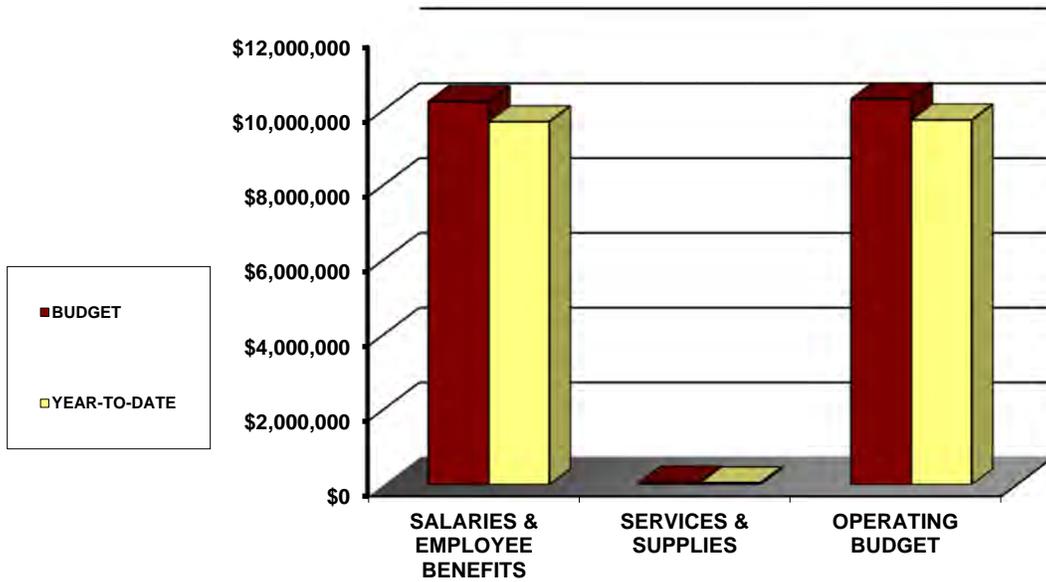
	BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
EQUIPMENT MAINTENANCE			
9401 FAX MACHINES	\$1,500	\$1,217	(\$283)
9423 TIME CLOCK MAINTENANCE	300	0	(300)
9426 SECURITY SYSTEM (PANIC BUTTONS)	4,000	900	(3,100)
TOTAL	<u>5,800</u>	<u>2,117</u>	<u>(3,683)</u>
EQUIPMENT RENTS AND LEASES			
9452 MAILING EQUIPMENT	35,000	26,355	(8,645)
9463 PRODUCTION COPIERS - LEASES	275,000	184,393	(90,607)
TOTAL	<u>310,000</u>	<u>210,747</u>	<u>(99,253)</u>
BUILDING COSTS			
9476 BUILDING OPERATIONAL COSTS	2,328,000	2,270,002	(57,998)
9477 OVERTIME HVAC/LIGHTING	115,000	97,972	(17,028)
9480 FACILITIES MAINTENANCE	125,000	83,375	(41,625)
9481 RENOVATION PROJECTS	466,000	196,745	(269,255)
TOTAL	<u>3,034,000</u>	<u>2,648,095</u>	<u>(385,905)</u>
PROFESSIONAL AND SPECIALIZED SERVICES			
9552 BUSINESS CONTINUITY SERVICES (IBM)	20,000	7,285	(12,715)
9553 ARCHIVE/ OFF-SITE STORAGE	55,000	42,922	(12,078)
9677 SHREDDING SERVICE	25,000	27,231	2,231
9685 COURIER SERVICE	25,000	13,888	(11,112)
9686 FURNITURE OFF-SITE STORAGE	15,000	43,971	28,971
9688 UNIVERSAL MAIL DELIVERY SERVICE	8,000	6,469	(1,531)
9689 NEXT DAY MAIL DELIVERY SERVICE	65,000	52,585	(12,415)
TOTAL	<u>213,000</u>	<u>194,351</u>	<u>(18,649)</u>
EDUCATIONAL EXPENSES			
9961 MEMBERSHIPS	1,200	609	(591)
9962 REGISTRATION FEES	4,700	1,279	(3,421)
9963 EDUCATIONAL MATERIALS	700	0	(700)
TOTAL	<u>6,600</u>	<u>1,888</u>	<u>(4,712)</u>
MISCELLANEOUS			
9986 MISCELLANEOUS	10,000	8,416	(1,584)
9990 RIDESHARE	5,000	161	(4,839)
TOTAL	<u>15,000</u>	<u>8,577</u>	<u>(6,423)</u>
GRAND TOTAL	<u>\$5,002,400</u>	<u>\$4,219,614</u>	<u>(\$782,786)</u>

*All amounts rounded to the nearest dollar.

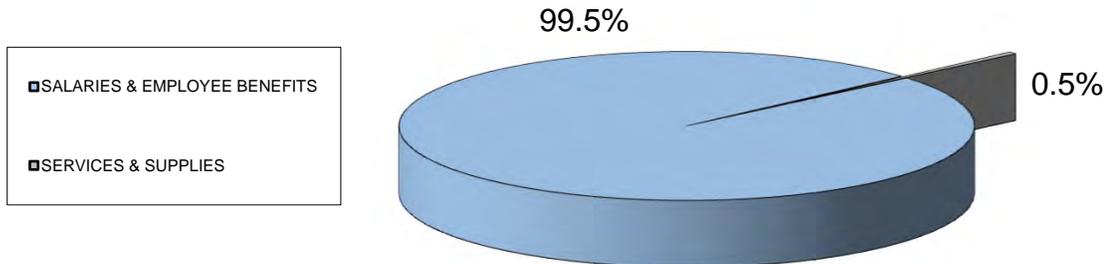
BENEFITS DIVISION

BUDGET CONTROL REPORT - FISCAL YEAR 2020-2021 BASED ON EXPENDITURES AS OF JUNE 30, 2021

<u>CATEGORY</u>	<u>BUDGET</u>	<u>YEAR-TO-DATE</u>	<u>OVER / (UNDER) BUDGET</u>
SALARIES & EMPLOYEE BENEFITS	\$10,241,148	\$9,699,428	(\$541,720)
SERVICES & SUPPLIES	\$65,400	\$47,857	(\$17,543)
OPERATING BUDGET	\$10,306,548	\$9,747,285	(\$559,263)
Budgeted Positions	71		
Filled Positions	67		



Total Expenditures by Category



FISCAL YEAR 2020-2021

BENEFITS DIVISION

SUMMARY OF SALARIES AND EMPLOYEE BENEFITS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

	BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
SALARIES & OTHER PAYS			
PERMANENT / COUNTY TEMPORARY	\$5,916,222	\$5,768,335	(\$147,887)
AGENCY TEMPORARY	47,700	61,449	13,749
LACERA INTERN PROGRAM	0	0	0
STIPENDS	0	0	0
OVERTIME	371,600	373,564	1,964
BILINGUAL BONUS	2,400	2,400	0
PAY IN LIEU OF SALARY REDUCTION	0	0	0
TRANSPORTATION ALLOWANCE	0	0	0
RIDESHARE ALLOWANCE	16,300	240	(16,060)
SICKLEAVE BUYBACK	12,000	16,938	4,938
RESERVE FOR REMUNERATION	0	0	0
TOTAL SALARIES & OTHER PAYS	\$6,366,222	\$6,222,926	(\$143,296)
VARIABLE BENEFITS			
RETIREMENT	1,281,527	1,169,464	(112,063)
FICA CONTRIBUTION	100,736	93,215	(7,521)
COUNTY SUBSIDY - INSURANCE	164,040	123,969	(40,071)
OPTIONS PLAN	1,366,817	1,174,075	(192,742)
LIFE INSURANCE	7,043	6,457	(586)
HEALTH INSURANCE TEMPS	6,059	6,920	861
FLEXIBLE BENEFIT PLAN	0	0	0
THRIFT PLAN / HORIZONS	207,154	185,462	(21,692)
SAVINGS PLAN	28,003	28,239	236
PENSION SAVINGS PLAN	1,928	707	(1,221)
MEGAFLEX	195,720	157,560	(38,160)
TOTAL VARIABLE BENEFITS	\$3,359,026	\$2,946,068	(\$412,958)
OPEB CONTRIBUTION	151,837	176,497	24,660
OTHER BENEFITS	364,063	353,938	(10,125)
TOTAL EMPLOYEE BENEFITS	\$3,874,927	\$3,476,502	(\$398,425)
TOTAL SALARIES & EMPLOYEE BENEFITS	\$10,241,148	\$9,699,428	(\$541,720)

*All amounts rounded to the nearest dollar.

FISCAL YEAR 2020-2021

BENEFITS DIVISION

DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

		BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
TRANSPORTATION AND TRAVEL				
9181	TRANSPORTATION	\$800	\$0	(\$800)
9182	TRAVEL	3,700	0	(3,700)
	TOTAL	4,500	0	(4,500)
OFFICE SUPPLIES AND EQUIPMENT				
9302	SPECIAL ORDERS/MINOR EQUIP	3,700	1,375	(2,325)
	TOTAL	3,700	1,375	(2,325)
PROFESSIONAL AND SPECIALIZED SERVICES				
9516	RECORD SEARCHES	5,000	243	(4,757)
9572	PENSION BENEFIT INFORMATION	15,000	22,207	7,207
9674	MEMBER VERIFICATION	20,000	21,967	1,967
	TOTAL	40,000	44,417	4,417
EDUCATIONAL EXPENSES				
9961	MEMBERSHIPS	2,000	415	(1,585)
9962	REGISTRATION FEES	13,000	1,650	(11,350)
9963	EDUCATIONAL MATERIALS	700	0	(700)
	TOTAL	15,700	2,065	(13,635)
MISCELLANEOUS				
9986	MISCELLANEOUS	1,500	0	(1,500)
	TOTAL	1,500	0	(1,500)
GRAND TOTAL		\$65,400	\$47,857	(\$17,543)

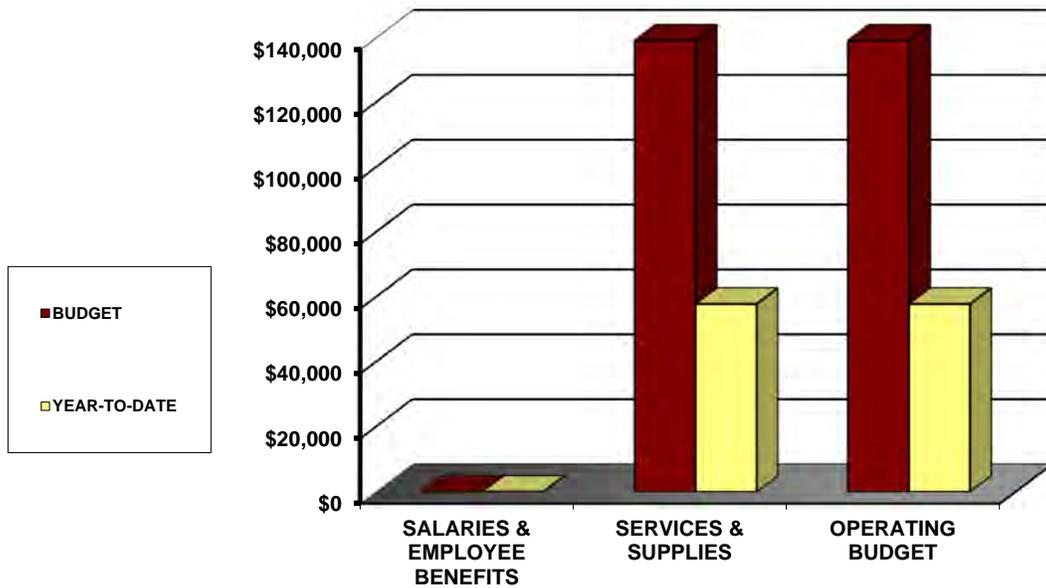
*All amounts rounded to the nearest dollar.

BOARD OF RETIREMENT

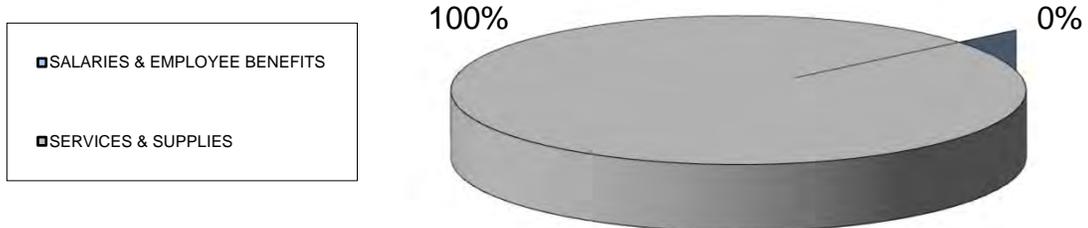
BUDGET CONTROL REPORT - FISCAL YEAR 2020-2021 BASED ON EXPENDITURES AS OF JUNE 30, 2021

<u>CATEGORY</u>	<u>BUDGET</u>	<u>YEAR-TO-DATE</u>	<u>OVER / (UNDER) BUDGET</u>
SALARIES & EMPLOYEE BENEFITS	\$0	\$0	\$0
SERVICES & SUPPLIES	\$139,000	\$57,877	(\$81,123)
OPERATING BUDGET	\$139,000	\$57,877	(\$81,123)

Board of Retirement 11



Total Expenditures by Category



FISCAL YEAR 2020-2021

BOARD OF RETIREMENT

DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

		BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
TRANSPORTATION AND TRAVEL				
9181	TRANSPORTATION	\$10,000	\$239	(\$9,761)
9182	TRAVEL	75,000	681	(74,319)
	TOTAL	85,000	920	(84,080)
EDUCATIONAL EXPENSES				
9961	MEMBERSHIPS	12,000	35,070	23,070
9962	REGISTRATION FEES	30,000	11,805	(18,195)
9963	EDUCATIONAL MATERIALS	6,000	10,082	4,082
	TOTAL	48,000	56,957	8,957
MISCELLANEOUS				
9983	OFF-SITE BOARD MEETING EXPENSE	5,000	0	(5,000)
9984	FOOD/BEVERAGES	1,000	0	(1,000)
	TOTAL	6,000	0	(6,000)
GRAND TOTAL		\$139,000	\$57,877	(\$81,123)

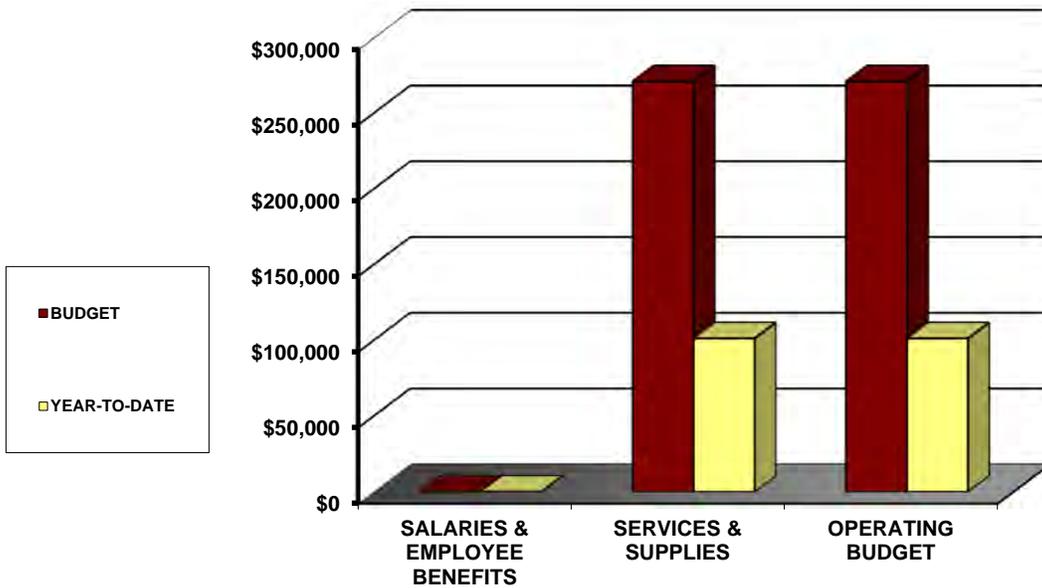
*All amounts rounded to the nearest dollar.

BOARD OF INVESTMENTS

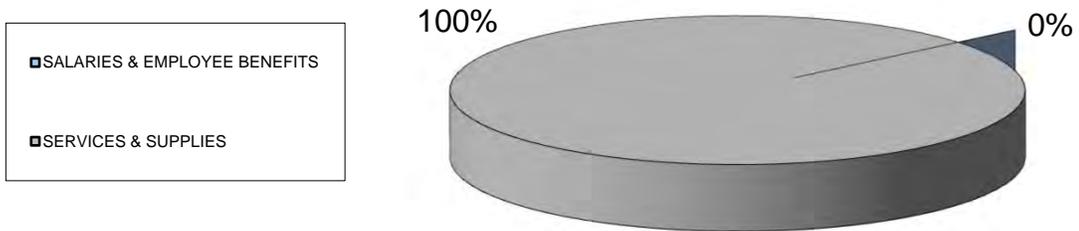
BUDGET CONTROL REPORT - FISCAL YEAR 2020-2021 BASED ON EXPENDITURES AS OF JUNE 30, 2021

<u>CATEGORY</u>	<u>BUDGET</u>	<u>YEAR-TO-DATE</u>	<u>OVER / (UNDER) BUDGET</u>
SALARIES & EMPLOYEE BENEFITS	\$0	\$0	\$0
SERVICES & SUPPLIES	\$271,000	\$101,263	(\$169,737)
OPERATING BUDGET	\$271,000	\$101,263	(\$169,737)

Board of Investment 9



Total Expenditures by Category



FISCAL YEAR 2020-2021

BOARD OF INVESTMENTS

DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

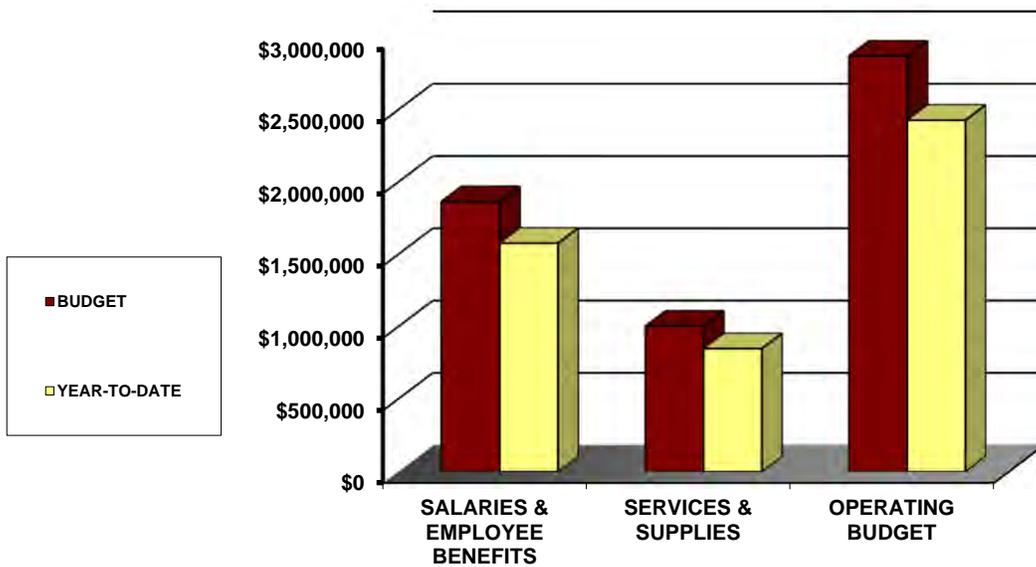
		BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
TRANSPORTATION AND TRAVEL				
9181	TRANSPORTATION	\$20,000	\$0	(\$20,000)
9182	TRAVEL	125,000	2,496	(122,504)
	TOTAL	145,000	2,496	(142,504)
EDUCATIONAL EXPENSES				
9961	MEMBERSHIPS	75,000	53,094	(21,906)
9962	REGISTRATION FEES	40,000	37,792	(2,208)
9963	EDUCATIONAL MATERIALS	5,000	7,881	2,881
	TOTAL	120,000	98,767	(21,233)
MISCELLANEOUS				
9983	OFF-SITE BOARD MEETING EXPENSE	5,000	0	(5,000)
9984	FOOD/BEVERAGES	1,000	0	(1,000)
	TOTAL	6,000	0	(6,000)
GRAND TOTAL		\$271,000	\$101,263	(\$169,737)

*All amounts rounded to the nearest dollar.

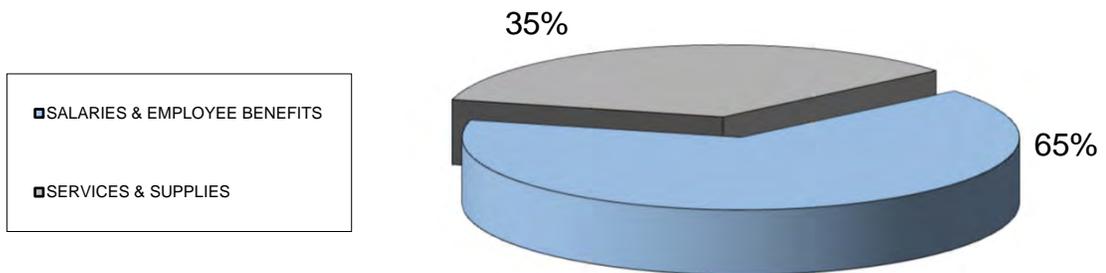
COMMUNICATIONS

BUDGET CONTROL REPORT - FISCAL YEAR 2020-2021 BASED ON EXPENDITURES AS OF JUNE 30, 2021

<u>CATEGORY</u>	<u>BUDGET</u>	<u>YEAR-TO-DATE</u>	<u>OVER / (UNDER) BUDGET</u>
SALARIES & EMPLOYEE BENEFITS	\$1,867,768	\$1,579,166	(\$288,602)
SERVICES & SUPPLIES	\$1,006,100	\$850,979	(\$155,121)
OPERATING BUDGET	\$2,873,868	\$2,430,145	(\$443,723)
Budgeted Positions	14		
Filled Positions	10		



Total Expenditures by Category



FISCAL YEAR 2020-2021

COMMUNICATIONS

SUMMARY OF SALARIES AND EMPLOYEE BENEFITS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

	BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
SALARIES & OTHER PAYS			
PERMANENT / COUNTY TEMPORARY	\$1,055,333	\$925,261	(\$130,072)
AGENCY TEMPORARY	135,700	73,304	(62,396)
LACERA INTERN PROGRAM	0	0	0
STIPENDS	0	0	0
OVERTIME	3,300	4,615	1,315
BILINGUAL BONUS	0	0	0
PAY IN LIEU OF SALARY REDUCTION	0	0	0
TRANSPORTATION ALLOWANCE	0	0	0
RIDESHARE ALLOWANCE	1,000	0	(1,000)
SICKLEAVE BUYBACK	3,500	0	(3,500)
RESERVE FOR REMUNERATION	0	0	0
TOTAL SALARIES & OTHER PAYS	\$1,198,833	\$1,003,180	(\$195,653)
VARIABLE BENEFITS			
RETIREMENT	217,693	185,516	(32,177)
FICA CONTRIBUTION	17,824	14,293	(3,531)
COUNTY SUBSIDY - INSURANCE	68,917	47,182	(21,735)
OPTIONS PLAN	153,942	119,166	(34,776)
LIFE INSURANCE	265	110	(155)
HEALTH INSURANCE TEMPS	0	0	0
FLEXIBLE BENEFIT PLAN	0	0	0
THRIFT PLAN / HORIZONS	26,886	24,342	(2,544)
SAVINGS PLAN	11,287	13,084	1,797
PENSION SAVINGS PLAN	0	0	0
MEGAFLEX	61,868	69,260	7,392
TOTAL VARIABLE BENEFITS	\$558,683	\$472,953	(\$85,730)
OPEB CONTRIBUTION	32,449	27,957	(4,492)
OTHER BENEFITS	77,804	75,076	(2,728)
TOTAL EMPLOYEE BENEFITS	\$668,935	\$575,986	(\$92,949)
TOTAL SALARIES & EMPLOYEE BENEFITS	\$1,867,768	\$1,579,166	(\$288,602)

*All amounts rounded to the nearest dollar.

FISCAL YEAR 2020-2021

COMMUNICATIONS

DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

		BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
TRANSPORTATION AND TRAVEL				
9181	TRANSPORTATION	\$500	\$0	(\$500)
9182	TRAVEL	1,500.00	0	(1,500)
	TOTAL	2,000	0	(2,000)
POSTAGE				
9205	NEWSLETTER POSTAGE	180,000	177,806	(2,194)
9207	ANNUAL BENEFITS STATEMENT POSTAGE	95,000	66,580	(28,420)
9210	MISCELLANEOUS MAILINGS	25,000	4,238	(20,762)
	TOTAL	300,000	248,624	(51,376)
STATIONERY AND FORMS				
9233	DISABILITY RETIREMENT APPEAL	8,000	5,075	(2,925)
9235	PLANS BROCHURES	80,000	17,652	(62,348)
9237	SURVIVOR - BROCHURES	5,000	0	(5,000)
9239	WITHDRAWAL/RECIPROCITY - BROCHURES	7,000	10,618	3,618
9240	ANNUAL REPORT	55,000	53,989	(1,011)
9242	ANNUAL BENEFITS STATEMENT	110,000	118,256	8,256
9246	FORMS	25,000	11,368	(13,632)
9249	LACERA CALENDARS	10,000	6,725	(3,275)
9253	NEW MEMBER PACKAGE	10,000	9,702	(298)
9255	PRE-RET GUIDE	22,000	27,011	5,011
9256	POSTSCRIPT PRINTING	70,000	73,289	3,289
9259	RETIREEES - INSERTS	2,800	2,798	(2)
9261	SPOTLIGHT PRINTING	68,000	71,601	3,601
9262	SURVEY	5,000	5,489	489
9263	UNANTICIPATED PROJECTS	35,000	26,829	(8,171)
9265	SPECIALIZED MAILINGS	20,000	16,931	(3,069)
9266	DIRECT DEPOSIT - BROCHURES	2,500	2,937	437
9267	Q&A - BROCHURES	5,000	14,994	9,994
9268	TRANSFER BROCHURES	2,000	2,855	855
9274	STATIONERY	40,000	45,367	5,367
9280	ANNUAL BENEFIT STATEMENT PDF/CD'S	20,000	15,087	(4,913)
9281	ESTIMATE PACKAGE	2,500	0	(2,500)
9282	NEW RETIREE PACKAGE	1,800	7,277	5,477
9283	POWER OF ATTORNEY	15,000	11,437	(3,563)
9285	RETIREMENT UNIVERSITY	10,000	0	(10,000)
9286	COMMUNITY PROPERTY GUIDE	5,000	0	(5,000)
	TOTAL	636,600	557,288	(79,312)

FISCAL YEAR 2020-2021

COMMUNICATIONS

DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

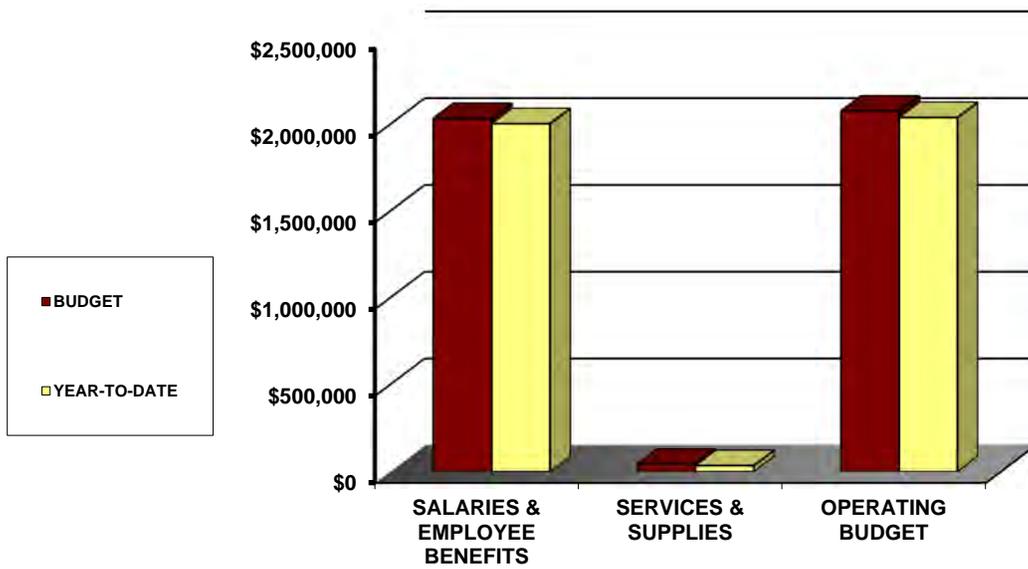
		BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
OFFICE SUPPLIES AND EQUIPMENT				
9302	SPECIAL ORDERS/MINOR EQUIP	\$8,000	\$2,442	(\$5,558)
	TOTAL	8,000	2,442	(5,558)
PROFESSIONAL AND SPECIALIZED SERVICES				
9627	NEWSLETTER MAILINGS	30,000	30,526	526
9628	HR CONFERENCE/FORUM	2,000	0	(2,000)
	TOTAL	32,000	30,526	(1,474)
COMPUTER SERVICES & SUPPORT				
9837	MACINTOSH CONSULTING & MAINT	3,000	1,004	(1,996)
9840	MACINTOSH SOFTWARE PACKAGE	1,500	0	(1,500)
9855	MACINTOSH EQUIPMENT	12,000	7,530	(4,470)
	TOTAL	16,500	8,534	(7,966)
EDUCATIONAL EXPENSES				
9961	MEMBERSHIPS	400	0	(400)
9962	REGISTRATION FEES	6,000	228	(5,772)
9963	EDUCATIONAL MATERIALS	4,000	3,134	(866)
	TOTAL	10,400	3,362	(7,038)
MISCELLANEOUS				
9986	MISCELLANEOUS	600	203	(397)
	TOTAL	600	203	(397)
GRAND TOTAL		\$1,006,100	\$850,979	(\$155,121)

*All amounts rounded to the nearest dollar.

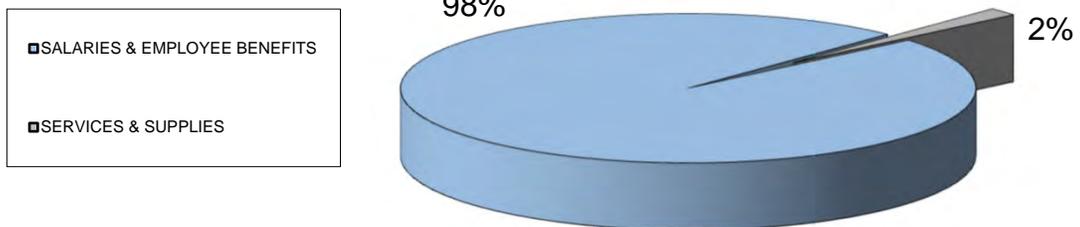
DISABILITY LITIGATION

BUDGET CONTROL REPORT - FISCAL YEAR 2020-2021 BASED ON EXPENDITURES AS OF JUNE 30, 2021

<u>CATEGORY</u>	<u>BUDGET</u>	<u>YEAR-TO-DATE</u>	<u>OVER / (UNDER) BUDGET</u>
SALARIES & EMPLOYEE BENEFITS	\$2,035,878	\$2,005,178	(\$30,700)
SERVICES & SUPPLIES	\$42,600	\$35,138	(\$7,462)
OPERATING BUDGET	\$2,078,478	\$2,040,316	(\$38,162)
Budgeted Positions	7		
Filled Positions	7		



Total Expenditures by Category



FISCAL YEAR 2020-2021

DISABILITY LITIGATION

SUMMARY OF SALARIES AND EMPLOYEE BENEFITS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

	BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
SALARIES & OTHER PAYS			
PERMANENT / COUNTY TEMPORARY	\$1,256,001	\$1,253,194	(\$2,807)
AGENCY TEMPORARY	8,700	0	(8,700)
LACERA INTERN PROGRAM	0	0	0
STIPENDS	0	0	0
OVERTIME	0	0	0
BILINGUAL BONUS	0	0	0
PAY IN LIEU OF SALARY REDUCTION	0	0	0
TRANSPORTATION ALLOWANCE	0	0	0
RIDESHARE ALLOWANCE	900	0	(900)
SICKLEAVE BUYBACK	0	0	0
RESERVE FOR REMUNERATION	0	0	0
TOTAL SALARIES & OTHER PAYS	\$1,265,601	\$1,253,194	(\$12,407)
VARIABLE BENEFITS			
RETIREMENT	256,684	243,608	(13,076)
FICA CONTRIBUTION	20,738	18,803	(1,935)
COUNTY SUBSIDY - INSURANCE	93,319	81,672	(11,647)
OPTIONS PLAN	0	0	0
LIFE INSURANCE	0	0	0
HEALTH INSURANCE TEMPS	0	0	0
FLEXIBLE BENEFIT PLAN	0	0	0
THRIFT PLAN / HORIZONS	47,893	43,434	(4,459)
SAVINGS PLAN	57,717	52,339	(5,378)
PENSION SAVINGS PLAN	0	0	0
MEGAFLEX	184,401	201,310	16,909
TOTAL VARIABLE BENEFITS	\$660,752	\$641,165	(\$19,587)
OPEB CONTRIBUTION	32,235	36,239	4,004
OTHER BENEFITS	77,290	74,580	(2,710)
TOTAL EMPLOYEE BENEFITS	\$770,277	\$751,984	(\$18,293)
TOTAL SALARIES & EMPLOYEE BENEFITS	\$2,035,878	\$2,005,178	(\$30,700)

*All amounts rounded to the nearest dollar.

FISCAL YEAR 2020-2021

DISABILITY LITIGATION

**DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
BASED ON EXPENDITURES AS OF JUNE 30, 2021**

		BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
AUTO EXPENSES				
9102	AUTO MAINTENANCE/REPAIR	\$1,300	\$473	(\$827)
9103	GAS	1,500	886	(614)
9105	LICENSE FEES	300	246	(54)
	TOTAL	<u>3,100</u>	<u>1,605</u>	<u>(1,495)</u>
TRANSPORTATION AND TRAVEL				
9181	TRANSPORTATION	800	0	(800)
9182	TRAVEL	3,700	0	(3,700)
	TOTAL	<u>4,500</u>	<u>0</u>	<u>(4,500)</u>
OFFICE SUPPLIES AND EQUIPMENT				
9302	SPECIAL ORDERS/MINOR EQUIP	1,800	1,169	(631)
	TOTAL	<u>1,800</u>	<u>1,169</u>	<u>(631)</u>
LEGAL FEES AND SERVICES				
9772	OUTSIDE LEGAL COUNSEL	10,000	3,976	(6,024)
9777	LITIGATION SUPPORT	500	0	(500)
	TOTAL	<u>10,500</u>	<u>3,976</u>	<u>(6,524)</u>
EDUCATIONAL EXPENSES				
9961	MEMBERSHIPS	3,000	1,898	(1,102)
9962	REGISTRATION FEES	4,000	79	(3,921)
9963	EDUCATIONAL MATERIALS	15,000	26,411	11,411
	TOTAL	<u>22,000</u>	<u>28,388</u>	<u>6,388</u>
MISCELLANEOUS				
9986	MISCELLANEOUS	700	0	(700)
	TOTAL	<u>700</u>	<u>0</u>	<u>(700)</u>
	GRAND TOTAL	<u>\$42,600</u>	<u>\$35,138</u>	<u>(\$7,462)</u>

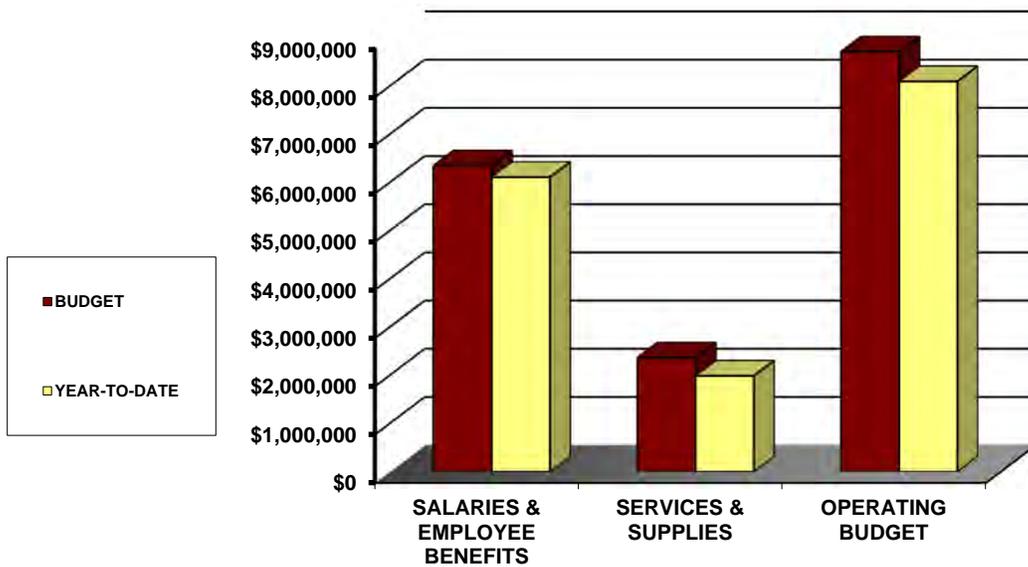
*All amounts rounded to the nearest dollar.

DISABILITY RETIREMENT

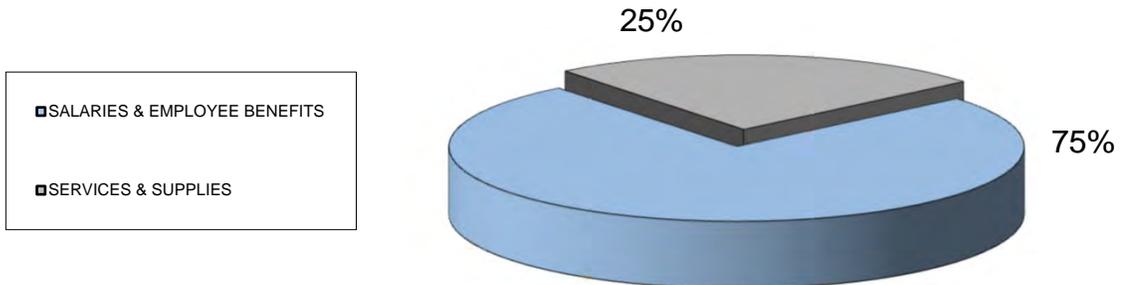
BUDGET CONTROL REPORT - FISCAL YEAR 2020-2021 BASED ON EXPENDITURES AS OF JUNE 30, 2021

<u>CATEGORY</u>	<u>BUDGET</u>	<u>YEAR-TO-DATE</u>	<u>OVER / (UNDER) BUDGET</u>
SALARIES & EMPLOYEE BENEFITS	\$6,347,485	\$6,109,356	(\$238,129)
SERVICES & SUPPLIES	\$2,363,800	\$1,986,378	(\$377,422)
OPERATING BUDGET	\$8,711,285	\$8,095,734	(\$615,551)

Budgeted Positions 41
Filled Positions 38



Total Expenditures by Category



FISCAL YEAR 2020-2021

DISABILITY RETIREMENT

SUMMARY OF SALARIES AND EMPLOYEE BENEFITS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

	BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
SALARIES & OTHER PAYS			
PERMANENT / COUNTY TEMPORARY	\$3,793,694	\$3,600,299	(\$193,395)
AGENCY TEMPORARY	72,100	100,660	28,560
LACERA INTERN PROGRAM	0	0	0
STIPENDS	0	0	0
OVERTIME	9,500	16,742	7,242
BILINGUAL BONUS	0	0	0
PAY IN LIEU OF SALARY REDUCTION	0	0	0
TRANSPORTATION ALLOWANCE	0	0	0
RIDESHARE ALLOWANCE	4,500	0	(4,500)
SICKLEAVE BUYBACK	6,000	1,873	(4,127)
RESERVE FOR REMUNERATION	0	0	0
TOTAL SALARIES & OTHER PAYS	\$3,885,794	\$3,719,574	(\$166,220)
VARIABLE BENEFITS			
RETIREMENT	820,566	773,796	(46,770)
FICA CONTRIBUTION	58,228	55,464	(2,764)
COUNTY SUBSIDY - INSURANCE	305,230	324,536	19,306
OPTIONS PLAN	280,922	226,633	(54,289)
LIFE INSURANCE	1,634	740	(894)
HEALTH INSURANCE TEMPS	0	0	0
FLEXIBLE BENEFIT PLAN	0	0	0
THRIFT PLAN / HORIZONS	110,153	94,338	(15,815)
SAVINGS PLAN	91,156	79,059	(12,097)
PENSION SAVINGS PLAN	0	0	0
MEGAFLEX	459,631	489,092	29,461
TOTAL VARIABLE BENEFITS	\$2,127,520	\$2,043,657	(\$83,863)
OPEB CONTRIBUTION	98,351	117,583	19,232
OTHER BENEFITS	235,819	228,540	(7,279)
TOTAL EMPLOYEE BENEFITS	\$2,461,690	\$2,389,781	(\$71,909)
TOTAL SALARIES & EMPLOYEE BENEFITS	\$6,347,485	\$6,109,356	(\$238,129)

*All amounts rounded to the nearest dollar.

FISCAL YEAR 2020-2021

DISABILITY RETIREMENT

DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

		BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
TRANSPORTATION AND TRAVEL				
9181	TRANSPORTATION	\$1,100	\$0	(\$1,100)
9182	TRAVEL	4,900	0	(4,900)
	TOTAL	6,000	0	(6,000)
OFFICE SUPPLIES AND EQUIPMENT				
9302	SPECIAL ORDERS/MINOR EQUIP	6,000	2,942	(3,058)
	TOTAL	6,000	2,942	(3,058)
PROFESSIONAL AND SPECIALIZED SERVICES				
9673	PHOTOCOPIES OF DOCUMENTS	215,000	228,059	13,059
9695	JOB ANALYST	10,000	4,244	(5,757)
	TOTAL	225,000	232,303	7,303
LEGAL FEES AND SERVICES				
9772	OUTSIDE LEGAL COUNSEL	30,000	6,410	(23,590)
	TOTAL	30,000	6,410	(23,590)
DISABILITY FEES AND SERVICES				
9802	HEARING OFFICER FEES	150,000	86,760	(63,240)
9803	MEDICAL FEES	1,800,000	1,528,166	(271,834)
9804	COURT REPORTER	35,000	15,761	(19,239)
9805	INVESTIGATIVE SERVICES	35,000	7,387	(27,614)
9806	DATABASE SEARCHES	1,000	174	(826)
9807	MEDICAL ADVISOR	65,000	96,655	31,655
	TOTAL	2,086,000	1,734,903	(351,097)
EDUCATIONAL EXPENSES				
9961	MEMBERSHIPS	200	0	(200)
9962	REGISTRATION FEES	9,300	9,821	521
9963	EDUCATIONAL MATERIALS	800	0	(800)
	TOTAL	10,300	9,821	(479)
MISCELLANEOUS				
9986	MISCELLANEOUS	500	0	(500)
	TOTAL	500	0	(500)
	GRAND TOTAL	\$2,363,800	\$1,986,378	(\$377,422)

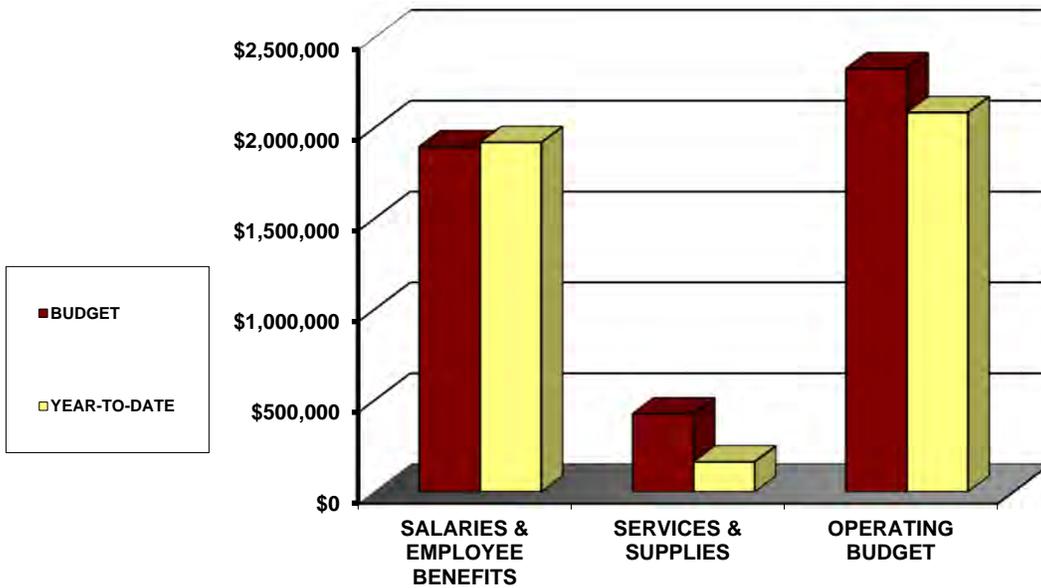
*All amounts rounded to the nearest dollar.

EXECUTIVE OFFICE

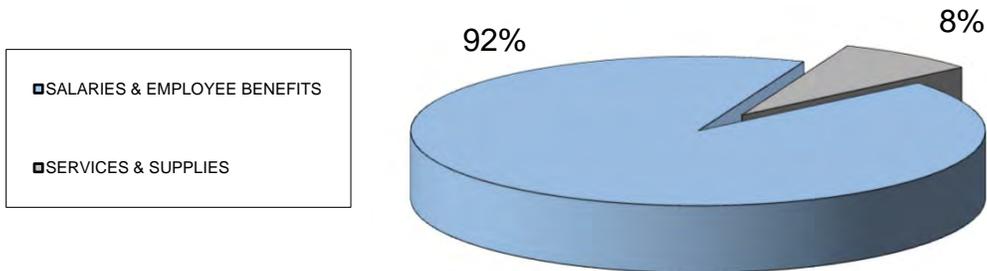
BUDGET CONTROL REPORT - FISCAL YEAR 2020-2021 BASED ON EXPENDITURES AS OF JUNE 30, 2021

<u>CATEGORY</u>	<u>BUDGET</u>	<u>YEAR-TO-DATE</u>	<u>OVER / (UNDER) BUDGET</u>
SALARIES & EMPLOYEE BENEFITS	\$1,899,420	\$1,922,537	\$23,117
SERVICES & SUPPLIES	\$428,700	\$164,721	(\$263,979)
OPERATING BUDGET	\$2,328,120	\$2,087,258	(\$240,862)

Budgeted Positions 8
Filled Positions 6



Total Expenditures by Category



FISCAL YEAR 2020-2021

EXECUTIVE OFFICE

SUMMARY OF SALARIES AND EMPLOYEE BENEFITS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

	BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
SALARIES & OTHER PAYS			
PERMANENT / COUNTY TEMPORARY	\$1,204,464	\$1,124,370	(\$80,094)
AGENCY TEMPORARY	0	0	0
LACERA INTERN PROGRAM	0	0	0
STIPENDS	65,000	58,288	(6,712)
OVERTIME	25,000	1,078	(23,922)
BILINGUAL BONUS	0	0	0
PAY IN LIEU OF SALARY REDUCTION	0	0	0
TRANSPORTATION ALLOWANCE	0	0	0
RIDESHARE ALLOWANCE	1,400	0	(1,400)
SICKLEAVE BUYBACK	1,000	0	(1,000)
RESERVE FOR REMUNERATION	0	0	0
TOTAL SALARIES & OTHER PAYS	\$1,296,864	\$1,183,737	(\$113,127)
VARIABLE BENEFITS			
RETIREMENT	174,566	228,347	53,781
FICA CONTRIBUTION	18,339	19,598	1,259
COUNTY SUBSIDY - INSURANCE	95,625	100,072	4,447
OPTIONS PLAN	0	0	0
LIFE INSURANCE	0	0	0
HEALTH INSURANCE TEMPS	0	0	0
FLEXIBLE BENEFIT PLAN	0	0	0
THRIFT PLAN / HORIZONS	26,147	30,327	4,180
SAVINGS PLAN	25,388	37,025	11,637
PENSION SAVINGS PLAN	0	0	0
MEGAFLEX	153,548	212,525	58,977
TOTAL VARIABLE BENEFITS	\$493,613	\$627,894	\$134,281
OPEB CONTRIBUTION	32,063	36,722	4,659
OTHER BENEFITS	76,879	74,184	(2,695)
TOTAL EMPLOYEE BENEFITS	\$602,555	\$738,800	\$136,245
TOTAL SALARIES & EMPLOYEE BENEFITS	\$1,899,420	\$1,922,537	\$23,117

*All amounts rounded to the nearest dollar.

FISCAL YEAR 2020-2021

EXECUTIVE OFFICE

DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
BASED ON EXPENDITURES AS OF JUNE 30, 2021

		BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
AUTO EXPENSES				
9102	AUTO MAINTENANCE/REPAIR	\$6,000	\$351	(\$5,649)
9103	GAS	10,000	1,370	(8,630)
9105	LICENSE FEES	1,800	1,499	(301)
	TOTAL	17,800	3,221	(14,579)
TRANSPORTATION AND TRAVEL				
9181	TRANSPORTATION	3,800	0	(3,800)
9182	TRAVEL	14,200	355	(13,845)
	TOTAL	18,000	355	(17,645)
OFFICE SUPPLIES AND EQUIPMENT				
9302	SPECIAL ORDERS/MINOR EQUIP	4,500	548	(3,952)
	TOTAL	4,500	548	(3,952)
PROFESSIONAL AND SPECIALIZED SERVICES				
9543	LEGISLATIVE CONSULTING	60,000	0	(60,000)
9672	IMPROVEMENT PROJECTS	115,000	64,838	(50,163)
9716	PUBLIC & MEDIA RELATIONS	85,000	73,920	(11,080)
	TOTAL	260,000	138,758	(121,243)
EDUCATIONAL EXPENSES				
9961	MEMBERSHIPS	49,400	13,734	(35,666)
9962	REGISTRATION FEES	12,000	3,026	(8,975)
9963	EDUCATIONAL MATERIALS	7,000	2,040	(4,960)
	TOTAL	68,400	18,800	(49,600)
MISCELLANEOUS				
9982	EMPLOYEE RECOGNITION PROGRAM	5,000	1,925	(3,075)
9983	OFF-SITE BOARD MEETING EXPENSE	25,000	0	(25,000)
9984	FOOD/BEVERAGES	20,000	580	(19,420)
9986	MISCELLANEOUS	10,000	534	(9,466)
	TOTAL	60,000	3,039	(56,961)
GRAND TOTAL		\$428,700	\$164,721	(\$263,979)

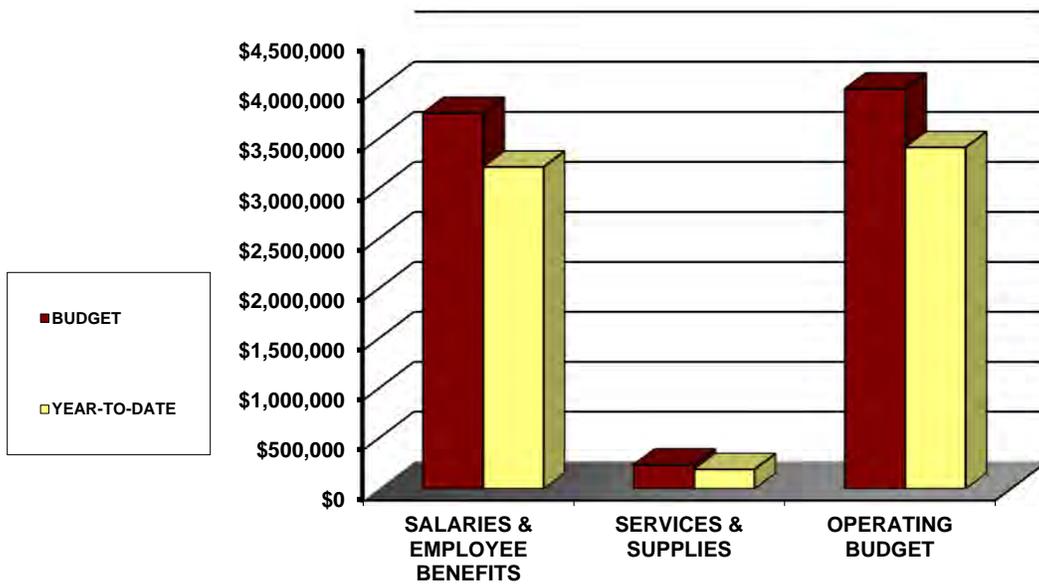
*All amounts rounded to the nearest dollar.

FINANCIAL AND ACCOUNTING SERVICES

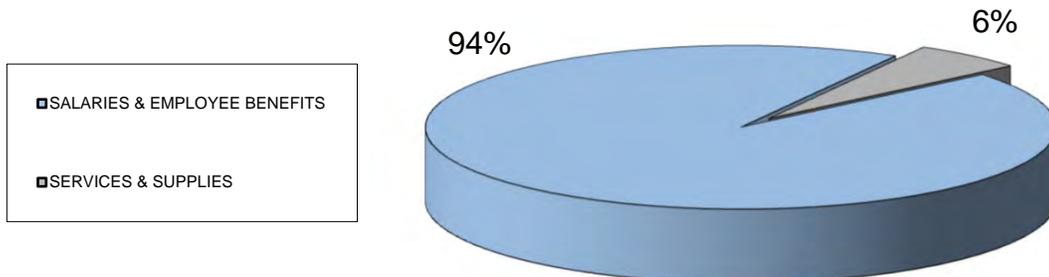
BUDGET CONTROL REPORT - FISCAL YEAR 2020-2021 BASED ON EXPENDITURES AS OF JUNE 30, 2021

<u>CATEGORY</u>	<u>BUDGET</u>	<u>YEAR-TO-DATE</u>	<u>OVER / (UNDER) BUDGET</u>
SALARIES & EMPLOYEE BENEFITS	\$3,760,227	\$3,222,308	(\$537,919)
SERVICES & SUPPLIES	\$242,100	\$195,771	(\$46,329)
OPERATING BUDGET	\$4,002,327	\$3,418,079	(\$584,248)

Budgeted Positions 30
Filled Positions 20



Total Expenditures by Category



FISCAL YEAR 2020-2021

FINANCIAL AND ACCOUNTING SERVICES DIVISION

SUMMARY OF SALARIES AND EMPLOYEE BENEFITS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

	BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
SALARIES & OTHER PAYS			
PERMANENT / COUNTY TEMPORARY	\$1,915,071	\$1,742,624	(\$172,447)
AGENCY TEMPORARY	505,400	354,985	(150,415)
LACERA INTERN PROGRAM	0	0	0
STIPENDS	0	0	0
OVERTIME	68,400	32,345	(36,055)
BILINGUAL BONUS	0	0	0
PAY IN LIEU OF SALARY REDUCTION	0	0	0
TRANSPORTATION ALLOWANCE	0	0	0
RIDESHARE ALLOWANCE	7,500	160	(7,340)
SICKLEAVE BUYBACK	12,000	5,745	(6,255)
RESERVE FOR REMUNERATION	0	0	0
TOTAL SALARIES & OTHER PAYS	\$2,508,371	\$2,135,860	(\$372,511)
VARIABLE BENEFITS			
RETIREMENT	466,069	368,660	(97,409)
FICA CONTRIBUTION	31,998	27,061	(4,937)
COUNTY SUBSIDY - INSURANCE	13,740	27,601	13,861
OPTIONS PLAN	394,927	369,539	(25,388)
LIFE INSURANCE	2,032	1,180	(852)
HEALTH INSURANCE TEMPS	0	0	0
FLEXIBLE BENEFIT PLAN	17,470	0	(17,470)
THRIFT PLAN / HORIZONS	79,702	60,831	(18,871)
SAVINGS PLAN	19,467	9,526	(9,941)
PENSION SAVINGS PLAN	0	0	0
MEGAFLEX	34,725	34,863	138
TOTAL VARIABLE BENEFITS	\$1,060,130	\$899,261	(\$160,869)
OPEB CONTRIBUTION	56,428	55,314	(1,114)
OTHER BENEFITS	135,298	131,874	(3,424)
TOTAL EMPLOYEE BENEFITS	\$1,251,856	\$1,086,449	(\$165,408)
TOTAL SALARIES & EMPLOYEE BENEFITS	\$3,760,227	\$3,222,308	(\$537,919)

*All amounts rounded to the nearest dollar.

FISCAL YEAR 2020-2021

FINANCIAL AND ACCOUNTING SERVICES DIVISION

DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

		BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
TRANSPORTATION AND TRAVEL				
9181	TRANSPORTATION	\$2,000	\$0	(\$2,000)
9182	TRAVEL	10,500	0	(10,500)
	TOTAL	12,500	0	(12,500)
OFFICE SUPPLIES AND EQUIPMENT				
9302	SPECIAL ORDERS/MINOR EQUIP	3,500	4,240	740
	TOTAL	3,500	4,240	740
BANK SERVICES				
9753	BANK CHARGES - STATE STREET	195,000	183,052	(11,948)
	TOTAL	195,000	183,052	(11,948)
EDUCATIONAL EXPENSES				
9961	MEMBERSHIPS	6,500	4,931	(1,569)
9962	REGISTRATION FEES	16,600	(246)	(16,846)
9963	EDUCATIONAL MATERIALS	5,000	1,929	(3,071)
	TOTAL	28,100	6,614	(21,486)
MISCELLANEOUS				
9986	MISCELLANEOUS	3,000	1,865	(1,135)
	TOTAL	3,000	1,865	(1,135)
GRAND TOTAL		\$242,100	\$195,771	(\$46,329)

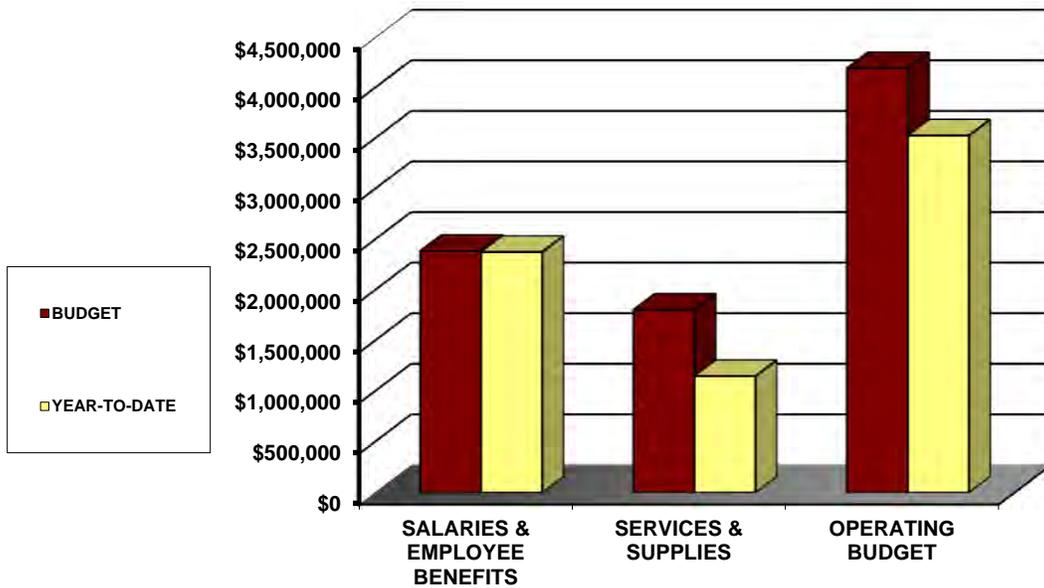
*All amounts rounded to the nearest dollar.

HUMAN RESOURCES

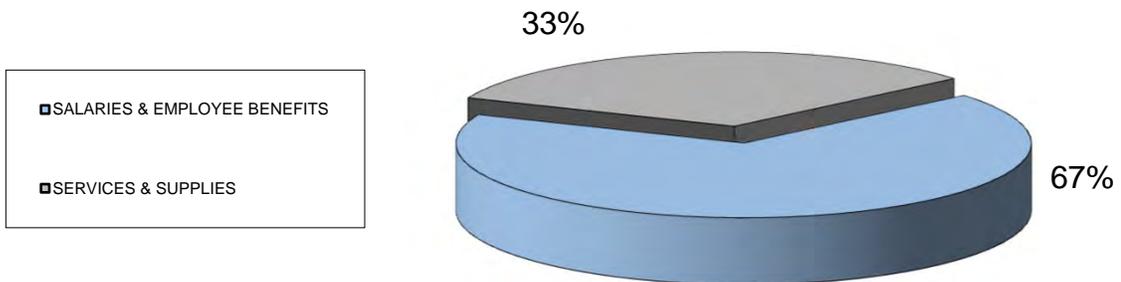
BUDGET CONTROL REPORT - FISCAL YEAR 2020-2021 BASED ON EXPENDITURES AS OF JUNE 30, 2021

<u>CATEGORY</u>	<u>BUDGET</u>	<u>YEAR-TO-DATE</u>	<u>OVER / (UNDER) BUDGET</u>
SALARIES & EMPLOYEE BENEFITS	\$2,388,658	\$2,378,474	(\$10,184)
SERVICES & SUPPLIES	\$1,807,100	\$1,151,479	(\$655,621)
OPERATING BUDGET	\$4,195,758	\$3,529,953	(\$665,805)

Budgeted Positions	13
Filled Positions	13



Total Expenditures by Category



FISCAL YEAR 2020-2021

HUMAN RESOURCES

SUMMARY OF SALARIES AND EMPLOYEE BENEFITS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

	BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
SALARIES & OTHER PAYS			
PERMANENT / COUNTY TEMPORARY	\$1,387,072	\$1,418,201	\$31,129
AGENCY TEMPORARY	47,700	68,633	20,933
LACERA INTERN PROGRAM	72,000	3,750	(68,250)
STIPENDS	0	0	0
OVERTIME	1,500	704	(796)
BILINGUAL BONUS	0	0	0
PAY IN LIEU OF SALARY REDUCTION	0	0	0
TRANSPORTATION ALLOWANCE	0	0	0
RIDESHARE ALLOWANCE	1,700	0	(1,700)
SICKLEAVE BUYBACK	0	0	0
RESERVE FOR REMUNERATION	0	0	0
TOTAL SALARIES & OTHER PAYS	\$1,509,972	\$1,491,289	(\$18,683)
VARIABLE BENEFITS			
RETIREMENT	311,196	296,136	(15,060)
FICA CONTRIBUTION	22,345	20,985	(1,360)
COUNTY SUBSIDY - INSURANCE	91,957	108,605	16,648
OPTIONS PLAN	0	0	0
LIFE INSURANCE	204	0	(204)
HEALTH INSURANCE TEMPS	0	0	0
FLEXIBLE BENEFIT PLAN	0	0	0
THRIFT PLAN / HORIZONS	50,308	39,792	(10,516)
SAVINGS PLAN	70,142	50,911	(19,231)
PENSION SAVINGS PLAN	0	0	0
MEGAFLEX	211,582	243,307	31,725
TOTAL VARIABLE BENEFITS	\$757,732	\$759,738	\$2,006
OPEB CONTRIBUTION	35,598	45,085	9,487
OTHER BENEFITS	85,356	82,363	(2,993)
TOTAL EMPLOYEE BENEFITS	\$878,688	\$887,185	\$8,497
TOTAL SALARIES & EMPLOYEE BENEFITS	\$2,388,658	\$2,378,474	(\$10,184)

*All amounts rounded to the nearest dollar.

FISCAL YEAR 2020-2021

HUMAN RESOURCES

**DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
BASED ON EXPENDITURES AS OF JUNE 30, 2021**

		BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
TRANSPORTATION AND TRAVEL				
9181	TRANSPORTATION	\$2,400	\$0	(\$2,400)
9182	TRAVEL	6,600	0	(6,600)
	TOTAL	<u>9,000</u>	<u>0</u>	<u>(9,000)</u>
OFFICE SUPPLIES AND EQUIPMENT				
9302	SPECIAL ORDERS/MINOR EQUIP	8,000	4,284	(3,716)
	TOTAL	<u>8,000</u>	<u>4,284</u>	<u>(3,716)</u>
PARKING FEES				
9491	GATEWAY PLAZA	375,000	455,982	80,982
9492	MUSIC CENTER	2,000	0	(2,000)
	TOTAL	<u>377,000</u>	<u>455,982</u>	<u>78,982</u>
PROFESSIONAL AND SPECIALIZED SERVICES				
9504	PAYROLL SERVICES	130,000	203,265	73,265
9510	FINGERPRINTING SERVICES	4,000	1,978	(2,022)
9511	SECURITY SERVICES - SHERIFF	16,000	10,384	(5,616)
9512	PAYROLL ENV, DUPLICATE W2'S - AUD	300	300	0
9513	PERSONNEL SRVCS - HUMAN RESOURCES	28,000	39,227	11,227
9547	HUMAN RESOURCES CONSULTING	96,000	6,185	(89,815)
9694	BACKGROUND CHECKS	3,500	2,243	(1,257)
9700	OHS PHYSICALS	1,000	0	(1,000)
9711	REQUEST FOR ACCOMMODATIONS	57,000	9,165	(47,835)
9718	LEAVE CASE MANAGEMENT PROGRAM	47,500	22,413	(25,088)
	TOTAL	<u>383,300</u>	<u>295,159</u>	<u>(88,141)</u>
COMPUTER SERVICES & SUPPORT				
9838	MISC SOFTWARE PACKAGES	42,000	31,150	(10,850)
	TOTAL	<u>42,000</u>	<u>31,150</u>	<u>(10,850)</u>
EDUCATIONAL EXPENSES				
9961	MEMBERSHIPS	12,000	3,685	(8,315)
9962	REGISTRATION FEES	24,300	8,826	(15,474)
9963	EDUCATIONAL MATERIALS	7,000	1,448	(5,552)
9966	DEPARTMENTAL TRAINING	225,000	114,651	(110,349)
9967	TUITION REIMBURSEMENT PROGRAM	75,000	75,000	0
9968	MOU TRAINING ALLOCATION	100,000	22,156	(77,844)
9969	MENTORING PROGRAM	35,000	32,100	(2,900)
9970	FORUM	22,000	0	(22,000)
	TOTAL	<u>500,300</u>	<u>257,867</u>	<u>(242,433)</u>

FISCAL YEAR 2020-2021

HUMAN RESOURCES

DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

		BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
MISCELLANEOUS				
9981	RECRUITMENT	\$455,000	\$103,597	(\$351,403)
9986	MISCELLANEOUS	2,500	0	(2,500)
9989	WEB DAY	5,000	3,439	(1,561)
9991	MANAGEMENT OFFSITE	25,000	0	(25,000)
	TOTAL	487,500	107,037	(380,463)
GRAND TOTAL		\$1,807,100	\$1,151,479	(\$655,621)

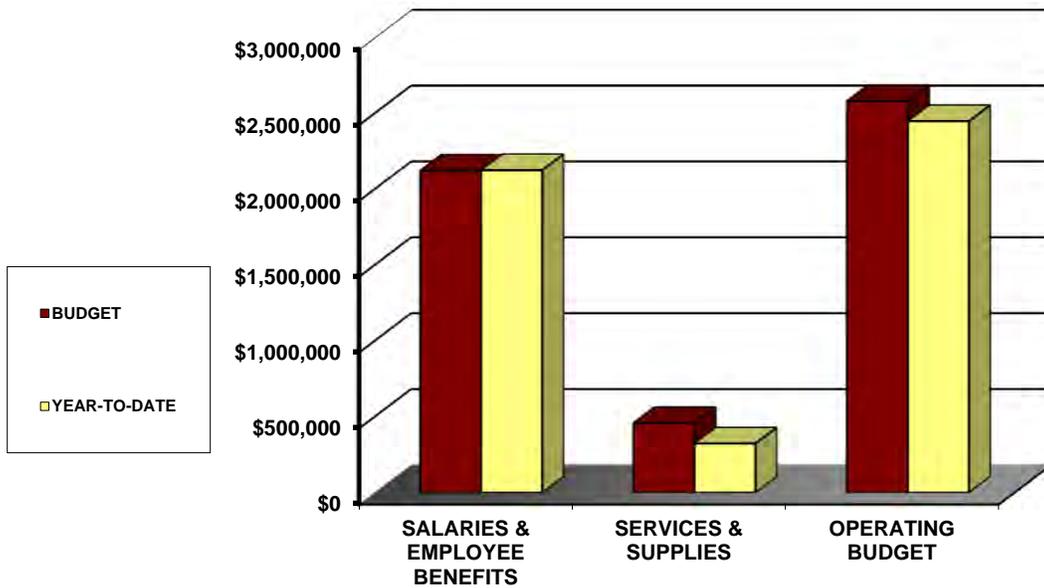
*All amounts rounded to the nearest dollar.

INTERNAL AUDIT SERVICES

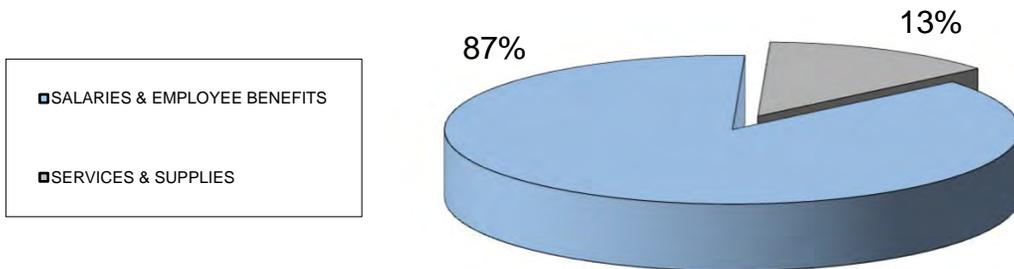
BUDGET CONTROL REPORT - FISCAL YEAR 2020-2021 BASED ON EXPENDITURES AS OF JUNE 30, 2021

<u>CATEGORY</u>	<u>BUDGET</u>	<u>YEAR-TO-DATE</u>	<u>OVER / (UNDER) BUDGET</u>
SALARIES & EMPLOYEE BENEFITS	\$2,121,686	\$2,124,704	\$3,018
SERVICES & SUPPLIES	\$457,900	\$323,258	(\$134,642)
OPERATING BUDGET	\$2,579,586	\$2,447,963	(\$131,623)

Budgeted Positions 11
Filled Positions 10



Total Expenditures by Category



FISCAL YEAR 2020-2021

INTERNAL AUDIT SERVICES

SUMMARY OF SALARIES AND EMPLOYEE BENEFITS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

	BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
SALARIES & OTHER PAYS			
PERMANENT / COUNTY TEMPORARY	\$1,336,307	\$1,335,131	(\$1,176)
AGENCY TEMPORARY	0	0	0
LACERA INTERN PROGRAM	0	0	0
STIPENDS	0	0	0
OVERTIME	4,800	785	(4,015)
BILINGUAL BONUS	0	0	0
PAY IN LIEU OF SALARY REDUCTION	0	0	0
TRANSPORTATION ALLOWANCE	0	0	0
RIDESHARE ALLOWANCE	1,500	0	(1,500)
SICKLEAVE BUYBACK	1,500	0	(1,500)
RESERVE FOR REMUNERATION	0	0	0
TOTAL SALARIES & OTHER PAYS	\$1,344,107	\$1,335,916	(\$8,191)
VARIABLE BENEFITS			
RETIREMENT	272,877	266,495	(6,382)
FICA CONTRIBUTION	20,956	21,693	737
COUNTY SUBSIDY - INSURANCE	85,990	73,964	(12,026)
OPTIONS PLAN	0	0	0
LIFE INSURANCE	0	0	0
HEALTH INSURANCE TEMPS	0	0	0
FLEXIBLE BENEFIT PLAN	0	0	0
THRIFT PLAN / HORIZONS	48,029	44,638	(3,391)
SAVINGS PLAN	50,084	50,684	600
PENSION SAVINGS PLAN	0	0	0
MEGAFLEX	183,116	211,319	28,203
TOTAL VARIABLE BENEFITS	\$661,052	\$668,793	\$7,741
OPEB CONTRIBUTION	34,296	40,647	6,351
OTHER BENEFITS	82,232	79,348	(2,884)
TOTAL EMPLOYEE BENEFITS	\$777,580	\$788,788	\$11,208
TOTAL SALARIES & EMPLOYEE BENEFITS	\$2,121,686	\$2,124,704	\$3,018

*All amounts rounded to the nearest dollar.

FISCAL YEAR 2020-2021

INTERNAL AUDIT SERVICES

**DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
BASED ON EXPENDITURES AS OF JUNE 30, 2021**

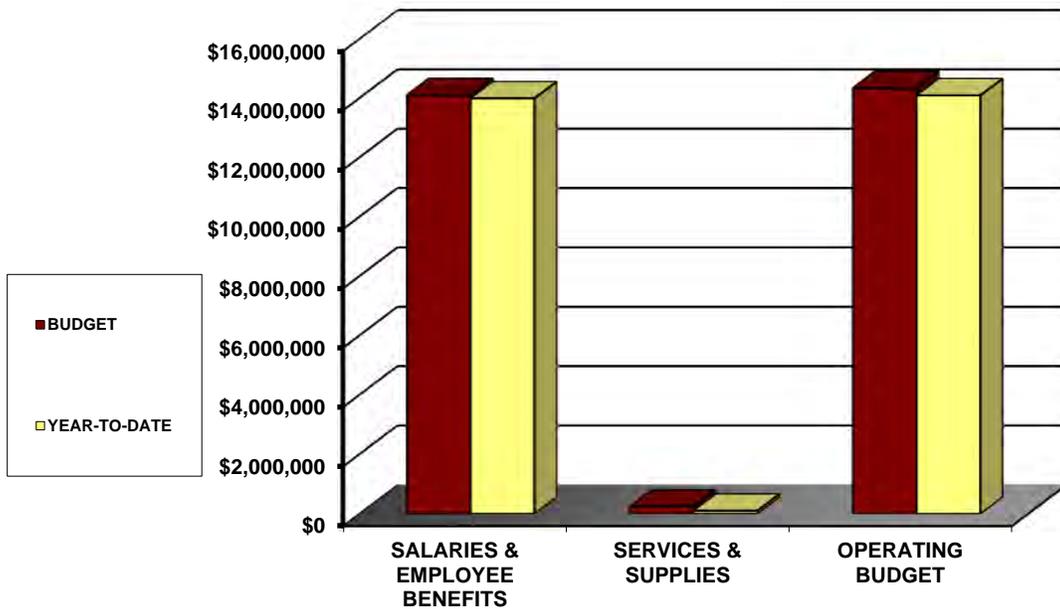
		BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
	TRANSPORTATION AND TRAVEL			
9181	TRANSPORTATION	\$1,200	\$0	(\$1,200)
9182	TRAVEL	7,400	0	(7,400)
	TOTAL	<u>8,600</u>	<u>0</u>	<u>(8,600)</u>
	OFFICE SUPPLIES AND EQUIPMENT			
9302	SPECIAL ORDERS/MINOR EQUIP	1,700	0	(1,700)
	TOTAL	<u>1,700</u>	<u>0</u>	<u>(1,700)</u>
	PROFESSIONAL AND SPECIALIZED SERVICES			
9541	AUDITS	400,000	292,969	(107,031)
9702	AUDIT COMMITTEE CONSULTANT	21,000	16,450	(4,550)
	TOTAL	<u>421,000</u>	<u>309,419</u>	<u>(111,581)</u>
	EDUCATIONAL EXPENSES			
9961	MEMBERSHIPS	7,500	3,485	(4,015)
9962	REGISTRATION FEES	14,300	10,043	(4,257)
9963	EDUCATIONAL MATERIALS	4,000	311	(3,689)
	TOTAL	<u>25,800</u>	<u>13,839</u>	<u>(11,961)</u>
	MISCELLANEOUS			
9986	MISCELLANEOUS	800	0	(800)
	TOTAL	<u>800</u>	<u>0</u>	<u>(800)</u>
	GRAND TOTAL	<u>\$457,900</u>	<u>\$323,258</u>	<u>(\$134,642)</u>

*All amounts rounded to the nearest dollar.

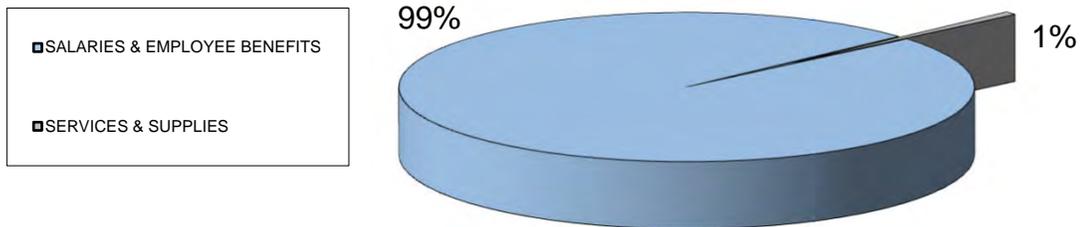
INVESTMENT OFFICE

BUDGET CONTROL REPORT - FISCAL YEAR 2020-2021 BASED ON EXPENDITURES AS OF JUNE 30, 2021

<u>CATEGORY</u>	<u>BUDGET</u>	<u>YEAR-TO-DATE</u>	<u>OVER / (UNDER) BUDGET</u>
SALARIES & EMPLOYEE BENEFITS	\$14,104,163	\$13,995,447	(\$108,716)
SERVICES & SUPPLIES	\$237,300	\$102,028	(\$135,272)
OPERATING BUDGET	\$14,341,463	\$14,097,476	(\$243,987)
Budgeted Positions	44		
Filled Positions	40		



Total Expenditures by Category



FISCAL YEAR 2020-2021

INVESTMENT OFFICE

SUMMARY OF SALARIES AND EMPLOYEE BENEFITS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

	BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
SALARIES & OTHER PAYS			
PERMANENT / COUNTY TEMPORARY	\$9,344,757	\$9,104,431	(\$240,326)
AGENCY TEMPORARY	0	0	0
LACERA INTERN PROGRAM	0	0	0
STIPENDS	0	0	0
OVERTIME	1,000	0	(1,000)
BILINGUAL BONUS	0	0	0
PAY IN LIEU OF SALARY REDUCTION	0	0	0
TRANSPORTATION ALLOWANCE	7,200	7,200	0
RIDESHARE ALLOWANCE	5,000	0	(5,000)
SICKLEAVE BUYBACK	1,200	0	(1,200)
RESERVE FOR REMUNERATION	0	0	0
TOTAL SALARIES & OTHER PAYS	\$9,359,157	\$9,111,631	(\$247,526)
VARIABLE BENEFITS			
RETIREMENT	1,309,842	1,415,652	105,810
FICA CONTRIBUTION	158,864	148,995	(9,869)
COUNTY SUBSIDY - INSURANCE	561,348	482,059	(79,289)
OPTIONS PLAN	0	0	0
LIFE INSURANCE	0	0	0
HEALTH INSURANCE TEMPS	0	0	0
FLEXIBLE BENEFIT PLAN	0	0	0
THRIFT PLAN / HORIZONS	265,009	268,421	3,412
SAVINGS PLAN	326,323	318,453	(7,870)
PENSION SAVINGS PLAN	0	0	0
MEGAFLEX	1,308,748	1,499,719	190,971
TOTAL VARIABLE BENEFITS	\$3,930,135	\$4,133,299	\$203,164
OPEB CONTRIBUTION	239,828	195,638	(44,190)
OTHER BENEFITS	575,043	554,879	(20,164)
TOTAL EMPLOYEE BENEFITS	\$4,745,005	\$4,883,816	\$138,811
TOTAL SALARIES & EMPLOYEE BENEFITS	\$14,104,163	\$13,995,447	(\$108,716)

*All amounts rounded to the nearest dollar.

FISCAL YEAR 2020-2021

INVESTMENT OFFICE

DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

		BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
TRANSPORTATION AND TRAVEL				
9181	TRANSPORTATION	\$15,000	\$0	(\$15,000)
9182	TRAVEL	105,000	140	(104,860)
	TOTAL	120,000	140	(119,860)
OFFICE SUPPLIES AND EQUIPMENT				
9302	SPECIAL ORDERS/MINOR EQUIP	5,000	1,087	(3,913)
	TOTAL	5,000	1,087	(3,913)
EDUCATIONAL EXPENSES				
9961	MEMBERSHIPS	54,800	73,648	18,848
9962	REGISTRATION FEES	30,000	11,933	(18,067)
9963	EDUCATIONAL MATERIALS	20,000	14,504	(5,496)
	TOTAL	104,800	100,085	(4,715)
MISCELLANEOUS				
9986	MISCELLANEOUS	7,500	717	(6,783)
	TOTAL	7,500	717	(6,783)
GRAND TOTAL		\$237,300	\$102,028	(\$135,272)

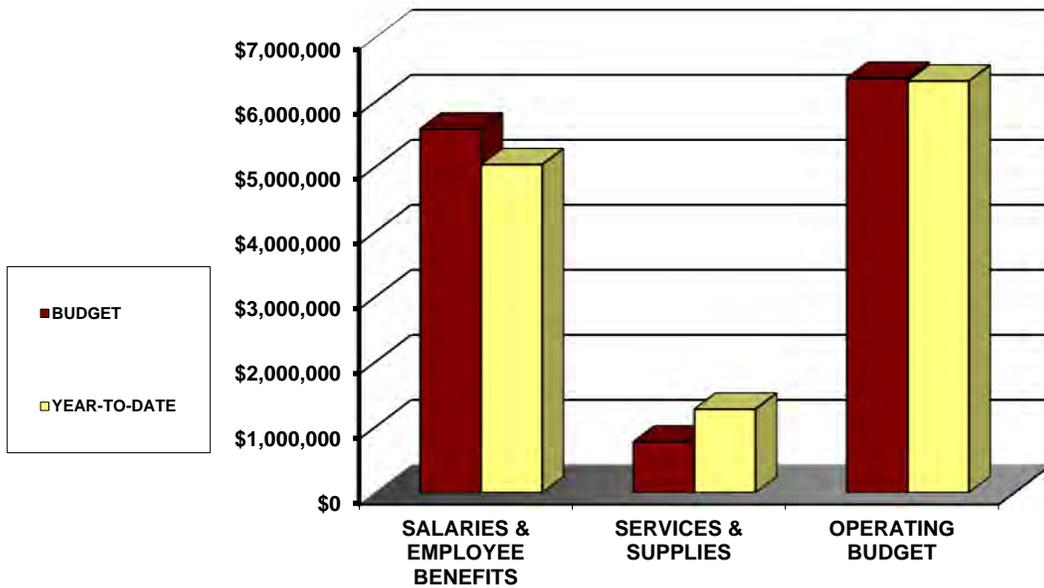
*All amounts rounded to the nearest dollar.

LEGAL SERVICES

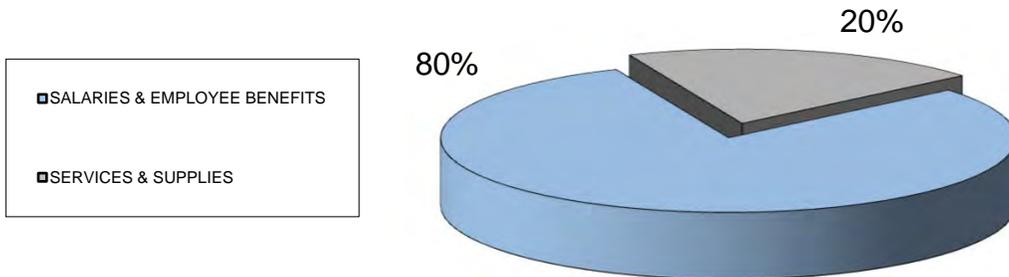
BUDGET CONTROL REPORT - FISCAL YEAR 2020-2021 BASED ON EXPENDITURES AS OF JUNE 30, 2021

<u>CATEGORY</u>	<u>BUDGET</u>	<u>YEAR-TO-DATE</u>	<u>OVER / (UNDER) BUDGET</u>
SALARIES & EMPLOYEE BENEFITS	\$5,592,106	\$5,044,775	(\$547,331)
SERVICES & SUPPLIES	\$780,100	\$1,284,048	\$503,948
OPERATING BUDGET	\$6,372,206	\$6,328,824	(\$43,382)

Budgeted Positions 26
Filled Positions 20



Total Expenditures by Category



FISCAL YEAR 2020-2021

LEGAL SERVICES

SUMMARY OF SALARIES AND EMPLOYEE BENEFITS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

	BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
SALARIES & OTHER PAYS			
PERMANENT / COUNTY TEMPORARY	\$3,419,765	\$3,024,070	(\$395,695)
AGENCY TEMPORARY	53,500	57,562	4,062
LACERA INTERN PROGRAM	0	0	0
STIPENDS	0	0	0
OVERTIME	12,500	6,290	(6,210)
BILINGUAL BONUS	2,400	2,000	(400)
PAY IN LIEU OF SALARY REDUCTION	0	0	0
TRANSPORTATION ALLOWANCE	0	0	0
RIDESHARE ALLOWANCE	2,500	0	(2,500)
SICKLEAVE BUYBACK	0	0	0
RESERVE FOR REMUNERATION	0	0	0
TOTAL SALARIES & OTHER PAYS	\$3,490,665	\$3,089,922	(\$400,743)
VARIABLE BENEFITS			
RETIREMENT	618,791	622,867	4,076
FICA CONTRIBUTION	54,780	49,773	(5,007)
COUNTY SUBSIDY - INSURANCE	372,491	304,081	(68,410)
OPTIONS PLAN	0	0	0
LIFE INSURANCE	34	0	(34)
HEALTH INSURANCE TEMPS	0	0	0
FLEXIBLE BENEFIT PLAN	0	0	0
THRIFT PLAN / HORIZONS	98,532	83,153	(15,379)
SAVINGS PLAN	118,341	94,506	(23,835)
PENSION SAVINGS PLAN	0	0	0
MEGAFLEX	530,896	499,694	(31,202)
TOTAL VARIABLE BENEFITS	\$1,793,865	\$1,654,074	(\$139,791)
OPEB CONTRIBUTION	90,524	91,338	814
OTHER BENEFITS	217,052	209,441	(7,611)
TOTAL EMPLOYEE BENEFITS	\$2,101,441	\$1,954,854	(\$146,587)
TOTAL SALARIES & EMPLOYEE BENEFITS	\$5,592,106	\$5,044,775	(\$547,331)

*All amounts rounded to the nearest dollar.

FISCAL YEAR 2020-2021

LEGAL SERVICES

**DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
BASED ON EXPENDITURES AS OF JUNE 30, 2021**

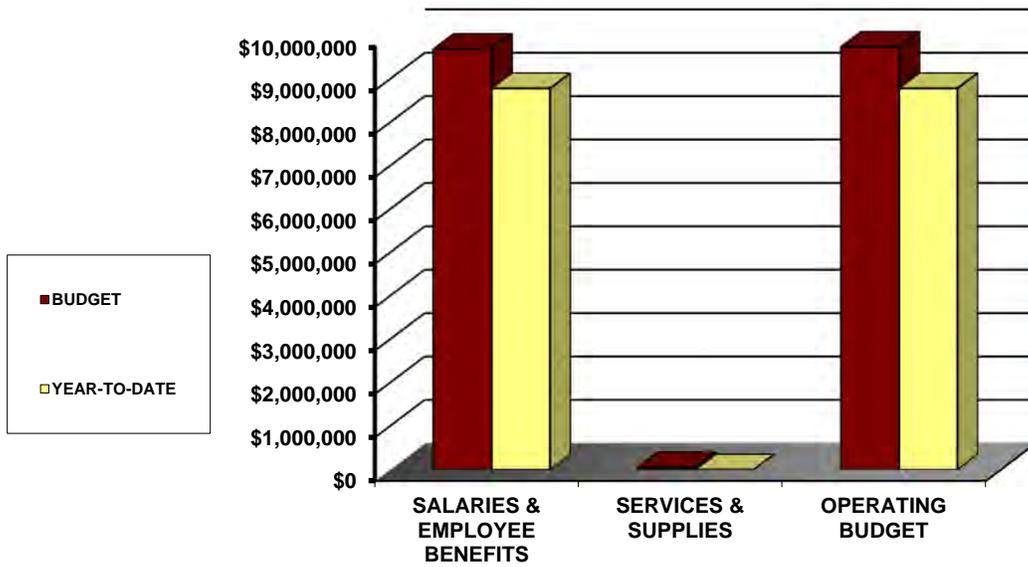
		BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
AUTO EXPENSES				
9102	AUTO MAINTENANCE/REPAIR	\$1,500	\$1,940	\$440
9103	GAS	1,500	276	(1,224)
9105	LICENSE FEES	400	320	(80)
	TOTAL	<u>3,400</u>	<u>2,536</u>	<u>(864)</u>
TRANSPORTATION AND TRAVEL				
9181	TRANSPORTATION	2,500	0	(2,500)
9182	TRAVEL	7,500	0	(7,500)
	TOTAL	<u>10,000</u>	<u>0</u>	<u>(10,000)</u>
OFFICE SUPPLIES AND EQUIPMENT				
9302	SPECIAL ORDERS/MINOR EQUIP	6,000	1,581	(4,419)
	TOTAL	<u>6,000</u>	<u>1,581</u>	<u>(4,419)</u>
PROFESSIONAL AND SPECIALIZED SERVICES				
9541	AUDITS	21,400	21,380	(20)
9543	LEGISLATIVE CONSULTING	252,000	255,680	3,680
9673	PHOTOCOPIES OF DOCUMENTS	300	46	(254)
	TOTAL	<u>273,700</u>	<u>277,106</u>	<u>3,406</u>
LEGAL FEES AND SERVICES				
9771	ATTORNEY FEES AWARDS	40,000	0	(40,000)
9772	OUTSIDE LEGAL COUNSEL	350,000	912,552	562,552
9777	LITIGATION SUPPORT	5,000	146	(4,854)
	TOTAL	<u>395,000</u>	<u>912,698</u>	<u>517,698</u>
EDUCATIONAL EXPENSES				
9961	MEMBERSHIPS	12,000	10,612	(1,388)
9962	REGISTRATION FEES	7,500	6,239	(1,261)
9963	EDUCATIONAL MATERIALS	70,500	73,276	2,776
	TOTAL	<u>90,000</u>	<u>90,127</u>	<u>127</u>
MISCELLANEOUS				
9986	MISCELLANEOUS	2,000	0	(2,000)
	TOTAL	<u>2,000</u>	<u>0</u>	<u>(2,000)</u>
	GRAND TOTAL	<u>\$780,100</u>	<u>\$1,284,048</u>	<u>\$503,948</u>

*All amounts rounded to the nearest dollar.

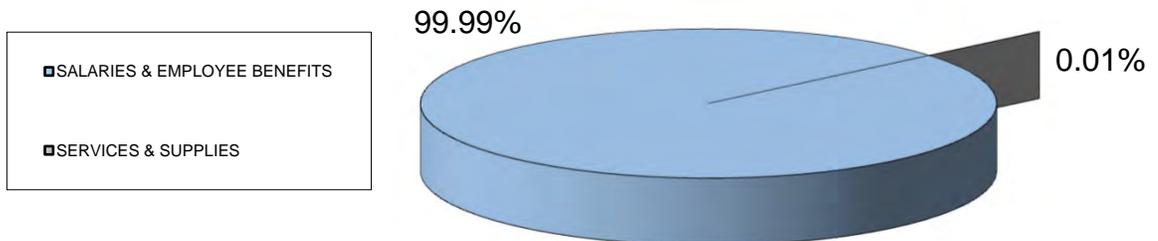
MEMBER SERVICES

BUDGET CONTROL REPORT - FISCAL YEAR 2020-2021 BASED ON EXPENDITURES AS OF JUNE 30, 2021

<u>CATEGORY</u>	<u>BUDGET</u>	<u>YEAR-TO-DATE</u>	<u>OVER / (UNDER) BUDGET</u>
SALARIES & EMPLOYEE BENEFITS	\$9,691,407	\$8,787,311	(\$904,096)
SERVICES & SUPPLIES	\$51,000	\$1,194	(\$49,806)
OPERATING BUDGET	\$9,742,407	\$8,788,505	(\$953,902)
Budgeted Positions	79		
Filled Positions	69		



Total Expenditures by Category



FISCAL YEAR 2020-2021

MEMBER SERVICES

SUMMARY OF SALARIES AND EMPLOYEE BENEFITS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

	BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
SALARIES & OTHER PAYS			
PERMANENT / COUNTY TEMPORARY	\$6,006,252	\$5,302,482	(\$703,770)
AGENCY TEMPORARY	0	0	0
LACERA INTERN PROGRAM	0	0	0
STIPENDS	0	0	0
OVERTIME	130,500	156,701	26,201
BILINGUAL BONUS	16,800	13,200	(3,600)
PAY IN LIEU OF SALARY REDUCTION	0	0	0
TRANSPORTATION ALLOWANCE	0	0	0
RIDESHARE ALLOWANCE	10,000	80	(9,920)
SICKLEAVE BUYBACK	10,000	13,850	3,850
RESERVE FOR REMUNERATION	0	0	0
TOTAL SALARIES & OTHER PAYS	\$6,173,552	\$5,486,313	(\$687,239)
VARIABLE BENEFITS			
RETIREMENT	1,028,836	1,109,064	80,228
FICA CONTRIBUTION	91,795	84,627	(7,168)
COUNTY SUBSIDY - INSURANCE	111,231	78,346	(32,885)
OPTIONS PLAN	1,124,907	1,157,999	33,092
LIFE INSURANCE	4,760	4,816	56
HEALTH INSURANCE TEMPS	270,984	31,736	(239,248)
FLEXIBLE BENEFIT PLAN	0	0	0
THRIFT PLAN / HORIZONS	173,067	180,063	6,996
SAVINGS PLAN	29,491	20,646	(8,845)
PENSION SAVINGS PLAN	34,922	3,536	(31,386)
MEGAFLEX	124,111	101,196	(22,915)
TOTAL VARIABLE BENEFITS	\$2,994,104	\$2,772,030	(\$222,074)
OPEB CONTRIBUTION	154,147	168,364	14,217
OTHER BENEFITS	369,603	360,603	(9,000)
TOTAL EMPLOYEE BENEFITS	\$3,517,854	\$3,300,997	(\$216,857)
TOTAL SALARIES & EMPLOYEE BENEFITS	\$9,691,407	\$8,787,311	(\$904,096)

*All amounts rounded to the nearest dollar.

FISCAL YEAR 2020-2021

MEMBER SERVICES

DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

		BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
TRANSPORTATION AND TRAVEL				
9181	TRANSPORTATION	\$2,000	\$119	(\$1,881)
9182	TRAVEL	3,000	0	(3,000)
	TOTAL	5,000	119	(4,881)
OFFICE SUPPLIES AND EQUIPMENT				
9302	SPECIAL ORDERS/MINOR EQUIP	15,000	785	(14,215)
	TOTAL	15,000	785	(14,215)
EDUCATIONAL EXPENSES				
9961	MEMBERSHIPS	1,200	0	(1,200)
9962	REGISTRATION FEES	20,000	290	(19,710)
9963	EDUCATIONAL MATERIALS	300	0	(300)
	TOTAL	21,500	290	(21,210)
MISCELLANEOUS				
9986	MISCELLANEOUS	7,000	0	(7,000)
9992	FACILITIES RENTAL	2,500	0	(2,500)
	TOTAL	9,500	0	(9,500)
GRAND TOTAL		\$51,000	\$1,194	(\$49,806)

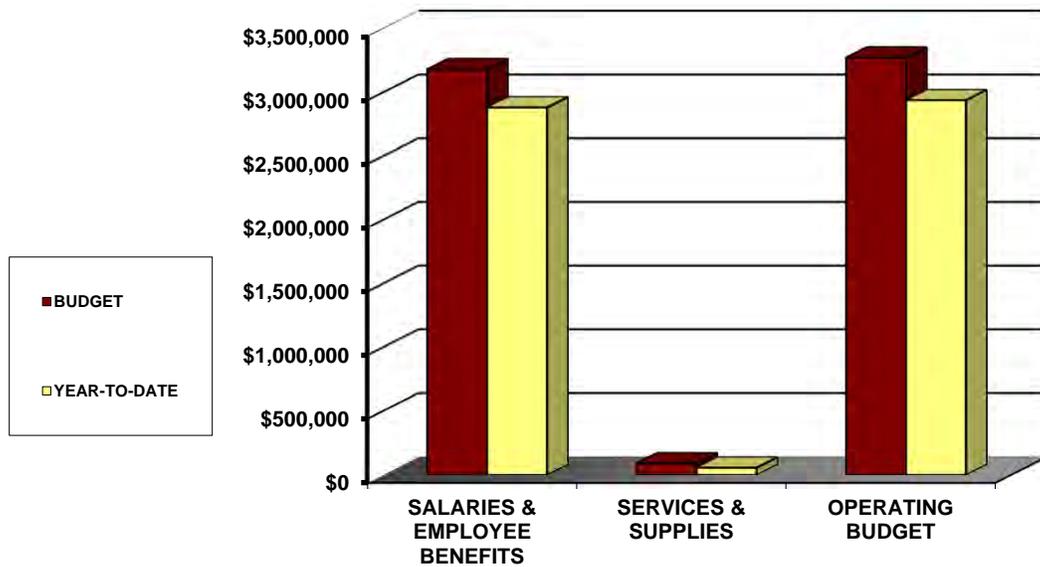
*All amounts rounded to the nearest dollar.

QUALITY ASSURANCE

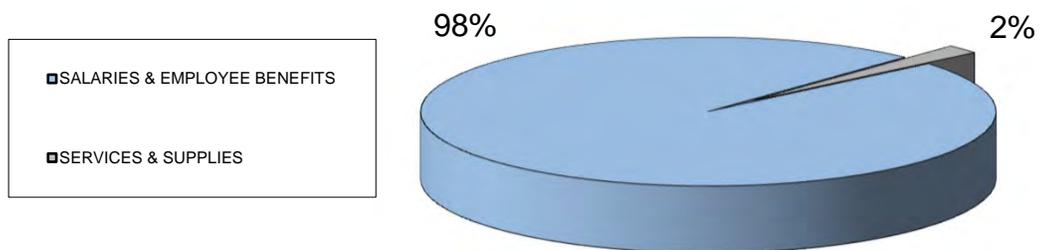
BUDGET CONTROL REPORT - FISCAL YEAR 2020-2021 BASED ON EXPENDITURES AS OF JUNE 30, 2021

<u>CATEGORY</u>	<u>BUDGET</u>	<u>YEAR-TO-DATE</u>	<u>OVER / (UNDER) BUDGET</u>
SALARIES & EMPLOYEE BENEFITS	\$3,183,593	\$2,883,983	(\$299,610)
SERVICES & SUPPLIES	\$91,500	\$56,599	(\$34,901)
OPERATING BUDGET	\$3,275,093	\$2,940,582	(\$334,511)

Budgeted Positions 19
Filled Positions 14



Total Expenditures by Category



FISCAL YEAR 2020-2021

QUALITY ASSURANCE

SUMMARY OF SALARIES AND EMPLOYEE BENEFITS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

	BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
SALARIES & OTHER PAYS			
PERMANENT / COUNTY TEMPORARY	\$1,930,095	\$1,775,264	(\$154,831)
AGENCY TEMPORARY	0	0	0
LACERA INTERN PROGRAM	0	0	0
STIPENDS	0	0	0
OVERTIME	0	2,425	2,425
BILINGUAL BONUS	0	0	0
PAY IN LIEU OF SALARY REDUCTION	0	0	0
TRANSPORTATION ALLOWANCE	0	0	0
RIDESHARE ALLOWANCE	2,200	0	(2,200)
SICKLEAVE BUYBACK	0	0	0
RESERVE FOR REMUNERATION	0	0	0
TOTAL SALARIES & OTHER PAYS	\$1,932,295	\$1,777,689	(\$154,606)
VARIABLE BENEFITS			
RETIREMENT	430,202	378,373	(51,829)
FICA CONTRIBUTION	31,785	28,546	(3,239)
COUNTY SUBSIDY - INSURANCE	139,114	108,223	(30,891)
OPTIONS PLAN	14,787	6,979	(7,808)
LIFE INSURANCE	22	117	95
HEALTH INSURANCE TEMPS	0	0	0
FLEXIBLE BENEFIT PLAN	0	0	0
THRIFT PLAN / HORIZONS	58,495	53,970	(4,525)
SAVINGS PLAN	67,236	57,694	(9,542)
PENSION SAVINGS PLAN	0	0	0
MEGAFLEX	335,818	295,868	(39,950)
TOTAL VARIABLE BENEFITS	\$1,077,459	\$929,771	(\$147,688)
OPEB CONTRIBUTION	51,163	58,151	6,988
OTHER BENEFITS	122,675	118,374	(4,301)
TOTAL EMPLOYEE BENEFITS	\$1,251,297	\$1,106,295	(\$145,002)
TOTAL SALARIES & EMPLOYEE BENEFITS	\$3,183,593	\$2,883,983	(\$299,610)

*All amounts rounded to the nearest dollar.

FISCAL YEAR 2020-2021

QUALITY ASSURANCE

DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

		BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
TRANSPORTATION AND TRAVEL				
9181	TRANSPORTATION	\$1,900	\$0	(\$1,900)
9182	TRAVEL	7,100	716	(6,384)
	TOTAL	9,000	716	(8,284)
OFFICE SUPPLIES AND EQUIPMENT				
9302	SPECIAL ORDERS/MINOR EQUIP	3,000	524	(2,476)
	TOTAL	3,000	524	(2,476)
PROFESSIONAL AND SPECIALIZED SERVICES				
9715	COST EFFECTIVE MANAGEMENT (CEM)	50,000	50,000	0
	TOTAL	50,000	50,000	0
EDUCATIONAL EXPENSES				
9961	MEMBERSHIPS	7,600	5,285	(2,315)
9962	REGISTRATION FEES	20,500	34	(20,466)
9963	EDUCATIONAL MATERIALS	700	40	(660)
	TOTAL	28,800	5,359	(23,441)
MISCELLANEOUS				
9986	MISCELLANEOUS	700	0	(700)
	TOTAL	700	0	(700)
GRAND TOTAL		\$91,500	\$56,599	(\$34,901)

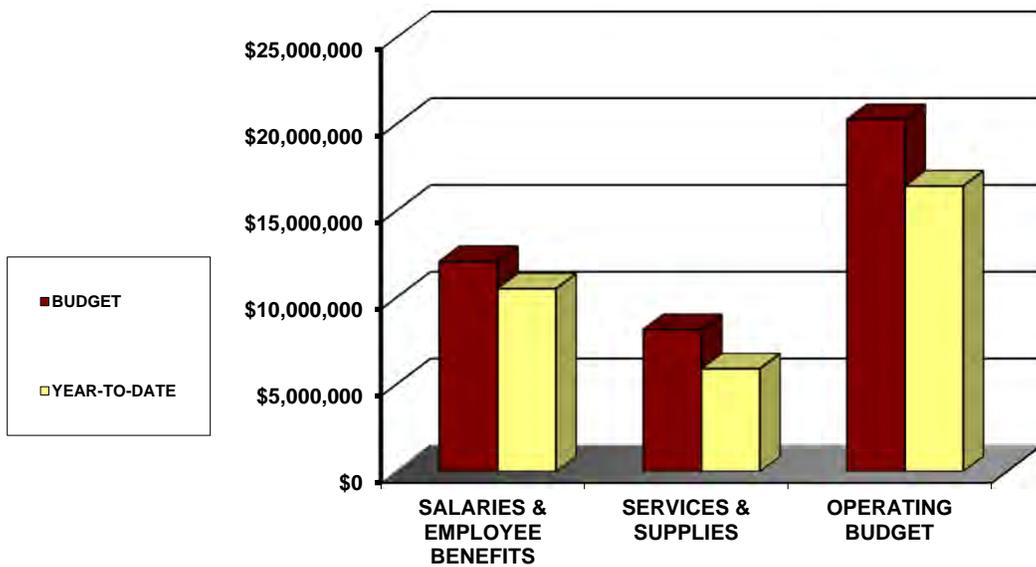
*All amounts rounded to the nearest dollar.

SYSTEMS DIVISION

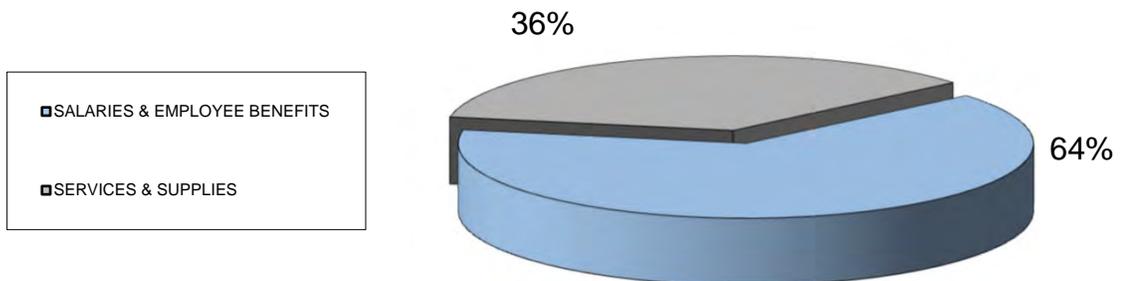
BUDGET CONTROL REPORT - FISCAL YEAR 2020-2021 BASED ON EXPENDITURES AS OF JUNE 30, 2021

<u>CATEGORY</u>	<u>BUDGET</u>	<u>YEAR-TO-DATE</u>	<u>OVER / (UNDER) BUDGET</u>
SALARIES & EMPLOYEE BENEFITS	\$12,109,828	\$10,537,880	(\$1,571,948)
SERVICES & SUPPLIES	\$8,182,800	\$5,923,668	(\$2,259,132)
OPERATING BUDGET	\$20,292,628	\$16,461,548	(\$3,831,080)

Budgeted Positions 60
Filled Positions 36



Total Expenditures by Category



FISCAL YEAR 2020-2021

SYSTEMS DIVISION

SUMMARY OF SALARIES AND EMPLOYEE BENEFITS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

	BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
SALARIES & OTHER PAYS			
PERMANENT / COUNTY TEMPORARY	\$5,740,488	\$4,631,784	(\$1,108,704)
AGENCY TEMPORARY	2,650,000	2,843,400	193,400
LACERA INTERN PROGRAM	0	0	0
STIPENDS	0	0	0
OVERTIME	130,100	140,300	10,200
BILINGUAL BONUS	0	0	0
PAY IN LIEU OF SALARY REDUCTION	0	0	0
TRANSPORTATION ALLOWANCE	0	0	0
RIDESHARE ALLOWANCE	8,900	400	(8,500)
SICKLEAVE BUYBACK	12,000	11,670	(330)
RESERVE FOR REMUNERATION	0	0	0
TOTAL SALARIES & OTHER PAYS	\$8,541,488	\$7,627,555	(\$913,933)
VARIABLE BENEFITS			
RETIREMENT	1,136,961	939,173	(197,788)
FICA CONTRIBUTION	101,774	78,567	(23,207)
COUNTY SUBSIDY - INSURANCE	351,186	243,344	(107,842)
OPTIONS PLAN	321,941	285,298	(36,643)
LIFE INSURANCE	1,073	1,495	422
HEALTH INSURANCE TEMPS	0	0	0
FLEXIBLE BENEFIT PLAN	0	0	0
THRIFT PLAN / HORIZONS	205,847	157,087	(48,760)
SAVINGS PLAN	183,602	122,577	(61,025)
PENSION SAVINGS PLAN	0	4,284	4,284
MEGAFLEX	703,143	551,778	(151,365)
TOTAL VARIABLE BENEFITS	\$3,005,527	2,383,602	(621,925)
OPEB CONTRIBUTION	165,644	142,489	(23,155)
OTHER BENEFITS	397,170	384,233	(12,937)
TOTAL EMPLOYEE BENEFITS	\$3,568,341	\$2,910,324	(\$658,017)
TOTAL SALARIES & EMPLOYEE BENEFITS	\$12,109,828	\$10,537,880	(\$1,571,948)

*All amounts rounded to the nearest dollar.

FISCAL YEAR 2020-2021

SYSTEMS DIVISION

**DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
BASED ON EXPENDITURES AS OF JUNE 30, 2021**

		BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
COMMUNICATIONS				
9121	MOBILE DEVICES SERVICE & EQUIPMENT	\$150,000	\$54,342	(\$95,658)
9124	ENTERPRISE INTERNET CONNECTION	165,000	132,440	(32,560)
9125	TELEPHONE CONNECTION	230,000	319,768	89,768
9130	REMOTE SUPPORT	30,000	12,962	(17,038)
9133	TELEPHONE SYSTEM SUPPLIES & MODIFICATIONS	15,000	0	(15,000)
9135	TELEPHONE SYSTEM MAINTENANCE	150,000	171,404	21,404
	TOTAL	<u>740,000</u>	<u>690,917</u>	<u>(49,083)</u>
TRANSPORTATION AND TRAVEL				
9181	TRANSPORTATION	1,400	1,387	(13)
9182	TRAVEL	8,700	1,205	(7,495)
	TOTAL	<u>10,100</u>	<u>2,592</u>	<u>(7,508)</u>
POSTAGE				
9208	MONTHLY RETIREE CHECK MAILING	390,000	285,150	(104,850)
	TOTAL	<u>390,000</u>	<u>285,150</u>	<u>(104,850)</u>
OFFICE SUPPLIES AND EQUIPMENT				
9302	SPECIAL ORDERS/MINOR EQUIP	15,000	9,926	(5,074)
9332	COMPUTER MONITORS	20,000	8,488	(11,512)
9336	COMPUTER PRINTER	10,000	7,305	(2,695)
9344	COMPUTER ACCESSORIES	10,000	6,378	(3,622)
9345	COMPUTER PERIPHERALS	10,000	6,671	(3,329)
9347	STORAGE MEDIA	15,000	25,245	10,245
9348	BOARD MEMBER TECH SUPPORT	50,000	19,802	(30,198)
9353	DIVISIONAL IT SUPPLIES/EQUIPMENT	89,800	71,579	(18,221)
9354	REMOTE WORKFORCE EQUIPMENT	327,000	608,312	281,312
	TOTAL	<u>546,800</u>	<u>763,706</u>	<u>216,906</u>
EQUIPMENT MAINTENANCE				
9406	MAINFRAME LICENSE & MAINTENANCE	185,000	94,526	(90,474)
9411	AUDIOVISUAL MAINTENANCE	43,000	25,177	(17,823)
9412	KEY CARD SECURITY SYSTEM (DAS)	50,000	23,884	(26,116)
9414	LAN HARDWARE MAINTENANCE	184,700	0	(184,700)
9419	ON-SITE PRINTER MAINTENANCE	50,000	35,866	(14,134)
9424	EQUIP MAINT - UPS - SERVER ROOM	14,500	7,922	(6,578)
9436	EQUIP MAINT - AIR CONDITIONING	60,000	40,472	(19,528)
9438	AUDIOVISUAL EQUIPMENT REPLACEMENTS	25,000	341	(24,659)
9439	SURVEILLANCE SYSTEM	5,000	0	(5,000)
9442	FIRE SUPPRESSION SYSTEM	5,000	0	(5,000)
9443	GENERATOR SYSTEM	10,000	8,908	(1,092)
	TOTAL	<u>632,200</u>	<u>237,096</u>	<u>(395,104)</u>

FISCAL YEAR 2020-2021

SYSTEMS DIVISION

DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
BASED ON EXPENDITURES AS OF JUNE 30, 2021

	BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
PROFESSIONAL AND SPECIALIZED SERVICES			
9502 EDP CHARGES - ISD	\$9,500	\$48,372	\$38,872
9509 AUDITOR CONTROLLER - PAYROLL SERVICES	86,100	43,000	(43,100)
9550 ADVANCED WORKFLOW CONCEPTS	40,000	45,600	5,600
9574 KNOWLEDGE & DOC MGMT PROJECT	500,000	94,200	(405,800)
9680 IRON MOUNTAIN MEDIA STORAGE	50,000	56,634	6,634
9681 RETIREE PAYROLL PRINTING	244,000	235,378	(8,622)
9692 HOT SITE SERVICES	140,000	90,921	(49,079)
9714 SECURITY ASSESSMENT & MONITORING	235,000	0	(235,000)
9717 CLOUD MIGRATION	670,000	85,950	(584,050)
TOTAL	1,974,600	700,054	(1,274,546)
COMPUTER SERVICES & SUPPORT			
9831 LAN SOFTWARE & LIC - NEW	470,000	1,035	(468,965)
9832 LAN SOFTWARE & LIC - EXISTING	1,591,600	1,922,698	331,098
9833 MAINFRAME SOFTWARE & LIC - EXISTING	815,000	607,578	(207,423)
9843 LAN NETWORK HARDWARE - NEW	675,000	392,671	(282,329)
9879 CO-LOCATION	200,000	165,315	(34,685)
9882 BOARDROOM OPERATION MGMT SYSTEMS I	100,000	99,428	(572)
9930 TELEPHONE SYSTEM UPDATES	0	26,333	26,333
TOTAL	3,851,600	3,215,057	(636,543)
EDUCATIONAL EXPENSES			
9961 MEMBERSHIPS	1,500	940	(560)
9962 REGISTRATION FEES	30,000	17,647	(12,353)
9963 EDUCATIONAL MATERIALS	5,000	10,509	5,509
TOTAL	36,500	29,096	(7,404)
MISCELLANEOUS			
9986 MISCELLANEOUS	1,000	0	(1,000)
TOTAL	1,000	0	(1,000)
GRAND TOTAL	\$8,182,800	\$5,923,668	(\$2,259,132)

*All amounts rounded to the nearest dollar.

APPENDIX B

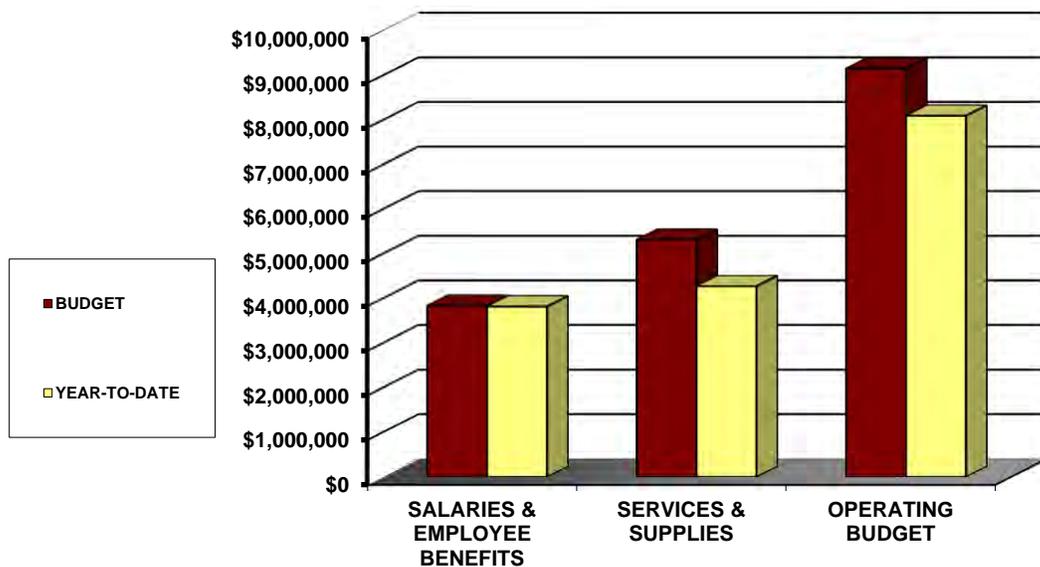
**FISCAL YEAR 2020-2021
RETIREE HEALTHCARE BENEFITS PROGRAM
BUDGET CONTROL REPORT
BASED ON EXPENDITURES AS OF
JUNE 30, 2021**

RETIREE HEALTHCARE BENEFITS PROGRAM

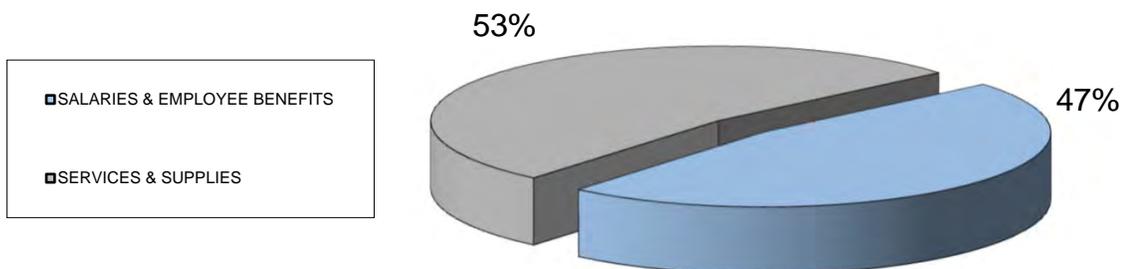
BUDGET CONTROL REPORT - FISCAL YEAR 2020-2021 BASED ON EXPENDITURES AS OF JUNE 30, 2021

<u>CATEGORY</u>	<u>BUDGET</u>	<u>YEAR-TO-DATE</u>	<u>OVER / (UNDER) BUDGET</u>
SALARIES & EMPLOYEE BENEFITS	\$3,838,039	\$3,822,171	(\$15,868)
SERVICES & SUPPLIES	\$5,315,628	\$4,276,931	(\$1,038,697)
OPERATING BUDGET	\$9,153,667	\$8,099,102	(\$1,054,565)

Budgeted Positions 31
Filled Positions 24



Total Expenditures by Category



FISCAL YEAR 2020-2021

RETIREE HEALTHCARE BENEFITS PROGRAM

SUMMARY OF SALARIES AND EMPLOYEE BENEFITS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

	BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
SALARIES & OTHER PAYS			
PERMANENT / COUNTY TEMPORARY	\$2,237,740	\$2,241,322	\$3,582
AGENCY TEMPORARY	308,000	290,409	(17,591)
LACERA INTERN PROGRAM	0	0	0
STIPENDS	0	0	0
OVERTIME	115,600	118,314	2,714
BILINGUAL BONUS	3,600	2,400	(1,200)
PAY IN LIEU OF SALARY REDUCTION	0	0	0
TRANSPORTATION ALLOWANCE	0	0	0
RIDESHARE ALLOWANCE	3,600	0	(3,600)
SICKLEAVE BUYBACK	10,000	7,559	(2,441)
RESERVE FOR REMUNERATION	0	0	0
TOTAL SALARIES & OTHER PAYS	\$2,678,540	\$2,660,004	(\$18,536)
VARIABLE BENEFITS			
RETIREMENT	443,378	445,213	1,835
FICA CONTRIBUTION	31,061	30,596	(465)
COUNTY SUBSIDY - INSURANCE	36,442	37,227	785
OPTIONS PLAN	353,942	387,133	33,191
LIFE INSURANCE	1,066	1,242	176
HEALTH INSURANCE TEMPS	0	0	0
FLEXIBLE BENEFIT PLAN	0	0	0
THRIFT PLAN / HORIZONS	73,020	68,390	(4,630)
SAVINGS PLAN	35,088	25,042	(10,046)
PENSION SAVINGS PLAN	203	0	(203)
MEGAFLEX	119,218	112,562	(6,656)
TOTAL VARIABLE BENEFITS	\$1,093,418	\$1,107,404	\$13,986
OPEB CONTRIBUTION	66,081	54,763	(11,318)
OTHER BENEFITS	0	0	0
TOTAL EMPLOYEE BENEFITS	\$1,159,499	\$1,162,167	\$2,668
TOTAL SALARIES & EMPLOYEE BENEFITS	\$3,838,039	\$3,822,171	(\$15,868)

*All amounts rounded to the nearest dollar.

FISCAL YEAR 2020-2021

RETIREE HEALTH CARE BENEFITS PROGRAM

DETAIL OF SERVICES AND SUPPLIES ACCOUNTS
 BASED ON EXPENDITURES AS OF JUNE 30, 2021

		BUDGET	YTD ACTUAL	OVER/(UNDER) BUDGET
TRANSPORTATION AND TRAVEL				
9181	TRANSPORTATION	\$2,800	\$0	(\$2,800)
9182	TRAVEL	22,200	0	(22,200)
	TOTAL	25,000	0	(25,000)
POSTAGE				
9212	SPECIAL RETIREE MAILINGS	400,000	299,949	(100,051)
	TOTAL	400,000	299,949	(100,051)
OFFICE SUPPLIES AND EQUIPMENT				
9302	SPECIAL ORDERS/MINOR EQUIP	4,000	432	(3,568)
	TOTAL	4,000	432	(3,568)
OPERATIONAL COSTS				
9482	RENT	119,400	107,852	(11,548)
9483	DEPARTMENTAL OVERHEAD	3,149,928	2,409,969	(739,959)
	TOTAL	3,269,328	2,517,821	(751,507)
PROFESSIONAL AND SPECIALIZED SERVICES				
9541	AUDITS	435,000	236,971	(198,029)
9545	HEALTH CARE CONSULTING	750,000	741,600	(8,400)
9572	PENSION BENEFIT INFORMATION	1,500	0	(1,500)
9573	OPEB VALUATION	375,000	455,598	80,598
	TOTAL	1,561,500	1,434,169	(127,331)
BANK SERVICES				
9753	BANK CHARGES - STATE STREET	21,000	18,422	(2,578)
	TOTAL	21,000	18,422	(2,578)
EDUCATIONAL EXPENSES				
9961	MEMBERSHIPS	4,000	3,000	(1,000)
9962	REGISTRATION FEES	30,000	3,138	(26,862)
9963	EDUCATIONAL MATERIALS	500	0	(500)
	TOTAL	34,500	6,138	(28,362)
MISCELLANEOUS				
9986	MISCELLANEOUS	300	0	(300)
	TOTAL	300	0	(300)
	GRAND TOTAL	\$5,315,628	\$4,276,931	(\$1,038,697)

*All amounts rounded to the nearest dollar.

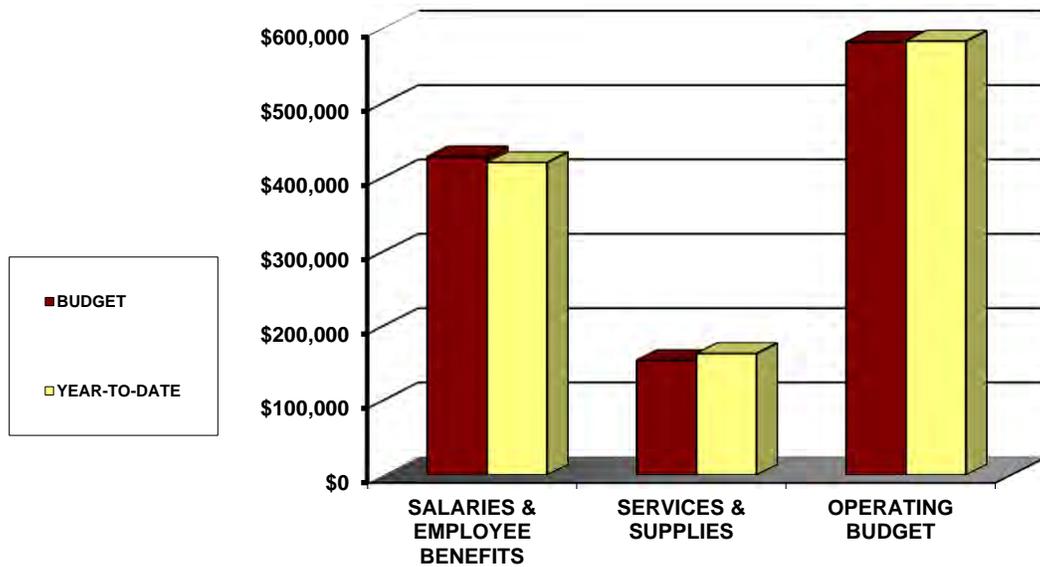
APPENDIX C

**FISCAL YEAR 2020-2021
OTHER POST-EMPLOYMENT
BENEFITS TRUST
BUDGET CONTROL REPORT
BASED ON EXPENDITURES AS OF
JUNE 30, 2021**

OTHER POST-EMPLOYMENT BENEFITS TRUST

BUDGET CONTROL REPORT - FISCAL YEAR 2020-2021 BASED ON EXPENDITURES AS OF JUNE 30, 2021

<u>CATEGORY</u>	<u>BUDGET</u>	<u>YEAR-TO-DATE</u>	<u>OVER / (UNDER) BUDGET</u>
SALARIES & EMPLOYEE BENEFITS	\$428,043	\$420,303	(\$7,740)
SERVICES & SUPPLIES	\$154,153	\$163,340	\$9,187
OPERATING BUDGET	\$582,196	\$583,643	\$1,447



Total Expenditures by Category

