

# IN PERSON & VIRTUAL BOARD MEETING

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



TO VIEW VIA WEB



TO PROVIDE PUBLIC COMMENT

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

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

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

## AGENDA

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

LOS ANGELES COUNTY EMPLOYEES RETIREMENT ASSOCIATION

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

9:00 A.M., WEDNESDAY, JANUARY 3, 2024\*\*

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

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

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

#### COMMITTEE TRUSTEES:

Keith Knox, Trustee  
Antonio Sanchez, Trustee  
Jason Green, Alternate Trustee

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

### III. APPROVAL OF MINUTES

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

### IV. PUBLIC COMMENT

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

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

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

### V. REPORTS

A. **LACERA Operations Briefing**

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

B. **Case Management Solution Implementation Progress**

Celso Templo, Jr., Information Technology Manager II  
Project Management Office, Systems Division  
(Presentation) (Memo dated December 24, 2023)

VI. ITEMS FOR STAFF REVIEW

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

VII. ITEMS FOR FUTURE AGENDAS

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

VIII. GOOD OF THE ORDER

(For Information Purposes Only)

IX. EXECUTIVE SESSION

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

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

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

X. ADJOURNMENT

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

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

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

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

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

LOS ANGELES COUNTY EMPLOYEES RETIREMENT ASSOCIATION

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

3:10 P.M. – 3:18 P.M., WEDNESDAY, DECEMBER 6, 2023

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

COMMITTEE TRUSTEES

PRESENT: Herman B. Santos, Vice Chair (In-Person)

Keith Knox, Trustee (In-Person)

Antonio Sanchez, Trustee (In-Person)

ABSENT: Alan Bernstein, Chair

Jason E. Green, Alternate Trustee

OTHER BOARD OF RETIREMENT TRUSTEES

Vivian H. Gray, Trustee (In-Person)

JP Harris, Trustee  
(Teleconference due to Just Cause under Section 54953(f))

## STAFF, ADVISORS AND PARTICIPANTS

Santos H. Kreimann, Chief Executive Officer

Luis Lugo, Deputy Chief Executive Officer

JJ Popowich, Assistant Executive Officer

Laura Guglielmo, Assistant Executive Officer

Steven P. Rice, Chief Counsel

Allison E. Barrett, Senior Staff Counsel

Michael D. Herrera, Senior Staff Counsel

Ted Granger, Interim Chief Financial Officer

Chaitanya Errande, Information Security Officer

Kathy Delino, Chief, Information Technology

Louis Gittens, Benefits Division Manager

Rebecca Walker, Kaplan & Walker LLP

### I. CALL TO ORDER

This meeting was called to order by Vice Chair Santos at 3:10 p.m.

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

- A. Just Cause
- B. Action on Emergency Circumstance Requests
- C. Statement of Persons Present at AB 2449 Teleconference Locations

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

### III. APPROVAL OF MINUTES

#### A. Approval of the Minutes of the Regular Meeting of November 1, 2023

Trustee Sanchez made a motion, Trustee Knox seconded, to approve the minutes of the regular meeting of November 1, 2023. The motion passed by the following roll call vote:

Yes: Knox, Sanchez, Santos

No: None

Absent: Green, Bernstein

### IV. PUBLIC COMMENT

There were no requests from the public to speak.

### V. NON-CONSENT ITEMS

#### A. **Ethics and Compliance Program Charter**

Recommendation as submitted by Steven P. Rice, Chief Counsel, and Allison E. Barrett, Senior Staff Counsel: That the Committee (1) provide input on the proposed Ethics and Compliance Program Charter, which is a goal of the Board of Retirement's approved Strategic Plan; and (2) recommend that the Board forward the Charter to the Joint Organizational Governance Committee for further consideration and recommendation. (Presentation) (Memo dated November 28, 2023)

Trustee Knox made a motion, Trustee Sanchez seconded, to approve staff recommendation. The motion passed by the following roll call vote:

Yes: Knox, Sanchez, Santos

No: None

Absent: Green, Bernstein



V. NON-CONSENT ITEMS (Continued)

B. **Proposed Changes to Board of Retirement Policy for Recovery Of Member Overpayments and Underpayments**

Recommendation as submitted by JJ Popowich, Assistant Executive Officer and Michael D. Herrera, Senior Staff Counsel: That the Committee recommend the Board of Retirement approve and adopt the changes to its Policy for Recovery of Member Overpayments and Underpayments as discussed in the memo and set forth in Exhibit B. (Memo dated November 22, 2023)

Trustee Sanchez made a motion, Trustee Knox seconded, to approve staff recommendation. The motion passed by the following roll call vote:

Yes: Knox, Sanchez, Santos

No: None

Absent: Green, Bernstein

VI. REPORTS

A. **LACERA Operations Briefing**

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

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

B. **FY2022-23 Annual Financial Statement Review**

Ted Granger, Interim Chief Financial Officer  
(For Information Only) (Memo dated November 27, 2023)

Mr. Granger was available to answer questions from the Committee. This item was received and filed.

VII. ITEMS FOR STAFF REVIEW

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

There was nothing to report.

VIII. ITEMS FOR FUTURE AGENDAS

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

There was nothing to report.

IX. GOOD OF THE ORDER

(For Information Purposes Only)

There was nothing to report.

X. EXECUTIVE SESSION

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

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

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

There was nothing to report.

XI. ADJOURNMENT

There being no further business to come before the Committee, the meeting was adjourned at 3:18 p.m.



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FOR INFORMATION ONLY



## Operations Briefing Report



January 3, 2024



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

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

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

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

Project/Issue Title – Brief Description:

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



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

## • New and Updated Information

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

| Project / Issue Title<br>Brief Description   | Type   | Project Sponsor                          | Start Date | Target Date   |
|--|--|--|------------|---------------|
|  | BSG  | Financial & Accounting Services Division | May 2023   | December 2023 |
|  | Project Lead(s): Ted Granger   |  |            |               |
|  | On-Schedule  |  |            |               |
| <b>Annual Financial Statement Preparation and Audit:</b><br>Government code sections require that LACERA prepare annual financial statements including footnotes and disclosures, obtain an external audit opinion of those statements, and transmit the reports to the Los Angeles County Board of Supervisors within six-months following the fiscal year-end. | <b>2023 – ACFR and PAFR</b><br>LACERA is on track to complete it's 2023 annual financial statements project having reached the following milestones: <ul style="list-style-type: none"><li>LACERA distributed the Annual Financial Statements (AFS) to the LACERA Boards and Los Angeles County in early November.</li><li>Plante Moran presented the audit reports and AFS to the Audit Committee at their December meeting.</li><li>Communications completed and mailed the Popular Annual Financial Report (PAFR) to all members in December.</li></ul> |  |            |               |



|  |  |
|--|--|
|  | <ul style="list-style-type: none"><li>• Communications will finalize the Annual Comprehensive Financial Report (ACFR) and post it to LACERA's website by the end of December.</li><li>• FASD will submit LACERA's ACFR and PAFR to the Government Finance Officers Association (GFOA) for their award programs by the end of December.</li></ul> |
|--|--|

| Project / Issue Title<br>Brief Description   | Type  | Project Sponsor                          | Start Date  | Target Date |
|--|---|--|-------------|-------------|
|  | BSG   | Financial & Accounting Services Division | August 2023 | August 2024 |
|  | Project Lead(s): Ted Granger  |  |             |             |
|  | On-Schedule   |  |             |             |
| <b>Actuarial Valuation Reports: Retiree Healthcare (RHC) or Other Post-employment Benefits (OPEB) Program</b><br>The Retiree Healthcare (RHC) Program administered by LACERA on behalf of Los Angeles County includes retiree healthcare benefits such as medical and dental/vision insurance plans and death benefits. GASB refers to these benefits as Other Post-Employment Benefits (OPEB) for financial reporting. GASB Statement Numbers 74 & 75 prescribes financial statement reporting standards for OPEB programs. Actuarial valuations are prepared annually, and experience and assumption studies are | <b>2023 OPEB – Triennial Investigation of Experience Study</b><br>OPEB Program actuarial projects for the 2023 reporting cycle are in progress and will include both a triennial experience study and annual valuation report.<br><br>Milliman has prepared the materials and will conduct an “educational session” for the Board of Retirement at their January 2024 meeting. The information will include a high-level discussion of actuarial concepts, methods, and assumptions so Trustees are better informed for the upcoming 2023 experience study process.<br><br>For July 1, 2023, Milliman will complete an investigation of experience, which is required by the Board's Policy to be conducted every three years to review the OPEB Program economic and demographic assumptions and recommend changes. Changes in the assumptions will impact the actuarial valuation results and actuarial funding metrics including the Program's funded status and actuarially determined contributions. In addition, the valuation report provides information used to prepare the financial statement disclosure reports for Los Angeles County. |  |             |             |



prepared triennially for Los Angeles County and LACERA's Board of Retirement to make funding decisions and to provide the information for the GASB 75 report which is used for employer financial statement disclosure reporting.

Subsequent to the annual medical insurance premium renewals in March 2024, Milliman will complete a draft experience study report for the Board of Retirement meeting in April 2024. Milliman will discuss the economic and demographic assumptions and related actuarial methods and staff will request Board approval. The annual valuation report will follow and is expected to be completed in August 2024.

| Project / Issue Title<br>Brief Description   | Type   | Project Sponsor | Start Date | Target Date |
|--|--|-----------------|------------|-------------|
|  | MOG  | Benefits        | 08/01/2020 | TBD         |
|  | Project Lead(s): Shonita Peterson  |                 |            |             |
|  | On Schedule  |                 |            |             |
|  |  |                 |            |             |
| <b>Alameda Decision Implementation:</b><br>In 2020, the California Supreme Court issued its decision in the Alameda County Deputy Sheriff's Association v. Alameda County Employees Retirement Association ("Alameda"), challenging the constitutionality of changes passed in 2013 Assembly Bill 197, which amended the definition of compensation earnable, specifically, excluding pay items previously included such as unused vacation, termination pay, in-kind payments, and payments for services rendered outside of normal working hours. The Court upheld the constitutionality of the Legislature's actions. In 2021, the Legal Office notified the Board of Retirement that it had completed an | <p>Since the project started, staff have updated the salaries for 4,176 members to exclude Standby Pay and computed the contributions on earnings that occurred on or after January 1, 2013. Of those, 3,013 were actively employed, but only 2,284 had overpaid contributions. Since Active members cannot receive a refund while in service, LACERA suspended future contributions beginning with the March 30, 2022, salary (paid on April 15, 2022) through the point each member's balance had been depleted. Staff mailed 1,000 letters to the active members on February 11, 2022, and the remaining 1,084 letters on February 25, 2022. A split mailing was used to prevent overwhelming the Member Services Call Center.</p> <p>Subsequently, staff identified 149 deferred and inactive members, most of whom were entitled to a refund. Staff issued 132 checks to those members entitled to a refund. The balance of seventeen were not owed a refund.</p> <p>The Systems Division developed programming to remove the Standby Pay code earnings for all retirees who retired on or after January 1, 2013, and recalculated their FAC earnings once the pay codes were removed. Per the BOR approval, these members were subject to having their benefits adjusted prospectively from August 30, 2020, following the court's decision.</p> |                 |            |             |





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

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

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

| Alameda Project Status  | Current Report |        |
|---|----------------|--------|
|   | 12/31/2023     |        |
| Row Labels<br>(Type, Status, Detail, Outstanding)               | Count          | %      |
| <b>Pending Notification</b><br>(Staff Reviewing and Processing) | 655            | 13.56% |
| <b>Active</b>   | 16             | 0.33%  |
| <b>Retired</b>  | 6              | 0.12%  |
| <b>Deferred/Inactive</b>  | 0              | 0.0%   |
| <b>Deceased</b>   | 43             | 0.9%   |
| <b>Other – *Active/Ex-ceptions</b>                              | 590            | 12.21% |
| <b>Withdrawn</b>  | 0              | 0.0%   |



|  |                          |       |        |
|--|--------------------------|-------|--------|
|  | <b>Completed</b>         | 4,177 | 86.44% |
|  | <b>Active</b>            | 3,043 | 62.98% |
|  | <b>Retired</b>           | 873   | 18.07% |
|  | <b>Deferred/Inactive</b> | 149   | 3.1%   |
|  | <b>Deceased</b>          | 0     | 0.0%   |
|  | <b>Withdrawn</b>         | 56    | 1.2%   |
|  | Not affected             | 56    | 1.2%   |
|  | <b>Grand Total</b>       | 4,832 | 100%   |
| <b>*Alameda Project – Active Members:</b> In addition to the Retired / Deceased / Survivor / Legal Split Payee cases, there are a total of 590 Active Exception cases that require manual review and processing by the specialist. |                          |       |        |

| Project / Issue Title<br>Brief Description  | Type  | Project Sponsor        | Start Date | Target Date |
|---|---|------------------------|------------|-------------|
|   | Strategic   | Executive<br>(MOG/BSG) | 08/24/2022 | TBD         |
|   | <b>Project Lead(s): JJ Popowich, Luis A. Lugo, &amp; Iveta Brecko (PM)</b>  |                        |            |             |
|   | <b>On Schedule</b>  |                        |            |             |
| <b>Case Management Project (Sol: Phase I)</b><br>Implement a case management system that will improve efficiency in processing member requests, provide accurate status and data collection for metrics, and improve the member experience. | In May of 2022, the BOR approved LACERA's recommended vendor, Eccentex, to partner with LACERA to develop our Case Management System. Eccentex was selected after an extensive review of thirteen vendor proposals received from our RFP.<br><br>On December 19, the Case Management Project Team and Benefits Division held a showcase for the Sol's First Payment module, spotlighting its latest features such as task processing, board agenda creation, and automated, |                        |            |             |



|  |   |
|--|---|
| Processes included in Phase I are:<br>Disability Retirement Services (DRS)<br>Disability Litigation Office (DLO)<br>Benefits – First Payment | customized letters. PMG has the chance to test these new functionalities in the development environment and share feedback. The First Payment module is intricately linked with LACERA's DB2 tables, posing an additional workload for LACERA developers. Our development team is actively engaged in integration development to address this. Once we have a more precise estimate for the completion of the integration development, the Project Team will make necessary adjustments to the project timeline and provide the target implementation date. |
|--|---|

| Project / Issue Title<br>Brief Description   | Type   | Project Sponsor | Start Date | Target Date      |
|--|--|-----------------|------------|------------------|
|  | BSG  | Executive (BSG) | 10/06/2022 | January 31, 2024 |
|  | Project Lead(s): Laura Guglielmo and Cookie Jaranilla (PM)   |                 |            |                  |
|  | On Schedule  |                 |            |                  |
| <b>Enterprise Budget Application (Questica) Implementation Phase I</b><br>LACERA is implementing its first automated enterprise budget application which will be used for budget development and budget control and will integrate with LACERA's financial system, Great Plains. This system replaces a manual budget development process that relies on Microsoft Excel and Word. It will also ensure that managers have real-time budget to actual reporting capabilities for data informed decision making. | <p>After an extensive RFP and selection process, the Board of Retirement approved the selection of Questica on October 6, 2022. The contract and statement of work were finalized, and the project kick off meeting was held with the LACERA Budget Team and Questica team on November 17, 2022.</p> <p>The Project team has continued to fine-tune Questica's Budget Modernization application in the following areas:</p> <ul style="list-style-type: none"><li>• Required roles for Change Request Permissions</li><li>• General Ledger (GL) Account Roll-up and Reporting Requirements</li><li>• Personnel Sync Integration</li><li>• Amended Budget Export</li><li>• View Creation</li></ul> <p>Implementation activities kicked off in December. The Budget Team is now utilizing the Questica application for the development of the FY2024-2025 budget, starting this month. Divisional meetings are scheduled for mid-December. The</p> |                 |            |                  |



Personnel data file has been finalized, and the Budget Team expects to commence importing and adjusting the data in January of 2024.

| Project / Issue Title<br>Brief Description  | Type   | Project Sponsor         | Start Date | Target Date |
|---|--|-------------------------|------------|-------------|
|   | BSG  | Administrative Services | 03/01/2022 | 12/31/2023  |
|   | Project Lead(s): Roberta Van Nortrick, Celso Templo & Michael Dozier (PM)  |                         |            |             |
|   | On Schedule  |                         |            |             |
| <b>Enterprise Contract Lifecycle Management (ECLM) Solution</b><br>Pursuant to a recommendation by Administrative Services staff, the Operations Oversight Committee (OOC) on March 2, 2022, authorized a Request for Proposal (RFP) for software and consulting services to procure, configure, customize, and implement an ECLM system, which was published on LACERA.com on March 4, 2022. | <p>On April 4, 2022, LACERA received proposals from nine vendors. LACERA's evaluation team reviewed all RFPs and selected five vendors as finalists. These finalists demonstrated their solutions to the team. A final vendor has been identified and a recommendation to the Board of Retirement was scheduled for consideration at the September 2022 Board Meeting. The Board of Retirement approved the recommended vendor, Cobblestone, at the September 2022 Board meeting for the Enterprise Contract Lifecycle Management system.</p> <p>The ECLM Solution's Iteration 1 has been completed. ECLM is in production and available for use. Systems, Admin Services, Legal, Investment Division, and FASD Subject Matter Experts (SME's) have been conducting their User Acceptance Testing (UAT). Functionalities available in production are the following:</p> <ul style="list-style-type: none"><li>• Contract Repositories</li><li>• Vendor Portal</li><li>• Contract Approval Chain</li><li>• Consolidated Bid Responses and Evaluation – RFP Management</li><li>• AI Capabilities – Drafting, Reviewing &amp; Executing of Contracts</li><li>• Reporting - Contract Requests, Solicitations, Contracts, and Vendors</li><li>• Systems Integration with Great Plains</li></ul> <p>The ECLM Project Team completed Iteration 2 testing, identifying, and reporting several outstanding issues to the vendor. The vendor is currently addressing these</p> |                         |            |             |



points as we continue testing and validating workflows. We aim to deliver the Cobblestone ECLM Platform by the end of the month, incorporating User Acceptance Testing and utilizing the Vendor Portal in production. The full ECLM launch is scheduled for December 29th. Vendor-led training will involve selecting one SME from each division, and customized training materials for our internal processes will be documented and distributed before the sessions commence. End User Training for Business Divisions is scheduled for the week of January 15, 2024.

| Project / Issue Title<br>Brief Description   | Type   | Project Sponsor | Start Date | Target Date |
|--|--|-----------------|------------|-------------|
|  | BSG  | Executive (BSG) | 01/01/2023 | 06/30/2024  |
|  | Project Lead(s): JJ Popowich and Michael Dozier (PM)   |                 |            |             |
|  | On Schedule  |                 |            |             |
|  |  |                 |            |             |
| <b>LACERA Incident Response Team (LIRT) Management Solution</b><br>LACERA seeks a solution that automates the tracking and workflow of LACERA incidents. | <p>In December 2022, the Information Technology Coordination Council approved a LIRT incident management solution project to automate the tracking of LACERA incidents. The LIRT project team decided to leverage a product that is already implemented at LACERA: ServiceNow Information Technology Service Management (ITSM). LACERA has selected Winward as our business partner to leverage and customize the incident workflow of ServiceNow's ITSM to support LACERA's process regarding incident tracking, management, and reporting. Because LACERA already owns this product and is only configuring one module to support our specific process, we are able to absorb the cost of the project in the FY 2023-24 budget. We expect this project to be completed in June 2024.</p> <p>Contract execution and procurement are successfully completed. We are currently in collaboration with the Executive Sponsor, Chief Information Technology Officer, and Subject Matter Experts to finalize and solidify requirements in early January. The PMO team has engaged with the Information Security Officer and InfoSec staff, introducing them to the project and gathering recommendations on current requirements.</p> |                 |            |             |



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|  | <p>A formal Vendor Kickoff was held on December 18 with the Executive Sponsors and primary Stakeholders. The LIRT Project Team's goal is to finalize the scheduling of discovery workshops for requirements. Milestones and timelines are set, with sessions slated to begin in the first week of January. This project is expected to last approximately 9 weeks (about 2 months) until Full Live implementation, followed by a 2-week hyper-care period. Scheduling is underway, and subject matter experts from both LACERA and Windwards sides have been identified.</p> |
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| Project / Issue Title<br>Brief Description  | Type  | Project Sponsor | Start Date | Target Date |
|---|---|-----------------|------------|-------------|
|   | Strategic   | Exec (MOG)      | 01/01/2013 | 03/30/2024  |
|   | Project Lead(s): Cynthia Martinez   |                 |            |             |
|   | Pushed Back   |                 |            |             |
| <p><b>PEPRA Implementation: Annual Benefit Statement</b><br/>LACERA does not currently offer an Annual Benefit Statement (ABS) for PEPRA members.</p> | <p>LACERA was unable to generate a PEPRA member ABS until we could accurately, automatically, calculate a member's FAC. This project is moving forward now that the FAC issue is nearly resolved.</p> <p>Progress continues on the <b>PEPRA Implementation: FAC Issue</b> project and that project's target date has been updated to October 30, 2023, to allow time to import historical files necessary to calculate a member's benefit estimates.</p> <p>A kickoff meeting was held on August 22, 2023, to discuss project expectations, review the Project Charter, confirm the ABS Team participants, briefly review the Active redesigned comp, and discuss next steps. It was confirmed the team will meet weekly to begin the review process of the Active redesigned comp.</p> <p>The team has decided to pursue a change in how we generate the ABS. To provide us with more flexibility in distribution of the new ABS, we'll be looking at generating a digital version which will decouple LACERA's reliance on specialized programming with our print vendors. This should also shorten the time to complete and publish a new ABS. The team is currently reviewing, editing, and</p> |                 |            |             |



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|  | formatting the new ABS. Once this is completed, the team is working on defining a target date. The original target date of November 30, 2023, has been pushed back due to delays in importing the PEPRA FAC data and staffing shortages in Communications. |
|--|--|

| Project / Issue Title<br>Brief Description  | Type  | Project Sponsor | Start Date | Target Date |
|---|---|-----------------|------------|-------------|
|   | Strategic   | Executive (MOG) | 01/01/2013 | 03/31/2024  |
|   | Project Lead(s): JJ Popowich & Lynn Francisco   |                 |            |             |
|   | Delayed   |                 |            |             |
| <b>PEPRA Implementation: FAC Issue</b><br>The Final Average Compensation for PEPRA members is exclusive of most pay items except base pay. The County uses pay code 099 as their base pay code. This pay code has embedded pay items within the code that are not pensionable compensation under PEPRA. To accurately calculate a member's benefit, these non-pensionable compensation items need to be filtered out. | <p>As of late April 2023, the LACERA team and Auditor Controller's Office continue to meet regularly and make progress towards the agreed upon deadline of June 30, 2023.</p> <p>In mid-January, the two teams met, along with LACERA CEO Santos Kreimann, and LA County Auditor-Controller Arlene Barrera, to discuss the urgent necessity of completing the project. Based on availability of AC resources, the two teams will begin working on the final stages of this project in February and have committed to working towards a July 2023 completion date. The team has been meeting bi-weekly to ensure we remain focused on completing this project on-time.</p> <p>On March 16, 2023, AC provided a test file on the PEPRA embedded earnings. Systems and QA division collaborated on testing and confirmed the file provided the appropriate data necessary to calculate a more accurate Final Average Compensation. Systems is now working on updating our internal programs to use these files in a production environment.</p> <p>Systems has completed and implemented the program in production. The program was first run to update the September 15, 2023, PEPRA actual earning salaries and are received with each new payroll period files prospectively.</p> |                 |            |             |



Beginning in November the team started ingesting historical files beginning with the last three years first (August 31, 2023, down to September 15, 2020), and working back to 2013. The files are processed on an expedited basis so we can conclude this project as early as possible. The team expects to complete ingesting the most current three years by December 31, 2023.

In early January 2024, the team will be discussing scheduling the release of the PEPRA FAC for current active members to see and for staff to use in the calculation of estimates and retirements. As we continue working on ingesting the more historical records, we'll work on scheduling the release of the PEPRA FAC for use by, and for deferred members.

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

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





| Project / Issue Title<br>Brief Description   | Type   | Project Sponsor | Start Date | Target Date |
|--|--|-----------------|------------|-------------|
|  | BSG  | Executive (BSG) | 09/21/2023 | Q2 2024     |
|  | Project Lead(s): Luis Lugo and Gnan Arige (PM)   |                 |            |             |
|  | Delayed  |                 |            |             |
| <b>Policy Management Solution</b><br>LACERA seeks an automated solution to support LACERA Policy Management Process. | <p>In September 2022, the Information Technology Coordination Council approved a policy management project to automate the creation, review, approval, and maintenance of LACERA policies as well as track the versions and acknowledgement of policies. Funding for this project was included in the FY 2022-23 budget. The policy management project team issued a Request for Quote (RFQ) and reviewed quotes submitted by interested vendors and consultants.</p> <p>The Policy Management Solution Project Team met with and obtained recommendations from the Information Security Officer. As a result of these recommendations, the Policy Management Executive Sponsor and Project Team agreed to revise the Formal Scope and Requirements and move the project status back to the “Soliciting Process” stage to widen the scope and allow other vendors to submit their proposals.</p> <p>The Policy Management Project Team emailed the revised requirements to the LogicGate, AuditBoard, Worktiva, and Compass365. AuditBoard and LogicGate completed their vendor demonstrations. Compass 365 and Worktiva will have their vendor presentation in the month of January 2024.</p> |                 |            |             |

| Project / Issue Title<br>Brief Description | Type   | Project Sponsor | Start Date   | Target Date |
|--|--|-----------------|--------------|-------------|
|  | Strategic  | Executive (MOG) | July 1, 2022 | 03/31/2024  |
|  | Project Lead(s): Louis Gittens   |                 |              |             |
|  | On Schedule  |                 |              |             |
| <b>Pre-2003 Pension Reserve Clean-up</b>   | LACERA previously sent notification to the remaining 673 affected individuals. We determined which letters were returned to LACERA and sent notifications to |                 |              |             |



Prior to January 1, 2003, non-vested contributory individuals were required to withdraw their contributions upon termination as they were not entitled to future benefits. The law was changed as of that date and non-vested members are now permitted to leave funds on deposit and later retire. LACERA has attempted to contact the non-vested individuals who terminated prior to 2003 and still have funds on deposit so they can withdraw their funds.

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

secondary addresses through Certified mail. In November, we began sending letters to next of kin for deceased members.

At this point, notification has been sent to all affected individuals. The Process Management Group in Benefits is working with FASD and Systems to have funds placed in the Pension Reserve, the final stage of this project.

| Project / Issue Title<br>Brief Description | Type  | Project Sponsor        | Start Date | Target Date |
|--|---|------------------------|------------|-------------|
|  | Strategic   | Executive<br>(MOG/BSG) | 06/15/2022 | 03/31/2024  |
|  | Project Lead(s): JJ Popowich & Shonita Peterson (PM)  |                        |            |             |
|  | Delayed   |                        |            |             |
| Prepaid Bank Card Project                  | In June 2022, the OOC approved the release of a Request for Proposal (RFP) for a Prepaid Debit Card Service. LACERA seeks an easily accessible alternative to |                        |            |             |



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| Introduction of a prepaid bank card option for monthly benefit payments. | <p>paper checks for monthly participant retirement and survivor benefit payments. The goals are three-fold: to provide a lower cost alternative to issuing checks for those participants without a banking relationship who are likely to pay fees to access their benefit payment, to reduce the number of monthly benefit payment checks issued by LACERA, and to create a more reliable payment process in the event of a disaster that impacts the ability to mail monthly paper checks. A secondary goal is to reduce or eliminate paper checks that are mailed to one-time payees by offering prepaid bank cards and direct deposit for death benefits and withdrawals.</p> <p>On September 30, 2022, LACERA received two proposals for Prepaid Debit Card Services. A cross functional evaluation team reviewed the proposals, and the vendors presented their services to the team. The selection team identified Conduent as the vendor of choice and the recommendation was approved by the Board of Retirement at the April 2023 board meeting.</p> <p>LACERA met with Conduent at our first kick-off meeting also known as the Joint Configuration Session on Tuesday November 14, 2023. Weekly “check in meetings” have been scheduled. Both teams, LACERA and Conduent are currently working on implementation documents and forms. The custom LACERA prepaid debit card is being developed by the LACERA Communications division. Communications is updating the design per Mastercard specifications.</p> |
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| Project / Issue Title<br>Brief Description                             | Type  | Project Sponsor | Start Date | Target Date |
|--|---|-----------------|------------|-------------|
|  | RHC   | Exec            | March 2021 | 2024        |
|  | Project Lead(s): Santos H. Kreimann & Luis A. Lugo  |                 |            |             |
|  | On Schedule   |                 |            |             |
| Retiree Healthcare Administration:<br>Lifetime Maximum Benefit Project | LACERA and the County CEO’s office are still in active communication in addressing the Lifetime Maximum Benefit issue. LACERA provided the Board of |                 |            |             |



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|  | <p>Retirement (BOR) with a formal report and update on our progress during the August 2, 2023, meeting via closed session.</p> <p>LACERA and the County continue to meet bi-weekly to ensure elimination of the Lifetime Maximum Benefit is the point of focus. The County is in the midst of engaging and negotiating with organized labor groups to discuss potential future retiree health benefit changes. In November, LACERA received an information request from the County and provided the requested information to the County in November.</p> <p>LACERA staff and LACERA's actuary continue to consult with the County's staff and actuary. These conversations and the County's negotiation process have resulted in additional information requests from the County. LACERA will work with Milliman to complete these items:</p> <ol style="list-style-type: none"><li>1) Retiree Healthcare benefits analysis and modeling to project future healthcare cost changes due to hypothetical benefit changes.</li><li>2) GASB 75 report projections to analyze the impact of future healthcare cost changes.</li><li>3) Retiree Healthcare benefit analysis of Tier 2 cost savings.</li></ol> <p>LACERA continues to engage the county and provide any relevant information as they progress through their negotiations with unions.</p> |
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| Project / Issue Title<br>Brief Description | Type  | Project Sponsor  | Start Date | Target Date |
|--|---|------------------|------------|-------------|
|  | MS  | Executive Office |            | 01/31/2024  |
|  | Project Lead(s): Jonathan Tran and Maritza Perez  |                  |            |             |
|  | Delayed   |                  |            |             |
| Retirement Counseling Redesign Project     | A team of Member Services subject matter experts under the direction of the project leads have been meeting and developing a new retirement counseling model. |                  |            |             |



The basic retirement counseling process for members considering retirement has not changed in many years. While checklists used to counsel members have been updated over time, a top to bottom review of the process has not occurred in some time.

The Member Services team has undertaken a project to modernize the counseling process to incorporate a true omnichannel approach by integrating the Retirement Planning section on LACERA.com and the My LACERA portal into the counseling process. Integrating these resources into the retirement counseling process will allow members to connect with LACERA in more ways than ever and help pave the way for future innovations and streamlined services.

The team has reviewed all data points and information shared with members during counseling sessions ranging from a few minutes to the more in-depth counseling sessions lasting an hour or more. The review is intended to ensure we are covering all of the vital information needed during our counseling sessions. The results of this review have led to updates to checklists, collateral material provided to members, and seeks to integrate the new Retirement Planning section on LACERA.com and My LACERA portal into counseling.

Over the last few months, the team has been beta testing this new counseling model during actual member counseling sessions. This beta testing process has allowed the team to collect vital member and staff feedback on the new model.

The team is now in the final stages of this project. They are working with the Communications team to update the Retirement Planning section on LACERA.com with additional information that will support key discussion points and feed into new communication collateral. Additionally, the team has launched the first phase of this project with a revamped PEPPRA Final Average Compensation training module for all Member Services staff, in collaboration with Quality Assurance, Benefits, and PMG. Member Services staff have received an in-depth overview of the new Business Rules applicable to calculating a PEPPRA member's FAC and how this affects other processes.

Due to new enhancements to My LACERA that are scheduled to be released into beta in December, the team has revised their counseling plans to incorporate the new functionality. As a result of this late addition, which is critical to the initiative, the have rescheduled training for mid-January 2024 with the new counseling standards to be implemented in February 2024.



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



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|  | <p>format would fit in the allotted space for the existing ADR, a business rule with an embedded copy of the proposed layout was distributed to stakeholders for approval. The redesign was approved by stakeholders in August and the team provided an informational memo to the Operations Oversight Committee in November. In November, we began notifying retired members through inserts in their November checks and various publications. Another notification will be provided with the December checks. A new section has also been added to LACERA.com to provide members with detailed explanations on how to read their ADR/check stub. The first new ADR will be in January 2024.</p> |
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| Project / Issue Title<br>Brief Description   | Type   | Project Sponsor | Start Date   | Target Date |
|--|--|-----------------|--------------|-------------|
|  | BSG  | Exec (BSG)      | October 2021 | 01/30/2024  |
|  | Project Lead(s): Laura Guglielmo, Ted Granger & Cookie Jaranilla   |                 |              |             |
|  | On Schedule  |                 |              |             |
| <b>Travel/Expense/P2P Software</b><br>LACERA has procured “Certify” software created by Emburse, an accounts payable automation and expense management provider. | <u>Accounts Payable (AP) Module</u><br><br>The AP Certify Project Team’s User Acceptance Testing has been completed, and Live Training has started with the business divisions targeted for the Soft-Launch. These Business Solutions Group of divisions is comprised of the following: <ul style="list-style-type: none"><li>• Admin Services Procurement</li><li>• Disability Retirement Services (DRS)</li><li>• Financial and Accounting Services Division (FASD)</li><li>• Legal Office</li><li>• Systems</li></ul> |                 |              |             |



In collaboration with Emburse's Implementation Team, the Project Team has aligned check payment processing with the requirements set by State Street Bank, LACERA's partner for clearing and funding checks. Simultaneously, the Project Team is actively integrating AP Certify with Great Plains (GP) Invoice payment data, finalizing critical components for data integration.

The anticipated full launch is set for January 2, 2024, with business division training utilizing live data scheduled from the end of December through mid-January. This streamlined approach ensures an efficient and well-coordinated implementation process for the enhanced payment system.





- Existing Projects/Initiatives: No New Updates

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

| Project / Issue Title<br>Brief Description  | Type  | Project Sponsor | Start Date | Target Date |
|---|---|-----------------|------------|-------------|
|   | BSG   | Executive (BSG) | 12/01/2023 | TBD         |
|   | Project Lead(s): Laura Guglielmo and Cookie Jaranilla (PM)  |                 |            |             |
|   | Delayed   |                 |            |             |
| <b>Enterprise Budget Application (Questica) Implementation Phase II: Budget Book</b><br>LACERA nearly finished implementing its first automated enterprise budget application which will be used for budget development and budget control and will integrate with LACERA's financial system, Great Plains. This phase of the project will address the Budget Book that is submitted to the Boards during the approval process. | <p>The implementation of the Questica budgeting solution has been divided into two phases. Phase I concerns the implementation of the budgeting application itself. Phase II represented in this report consists of the review and implementation of the Budget Book function to assist with assembling the budget book that is submitted for approval to the Boards.</p> <p>Development of the budget book is a unique and detailed process that requires significant focus to migrate to a new platform. The native budget book application provided by Questica will be evaluated by the team after we have completed implementation of the budget application. The team plans to produce the FY 25 Budget Book outside of this application while this is under review. Once we have completed the role out of the Questica application we will assign a target date for completion of this phase.</p> |                 |            |             |

| Project / Issue Title<br>Brief Description  | Type   | Project Sponsor | Start Date | Target Date |
|---|--|-----------------|------------|-------------|
|   | MOG  | Benefits        | 04/01/2021 | 12/31/2024  |
|   | Project Lead(s): Louis Gittens   |                 |            |             |
|   | Delayed  |                 |            |             |
| <b>COLA Bank Retroactive Changes</b><br>In April of 2021, the Board of Retirement approved corrections to the | <p>The project was broken down into five phases based on the complexity of the calculations needed to pay retroactive benefits to members. We will resume working on this project in January 2024.</p> |                 |            |             |



COLA Accumulation Bank, which involved making retroactive corrections, recalculating benefit allowance amounts, and paying members retroactive benefits due to a discrepancy discovered in the COLA Accumulation.

Phase I-IV: As of the date of this report, LACERA has paid out just over \$3.8 million in retroactive COLA earnings. Of the 9,672 members and survivors impacted, 8,511 accounts have been systematically resolved, which represents all members and survivors currently in a payment status.

The fourth phase of the project, which requires manually calculating the retroactive benefits, includes 1,494 cases in a payment status. The manual phase of the project began in December 2021. Staff have manually calculated COLAs for 455 members and payments were issued earlier this year.

Phase V: The final phase involves deceased members with no survivors currently receiving benefits. This phase requires research to identify the appropriate beneficiary(ies) or estates to pay the retroactive benefits that were due to the deceased member. This phase is currently delayed due to staffing limitations and the focus on the Alameda Decision Implementation.

Systems and Benefits have been reviewing the root cause for the manual processing and developing plans for redesigning some portions of our pension administration system to help alleviate the need for processing for future projects.

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

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



| Project / Issue Title<br>Brief Description  | Type  | Project Sponsor | Start Date | Target Date |
|---|---|-----------------|------------|-------------|
|   | Strategic   | Exec (MOG)      | 02/28/2022 | 06/30/2024  |
|   | Project Lead(s): JJ Popowich & Cynthia Martinez   |                 |            |             |
|   | Pushed Back   |                 |            |             |
| <b>Communications Plan</b><br>The development of a strategic Communications Plan providing an overview of the guiding principles used to communicate with LACERA's various stakeholder groups. The plan will also provide an overview of the channels, resources, methods, planned campaigns, and current commitments of the Communications team. The plan will outline how our communications Division has been designed to be flexible and responsive to our needs as we fulfill our communication goals. | <p>The LACERA executive team met on August 30, 2022, to review and discuss the Communication Plan(s) drafted by both EKA (the Board of Retirement's public relations consultant) and the LACERA Communications division. Both plans outlined a more tactical approach to engaging our members and various stakeholders, as opposed to a strategic roadmap. The team discussed opportunities and ideas for improving the Communication plan document. We are going to coordinate these efforts with our Strategic Planning process, since the work overlaps with our current Strategic Planning efforts.</p> <p>The Communications team is beginning the process of updating the draft Communications Plan to incorporate the Strategic Plan priorities and other feedback provided by the Executive Team.</p> |                 |            |             |

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



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



## • Completed Projects/Initiatives

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

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



required for their financial statement disclosures.

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



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

| Project / Issue Title<br>Brief Description   | Type   | Project Sponsor | Start Date | Target Date |
|--|--|-----------------|------------|-------------|
|  | BSG  | Executive (BSG) | 01/01/2023 | 09/30/2023  |
|  | Project Lead(s): Carly Ntoya and Michael Dozier (PM)   |                 |            |             |
|  | Completed  |                 |            |             |
| <b>Human Resources (HR) Case Management</b><br>LACERA seeks a case management solution that supports Human Resources workflow with automatic | <p>In December 2022, the Information Technology Coordination Council approved a case management project for Human Resources. Funding for the project was approved during the FY 2022-23 midyear budget adjustments. The HR project team selected ServiceNow's Human Resources module for their case management solution.</p> |                 |            |             |



|  |   |
|--|---|
| notifications, document management, and version control as well as the ability to view HR workloads on an interactive dashboard. | Since August, the Winward Implementation team has been testing the HR Case Management Module. We are pleased to report Phase 1 testing has been completed. In addition, the Phase 2 Discovery Session consisting of Knowledge Management and New Hire workflows have been accomplished, and several demonstrations of the completed workflows have been provided, recorded, and saved for training purposes and stakeholders' consumption. Live User Acceptance Testing (UAT) of Phase II was completed in early October. This finalizes the Implementation activities, and the HR Case Management application was released to production on October 3 <sup>rd</sup> . The Executive Management Presentation of the HR Case Management took place on October 5 <sup>th</sup> . Post implementation plans are to use feedback gathered during the UAT for future enhancements. |
|--|---|

| Project / Issue Title<br>Brief Description  | Type  | Project Sponsor | Start Date | Target Date |
|---|---|-----------------|------------|-------------|
|   | BSG   | Executive (BSG) | 10/01/2022 | 12/30/2023  |
|   | Project Lead(s): Carly Ntoya and Don Song (PM)  |                 |            |             |
|   | Completed   |                 |            |             |
|   |   |                 |            |             |
| <b>Human Resources (HR) Digitization</b><br>LACERA is currently converting 350,000+ paper Human Resources' personnel, payroll, medical, and classification files to electronic files to allow quick retrieval of documents by a hybrid workforce, shared access to information, full text search capabilities, and an audit trail of document access. | In March 2022, the Information Technology Coordination Council approved the Human Resources Digitization Project. Funding for the project was approved as part of the FY 2022-23 budget.<br><br>The scanning of the 350,000 HR Historical files has been successfully accomplished. As the project concludes, the plan is to transition the management and support of HR Digitization to Systems Infrastructure for ongoing operations. |                 |            |             |





| Project / Issue Title<br>Brief Description  | Type  | Project Sponsor                          | Start Date  | Target Date   |
|---|---|--|-------------|---------------|
|   | BSG   | Financial & Accounting Services Division | August 2023 | December 2023 |
|   | Project Lead(s): Ted Granger  |  |             |               |
|   | Completed   |  |             |               |
| <b>Actuarial Valuation Reports: Retirement Benefits</b><br>The Government Code requires that valuations of the Retirement Benefits Fund (Pension Plan) be performed at least once every three years. The Board of Investments' 2013 Retirement Benefit Funding Policy requires valuations be completed annually. These reports are prepared to determine employer and employee contribution rates and to measure the funded status of the Pension Plan. In addition, the valuation report provides information used to prepare the Governmental Accounting Standards Board (GASB) Statement Numbers 67 & 68 reports. Plans (LACERA) and Plan Sponsors (County) use the GASB reports to obtain information required for their financial statement disclosures. | <b>2023 Retirement Benefits – Annual Valuation</b><br>The June 30, 2023, Retirement Benefits Valuation Report has been completed. Milliman and staff presented the final report to the Board of Investments (BOI) at their December 2023 meeting.<br><br>There are two additional reports that will be prepared based upon the results of the 2023 Retirement Benefits Valuation Report:<br><br><ol style="list-style-type: none"><li>1) Staff will work with Milliman to prepare the upcoming GASB 68 report for Los Angeles County's June 30, 2024, annual financial statements.</li><li>2) Staff will work with Milliman to prepare the upcoming 2024 Risk Assessment Report, tentatively scheduled to be presented at the June 2024 Board of Investments meeting.</li></ol> |  |             |               |

| DATE RECEIVED | REQUESTER                | DOCS REQUESTED  |
|---------------|--------------------------|---|
| 11-13-23      | Tony M,<br>Individual    | <p>Request: Production of documents of any and all investments LACERA holds in Azerbaijani government owned securities.</p> <p><i>Legal, on November 14, 2023, requested from Investments the responsive documents.</i></p> <p><i>Legal, on November 17, 2023, via email, informed Requester, that responsive information would be sent on December 5, 2023.</i></p> <p><i>Legal, on December 5, 2023, via email, informed Requester that responsive documents would be sent on December 8, 2023, due ongoing Staff review for responsive documents.</i></p> <p><i>Transmitted 5 documents.</i></p> <p><i>Legal, on December 8, 2023 via email, transmitted 5 responsive documents.</i></p> |
| 11-27-23      | FOIA Data Collection     | <p>Request: Information for latest available quarter for alternative assets (private equity, private credit, real estate, infrastructure, hedge funds and special opportunities funds).</p> <p><i>Transmitted 1 document.</i></p> <p><i>Legal, sent on December 5, 2023, via email, the responsive document shown below.</i></p> <p><i>Alternatives Data 3Q23 Data.xlsx.</i></p>  |
| 12-04-23      | R. Inchody,<br>Pitchbook | <p>Request: Updated quarterly performance data from your plan's alternative asset holdings for the following date(s): 2Q23 &amp; 3Q23.</p> <p><i>Transmitted 3 documents.</i></p> <p><i>Legal, on December 5, 2023, via email, sent the responsive documents below.</i></p> <p><i>Alternatives Data 2Q23 Data.xlsx; Hedge Fund Data 3Q23, and Alternatives Data 3Q23 Data.xlsx.</i></p>   |
| 12-06-23      | J. Esparza,<br>Bloomberg | <p>Request: Copy of data pertaining to all fixed income investments and including the following data points for each security as of Sept. 30, 2023</p> <p><i>Transmitted 1 document.</i></p> <p><i>Legal, sent on December 12, 2023, via email, the responsive document shown below.</i></p> <p><i>Bloomberg – FOIA Request - Fixed Income 3Q23 Data.xlsx.</i></p>  |

| DATE RECEIVED | REQUESTER  | DOCS REQUESTED   |
|---------------|--|--|
| 12-13-23      | X. Revil,<br>with. Intelligence                            | <p>Request: Performance metrics of all closed-end funds including Private Equity, Venture Capital, Private Debt, Real Estate, Real Assets/Infrastructure funds you invest in for Q2 2023 to Q3 2023.</p> <p><b><i>Transmitted 2 documents.</i></b></p> <p><b><i>Legal, sent on December 12, 2023, via email, the responsive documents shown below.</i></b></p> <p><b><i>Alternatives Data 2Q23 Data.xlsx and Alternatives Data 3Q23 Data.xlsx.</i></b></p> |
| 12-18-23      | H. Ahaiwe, HR,<br>LA County<br>and 1 Other<br>Recipient    | <p>Per monthly request:</p> <p><b><i>Transmitted 1 document.</i></b></p> <p><b><i>Executive Office sent via email, December 18, 2023, 2023, the responsive document shown below.</i></b></p> <p><b><i>MonthlyAgenda.csv for, November 1, 2023.</i></b></p>   |
| 12-18-23      | Sheriffs Dept,<br>LA County<br>And 4 Other Recipients      | <p>Per monthly request:</p> <p><b><i>Transmitted 1 document.</i></b></p> <p><b><i>Executive Office sent via email, on December 18, 2023, the responsive document shown below.</i></b></p> <p><b><i>Monthly Agenda Reports for<br/>Fire Department Listing and Sheriff Department Listing. Each report dated December 6, 2023.</i></b></p>  |
| 12-18-23      | C. Siverson, Fire,<br>LA County,<br>and 5 Other Recipients | <p>Per monthly request:</p> <p><b><i>Transmitted 1 document.</i></b></p> <p><b><i>Executive Office sent via email, on December 18, 2023, the responsive document shown below.</i></b></p> <p><b><i>Board of Retirement Meeting on November 6, 2023, Benefit Approval List.pdf.</i></b></p>   |

## REPORT OF FELONY FORFEITURE CASES

December 29, 2023

| #  | MEMBER'S LAST NAME | MEMBER'S FIRST NAME | DEPT.   | CONVICTION DATE | LACERA NOTIFIED | INITIAL IMPACT NOTICE SENT | FINAL IMPACT NOTICE SENT | STATUS* | DISABILITY STATUS | SERV. LEVEL |
|----|--------------------|---------------------|---------|-----------------|-----------------|----------------------------|--------------------------|---------|-------------------|-------------|
| 66 | VEGA               | MIGUEL              | SHERIFF | 9/5/2023        | 10/27/2023      |                            |                          | PEND    |                   |             |
| 65 | HERNANDEZ          | CHRISTOPHER         | SHERIFF | 7/24/2023       | 10/11/2023      |                            |                          | PEND    |                   |             |
| 64 | RIDLEY-THOMAS      | MARK                | BOS     | 3/31/2023       | 3/31/2023       | 10/23/2023                 |                          | APPEAL  |                   |             |
| 61 | SHEPOS             | THOMAS              | CEO     | 1/23/2023       | 2/14/2023       |                            |                          | PEND    |                   |             |

### STATUS LEGEND:

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

December 24, 2023

TO: Each Trustee,  
Operations Oversight Committee

FROM: Celso Templo, Jr., Information Technology Manager, II <sup>CST</sup>  
Project Management Office, Systems Division

FOR: Operations Oversight Committee Meeting of January 3, 2024

SUBJECT: Case Management Solution Implementation Progress

## EXECUTIVE SUMMARY

In May 2022, the Board of Retirement (BOR) approved Eccentex, the vendor recommended by LACERA, to collaborate on developing our Case Management Solution. Eccentex emerged as the chosen partner, after we thoroughly evaluated the thirteen vendor proposals submitted in response to our Request for Proposals (RFP). The goal is to implement a case management system that enhances efficiency in handling member requests, ensures accurate status tracking, facilitates data collection for metrics, streamlines litigation case management, and ultimately improves the overall member experience.

The processes encompassed in Phase I include:

- **Disability Retirement Services:** This comprehensive Disability Retirement Process begins with the submission of a Disability Retirement Application and involves various components, such as:
  - Records management and evidence gathering
  - Investigative process, medical appointment scheduling and other engagement with members, County departments, medical professionals, applicant attorneys, and other third parties.
  - Case Review and Agenda Process, including management and Legal reviews, agenda creation and pre and post Board processing.
  - Clerk of the Board duties, including referral to administrative hearings, correspondence maintenance, and deadline tracking
- **Disability Litigation Office:** A case is referred to the Disability Litigation Office as soon as the Appeals process begins and includes case management components, such as:
  - Reaching out to the applicant or applicant's attorney with litigation information
  - Gathering and assembling evidence into exhibit packets
  - Setting cases for procedural conferences or hearings
  - Managing legal documents
  - Referring cases back to the Board of Retirement for final decisions

- **First Payment:** The First Payment Process initiates with submitting a Retirement Application and concludes when a new retiree receives their benefit payment.

These initiatives aim to streamline our operations, ensuring a smoother workflow and providing enhanced services to our members.

On September 22, 2023, the Disability Retirement Services (DRS) and Disability Litigation Office (DLO) modules of the Case Management Solution were transitioned into production. The Case Management Project Team has been actively resolving identified bugs in the production environment. Subsequently, on October 16, 2023, DRS achieved a milestone by successfully processing its initial Board Agenda Package through the Case Management Solution. A total of 36 disability applications were submitted to the Board for their review and action for the November Board of Retirement Session.

## **CASE MANAGEMENT SOLUTION IMPLEMENTATION BACKGROUND**

LACERA is building a customized Case Management Solution that multiple divisions across the organization will use. The Case Management Project Implementation Team decided to name the solution “Sol” to make it more unique and reflect that the application is a customized solution for LACERA. The LACERA Communications Division produced several options. Then, the implementation team polled the business subject matter experts and project stakeholders, and “Sol” came on top. “Sol” is short for “solution” and refers to the center of our solar system, the Sun. Therefore, it can be concluded that the project team is building a Case Management Solution at the center of LACERA business processes.

### **Project Framework**

The Project Implementation Team operates within an Agile Scrum framework, releasing software increments frequently for inspection and adjusting requirements and processes accordingly. Opting for a staggered implementation approach, the team commenced Disability Litigation Office requirements sessions concurrently with the ongoing Disability Retirement Services (DRS) implementation (a similar effort is currently ongoing for the remainder of Phase I – First Payment). Close collaboration between these DRS and DLO, which share similar requirements, ensures that the solution effectively addresses the needs of both entities. Currently, the most up-to-date information regarding the implementation statuses of DRS and DLO is as follows:

- **Disability Retirement Services:** The Sol Case Management Solution provides Disability Retirement Services with much-needed functionality in tracking, automating, and setting workflows for the work done by staff as they process applications for disability retirement and prepare the agenda every month. Prior to Sol, staff used various tools to keep track of their work, such as Excel spreadsheets, Outlook reminders, and e-mails. Now, Sol offers staff dashboards that allow staff to see at-a-glance which of their tasks may be overdue or coming close to their due dates.

DRS, as the Clerk of the Board, is required to maintain the records submitted during the appeal process. The appeal process was not previously automated and relied on three different databases for information. Certain aspects of the process were manually

managed with scanners and various Microsoft tools that allowed for the conversion of documents into electronic format. LACERA's Sol Case Management Solution System introduced centralized data management for simpler access and real-time updates to information; clear audit trails of actions taken on cases; and digitized recordkeeping to reduce the need for paper. These enhancements have created a more structured and efficient approach to case management by automating both routine and unpredictable tasks.

**Disability Litigation Office:** The Sol Case Management Solution provides the DLO a central location for prepping and storing all its appeal cases. Gone are the days of staff lugging volumes of records home, as the contents of DLO's physical file cabinets are easily within digital reach. Paper lists of upcoming events and deadlines are no longer needed, as the user dashboard helps keep DLO on task, providing a display of the status of each case, a to-do list, and a list of upcoming events. Pertinent case information is also easily accessible as soon as the case information page is opened. Prepopulated templates and an automatic distribution feature now replace manual inputting, copying, and pasting jobs. As DLO continues to use and fine-tune Sol, it anticipates that Sol will improve DLO's efficiency and accuracy.

## CONCLUSION

LACERA is dedicated to continuously supporting enhancements to Sol to meet evolving Disability Retirement Services and Disability Litigation Office requirements, aiming to enhance member service and operational efficiency. Collaboration with the Eccentex Implementation Team is crucial for developing the First Payment solution, aligning with LACERA's innovation mission, and ensuring continuous improvement for an enhanced member experience.

## Attachment

|     |                    |                   |              |                 |
|-----|--------------------|-------------------|--------------|-----------------|
| CC: | Santos H. Kreimann | Luis A. Lugo      | JJ Popowich  | Laura Guglielmo |
|     | Tamara Caldwell    | Hernan Barrientos | Kerri Wilson | Vincent Lim     |
|     | Eugenia Der        | Diana Luong       | Kathy Delino | Celso Templo    |
|     | Iveta Brecko       |                   |              |                 |



# Case Management Solution “Sol” Update





- i. **Introduction** - Celso Templo (IT Manager II Systems PMO)
- ii. **Disability Retirement** – Hernan Barrientos & Kerri Wilson (DRS Specialist Supervisors)
- iii. **Disability Litigation** - Eugenia Der (Sr. Staff Counsel DLO) & Diana Luong (Sr. Legal Secretary DLO)
- iv. **Future State** – Iveta Brecko (Project Manager Systems PMO)



# 01 Disability Retirement

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# Prior to Sol



The image displays three overlapping Excel spreadsheets and a file explorer window, illustrating the data management process prior to the Sol system.

**Top Spreadsheet: Intake Case Assignment Routed Applications**

| Member Name | Employee # | Application Date | ER DEADLINE                   | Routed for Counsel | Debra Martin's Comments                            | Notes |
|-------------|------------|------------------|-------------------------------|--------------------|--|-------|
|             |            | 6/23/2023        | 10/23/2023                    |                    | 08/11/23 email to Gabby need second call to member |       |
|             |            | 4/20/2023        | Extended Deadline: 10/24/2023 | x                  | 06/21/2023 See workspace comments                  |       |
|             |            | 6/28/2023        | 10/23/2023                    |                    | 08/11/23 email to Gabby, second call needed        |       |
|             |            | 6/28/2023        | 9/18/2023                     |                    |  |       |

**Middle Spreadsheet: Running Applications List (2010-Pres.)**

|    | A      | B  | C | D      | E | F         | G      | H         | I  | J   | K | L | M       | N  | O                | P              | Q       | R | S | T |
|----|--------|----|---|--------|---|-----------|--------|-----------|----|-----|---|---|---------|----|------------------|----------------|---------|---|---|---|
| 13 | safety | SH | B | Active |   | 8/16/2023 | August | 2023-2024 | EE | SCD |   |   | 3-Ortho | No | Thomas J. Wicke  | Marco Legaspi  | Pending |   |   |   |
| 14 | safety | SH | B | Active |   | 8/11/2023 | August | 2023-2024 | EE | SCD |   |   | 3-Ortho | No | Tamara Yeritsyan | Amabelle Delin | Pending |   |   |   |
| 15 | safety | SH | B | Active |   | 8/11/2023 | August | 2023-2024 | EE | SCD |   |   | 3-Ortho | No | Thomas J. Wicke  | Darren Huey    | Pending |   |   |   |
| 16 | safety | SH | B | Active |   | 8/11/2023 | August | 2023-2024 | EE | SCD |   |   | 3-Ortho | No | Justin Stewart   |                | Pending |   |   |   |
| 17 | safety | SH | B | Active |   | 8/11/2023 | August | 2023-2024 | EE | SCD |   |   | 3-Ortho | No | Tamara Yeritsyan | Danny Hang     | Pending |   |   |   |
| 18 | safety | SH | B | Active |   | 8/9/2023  | August | 2023-2024 | EE | SCD |   |   | 3-Ortho | No | Kala Schmidt     | Mario Garrido  | Pending |   |   |   |

**Bottom Spreadsheet: Employer-Filed Application Prog**

**File Explorer Window: Documents-All Staff > Intake Team**

| Name                                      | File Size | Modified          | Modified By       | Created By        | Created           |
|---|-----------|-------------------|-------------------|-------------------|-------------------|
| 1 Team Legal Invoices                     | 1 item    | February 4, 2021  | Herman Barrientos | Herman Barrientos | February 4, 2021  |
| Case Assignment                           | 3 items   | October 29, 2021  | Frida Skugrud     | Frida Skugrud     | October 29, 2021  |
| Completed Work                            | 125 items | February 4, 2021  | Herman Barrientos | Herman Barrientos | February 4, 2021  |
| Digital Application                       | 24 items  | February 4, 2021  | Herman Barrientos | Herman Barrientos | February 4, 2021  |
| Document Review - FS                      | 1 item    | February 4, 2021  | Herman Barrientos | Herman Barrientos | February 4, 2021  |
| Document Review - Supervisor              | 3 items   | February 4, 2021  | Herman Barrientos | Herman Barrientos | February 4, 2021  |
| Employer-Filed Applications               | 2 items   | March 31          | Gabriela Valadez  | Gabriela Valadez  | March 31          |
| Frida                                     | 13 items  | February 22, 2022 | Frida Skugrud     | Frida Skugrud     | February 22, 2022 |
| Incomplete Applications - Medical Records | 5 items   | December 16, 2022 | Gabriela Valadez  | Gabriela Valadez  | December 16, 2022 |
| INTAKE LETTER TEMPLATES                   | 2 items   | March 19, 2021    | Tamara Caldwell   | Tamara Caldwell   | March 19, 2021    |
| Letters for supervisor review             | 6 items   | April 5           | Gabriela Valadez  | Gabriela Valadez  | April 5           |
| Panel Physicians                          | 5 items   | May 15, 2020      | Ricki Contreras   | Ricki Contreras   | May 15, 2020      |
| Panel Physicians(1)                       | 1 item    | February 4, 2021  | Herman Barrientos | Herman Barrientos | February 4, 2021  |
| Pending Order Lists                       | 2 items   | May 1, 2020       | Tamara Caldwell   | Tamara Caldwell   | May 1, 2020       |
| Pending Work                              | 5 items   | April 22, 2020    | Tamara Caldwell   | Tamara Caldwell   | April 7, 2020     |
| Pending Work(1)                           | 2 items   | February 4, 2021  | Herman Barrientos | Herman Barrientos | February 4, 2021  |
| Potential Physicians                      | 2 items   | May 15, 2020      | Ricki Contreras   | Ricki Contreras   | May 15, 2020      |
| Potential Physicians(1)                   | 2 items   | February 4, 2021  | Herman Barrientos | Herman Barrientos | February 4, 2021  |

# Workflows and Tracking



Home
CASE: DR-2309-00016 - Tammy Testcase
CASE: Disability Retirement DR-2309-00016
Close Window

New
Intake
Amendment Intake
Records
Indexing
Interview
DRER
Medical Review
Post Medical Review
Board Prep
QA
On Agenda
Completed
Closed

Email
Generate Document
Notification
Service Request
SharePoint
Preview DRES
Reroute/Reopen Case
Case Notifications

Applicant: Tammy Testcase
Employee #: 999999
Assigned Specialist: Sarah Robles (HB)
Elapsed from Application Date: 2 months 21 days
Application Type: SCD Retro
Department:
Assigned ANCHOR: Sarah Robles
Elapsed from Assignment Date: 2 months 5 days
Priority: P3
Position: RETIREMENT BENEFITS SPECIALIST III
Applicant Attorney: Pro Per
Elapsed in Case State: 0 days
Application Date: 09/12/2023
Accepted Body Parts: Back, Left Knee, Left Shoulder, Neck

Case Info
Member
Participants
Documents
Case Notes
Discussions
Appointments
Records
Interviews
Med Eval
Amendments
Tasks (51)

Application Info

Submitter: Employee
Type: SCD Retro
Physical Class: 2 - Light
Dates of Injury: CT 12/1/20 - 5/6/23; 8/9/21
Last Assignment: DOWNEY HEADQUARTERS
Last Date Worked: 05/23/23
LDRC: 09/30/23
Date Specialist Assigned: 09/28/23

Developed Body Parts: Left Knee Left Shoulder
Rejected Body Parts:
Medical Specialty: ORTHOPEDIC
DRES Status: SERVICE RETIRED
DRES Status Date: 09/30/23
Other Instructions that will be added to DRES:

Late Filing:
Amendment:
Presumption Case:
Termination for Cause:
2 Year Review:
Plan Transfer:
Fitness for Duty:
Active Death:
Intake Counseling Completed:

Record Requests (6 items)

| Order Date | Location/Agency | Date Received | Order Type   |
|------------|-----------------|---------------|--------------|
| 09/26/2023 | OHP             | 09/26/2023    | Direct Order |

TO DO (1)
New TO DO
Status: Open
Instruction
Due On
From: Sol To: Hernan Barrientos
Review DRER (upfront) and approve or reject.
12/18/2023
Accept
Reject

# Application Intake



HomeDR Open CasesCASE: DR-2309-00016 - Tammy TestcaseIntake Rework - DR-2309-00016

Intake Rework - In ProcessAssigned To Tamara Caldwell

Close Window

Assign TaskClose IncompleteClose IneligibleCompletedEmailGenerate DocumentNotificationRefer to ConfidentialHold

Case: DR-2309-00016Employee #: 999999Elapsed from Application Date: 2 months 19 days

Applicant: Tammy TestcaseDepartment:Task Resolution:

Application Type: SCD RetroPosition: RETIREMENT BENEFITS SPECIALIST IIIMember Due Date: 11/24/2023

Priority: P3Application Date: 09/12/2023Applicant Attorney: Pro Per

Case InfoMemberParticipantsDocumentsCase NotesDiscussionsHistory

LibraryShow Static Folders

UploadUpload from SPMergeCreate Action ItemDistributeTagUn-TagReset selection

Search

Drag-and-drop files into this grid

|                                     | Name            | Doc Type                              | Approve                  | AI                       | Notes                    | Versi...                 | ShareP...                | Doc Date | Receiv... |
|-------------------------------------|-----------------|---------------------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|----------|-----------|
| <input type="checkbox"/>            | Testcase DIS101 | APPLICATION FOR DISABILITY RETIREMENT | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 10/25/2  |           |
| <input checked="" type="checkbox"/> | Testcase DIS107 | DISABILITY PHYSICIANS STATEMENT       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 10/25/2  |           |

Page 1 of 1

Displaying 1 - 2 of 2

Check ListTO DO (1)

Application Review and Document Review

APPLICATION FOR DISABILITY RETIREMENT (DIS 101)

CLAIMS AGAINST THIRD PARTY (DIS 117)

AUTHORIZATION TO OBTAIN AND RELEASE INFORMATION (DIS 104)

PHYSICIAN STATEMENT FOR DISABILITY RETIREMENT (DIS 107)

NOTICE OF ATTORNEY REPRESENTATION (DIS 3034)

APPLICATION FOR SUPPLEMENTAL DISABILITY ALLOWANCE (DIS 3032)

Check Missing Information in the Documents

The Physician Statement does not include a diagnosis.

The Physician Statement does not indicate permanent incapacity

The Physician Statement does not indicate your job title.

The Physician Statement was not dated within six months of the filing of the application.

The Physician Statement was not signed and/or dated by your physician.

The Physician Statement was not signed by a physician within the appropriate medical specialty; the physician certifying your incapacity must specialize in the field relevant to your claimed disability.

Enter Case Information/Details

Enter Legal Representation Information or Pro Per

Add Applicant Attorney to Participant List, if applicable.

Enter Additional Participants

# Application Intake



Check List

TO DO (1)

**Application Review and Document Review**

☒

APPLICATION FOR DISABILITY RETIREMENT (DIS 101)

☒

CLAIMS AGAINST THIRD PARTY (DIS 117)

☒

AUTHORIZATION TO OBTAIN AND RELEASE INFORMATION (DIS 104)

☒

PHYSICIAN STATEMENT FOR DISABILITY RETIREMENT (DIS 107)

☒

☒

NOTICE OF ATTORNEY REPRESENTATION (DIS 3034)

☒

APPLICATION FOR SUPPLEMENTAL DISABILITY ALLOWANCE (DIS 3032)

**Check Missing Information in the Documents**

The Physician Statement does not include a diagnosis.

☒

☒

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The Physician Statement does not indicate your job title.

☒

The Physician Statement was not dated within six months of the filing of the application.

☒

The Physician Statement was not signed and/or dated by your physician.

☒

The Physician Statement was not signed by a physician within the appropriate medical specialty; the physician certifying your incapacity must specialize in the field relevant to your claimed disability.

☒

☒

Enter Case Information/Details

☒

Enter Legal Representation Information or Pro Per

Add Applicant Attorney to Participant List, if applicable.

☒

Enter Additional Participants



Tammy Testcase  
300 N Lake Ave Ste 650  
Pasadena, CA 91101-5673

## NOTICE OF INCOMPLETE APPLICATION FOR DISABILITY RETIREMENT

Dear Tammy Testcase:

On September 12, 2023 we received Application for Disability Retirement. At this time, we are unable to continue processing the document for the reasons checked below:

**One or more of the following documents are either missing or is incomplete:**

PHYSICIAN STATEMENT FOR DISABILITY RETIREMENT (DIS 107)

**Physician Statement for Disability Retirement is not valid and does not meet one or more of the following acceptance criteria:**

The Physician Statement does not indicate permanent incapacity

## DEADLINE TO SUBMIT DOCUMENTS – 01/30/2024

LACERA is dedicated to the service of its members, and we are here to assist you through the disability retirement application process. If you have any questions about this notice or the application process, please contact the Disability Retirement Services Division at (626) 564-2419 and ask to speak to someone in the Intake Unit.

Sincerely,

Intake Unit  
Disability Retirement Services

Cc:

# Application Intake



HomeDR Open CasesCASE: DR-2309-00016 - Tammy TestcaseIntake Rework - DR-2309-00016

Intake Rework - In ProcessAssigned To Tamara Caldwell

Close Window

Assign TaskClose IncompleteClose IneligibleCompletedEmailGenerate DocumentNotificationRefer to Confidential

Hold

Case: DR-2309-00016Employee #: 999999Elapsed from Application Date: 2 months 19 days

Applicant: Tammy TestcaseDepartment:Task Resolution:

Application Type: SCD RetroPosition: RETIREMENT BENEFITS SPECIALIST IIIMember Due Date: 11/24/2023

Priority: P3Application Date: 09/12/2023Applicant Attorney: Pro Per

Case InfoMemberParticipantsDocumentsCase NotesDiscussionsHistory

LibraryShow Static Folders

UploadUpload from SPMergeCreate Action ItemDistributeTagUn-TagReset selection

Folders

New

Application Intake Documents (4)

Application Attachments (6) New

Intake Docs Not Accepted (2) New

Application for DR (4)

Record Repository (2) New

For Review (0)

Panel Physician Report (9) New

Indexed - Admin Record (0)

Administrative (3) New

Miscellaneous (0)

ORTHOPEDIC (0)

Working Folder (6)

Board Packet (0)

Correspondence/Emails (9) New

Medical Packet (1)

Outgoing Correspondence (8)

Uncategorized (19) New

Deleted (40)

Search

Drag-and-drop files into this grid

|                                     | Name            | Doc Type                                  | Approve                  | AI                       | Notes                    | Versi...                 | ShareP...                | Doc Date | Releve |
|-------------------------------------|-----------------|---|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|----------|--------|
| <input type="checkbox"/>            | dis104          | AUTHORIZATION FOR RELEASE OF MED. RECORDS | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 12/01/2  |        |
| <input type="checkbox"/>            | dis117          | CLAIMS AGAINST THIRD PARTIES              | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 12/01/2  |        |
| <input type="checkbox"/>            | Testcase DIS101 | APPLICATION FOR DISABILITY RETIREMENT     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 10/25/2  |        |
| <input checked="" type="checkbox"/> | Testcase DIS107 | DISABILITY PHYSICIANS STATEMENT           | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 10/25/2  |        |

Page 1 of 1

Displaying 1 - 4 of 4

Check ListTO DO (1)

Application Review and Document Review

☒

APPLICATION FOR DISABILITY RETIREMENT (DIS 101)

☒

CLAIMS AGAINST THIRD PARTY (DIS 117)

☒

AUTHORIZATION TO OBTAIN AND RELEASE INFORMATION (DIS 104)

☒

PHYSICIAN STATEMENT FOR DISABILITY RETIREMENT (DIS 107)

☒

NOTICE OF ATTORNEY REPRESENTATION (DIS 3034)

☒

APPLICATION FOR SUPPLEMENTAL DISABILITY ALLOWANCE (DIS 3032)

Check Missing Information in the Documents

The Physician Statement does not include a diagnosis.☐

The Physician Statement does not indicate permanent incapacity.☐

The Physician Statement does not indicate your job title.☐

The Physician Statement was not dated within six months of the filing of the application.☐

The Physician Statement was not signed and/or dated by your physician.☐

The Physician Statement was not signed by a physician within the appropriate medical specialty; the physician certifying your incapacity must specialize in the field relevant to your claimed disability.☐

☒

Enter Case Information/Details

☒

Enter Legal Representation Information or Pro Per

Add Applicant Attorney to Participant List, if applicable.

☒

Enter Additional Participants

# Board Agenda





# Board Agenda



Home

BOR-01/03/2024

BOR-01/03/2024 BOR

Close Window

Generate Document

Lock Agenda

Generate DR Agenda

Generate Appeal Agenda

Appeals Transmittal Preview

Change BOR Date

BOR Date:

01/03/2024

Agenda Status:

Open

Cutoff Date:

12/20/2023

DR Load:

DR Agenda Document:

Appeal Agenda Document:

DR Agenda Export:

Appeal Agenda Export:

Consent Cases

Non-Consent Cases

Held Over

Appeals

Appeals (Misc)

Documents

History

Export

Refresh

| Review Status | GROUP                                | ATTY | APP NUMBER | LR | NAME | DEPT. NO. | REQ | PHYS RECOM. | STAFF RE             |
|---------------|--------------------------------------|------|------------|----|------|-----------|-----|-------------|----------------------|
| Need Review   | 1. Safety – SCD (LE, Sheriff's, D.A) |      |            |    |      | SH        | SCD | SCD         | SCD                  |
| Need Review   | 1. Safety – SCD (LE, Sheriff's, D.A) |      |            |    |      | SH        | SCD | DENY        | SCD EMP CANNOT ACCOM |

Page 1 of 1

Displaying 1 - 2 of 2

TO DO

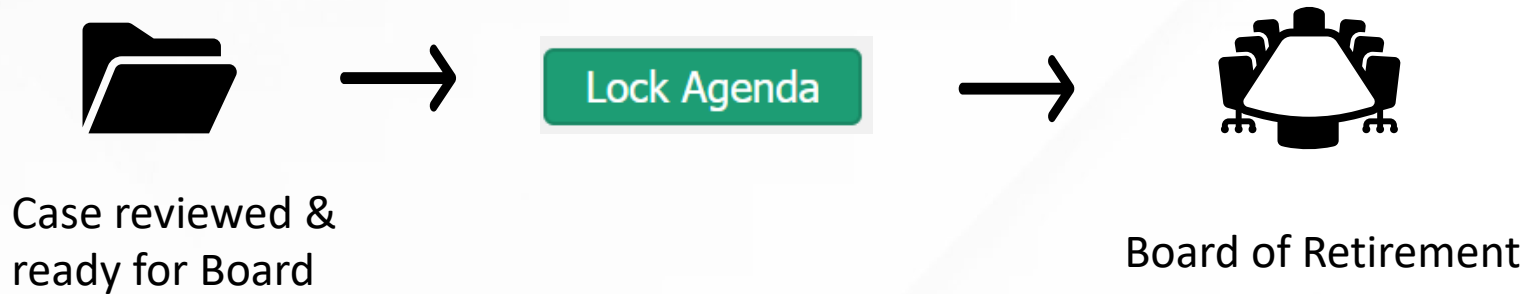
+ New TO DO

Status: Open

Refresh

| Instruction | Due On | S |
|-------------|--------|---|
|-------------|--------|---|

# Board Agenda



# Appeals Before Sol



Member Service Workspace

Search

Comprehensive

Member

Payee

Interactions

Work

Disability

User

Member Search Results

| ID | Name | City        |
|----|------|-------------|
|    |      | LOS ANGELES |
|    |      | LONG BEACH  |
|    |      | SAN DIMAS   |
|    |      | LOS ANGELES |

Disability Tracker

File Edit View Go Case Tools Help

Enter SSN

Disabilities

General

Tasks

Views

Tasks

Printing

Pending Disabilities

| Name | SSN | App. Date  | Type | Dis Attorney   |
|------|-----|------------|------|----------------|
|      |     | 12/08/2020 | SCD  | <In Pro Per>   |
|      |     | 04/25/2023 | SCD  | Michael Treger |
|      |     |            | SCD  | Michael Treger |

Documents-All Staff > Appeals > Appeals Cases - Pending

| Name                     | File Size | Modified           | Modified By       | Created By        | Created            |
|--------------------------|-----------|--------------------|-------------------|-------------------|--------------------|
| 1 - TEMPLATES            | 47 items  | April 29, 2021     | Hernan Barrientos | Hernan Barrientos | April 29, 2021     |
| 2 - TEMPLATES (OBSOLETE) | 70 items  | September 29, 2022 | Kerri Wilson      | Kerri Wilson      | September 29, 2022 |
| 3 - SPECIAL LETTERS      | 9 items   | October 25, 2022   | Stephanie Ashley  | Hernan Barrientos | April 29, 2021     |
| Agendas                  | 12 items  | April 29, 2021     | Hernan Barrientos | Hernan Barrientos | April 29, 2021     |
| Agendas (OBSOLETE)       | 10 items  | November 30, 2021  | Stephanie Ashley  | Gabriela Valadez  | August 5, 2020     |
| Agendas (OBSOLETE)       | 46 items  | April 29, 2021     | Hernan Barrientos | Hernan Barrientos | April 29, 2021     |
| Agendas (OBSOLETE)       | 10 items  | February 15, 2022  | Stephanie Ashley  | Angelina Guerrero | September 17, 2020 |
| Agendas (OBSOLETE)       | 10 items  | April 11, 2022     | Stephanie Ashley  | Gabriela Valadez  | July 31, 2020      |
| Agendas (OBSOLETE)       | 11 items  | April 29, 2021     | Hernan Barrientos | Hernan Barrientos | April 29, 2021     |
| Agendas (OBSOLETE)       | 10 items  | May 10             | Stephanie Ashley  | Karla Sarni       | April 27, 2021     |
| Agendas (OBSOLETE)       | 11 items  | April 29, 2021     | Hernan Barrientos | Hernan Barrientos | April 29, 2021     |
| Agendas (OBSOLETE)       | 10 items  | May 6, 2022        | Stephanie Ashley  | Rashad Gilliam    | November 16, 2020  |
| Agendas (OBSOLETE)       | 10 items  | April 29, 2021     | Hernan Barrientos | Hernan Barrientos | April 29, 2021     |
| Agendas (OBSOLETE)       | 10 items  | April 12           | Stephanie Ashley  | Frida Skugrud     | September 8, 2021  |
| Agendas (OBSOLETE)       | 10 items  | April 29, 2021     | Hernan Barrientos | Hernan Barrientos | April 29, 2021     |

# New Appeal Received



Home DR All Cases CASE: DR-2312-01987 - Tammy Testcase

CASE: Disability Retirement DR-2312-01987

New Intake Amendment Intake Counseling Records Indexing Interview DRER Medical Review Post Medical Review Board Prep QA On Agenda Completed

Email Notification SharePoint Preview DRES Runaway/Reopen Case Case Notifications Start Appeal

Applicant: **Tammy Testcase** Employee #: **999999** Assigned Specialist: **Anna Kwan (RS)** Elapsed from Application Date: **0 days**  
Application Type: **SCD** Department: Assigned ANCHOR: **Sarah Robles** Elapsed from Assignment Date: **0 days**  
Priority: **P3** Position: **RETIREMENT BENEFITS SPECIALIST III** Applicant Attorney: **Pro Per** Elapsed in Case State: **0 days**  
Application Date: **12/04/2023** Accepted Body Parts: **Neck, Back**

Case Info Member Participants Documents Case Notes Discussions Appointments Records Interviews Med Eval Amendments Tasks (40)

Application Info

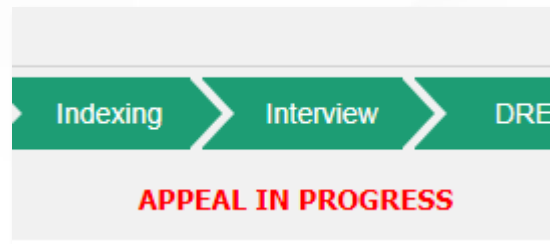
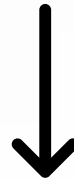
Submitter:  Developed Body Parts:  Late Filings: ☐

TO DO (0)

+ New TO DO Status: Open

Instruction Due On

**Start Appeal**



# Appeal Case Created



Home DRS Open Appeals DRS APPEAL: Tammy Testcase

**Disability Litigation - DRS DRA-2312-01988**

Email Generate Document Notification Add Process Reassign Referee Reassign Referee Manually

Applicant: **Tammy Testcase** Medical Type: **ORTHOPEDIC** Referee: **N/A**  
DLO Atty: Employee #: **999999** Applicant Atty: **Pro Per**  
Secretary: Department: DLO Case Status: **N/A**  
Disability Case: **DR-2312-01987** Position: **RETIREMENT BENEFITS SPECIALIST III** Case Status: **DRS Acceptance**

Case Info Member Participants Documents DR Documents Events Dates Medical Records Discussions Notes

+ Library Show Static Folders

**Folders**

- Appeal Correspondence (0)
- Appeal Packet (0)
- Objections (0)
- PHS Applicant (0)
- PHS Respondent (0)
- Referee Findings (0)
- Closing Briefs (0)
- Transcripts (0)
- Legal (0)
- Disability File (0)
- Uncategorized (0)
- Deleted (0)

Select folder on the left

# Board Agenda



DRS APPEAL: Tammy Testcase

DRS DRA-2312-01988

Document Notification + Add Process Reassign Referee Reassign Referee Manually Place on Agenda SharePoint

Medical Type: ORTHOPEDIC  
Employee #: 999999  
Department:  
Position: RETIREMENT BENEFITS SPECIALIST III

Referee: N/A  
Applicant Atty: Pro Per  
DLO Case Status: N/A  
Case Status: DRS Acceptance

Participants Documents DR Documents Events Dates

Place on Agenda



Place Case on BOR Agenda

Confirm Cancel

Select BOR Date \*: 01/03/2024

# Refer to Administrative Hearing



DRS APPEAL: Tammy Testcase DR BOR BOR-01/03/2024

- DRS DRA-2312-01988

ment Notification + Add Process Reassign Referee Reassign Referee Manually SharePoint Sync Docs to DLO

estcase Medical Type: **ORTHOPEDIC** Referee: **Humberto Flores**

Employee #: **999999** Applicant Atty: **Pro Per**

Department: DLO Case Status: **Referee Assignment**

01987 Position: **RETIREMENT BENEFITS SPECIALIST III** Case Status: **Referee Assignment**

ber Participants Documents DR Documents Events Dates Medical Records Discussions Notes Ta

olders Tag Un-Tag Copy to This Case Reset selection

| Name         | Doc Type                   | Creat. On          |
|--------------|----------------------------|--------------------|
| Board Packet | DISABILITY BOARD CASE FILE | 12/04/2023 1:09 PM |

# Event Dates



[Home](#)
[DRS Open Appeals](#)
DRS APPEAL: Tammy Testcase

**Disability Litigation - DRS DRA-2312-01988**

[Email](#)
[Generate Document](#)
[Notification](#)
[+ Add Process](#)
[Reassign Referee](#)
[Reassign Referee Manually](#)
[SharePoint](#)
[Sync Docs to DLO](#)

Applicant: **Tammy Testcase**

Medical Type: **ORTHOPEDIC**

Referee: **Humberto Flores**

DLO Atty:

Employee #: **999999**

Applicant Atty: **Pro Per**

Secretary:

Department:

DLO Case Status: [Referee Assignment](#)

Disability Case: **DR-2312-01987**

Position: **RETIREMENT BENEFITS SPECIALIST III**

Case Status: [Referee Assignment](#)

[Case Info](#)
[Member](#)
[Participants](#)
[Documents](#)
[DR Documents](#)
[Events](#)
[Dates](#)
[Medical Records](#)
[Discussions](#)
[Notes](#)

**DRA Date (41 items)**
[Export](#)

|   | Name                            | Date       | Party | Comments | Order |   |   |
|---|---------------------------------|------------|-------|----------|-------|---|---|
| ⚙ | Referee Assign Date             | 12/07/2023 |       |          | 1     | ⬆ | ⬇ |
| ⚙ | 1st Affidavit Date              |            |       |          | 2     | ⬆ | ⬇ |
| ⚙ | 2nd Referee Assign Date         |            |       |          | 3     | ⬆ | ⬇ |
| ⚙ | 2nd Affidavit Date              |            |       |          | 4     | ⬆ | ⬇ |
| ⚙ | 3rd Referee Assign Date         |            |       |          | 5     | ⬆ | ⬇ |
| ⚙ | Add'l Referee Reassignment Date |            |       |          | 6     | ⬆ | ⬇ |
| ⚙ | Rule 19 Letter Date             |            |       |          | 7     | ⬆ | ⬇ |
| ⚙ | Procedural Conf Date            |            |       |          | 8     | ⬆ | ⬇ |
| ⚙ | PC Transcript Rec'd             |            |       |          | 9     | ⬆ | ⬇ |
| ⚙ | Rule 19 Conf Date               |            |       |          | 10    | ⬆ | ⬇ |
| ⚙ | Rule 32 Notice Request Date     |            |       |          | 11    | ⬆ | ⬇ |
| ⚙ | Rule 32 Notice Date             |            |       |          | 12    | ⬆ | ⬇ |
| ⚙ | Rule 32 Expires Date            |            |       |          | 13    | ⬆ | ⬇ |
| ⚙ | Rule 32 Dismissal Request       |            |       |          | 14    | ⬆ | ⬇ |
| ⚙ | Rule 32 Dismissal Approval Date |            |       |          | 15    | ⬆ | ⬇ |
| ⚙ | Rule 32 Date                    |            |       |          | 16    | ⬆ | ⬇ |





# 02 Disability Litigation

---

# DLO Dashboard



Home
DLO APPEAL: Tammy Testcase

DLO Dashboard
My Dashboards

### My Cases

| Applicant | Attorney        | Case Status             |
|-----------|-----------------|-------------------------|
|           | Jason Waller    | Discovery (Pre-hearing) |
|           | Jason Waller    | Discovery (Pre-hearing) |
|           | Allison Barrett | Discovery (Pre-hearing) |
|           | Allison Barrett | Discovery (Pre-hearing) |
|           | Allison Barrett | Board                   |
|           | Allison Barrett | WRIT Pending            |

Page 1 of 1
Displaying 1 - 9 of 9

### My Notifications

| Date       | From            | Applicant | Comments  |
|------------|-----------------|-----------|---|
| 10/18/2023 | Paola Johns     |           | TO DO you initiated has been completed by Paola Johns     |
| 09/27/2023 | System User     |           | Status of the Applicant is set to Deceased                |
| 09/26/2023 | Jason Waller    |           | Document(s) review is completed by Jason Waller           |
| 09/21/2023 | Jason Waller    |           | Document(s) review is completed by Jason Waller           |
| 09/20/2023 | Jason Waller    |           | Document(s) review is completed by Jason Waller           |
| 08/24/2023 | Vincent Lim     |           | TO DO you initiated has been completed by Vincent Lim     |
| 08/24/2023 | Allison Barrett |           | TO DO you initiated has been completed by Allison Barrett |
| 08/24/2023 | Jason Waller    |           | TO DO you initiated has been completed by Jason Waller    |

### My TO DO

| Due Date   | From        | Applicant | Instruction   |
|------------|-------------|-----------|---|
| 09/13/2023 | Sol         |           | Create and send Rule 3A Letter  |
| 09/13/2023 | Sol         |           | Hearing Set Date Expired. Please review if Administrative Closure needed. |
| 09/13/2023 | Sol         |           | Create and send Rule 3A Letter  |
| 09/13/2023 | Sol         |           | Create and send Rule 3A Letter  |
| 09/13/2023 | Sol         |           | Create and send Rule 3A Letter  |
| 09/15/2023 | Diana Luong |           | TEST TEST   |
| 09/18/2023 | Sol         |           | Send Rule 19 Letter   |
| 09/18/2023 | Sol         |           | Schedule Conference   |
| 09/19/2023 | Paola Johns |           | Please see  |
| 09/19/2023 | Paola Johns |           | Rule 32 Is approaching. Prepare memo for                                  |

Page 1 of 1
Displaying 1 - 14 of 14

### Upcoming Events

| Date | Applicant | Event Name | Event Status |
|------|-----------|------------|--------------|
|------|-----------|------------|--------------|

Page 0 of 0
No data to display

# Case Info



[Home](#)
[DLO APPEAL: Tammy Testcase](#)

**Disability Litigation - DLO** DLO-2311-01983
 Close Window

[Email](#)
[Generate Document](#)
[Sync Exhibits](#)
[+ Add Process](#)

**Applicant:** [Tammy Testcase](#)
**Position:** [RETIREMENT BENEFITS SPECIALIST III](#)
**Referee:** [Elizabeth Moreno](#)
**Ref assigned:** 11/14/2023

**Employee #:** 999999
 **Department:**
**Applicant Atty:** Pro Per
 **App's PHS:** 8 days until 11/28/2023

**Disability Case:** DR-2309-01959
 **Medical Type:** INTERNAL
 **DLO Atty:** [Eugenia Der](#)
**Hearing L/D:** 15 days until 12/05/2023

**DRS Investigator:** [Belle Delin](#)
**Secretary:** [Paola Johns](#)
**Case Status:** [Referee Assignment](#)

[Case Info](#)
[Member](#)
[Participants](#)
[Events](#)
[Documents](#)
[DLO Exhibits](#)
[App Exhibits](#)
[Med Exh.](#)
[Med Rep](#)
[Notes](#)
[Outcome](#)
[Tasks \(20\)](#)
[History](#)

**Disability Retirement Appeal**

**Application Filed:** 11/14/23
 **Accepted Body Part(s):** [Lung](#)

**Submitted By:** Employee
 **Rejected Body Part(s):** [Neck](#) [Left Lower Extremity](#)

**DR Issue:** SCD
 **Date(s) Of Injury:** June 2022

**Appeal Request Type:** SCD
 **Ref. Assignment:** 11/14/2023

**Last Date Worked:** 10/24/2023
 **Applicant's PHS Due:** 11/28/2023

**Out of Service Date:**
**Hearing L/D:** 12/05/2023

**Is Pro Per Psych?:** ☐

**Pro Per Psych Notification On:** ☐

**Medical Reports**

| Panel MD                     | Specialty          | Report Date | Findings |
|------------------------------|--------------------|-------------|----------|
| <a href="#">Omar Tirmizi</a> | Pulmonary Medicine | 11/13/2023  | SCD      |

[DLO TO DO](#)
[External TO DO](#)
[Communk](#)

[+ New TO DO](#)
Status: Open
 [Close](#)

**Instruction**
**Due On**

**From:** Sol To: Paola Johns, Sarah Espinoza-Musgrave
 11/28/2023
 [Complete](#)

Check for newly signed Authorization to Release Records. If none, follow up with Applicant.

**From:** Sol To: Paola Johns, Sarah Espinoza-Musgrave
 11/21/2023
 [Complete](#)

Review new Appeal submitted by DRS. When ready for assignment, complete this TO DO item

# Templates



Los Angeles County Employees Retirement Association



300 N. Lake Ave., Pasadena, CA 91101 / PO Box 7060, Pasadena, CA 91109-7060 / [www.lacera.com](http://www.lacera.com) / 626/564-6000

November 20, 2023

Tammy Testcase  
Test Street  
Pasadena, CA 91101-5673

Subject: **Tammy Testcase – Disability Retirement Appeal**

Dear Ms. Testcase:

This letter will confirm that a Procedural Conference has been scheduled for  
**Wednesday, February 14, 2024 at 09:30 AM.**

According to Disability Retirement Hearing Procedures, a procedural conference is required for any applicant who is not represented by counsel. The referee and I will be present, and I will have a court reporter scheduled. At a later time, I will send a formal notice of the conference.

Evidence is not offered at a conference. You need not bring witnesses and you will not be asked to testify or offer documentary evidence.

Very truly yours

Eugenia W. Der, Esq.  
Senior Staff Counsel, Disability Litigation

# Distribute Utility



Distribute

Select Documents

Select Recipients

Set Settings

Close

| Name                       | Relation to Case | Email                     | Address                                   | BY E-MAIL                | U.S.MAIL                            | U.S.MAIL CERT.           | FEDEX                    | PERSONAL                 |
|----------------------------|------------------|---------------------------|---|--------------------------|-------------------------------------|--------------------------|--------------------------|--------------------------|
| Tammy Testcase             | Applicant        | 9@lacera.com_test         | Test Street<br>Pasadena, CA 91101-5673    | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Elizabeth Moreno           | Referee          | test@eapc.com             | Test Street<br>Los Angeles, CA 90066-2801 | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Jonnell Agnew & Associates | Court Reporter   | test@jonnellagnewcourt... |   | <input type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Sheriff's Department       | Employer         |                           |   | <input type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Omar Tirmizi               | Panel Physician  |                           | Test Street<br>Corona, CA 92879           | <input type="checkbox"/> | <input type="checkbox"/>            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

# Distribute Utility > Declaration



|    |   |                      |
|----|---|----------------------|
| 1  | <b>DECLARATION OF SERVICE</b>   |                      |
| 2  | I am employed in the County of Los Angeles, State of California. I am a               |                      |
| 3  | citizen of the United States, employed in the County of Los Angeles, State of         |                      |
| 4  | California, over the age of 18 years and not a party to nor interested in the within  |                      |
| 5  | action. My business address is 300 N. Lake Avenue, Suite 650, Pasadena,               |                      |
| 6  | California 91101. I am employed in the office of a member of the bar of this court at |                      |
| 7  | whose direction the service was made.   |                      |
| 8  | On December 4, 2023, I served the within document described as:                       |                      |
| 9  | <b>Respondent's Closing Brief</b>   |                      |
| 10 | <u>  X  </u> (BY U.S. MAIL) I enclosed the document in an envelope addressed to the   |                      |
| 11 | person(s) below. I am readily familiar with the normal business practice of my        |                      |
| 12 | employer for the collection and processing of correspondence and other materials      |                      |
| 13 | for mailing with the United States Postal Service. In the ordinary course of          |                      |
| 14 | business, any material designated for mailing with the United States Postal Service   |                      |
| 15 | and placed by me in a designated "OUT" box in the office of my employer is            |                      |
| 16 | deposited the same day with the United States Postal Service.                         |                      |
| 17 | <div>Tammy Testcase<br/>Test Street<br/>Pasadena, CA 91101-5673</div>                 | <div>Applicant</div> |
|    | <div>Elizabeth Moreno<br/>Test Street<br/>Los Angeles, CA 90066-2801</div>            | <div>Referee</div>   |

# Exhibit Compilation



[Home](#) [DLO APPEAL: Tammy Testcase](#)

**Disability Litigation - DLO** DLO-2311-01983

[Email](#) [Generate Document](#) [Sync Exhibits](#) [+ Add Process](#)

Applicant: **Tammy Testcase**

Employee #: **999999**

Disability Case: **DR-2309-01959**

DRS Investigator: **Belle Delin**

Position: **RETIREMENT BENEFITS SPECIALIST III**

Department:

Medical Type: **INTERNAL**

Referee: **Elizabeth Moreno**

Applicant Atty: **Pro Per**

DLO Atty: **Eugenia Der**

Secretary: **Paola Johns**

Ref assigned: **11/14/2023**

App's PHS: **8 days until 11/28/2023**

Hearing L/D: **15 days until 12/05/2023**

Case Status: **Referee Assignment**

[Case Info](#) [Member](#) [Participants](#) [Events](#) [Documents](#) [DLO Exhibits](#) [App Exhibits](#) [Med Exh.](#) [Med Rep](#) [Notes](#) [Outcome](#) [Tasks \(21\)](#) [History](#)

[+ Library](#) [Show Static Folders](#)

[Upload](#) [Upload from SP](#) [Merge](#) [Create Action Item](#) [Distribute](#) [Tag](#) [Un-Tag](#) [Reset selection](#)

**Folders**

Board Packet (0)

Correspondence (0)

Medical Record (11) **New**

Misc. Records (0)

Transcripts (0)

Pleadings (1)

Attorney Notes (0)

Working (4) **New**

From DRS (0)

Uncategorized (0)

Deleted (0)

Search

Drag-and-drop files into this grid

| <input type="checkbox"/>            | Name                     | Doc Type           | Approve | AI | Notes | Versi... | ShareP... | Doc Date | Recieved Date |
|-------------------------------------|--------------------------|--------------------|---------|----|-------|----------|-----------|----------|---------------|
| <input checked="" type="checkbox"/> | 2023-03-02 John Smith MD | DLO Medical Record |         |    |       |          |           |          | 11/15/2023    |
| <input checked="" type="checkbox"/> | 2010-09-05 Ted Baker MD  | DLO Medical Record |         |    |       |          |           |          | 11/15/2023    |
| <input type="checkbox"/>            | 2022-11-07 John Smith MD | DLO Medical Record |         |    |       |          |           |          | 11/15/2023    |
| <input checked="" type="checkbox"/> | 2022-10-08 John Smith MD | DLO Medical Record |         |    |       |          |           |          | 11/15/2023    |
| <input type="checkbox"/>            | 2010-07-08 Ted Baker MD  | DLO Medical Record |         |    |       |          |           |          | 11/15/2023    |
| <input type="checkbox"/>            | 2010-08-01 Ted Baker MD  | DLO Medical Record |         |    |       |          |           |          | 11/15/2023    |
| <input type="checkbox"/>            | 2022-01-06 John Smith MD | DLO Medical Record |         |    |       |          |           |          | 11/15/2023    |
| <input checked="" type="checkbox"/> | 2021-12-15 John Smith MD | DLO Medical Record |         |    |       |          |           |          | 11/15/2023    |
| <input type="checkbox"/>            | 2010-06-10 Ted Baker MD  | DLO Medical Record |         |    |       |          |           |          | 11/15/2023    |
| <input type="checkbox"/>            | 2010-05-05 Ted Baker MD  | DLO Medical Record |         |    |       |          |           |          | 11/15/2023    |
| <input checked="" type="checkbox"/> | 2010-03-15 Ted Baker MD  | DLO Medical Record |         |    |       |          |           |          | 11/15/2023    |

Page 1 of 1

Displaying 1 - 11 of 11

# Exhibit Compilation



Home
DLO APPEAL: Tammy Testcase

Disability Litigation - DLO
DLO-2311-01983

Email
Generate Document
Sync Exhibits
Add Process

Applicant:
**Tammy Testcase**

Employee #:
**999999**

Disability Case:
**DR-2309-01959**

DRS Investigator:
**Belle Delin**

Position:
**RETIREMENT BENEFITS SPECIALIST III**

Department:

Medical Type:
**INTERNAL**

Referee:
**Elizabeth Moreno**

Applicant Atty:
**Pro Per**

DLO Atty:
**Eugenia Der**

Secretary:
**Paola Johns**

Ref assigned:
**11/14/2023**

App's PHS:
**8 days until 11/28/2023**

Hearing L/D:
**15 days until 12/05/2023**

Case Status:
**Referee Assignment**

Case Info
Member
Participants
Events
Documents
DLO Exhibits
App Exhibits
Med Ex.
Med Rep
Notes
Outcome
Tasks (21)
History

New PHS

| Exhbt?   | Letter | Name | Description              | View |
|--|--------|------|--------------------------|------|
| Main PHS - Lock - Generate PHS - Generate Exhibits |        |      |                          |      |
| ⚙  | ✓      | A    | 2010-03-15 Ted Baker MD  |      |
| ⚙  | ✓      | B    | 2010-09-05 Ted Baker MD  |      |
| ⚙  | ✓      | C    | 2021-12-15 John Smith MD |      |
| ⚙  | ✓      | D    | 2022-10-08 John Smith MD |      |
| ⚙  | ✓      | E    | 2023-03-02 John Smith MD |      |

## Exhibits:

The Respondent will offer the following exhibits:

A. Medical Report of Ted Baker, M.D., dated March 15, 2010.

B. Medical Report of Ted Baker, M.D., dated September 5, 2010.

C. Agreed Medical Examiner Report of John Smith, M.D., dated December 15, 2021.

D. Agreed Medical Examiner Report of John Smith, M.D., dated October 8, 2010.

E. Agreed Medical Examiner Report of John Smith, M.D., dated March 2, 2023.



# Future State



## **Phase 1 (Carryover)**

- Member Services Tasks – Customized Letter and a Phone Call

## **Phase 2**

- Disability Hand- off to First Payment
- Death Processing + Seamless survivor
- Account Settlements
- Post Processing, Quality Control Audit

# Thank You!



## Case Management Project Team

Questions?

**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**