# EPR Second Quarter Report: Key Performance Indicators Summary Dashboard

In addition to the strategic side of the house, we also have the operational side which is represented by our Key Performance Indicators (KPIs). The KPIs are the third component of our Enterprise Performance Reporting structure and serve as a collection of performance indicators that measure and monitor the effectiveness of our efforts at the operational level.

The Key Performance Indicators Summary Dashboard provides a brief synopsis of how all 60 KPIs are performing for the second quarter (October 1, 2018 – December 31, 2018). Additional performance details can be found on the summary sheets for each KPI. Informational KPI's are non-performance driven.

Second Quarter Measure Performance:

- 26 On-Target
- 2 At-Risk
- 21 Pending refresh
- 1 Data not available
- 9 Informational
- 1 Closed Session item

Thresholds have been established for all non-informational KPIs; they afford us the ability to assess performance, and identify whether these KPIs are On-Target, At-Risk, or Off-Target.

**Status Key** 🟢 On-Target   🔺 At-Risk   🟥 Off-Target   ✱ Pending Refresh   ✱✱ Data Not Available   ▢ Under Development

# Enterprise Performance Reporting – Second Quarter Status
## Key Performance Indicators

| Reliable Steward of Funds | Q1 Status | Q2 Status | Q3 Status | Q4 Status | Page Number |
|---|---|---|---|---|---|
| GASB 68 reports completed timely | Informational | Informational | | | 10 |
| Produce CAFR with no material weaknesses | Informational | Informational | | | 11 |
| % forecast to actual expenses (annually) | ✱✱ | 🟢 | | | 12 |
| Maintain appropriate reserve levels – California Employers' Retiree Benefit Trust Fund | 🟢 | 🟢 | | | 13 |
| Maintain appropriate reserve levels – Long Term Care fund | 🟢 | 🟢 | | | 14 |
| Maintain appropriate reserve levels – Defined Benefit funds | 🟢 | 🟢 | | | 15 |
| Stay within risk boundaries for total fund | ✱ | ✱ | | | 16 |
| Aggregate risk levels of the INVO operating model (TOM) | ✱ | ✱ | | | 17 |
| Strategic asset allocation ranges (if outside approved ranges) | ✱ | ✱ | | | 18 |
| Adequate liquidity coverage | 🟢 | 🟢 | | | 19 |
| Cash forecasting accuracy | 🟢 | 🟢 | | | 20 |
| Generate liabilities and rates for pension funding – public agency | 🟢 | 🟢 | | | 21 |
| Generate liabilities for long-term care program | ✱ | ✱ | | | 22 |
| Generate liabilities and rates for pension funding – state | ✱ | 🟢 | | | 23 |
| Generate liabilities and rates for pension funding – schools | ✱ | 🟢 | | | 24 |

# Enterprise Performance Reporting – Second Quarter Status
## Key Performance Indicators

| Customer Satisfaction Driven Organizatoin | Q1 Status | Q2 Status | Q3 Status | Q4 Status | Page Number |
|---|:---:|:---:|:---:|:---:|:---:|
| Customer satisfaction | 🟢 | 🟢 | | | 25 |
| Benefit payment accuracy | 🟢 | 🟢 | | | 26 |
| Benefit payment timelines | 🟢 | 🟢 | | | 27 |
| Health plan scorecard of 90% or better | ✳ | ✳ | | | 28 |
| Customer inquiry timeliness | ✳ | ✳ | | | 29 |
| Population health dashboard | ☐ | **Informational** | | | 30 |
| Rating of health care | ✳ | ✳ | | | 41 |
| Public agency retention | ✳ | ✳ | | | 42 |
| Public agency recruitment | ✳ | ✳ | | | 43 |

# Enterprise Performance Reporting – Second Quarter Status
## Key Performance Indicators

| Open and Transparent Communication | Q1 Status | Q2 Status | Q3 Status | Q4 Status | Page Number |
|---|:---:|:---:|:---:|:---:|:---:|
| % of employer participation in CalPERS annual Educational Forum | ✶ | 🟢 | | | 44 |
| Member education satisfaction | 🟢 | 🟢 | | | 45 |
| Employer education satisfaction | 🟢 | 🟢 | | | 46 |
| Member rating on stakeholder perception survey | ✶ | ✶ | | | 47 |
| Employer rating on stakeholder perception survey | ✶ | ✶ | | | 48 |
| Stakeholder rating on stakeholder perception survey | ✶ | ✶ | | | 49 |
| Community outreach efforts | ✶ | ✶ | | | 50 |
| Member, employer and stakeholder rating on perception survey | ✶ | ✶ | | | 51 |

# Enterprise Performance Reporting – Second Quarter Status
## Key Performance Indicators

| Efficient & Effective Organization | Q1 Status | Q2 Status | Q3 Status | Q4 Status | Page Number |
|---|:---:|:---:|:---:|:---:|:---:|
| Project portfolio health | ⚠ (yellow triangle) | 🟢 | | | 52 |
| Timely resolution of public agency reviews | 🟢 | 🟢 | | | 54 |
| Form 700 completed timely | ✱ | ✱ | | | 55 |
| Mandated training compliance | ✱ | ✱ | | | 56 |
| Personal trading monitoring | ✱ | ✱ | | | 57 |
| Ensure evacuation readiness | 🟢 | ✱ | | | 58 |
| Business continuity readiness | **Informational** | **Informational** | | | 59 |
| Cyber security risk rating | **Closed Session** | **Closed Session** | | | 60 |
| Lean adoption | 🟢 | 🟢 | | | 61 |
| Employers current on CalPERS health obligations | 🟢 | 🟢 | | | 62 |
| Employer current on CalPERS pension obligations | 🟢 | 🟢 | | | 63 |
| Small business & disabled veterans business enterprise requirements compliance | ✱ | ✱ | | | 64 |
| Solicitation, contract, amendment, and purchase order service level compliance | ✱ | ✱ | | | 65 |

# Enterprise Performance Reporting – Second Quarter Status
## Key Performance Indicators

| Supportive & Engaged Leadership | Q1 Status | Q2 Status | Q3 Status | Q4 Status | Page Number |
|---|---|---|---|---|---|
| Team member assessment of leadership-manager relationships | ✱ | 🟢 | | | 66 |
| Team member perceptions of leadership-senior and executive manager relationships | ✱ | 🔺 | | | 8 |
| Retain highly skilled senior leaders | **Informational** | **Informational** | | | 67 |
| Health of Enterprise Performance Reporting Framework | ✱✱ | ✱✱ | | | 68 |
| Operational sustainability report | **Informational** | **Informational** | | | 69 |

# Enterprise Performance Reporting – Second Quarter Status
## Key Performance Indicators

| Team Member Engagement | Q1 Status | Q2 Status | Q3 Status | Q4 Status | Page Number |
|---|---|---|---|---|---|
| Average time to hire for hard-to-recruit positions | 🟢 | ✳ | | | 70 |
| Retention rate | **Informational** | **Informational** | | | 71 |
| Rewards and recognition perceptions | ✳ | 🔺 | | | 9 |
| Work-life balance perceptions | ✳ | 🟢 | | | 72 |
| Team member perception of training and development | ✳ | 🟢 | | | 73 |
| Response rate of employee engagement survey | ✳ | 🟢 | | | 74 |
| Emerging leader program | **Informational** | **Informational** | | | 75 |
| 100% off all ideas responded to within 120 days | 🟢 | 🟢 | | | 76 |
| 80% of all viable ideas implemented as scheduled | 🟢 | 🟢 | | | 77 |
| Our Promise and annual food drive | **Informational** | **Informational** | | | 78 |

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Team Member Perception of Leadership: Senior & Executive Management Relationships |
|---|---|
| Operational Outcome Owner: | Ben Meng |
| Outcome Measure: | Supportive & Engaged Leadership |
| Core Process: | Attracting & Supporting Team Members |

| Status: | At-Risk |
|---|---|
| Numeric Status: | 53% |

| Description: | The annual Employee Engagement Survey will help us ensure we continue to measure how team members perceive their relationship with members of the Senior and Executive leadership team. |
|---|---|
| | The annual Employee Engagement Survey captured team members' perceptions of leadership for Senior and Executive manager relationships. |
| Baseline: | 54% positive survey score for team member perception of Senior & Executive management relationships as of 10/2017 |
| Target: | 59% or higher positive survey score represents high performance |
| Refresh Frequency: | Annually, December |
| Reporting Range: | November 2018-October 2019 |
| Thresholds: | On-Target: Above 59% represents high performance |
| | At-Risk: 40-59% represents average performance |
| | Off-Target: Under 40% represents low performance |

Status Narrative:

The 2018 data shows a 1% drop from the 2017 score. This KPI is deemed "at risk" since it falls within the 40-59% threshold, indicating average performance. The executive team will continue holding leadership brown bag engagements quarterly for the remainder of FY 2018-19, and develop other activities aimed at improving the score for this KPI.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Rewards & Recognition Perceptions |
|---|---|
| Operational Outcome Owner: | Liana Bailey-Crimmins |
| Outcome Measure: | Team Member Engagement |
| Core Process: | Attracting & Supporting Team Members |

| Status: | At-Risk |
|---|---|
| Numeric Status: | 58% |

| Description: | Per Society for Human Resource Management (SHRM), there is a proven return on investment for recognition programs. Such return is typically realized through employee attendance, lower health care costs, lower workers' compensation cost, increased productivity, and reduced employee turnover. As the second largest pension fund in the country, it is important CalPERS provides rewards & recognition programs demonstrating commitment to team members. |
|---|---|
| | The annual Employee Engagement survey captures team members' perceptions of rewards & recognition. |
| Baseline: | 57% positive survey score for rewards & recognition perception as of 10/2017. |
| Target: | 59% or higher positive survey score represents high performance. |
| Refresh Frequency: | Annually, December |
| Reporting Range: | November 2017-October 2018 |
| Thresholds: | On-Target: Above 59% represents high performance |
| | At-Risk: 40-59% represents average performance |
| | Off-Target: Under 40% represents low performance |

Status Narrative:

The 2018 data shows a 1% increase from the 2017 score.  The KPI is deemed "at risk" since it falls within the 40-59% threshold, indicating average performance.  HRSD continuous to partner with Leadership enterprise-wide to make them aware of formal and informal Recognition and Reward opportunities, including ongoing consultation with Leaders on best practice in employee engagement.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | GASB 68 Reports Completed Timely - INFORMATIONAL |
|---|---|
| Operational Outcome Owner: | Michael Cohen |
| Outcome Measure: | Reliable Steward of Funds |
| Core Process: | Accounting for Funds |

| | |
|---|---|
| Status: | Not applicable as KPI is Informational |
| Numeric Status: | N/A |

| | |
|---|---|
| Description: | Each year, public agencies and state entities are required to disclose their fiduciary net position based on their pension plan data. The Actuarial Office (ACTO) creates these reports each year with the cooperation of the Financial Office (FINO). |
| Baseline: | All reports completed by December |
| Target: | Produce accounting valuation reports for all public agency plans as well as reports for State, School, Judges Retirement systems 1 and 2, and the legislators' retirement system |
| Refresh Frequency: | Annually, December |
| | September for plans belonging to a risk pool, schools pool, and JRS, LRS, and JRS 2, October for stat and December for plans that are stand alone |
| Reporting Range: | Measurement date 6/30/2018, based on demographic experience during the 2016-17 fiscal year rolled forward one-year, economic experience through the measurement date |
| Thresholds: | Not applicable as KPI is Informational |

Status Narrative:

GASB Liabilities reports generated on time. Reports pending review then will be posted to the web.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Produce Comprehensive Annual Financial Report (CAFR) with no Material Weaknesses - INFORMATIONAL |
|---|---|
| Operational Outcome Owner: | Michael Cohen |
| Outcome Measure: | Reliable Steward of Funds |
| Core Process: | Accounting for Funds |

| Status: | Not applicable as KPI is Informational |
|---|---|
| Numeric Status: | N/A |

| Description: | Produce the CAFR with no material weaknesses reported by the external auditors. |
|---|---|
| Baseline: | Each year the CAFR is produced with new requirements and data.  To date no material weaknesses have been reported or identified. |
| Target: | Zero material weaknesses, with no acceptable variance. |
| Refresh Frequency: | Annually, November |
| Reporting Range: | 2017-2018 |
| Thresholds: | Not applicable as KPI is Informational |

Status Narrative:

The CAFR was produced and released in November 2018 with no material weaknesses reported by the external auditors.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | % Forecast to the Actual Expenses (annually) |
|---|---|
| Operational Outcome Owner: | Michael Cohen |
| Outcome Measure: | Reliable Steward of Funds |
| Core Process: | Accounting for Funds |

| Status: | On-Target |
|---|---|
| Numeric Status: | 6.1% |

| Description: | The percentage of forecast to actual expenses will measure how closely the organization's ability to adequately project future expenses. |
|---|---|
| Baseline: | 6.1% below total budget for FY 2017-18 |
| Target: | Accuracy at or below 10 percent of total budget |
| Refresh Frequency: | Annually, December |
| Reporting Range: | FY 2017-18 |
| Thresholds: | On-Target: Accuracy at or below 10 percent of total budget<br>At-Risk: Accuracy at or below 10.1 – 15 percent of total budget<br>Off-Target: Accuracy at or below 15.1 percent of total budget |

Status Narrative:

This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Maintain Appropriate Reserve Levels- California Employer's Retiree Benefit Trust Fund |
|---|---|
| Operational Outcome Owner: | Michael Cohen |
| Outcome Measure: | Reliable Steward of Funds |
| Core Process: | Accounting for Funds |

| Status: | On-Target |
|---|---|
| Numeric Status: | 100% |

| Description: | Treasury Management (TM) reserves are established to ensure the payment of member benefits and other obligations without interruption while optimizing the use of fund assets. A TM Reserve is defined as liquid assets dedicated to the payment of member benefits and other obligations during a stressed or crisis event.  The TM reserves are documented in the TM Reserve Policy and reviewed annually.  The California Employers' Retiree Benefit Trust Fund (CERBT) has a reserve requirement to prefund monthly benefit payments by 5 business days. |
|---|---|
| Baseline: | The baseline is 100% since reserve targets were met in FY2017-18 |
| Target: | The target is to comply with the Treasury Management Reserve Policy and meet 100% of reserve targets |
| Refresh Frequency: | Quarterly |
| Reporting Range: | 10/1/18 – 12/31/18 |
| Thresholds: | On-Target: 100% of reserve targets were met<br>At-Risk: 98% to 99% of reserve targets were met<br>Off-Target: Less than 97% of reserve targets were met |

Status Narrative:

This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Maintain Appropriate Reserve Levels - Long-Term Care Fund |
|---|---|
| Operational Outcome Owner: | Michael Cohen |
| Outcome Measure: | Reliable Steward of Funds |
| Core Process: | Accounting for Funds |

| Status: | On-Target |
|---|---|
| Numeric Status: | 100% |

| Description: | Treasury Management (TM) reserves are established to ensure the payment of member benefits and other obligations without interruption while optimizing the use of fund assets. A TM Reserve is defined as liquid assets dedicated to the payment of member benefits and other obligations during a stressed or crisis event.  The TM reserves are documented in the TM Reserve Policy and reviewed annually.  The Long-Term Care Fund has a TM reserve equal to one month's coverage of expected program obligations. |
|---|---|
| Baseline: | The baseline is 100% since reserve targets were met in FY2017-18. |
| Target: | The target is to comply with the Treasury Management Reserve Policy and meet 100% of reserve targets. |
| Refresh Frequency: | Quarterly |
| Reporting Range: | 10/1/18 – 12/31/18 |
| Thresholds: | On-Target:     100% of reserve targets were met<br>At-Risk:        98% to 99% of reserve targets were met<br>Off-Target:    Less than 97% of reserve targets were met |

Status Narrative:

This KPI is on target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Maintain Appropriate Reserve Levels - Defined Benefit Funds |
|---|---|
| Operational Outcome Owner: | Michael Cohen |
| Outcome Measure: | Reliable Steward of Funds |
| Core Process: | Accounting for Funds |

| Status: | On-Target |
|---|---|
| Numeric Status: | 100% |

| Description: | Treasury Management (TM) reserves are established to ensure the payment of member benefits and other obligations without interruption while optimizing the use of fund assets. A TM Reserve is defined as liquid assets dedicated to the payment of member benefits and other obligations during a stressed or crisis event.  The TM reserves are documented in the TM Reserve Policy.  This policy is reviewed annually.  The following defined benefit funds have reserves established: |
|---|---|

- Public Employees' Retirement Fund- Prefund monthly benefit payments by 5 business days
- Legislators' Retirement Fund- TM reserve equal to two months coverage of benefit payments and program obligations
- Judges' Retirement Fund- TM Reserve equal to two-month coverage of member benefit payments and program obligations

| | |
|---|---|
| Baseline: | The baseline is 100% since reserve targets were met in FY 2017-18 |
| Target: | The target is to comply with the Treasury Management Reserve Policy and meet 100% of reserve targets |
| Refresh Frequency: | Quarterly |
| Reporting Range: | 10/1/18 – 12/31/18 |
| Thresholds: | On-Target:  100% of reserve targets were met<br>At-Risk:  98% to 99% of reserve targets were met<br>Off-Target:  Less than 97% of reserve targets were met |

Status Narrative:

This KPI is on target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Stay Within Risk Boundaries for Total Fund |
|---|---|
| Operational Outcome Owner: | Michael Cohen |
| Outcome Measure: | Reliable Steward of Funds |
| Core Process: | Managing Investments |

| Status: | Pending Refresh |
|---|---|
| Numeric Status: | N/A |

| Description: | Forecast tracking error is the difference in risk between a managed portfolio and benchmark, measured as the annualized standard deviation (1-yr) of the differential return between the portfolio and an equal investment in the benchmark. This KPI provides a method to evaluate staffs' effectiveness to manage investments within the approved risk boundaries. |
|---|---|
| Baseline: | As of June 30, 2017, the active tracking error is 0.5%. |
| Target: | Target is to remain within approved risk boundaries (policy limit) for Total Fund. The CalPERS Total Fund is managed with policy maximum limit of 1.5% tracking error, inclusive of active asset allocation and other active management decisions. |
| Refresh Frequency: | Annually, August |
| Reporting Range: | FY 2017-18 |
| Thresholds: | On-Target:    0 % to 1.41%<br>At-Risk:    1.42% - 1.49%<br>Off-Target:    Greater than 1.50% |

Status Narrative:
 Performance data will be available in August 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Aggregate Risk Levels of the INVO Operating Model (TOM) |
|---|---|
| Operational Outcome Owner: | Michael Cohen |
| Outcome Measure: | Reliable Steward of Funds |
| Core Process: | Managing Investments |

| Status: | Pending Refresh |
|---|---|
| Numeric Status: | N/A |

| Description: | The Target Operating Model (TOM) defines functions and sub-functions that capture operational activities within the Investment Office and is used to report and track operational risk over time.  The new TOM Dashboard, which was presented to the Investment Committee in December 2017, includes more industry aligned sub-functions and added functions to represent CalPERS stakeholders and corporate engagement activities, with the total number of sub-functions reduced from 46 to 24.  Measuring the risk level of the TOM is the aggregated risk assessment scores of each sub-function.  The risk assessment, measurement, and reporting process are designed to turn raw operational risk data into information that supports management's decision-making process.  The reported risk levels are used to prioritize resource and technology efforts on critical functions impacting Total Fund risk and return.  The Investment Compliance and Operational Risk (ICOR) team assesses risk levels of each sub-function on a rolling annual basis. |
|---|---|
| Baseline: | As of July 2018, the risk assessment score is 4.1 (medium). |
| Target: | Aggregate assessed risk score of operating model (TOM) of 4.5 or less. |
| Refresh Frequency: | Annually, August |
| Reporting Range: | FY 2017-18 |
| Thresholds: | On-Target:    Low: 1-3<br>At-Risk:      Medium: 4-7<br>Off-Target:   High: 8-10 |

Status Narrative:

Performance data will be available in August 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Strategic Asset Allocation Ranges (if outside approved ranges) |
|---|---|
| Operational Outcome Owner: | Michael Cohen |
| Outcome Measure: | Reliable Steward of Funds |
| Core Process: | Managing Investments |

| Status: | Pending Refresh |
|---|---|
| Numeric Status: | N/A |

**Description:** The Strategic Asset Allocation ranges are set on a 4-year Asset Liability Management (ALM) cycle with interim asset allocation changes occurring as required to realign levels of risk and liquidity. Allocations may temporarily deviate from policy ranges due to extreme market volatility or to accommodate contributions, distributions, or other short-term cash needs.  If an asset class allocation exceeds the policy range in a timely manner, with the exact time primarily dependent on transaction costs and liquidity.  This KPI provides a method to evaluate staffs' effectiveness to manage investments within the approved ranges.

**Baseline:**

| Asset Class: | Policy Weight: | Policy Range Relative to Target: |
|---|---|---|
| Growth | | |
|   Public Equity | 50% | +/-7% |
|   Private Equity | 8% | +/-4% |
| Income | 28% | +/-6% |
| Real Assets | 13% | +/-5% |
| Inflation Assets | 0% | +3% /-0% |
| Liquidity | 1% | +3% /-6% |
| Total Fund | 100% | N/A |

**Target:** Target is for ranges to remain the approved interim targets and ranges, as listed above, as of June 2018.

**Refresh Frequency:**  Annually, August

**Reporting Range:** FY 2017-18

| Thresholds: | On-Target: | Up to 1% of the maximum of any range, up or down |
|---|---|---|
| | At-Risk: | Between 0.99% and maximum of any range, up or down |
| | Off-Target: | Exceeding maximum of any range, up or down |

**Status Narrative:**

Performance data will be available in August 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Adequate Liquidity Coverage |
| --- | --- |

| | |
| --- | --- |
| Operational Outcome Owner: | Michael Cohen |
| Outcome Measure: | Reliable Steward of Funds |
| Core Process: | Managing Investments |

| | |
| --- | --- |
| Status: | On-Target |
| Numeric Status: | 1.68 |

**Description:**

Liquidity coverage ratios (LCRs) measure the amount of liquidity available to make payments for upcoming benefits, operating expenses, and projected investments during normal, stressed, and crisis market conditions. In the event of a stressed or crisis event only the most liquid assets may be available to pay organizational obligations.

The LCR is calculated using the following methodology:

$$\text{Liquidity Coverage Ratios (LCR)} = \frac{\text{cash + assets convertible to cash + incoming cash source}}{\text{outgoing cash uses + contingent cash uses}}$$

Those assets are cash and cash equivalents with durations of less than 30-days which are considered 'Level I' assets.

| Fund | Payment Status | Reserve Status | Relevant Coverage Ratio |
| --- | --- | --- | --- |
| PERF | 1-day large payment | 5-day pre-fund | 30-day Level 1 |

**Coverage Ratio Triggers**

On-target = 1.0>        At-risk = 0.5 – 0.99 -2> AA > 7%        Off-target = < 0.5

(Ratio triggers are in alignment with the Treasury Management Reserve Policy. AA = Asset Allocation range in accordance with the Investment Policy)

**Baseline:** FY 2017-18 Q4 status of 1.0

**Target:** The LCR is greater than 1.0

**Refresh Frequency:** Quarterly

**Reporting Range:** 10/1/18-12/31/18

**Thresholds:**

| | |
| --- | --- |
| On-Target: | LCR actual greater than 1.0 |
| At-Risk: | LCR actual at 1.0 |
| Off-Target: | LCR actual less than 1.0 |

Status Narrative:
This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Cash Forecasting Accuracy |
|---|---|
| Operational Outcome Owner: | Michael Cohen |
| Outcome Measure: | Reliable Steward of Funds |
| Core Process: | Managing Investments |

| Status: | On-Target |
|---|---|
| Numeric Status: | 7.05% |

| Description: | Forecasting member benefit and organizational expenses is critical to ensure adequate liquidity is available while managing the investment goals for the funds. |
|---|---|
| Baseline: | The baseline will be the total average forecast variance for FY 2017-18 of 8.75% contributions/distributions for each defined benefit pension plan (PERF, LRF, JRS I, JRS II). The baseline is the actual total average forecast variance of 8.75% reported for fiscal year 2017-18. |
| Target: | The target is to be able to forecast total contributions and total distributions for defined benefit pension plans with forecast variances less than 10% |
| Refresh Frequency: | Quarterly |
| Reporting Range: | 10/1/18 – 12/31/18 |
| Thresholds: | On-Target: Forecast variance less than 10% for total contributions/distributions <br> At-Risk: Forecast variance between 10% to 50% for total contributions/distributions <br> Off-Target: Forecast variance more than 50% for total contributions/distributions |

Status Narrative:

This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Generate Liabilities and Rates for Pension Funding – Public Agency |
|---|---|
| Operational Outcome Owner: | Michael Cohen |
| Outcome Measure: | Reliable Steward of Funds |
| Core Process: | Projecting Liabilities |

| Status: | On-Target |
|---|---|
| Numeric Status: | Deliverables were uploaded in July |

| Description: | Each year, the schools pool pension plan is reviewed and the contribution rates are adjusted to account for any gains and losses the pension plan must pay for. The actuarial office produces an agenda item, and in September a report to explain and generate costs each year. The report also gives employers a projection of future costs. |
|---|---|
| Baseline: | Reports and contribution rates are uploaded to my\|CalPERS in July |
| Target: | Calculate liabilities and produce annual valuation reports each year for all public agency pension plans so that the fiscal year rates may be determined and uploaded in July each year |
| Refresh Frequency: | Annually, September |
| Reporting Range: | Fiscal Year 2017-18 (This includes both demographic and economic experience) |
| Thresholds: | On-Target: Deliverables uploaded in July<br>At-Risk: Deliverables uploaded in August<br>Off-Target: Deliverables uploaded after August |

Status Narrative:

This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Generate Liabilities for Long-Term Care Program |
|---|---|
| Operational Outcome Owner: | Michael Cohen |
| Outcome Measure: | Reliable Steward of Funds |
| Core Process: | Projecting Liabilities |

| Status: | Pending Refresh |
|---|---|
| Numeric Status: | N/A |

| Description: | Each year, the Long-Term Care plan is reviewed and adjusted to ensure the viability of the plan. The long-term care valuation will be using a revamped data set, and will also be solidifying the first principles model this year. The actuarial office produces a report and an agenda item to inform the plan sponsor and the CalPERS Board of the health of the plan. |
|---|---|
| Baseline: | Report and deliverables must be completed by February Board meeting |
| Target: | The annual Long-Term Care report, complete with agenda item deliverables, for the February Board meeting each year |
| Refresh Frequency: | Annually, February |
| Reporting Range: | FY 2017-2018 |
| Thresholds: | On-Target: Deliverables for February Board<br>At-Risk: Deliverables for April Board<br>Off-Target: Deliverables after April Board |

Status Narrative:

Performance data will be available in February 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Generate Liabilities and Rates for Pension Funding – State |
|---|---|
| Operational Outcome Owner: | Michael Cohen |
| Outcome Measure: | Reliable Steward of Funds |
| Core Process: | Projecting Liabilities |

| Status: | On-Target |
|---|---|
| Numeric Status: | Deliverables were uploaded by June |

| Description: | Each year, the schools pool pension plan is reviewed and the contribution rates are adjusted to account for any gains and losses the pension plan must pay for. The actuarial office produces an agenda item, and in September a report to explain and generate costs each year. The report also gives employers a projection of future costs. |
|---|---|
| Baseline: | Reports and contribution rates are uploaded to my|CalPERS in June |
| Target: | Calculate liabilities and produce annual valuation reports each year for the state pension plans so that the fiscal year rates may be determined by June of each year |
| Refresh Frequency: | Annually, October |
| Reporting Range: | FY 2017-18 (This includes both demographic and economic experience) |
| Thresholds: | On-Target: Deliverables uploaded by June<br>At-Risk: Deliverables uploaded by July<br>Off-Target: Deliverables uploaded by August (or later) |

Status Narrative:

This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Generate Liabilities and Rates for Pension Funding – Schools |
|---|---|
| Operational Outcome Owner: | Michael Cohen |
| Outcome Measure: | Reliable Steward of Funds |
| Core Process: | Projecting Liabilities |

| Status: | On-Target |
|---|---|
| Numeric Status: | Deliverables were uploaded in June |

| Description: | Each year, the schools pool pension plan is reviewed and the contribution rates are adjusted to account for any gains and losses the pension plan must pay for. The actuarial office produces an agenda item, and in September a report to explain and generate costs each year. The report also gives employers a projection of future costs. |
|---|---|
| Baseline: | Reports and contribution rates are uploaded to my\|CalPERS in June |
| Target: | Calculate liabilities and produce annual valuation reports each year for the schools pool pension plan so that the fiscal year rates may be determined and uploaded in June of each year |
| Refresh Frequency: | Annually, October |
| Reporting Range: | Fiscal Year 2017-18 (This includes both demographic and economic experience) |
| Thresholds: | On-Target: Deliverables uploaded in June<br>At-Risk: Deliverables uploaded in July<br>Off-Target: Deliverables uploaded in August (or later) |

Status Narrative:
This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Customer Satisfaction |
|---|---|
| Operational Outcome Owner: | Donna Lum |
| Outcome Measure: | Customer Satisfaction Driven Organization |
| Core Process: | Provide and Administer Retirement Benefits |

| Status: | On-Target |
|---|---|
| Numeric Status: | 95% |

| Description: | To ensure we are listening to our customers and taking action on their feedback, we collect customer satisfaction surveys for many of our business processes. This key performance indicator measures the overall customer satisfaction rate with CalPERS ability to perform its most core function to provide and administer retirement benefits. |
|---|---|
| Baseline: | Fiscal Year 2017-18, Quarter 1: 86% |
| Target: | Achieve an overall satisfaction rate of 90%, reflecting a positive customer experience across core processes |
| Refresh Frequency: | Quarterly |
| Reporting Range: | 10/01/18 – 12/31/18 |
| Thresholds: | On-Target: 80% or above<br>At-Risk: 70 – 79%<br>Off-Target: 69% or below |

Status Narrative:

KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Benefit Payment Accuracy |
|---|---|
| Operational Outcome Owner: | Donna Lum |
| Outcome Measure: | Customer Satisfaction Driven Organization |
| Core Process: | Provide and Administer Retirement Benefits |

| Status: | On-Target |
|---|---|
| Numeric Status: | 100% |

| Description: | Collecting data on the accuracy of the benefit payments we issue ensures our customers receive the benefits they have earned and aids in long term stability for the fund. Benefit Payment Accuracy for FY 2017-18 is 98 percent, exceeding performance targets and demonstrating the payments we issue meet accuracy standards. |
|---|---|
| Baseline: | Fiscal Year 2017-18, Quarter 2: 98% |
| Target: | Issue 98% of identified benefit payments within accuracy expectations |
| Refresh Frequency: | Quarterly |
| Reporting Range: | 10/01/18 – 12/31/18 |
| Thresholds: | On-Target: 90% or above<br>At-Risk: 83 – 89%<br>Off-Target: Below 83% |

Status Narrative:
This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Benefit Payment Timeliness |
|---|---|
| Operational Outcome Owner: | Donna Lum |
| Outcome Measure: | Customer Satisfaction Driven Organization |
| Core Process: | Provide and Administer Retirement Benefits |

| Status: | On-Target |
|---|---|
| Numeric Status: | 96% |

| Description: | The key performance indicator for benefit payment timeliness measures one of our most critical priorities: ensuring that customers receive benefit payments on time. In FY 2017-18, 95 percent of identified benefit payments were made within our established service levels, reflecting our absolute commitment to issuing timely payments to our customers. |
|---|---|
| Baseline: | Fiscal Year 2017-18, Quarter 1: 95% |
| Target: | Issue 95% of benefit payments within service level timeframes |
| Refresh Frequency: | Quarterly |
| Reporting Range: | 10/01/18 – 12/31/18 |
| Thresholds: | On-Target: 87% or above<br>At-Risk: 76 – 86%<br>Off-Target: Below 79% |

Status Narrative:

This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Health Plan Scorecard of 90% or Better |
|---|---|
| Operational Outcome Owner: | Donna Lum |
| Outcome Measure: | Customer Satisfaction Driven Organization |
| Core Process: | Provide & Administer Health Care Benefits |

| Status: | Pending Refresh |
|---|---|
| Numeric Status: | N/A |

| Description: | This KPI is an assessment of CalPERS' satisfaction with health plan performance in account management services. CalPERS' contract compliance and rate development team members rate their satisfaction with health plan account management teams' responsiveness and quality of service. This KPI is driven by CalPERS staff satisfaction with their health plan account management team for the prior 12 months. |
|---|---|
| | KPI trend: |
| | 97% (survey conducted in 2017 covering experience in 2016) |
| | 97.3% (survey conducted in 2018 covering experience in 2017) |
| Baseline: | 94% (survey conducted in 2016 covering experience in 2015) |
| Target: | 90% |
| Refresh Frequency: | Annually, June |
| Reporting Range: | 01/2018 – 12/2018 |
| Thresholds: | On-Target: 90% or above |
| | At-Risk: 85% - 89% |
| | Off-Target: Less than 85% |

Status Narrative:

Performance data will be available in June 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Customer Inquiry Timeliness |
|---|---|
| Operational Outcome Owner: | Donna Lum |
| Outcome Measure: | Customer Satisfaction Driven Organization |
| Core Process: | Provide & Administer Health Care Benefits |

| Status: | Pending Refresh |
|---|---|
| Numeric Status: | N/A |

| Description: | This measure is an assessment of CalPERS' responsiveness and resolution to incoming member health inquiries. CalPERS measures customer service response rates with designated service level targets. The established target to respond and resolve phone inquiries is 5-business days, and 30-calendar days for document inquiries (letter, form, fax, etc.). Rate will be calculated by dividing the total number of workflows completed within service level by the total number of inquiries (phone/documents). |
|---|---|
| Baseline: | FY2017-18 baseline of 99% completed within service level targets. |
| Target: | 100% completed within service level targets. |
| Refresh Frequency: | Annually, August |
| Reporting Range: | Fiscal Year 2017-18 |
| Thresholds: | On-Target: 98% or above<br>At-Risk: 93 - 97%<br>Off-Target: Less than 93% |

Status Narrative:

Performance data will be available in August 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Population Health Dashboard – INFORMATIONAL |
|---|---|
| Operational Outcome Owner: | Donna Lum |
| Outcome Measure: | Customer Satisfaction Driven Organization |
| Core Process: | Provide & Administer Health Care Benefits |

| | |
|---|---|
| Status: | Not applicable, as KPI is informational |
| Numeric Status: | N/A |

| | |
|---|---|
| Description: | This KPI measures the progress in Population Health Management (PHM) and requires a dashboard of relevant data. The analyses include three major focuses: comparisons over time; comparisons of data across health plans; and comparisons of Preferred Provider Organization (PPO) and Health Maintenance Organization (HMO) data with benchmarks. |
| | The update to this KPI has been aligned with the Population Health Report agenda item presented to the Pension and Health Benefits Committee (PHBC). |
| Baseline: | Not applicable, as KPI is informational |
| Target: | Not applicable, as KPI is informational |
| Refresh Frequency: | Annually, December |
| Reporting Range: | Not applicable, as KPI is informational |
| Thresholds: | Not applicable, as KPI is informational |

Status Narrative:

Please see the attached CalPERS PHM Dashboard that was provided at the December 2018 PHBC. The next update will be provided to the PHBC in December 2019.

# CalPERS PHM Dashboard
# for All Basic Health Plans, 2016 and 2017

| Year[1] | 2016 | 2017 | Trend |
|---|---|---|---|
| **Summary Demographics** | | | |
| Number of Members (average) | 1,078,688 | 1,081,367 | ↑ |
| Average Age | 36 | 36 | = |
| Gender (% female) | 53% | 53% | = |
| Gender (% male) | 47% | 47% | = |
| **Major Chronic Conditions Prevalence - Percent of Members** | **Lower is Better** | | |
| Asthma | 3.31% | 3.35% | ↑ |
| Chronic Obstructive Pulmonary Disease | 1.44% | 1.45% | ↑ |
| Coronary Artery Disease | 0.98% | 0.95% | ↓ |
| Depression | 4.83% | 4.69% | ↓ |
| Diabetes | 5.86% | 5.60% | ↓ |
| Heart Failure | 0.17% | 0.17% | = |
| Hypertension | 7.30% | 7.02% | ↓ |
| Lower Back Disorders | 6.33% | 6.12% | ↓ |
| **Lifestyle Risks (for Kaiser Permanente members only)** | **Lower is Better** | | |
| % of Adults who are Obese[2] | 43.05% | 43.28% | ↑ |
| % of Children who are Obese[2] | 4.94% | 4.88% | ↓ |
| % of Adults with Blood Pressure >= 140/90 | 5.95% | 6.06% | ↑ |
| **Clinical Quality Measures[3] (HEDIS Acronym)[4]** | **Higher is Better** | | |
| Antidepressant Medication Management – Acute Phase (AMM-Acute Phase) | 74.51% | 73.82% | ↓ |
| Antidepressant Medication Management – Continuation Phase (AMM-Continuation Phase) | 58.26% | 56.56% | ↓ |
| Appropriate Treatment for Children with Upper Respiratory Infection (URI) | 92.60% | 93.12% | ↑ |
| Breast Cancer Screening (BCS) | 77.59% | 71.34% | ↓ |
| Cervical Cancer Screening (CCS)* | 69.30% | 69.60% | ↑ |
| Chronic Obstructive Pulmonary Disease - Pharmacotherapy Management of COPD Exacerbation: Systemic Corticosteroid (within 14 days) (PCE-14) | 75.90% | 73.27% | ↓ |
| Chronic Obstructive Pulmonary Disease - Pharmacotherapy Management of COPD Exacerbation: Bronchodilator (within 30 days) (PCE-30) | 84.46% | 85.92% | ↑ |
| Colorectal Cancer Screening (COL)* | 54.12% | 55.58% | ↑ |
| Diabetes – Nephropathy (CDC)* | 87.00% | 85.43% | ↓ |
| Diabetes – Hemoglobin A1c Testing (CDC)* | 88.63% | 89.15% | ↑ |
| Disease-Modifying Anti-Rheumatic Drug Therapy for Rheumatoid Arthritis (ART) | 83.80% | 84.04% | ↑ |
| Persistence of Beta-Blocker Treatment After a Heart Attack (PBH) | 79.91% | 82.30% | ↑ |
| Use of Imaging Studies for Low Back Pain (LBP) | 84.83% | 84.26% | ↓ |

| Other Measures | Lower is Better | | |
|---|---|---|---|
| **Maternity Outcomes** | | | |
| Cesarean Section Delivery Rates | 29.00% | 22.64% | ↓ |
| | | | |
| **Inpatient and Emergency Room** | | | |
| Inpatient Admits Per 1,000 | 48.5 | 46.4 | ↓ |
| Plan All-Cause Readmission Rate (Total PCR) | 9.73% | 9.27% | ↓ |
| Inpatient Average Length of Stay (days) | 4.65 | 4.50 | ↓ |
| Emergency Room Visits Per 1,000 | 171.23 | 181.50 | ↑ |

Notes:

PHM: Population Health Management

Plans pulled for the data: Anthem EPO, Anthem HMO Select, Anthem HMO Traditional, Blue Shield Access+, Blue Shield Access+ EPO, Blue Shield NetValue, Health Net Salud y Mas, Health Net SmartCare, Kaiser, Sharp, and UHC Alliance HMO.

Information pulled from Health Care Decision Support System (HCDSS) includes dynamic refreshes to the Population Health Management (PHM) dashboard.

[1] Year 2016 data will be different from last year.  When comparing data, it is optimal to compare data across the same refreshes.

[2] "Obese" is defined as Body Mass Index (BMI) >=30.0.

[3] As the Clinical Quality Measure analyses are not audited, these are considered "HEDIS-Like" data as opposed to "HEDIS."  Current "HEDIS-Like" definitions are from 2016.  2016 "HEDIS-Like" definitions are used for 2017 year temporarily due to pending data warehouse refreshes.

[4] "HEDIS Acronyms" are the three-letter designations used by the National Committee for Quality Assurance to uniquely identify HEDIS measures.

* "Hybrid measure" for which carriers gather additional information from patients' medical records for HEDIS. "Hybrid measure" are more difficult for HCDSS to report accurately due to requirement of additional data sets.  Some of the previous reported data sets were removed, due to discovery of missing fields sent by the health plans to HCDSS.

# CalPERS PHM Dashboard for Basic PPO Plans, 2017

| Health Plan | PPO Total[1] | PERS Care | PERS Choice | PERS Select |
|---|---|---|---|---|
| **Summary Demographics** | | | | |
| Number of Members (average) | 237,251 | 31,474 | 157,947 | 47,830 |
| Average Age | 40 | 45 | 41 | 33 |
| Gender (% female) | 54% | 57% | 54% | 52% |
| Gender (% male) | 46% | 43% | 46% | 48% |
| **Major Chronic Conditions Prevalence - Percent of Members** | **Lower is Better** | | | |
| Asthma | 3.22% | 3.71% | 3.28% | 2.68% |
| Chronic Obstructive Pulmonary Disease | 1.94% | 2.36% | 1.99% | 1.53% |
| Coronary Artery Disease | 1.71% | 2.70% | 1.81% | 0.73% |
| Depression | 6.00% | 6.83% | 6.15% | 4.94% |
| Diabetes | 6.65% | 9.01% | 6.95% | 4.08% |
| Heart Failure | 0.26% | 0.50% | 0.25% | 0.10% |
| Hypertension | 10.41% | 14.03% | 10.91% | 6.41% |
| Lower Back Disorders | 9.32% | 11.79% | 9.40% | 7.44% |
| **Clinical Quality Measures[2]  (HEDIS Acronym)[3]** | **Higher is Better** | | | |
| Antidepressant Medication Management – Acute Phase (AMM-Acute Phase) | 72.70% | 74.39% | 72.27% | 77.82% |
| Antidepressant Medication Management – Continuation Phase (AMM-Continuation Phase) | 59.54% | 60.66% | 59.02% | 60.58% |
| Appropriate Treatment for Children with Upper Respiratory Infection (URI) | 88.45% | 87.02% | 88.95% | 87.80% |
| Breast Cancer Screening (BCS) | 66.19% | 69.46% | 65.99% | 61.64% |
| Cervical Cancer Screening (CCS)* | 67.72% | 67.94% | 67.51% | 68.44% |
| Chronic Obstructive Pulmonary Disease - Pharmacotherapy Management of COPD Exacerbation: Systemic Corticosteroid (within 14 days) (PCE-14) | 60.33% | 63.16% | 60.92% | 53.33% |
| Chronic Obstructive Pulmonary Disease - Pharmacotherapy Management of COPD Exacerbation: Bronchodilator (within 30 days) (PCE-30) | 82.64% | 89.47% | 82.76% | 73.33% |
| Colorectal Cancer Screening (COL)* | 51.29% | 52.01% | 51.96% | 45.81% |
| Diabetes – Nephropathy (CDC)* | 82.06% | 85.32% | 81.77% | 78.94% |
| Diabetes – Hemoglobin A1c Testing (CDC)* | 84.72% | 85.67% | 84.77% | 82.96% |
| Disease-Modifying Anti-Rheumatic Drug Therapy for Rheumatoid Arthritis (ART) | 84.37% | 82.16% | 84.49% | 88.42% |
| Persistence of Beta-Blocker Treatment After a Heart Attack (PBH) | 85.99% | 88.89% | 88.68% | 60.00% |
| Use of Imaging Studies for Low Back Pain (LBP) | 81.41% | 79.77% | 81.14% | 82.65% |

| Other Measures | Lower is Better | | | |
|---|---|---|---|---|
| **Maternity Outcomes** | | | | |
| Cesarean Section Delivery Rates | 24.14% | 27.57% | 24.54% | 21.53% |
| | | | | |
| **Inpatient and Emergency Room** | | | | |
| Inpatient Admits Per 1,000 | 53.0 | 78.5 | 52.9 | 37.0 |
| Plan All-Cause Readmission Rate (Total PCR) | 9.13% | 11.16% | 9.04% | 6.58% |
| Inpatient Average Length of Stay (days) | 5.23 | 5.81 | 5.17 | 4.67 |
| Emergency Room Visits Per 1,000 | 153.80 | 180.47 | 152.90 | 139.55 |

Notes:

PHM: Population Health Management

[1] PPO Total:  PERSCare, PERS Choice, and PERS Select

[2] As the Clinical Quality Measure analyses are not audited, these are considered "HEDIS-Like" data as opposed to "HEDIS."  Current "HEDIS-Like" definitions are from 2016.  2016 "HEDIS-Like" definitions are used for 2017 year temporarily due to pending data warehouse refreshes.[3] "HEDIS Acronyms" are the three-letter designations used by the National Committee for Quality Assurance to uniquely identify HEDIS measures.

* "Hybrid measure" for which carriers gather additional information from patients' medical records for HEDIS. "Hybrid measure" are more difficult for HCDSS to report accurately due to requirement of additional data sets.

# CalPERS PHM Dashboard
# for Large Basic HMO Plans, 2017

| Health Plan | HMO Total[1] | Kaiser Permanente | Blue Shield Total[2] | UnitedHealth care |
|---|---|---|---|---|
| **Summary Demographics** | | | | |
| Number of Members (average) | 844,122 | 509,841 | 159,195 | 74,260 |
| Average Age | 35 | 35 | 38 | 33 |
| Gender (% female) | 53% | 53% | 52% | 53% |
| Gender (% male) | 47% | 47% | 48% | 47% |
| **Major Chronic Conditions Prevalence - Percent of Members** | **Lower is Better** | | | |
| Asthma | 3.39% | 3.45% | 3.55% | 2.53% |
| Chronic Obstructive Pulmonary Disease | 1.31% | 1.12% | 1.85% | 1.38% |
| Coronary Artery Disease | 0.73% | 0.45% | 1.54% | 0.70% |
| Depression | 4.32% | 3.99% | 5.80% | 3.09% |
| Diabetes | 5.30% | 4.57% | 7.21% | 5.86% |
| Heart Failure | 0.14% | 0.10% | 0.26% | 0.14% |
| Hypertension | 6.06% | 4.14% | 10.69% | 6.62% |
| Lower Back Disorders | 5.22% | 4.29% | 6.77% | 5.81% |
| **Clinical Quality Measures[3] (HEDIS Acronym)[4]** | **Higher is Better** | | | |
| Antidepressant Medication Management – Acute Phase (AMM-Acute Phase) | 74.16% | 78.75% | 66.65% | 67.24% |
| Antidepressant Medication Management – Continuation Phase (AMM-Continuation Phase) | 55.64% | 56.95% | 52.85% | 53.45% |
| Appropriate Treatment for Children with Upper Respiratory Infection (URI) | 94.58% | 98.08% | 89.03% | 90.26% |
| Breast Cancer Screening (BCS) | 73.41% | 75.76% | 70.02% | 65.77% |
| Cervical Cancer Screening (CCS)* | 70.18% | 70.93% | 68.81% | 69.25% |
| Chronic Obstructive Pulmonary Disease - Pharmacotherapy Management of COPD Exacerbation: Systemic Corticosteroid (within 14 days) (PCE-14) | 78.52% | 80.79% | 75.68% | 88.89% |
| Chronic Obstructive Pulmonary Disease - Pharmacotherapy Management of COPD Exacerbation: Bronchodilator (within 30 days) (PCE-30) | 87.25% | 90.73% | 85.59% | 77.78% |
| Colorectal Cancer Screening (COL)* | 57.21% | 56.82% | 58.07% | 57.36% |
| Diabetes – Nephropathy (CDC)* | 86.31% | 86.04% | 87.75% | 85.56% |
| | | | | |

| Health Plan | HMO Total[1] | Kaiser Permanente | Blue Shield Total[2] | UnitedHealth care |
|---|---|---|---|---|
| Clinical Quality Measures[3] (HEDIS Acronym)[4] Cont. | Higher is Better | | | |
| Diabetes – Hemoglobin A1c Testing (CDC)* | 90.31% | 93.84% | 85.21% | 84.64% |
| Disease-Modifying Anti-Rheumatic Drug Therapy for Rheumatoid Arthritis (ART) | 83.89% | 85.47% | 82.23% | 81.31% |
| Persistence of Beta-Blocker Treatment After a Heart Attack (PBH) | 81.19% | 83.28% | 80.15% | 66.67% |
| Use of Imaging Studies for Low Back Pain (LBP) | 85.01% | 89.23% | 78.07% | 82.70% |
| Other Measures | Lower is Better | | | |
| Maternity Outcomes | | | | |
| Cesarean Section Delivery Rates | 22.34% | 24.19% | 20.02% | 16.30% |
| | | | | |
| Inpatient and Emergency Room | | | | |
| Inpatient Admits Per 1,000 | 44.6 | 39.3 | 62.2 | 39.5 |
| Plan All-Cause Readmission Rate (Total PCR) | 9.32% | 10.34% | 8.61% | 5.12% |
| Inpatient Average Length of Stay (days) | 4.26 | 3.89 | 5.01 | 4.00 |
| Emergency Room Visits Per 1,000 | 189.28 | 214.73 | 106.67 | 180.39 |

Notes:

Only health plans with a population size of 50,000 or greater was reported individually to reduce data variation.

PHM: Population Health Management

[1] HMO Total includes:  Anthem Total, Health Net Total, Blue Shield Total, Sharp Performance Plus, Kaiser Permanente, and UnitedHealthcare SignatureValue Alliance.

[2] Blue Shield Total includes:  Blue Shield Access + and Blue Shield Access + EPO.

[3] As the Clinical Quality Measure analyses are not audited, these are considered "HEDIS-Like" data as opposed to "HEDIS."  Current "HEDIS-Like" definitions are from 2016.  2016 "HEDIS-Like" definitions are used for 2017 year temporarily due to pending data warehouse refreshes.[3] "HEDIS Acronyms" are the three-letter designations used by the National Committee for Quality Assurance to uniquely identify HEDIS measures.

[4] "HEDIS Acronyms" are the three-letter designations used by the National Committee for Quality Assurance to uniquely identify HEDIS measures.

* "Hybrid measure" for which carriers gather additional information from patients' medical records for HEDIS.  "Hybrid measure" are more difficult for HCDSS to report accurately due to requirement of additional data sets.

# CalPERS PHM Dashboard for Basic PPO and HMO Health Plans compared with Benchmarks, 2016

| Health Plan | PPO Total[1] | PPO Benchmark[3] | HMO Total[2] | HMO Benchmark[3] |
|---|---|---|---|---|
| **Summary Demographics** | | | | |
| Number of Members (average) | 238,740 | | 839,948 | |
| Average Age | 40 | | 35 | |
| Gender (% female) | 54% | | 53% | |
| Gender (% male) | 46% | | 47% | |
| **Major Chronic Conditions Prevalence - Percent of Members[4]** | **Lower is Better** | | | |
| Asthma | 3.09% | | 3.37% | |
| Chronic Obstructive Pulmonary Disease | 1.88% | | 1.32% | |
| Coronary Artery Disease | 1.70% | | 0.77% | |
| Depression | 6.03% | | 4.49% | |
| Diabetes | 6.48% | | 5.68% | |
| Heart Failure | 0.25% | | 0.14% | |
| Hypertension | 10.45% | | 6.40% | |
| Lower Back Disorders | 9.56% | | 5.41% | |
| **Clinical Quality Measures[5] (HEDIS Acronym)[6]** | **Higher is Better** | | | |
| Antidepressant Medication Management – Acute Phase (AMM-Acute Phase) | 75.14% | 67.9% | 74.31% | 67.2% |
| Antidepressant Medication Management – Continuation Phase (AMM-Continuation Phase) | 61.48% | 52.6% | 57.26% | 50.9% |
| Appropriate Treatment for Children with Upper Respiratory Infection (URI) | 87.91% | 87.0% | 94.08% | 88.4% |
| Breast Cancer Screening (BCS) | 69.18% | 70.2% | 81.02% | 72.7% |
| Cervical Cancer Screening (CCS)* | 67.32% | 73.0% | 69.93% | 74.3% |
| Chronic Obstructive Pulmonary Disease - Pharmacotherapy Management of COPD Exacerbation: Systemic Corticosteroid (within 14 days) (PCE-14) | 64.75% | 69.1% | 80.98% | 70.5% |
| Colorectal Cancer Screening (COL)* | 48.96% | 58.3% | 56.12% | 62.0% |
| Diabetes – Nephropathy (CDC)* | 86.18% | 88.1% | 87.22% | 90.2% |
| Diabetes – Hemoglobin A1c Testing (CDC)* | 85.03% | 89.3% | 89.59% | 90.6% |
| Disease-Modifying Anti-Rheumatic Drug Therapy for Rheumatoid Arthritis (ART) | 83.04% | 87.1% | 84.17% | 87.8% |
| Persistence of Beta-Blocker Treatment After a Heart Attack (PBH) | 75.69% | 83.8% | 81.12% | 84.4% |
| Use of Imaging Studies for Low Back Pain (LBP) | 82.58% | 74.3% | 85.36% | 73.8% |

| Other Measures | Lower is Better | | | |
|---|---|---|---|---|
| **Maternity Outcomes** | | | | |
| Cesarean Section Delivery Rates | 34.44% | | 27.86% | |
| | | | | |
| **Inpatient and Emergency Room** | | | | |
| Inpatient Admits Per 1,000 | 53.1 | | 47.2 | |
| Plan All-Cause Readmission Rate (HEDIS PCR) | 9.50% | | 9.82% | |
| Inpatient Average Length of Stay (days) | 5.17 | | 4.48 | |
| Emergency Room Visits Per 1,000 | 149.19 | | 177.49 | |

Notes:

Excludes Association plans.

PHM: Population Health Management

[1] PPO Total includes:  PERSCare, PERS Choice, and PERS Select.

[2] HMO Total includes:  Anthem Total, Health Net Total, Blue Shield Total, Sharp Performance Plus, Kaiser Permanente, and UnitedHealthcare SignatureValue Alliance.

[3] Information from National Committee for Quality Assurance (NCQA) "2016 State of Health Care Quality". Only 2016 HEDIS benchmarks are fully available as of December 2018 data query.

[4] Chronic conditions defined by Truven, difficult in gathering national benchmarks that also uses Truven's definition of chronic conditions.

[5] As the Clinical Quality Measure analyses are not audited, these are considered "HEDIS-Like" data as opposed to "HEDIS."

[6] "HEDIS Acronyms" are the three-letter designations used by the NCQA to uniquely identify HEDIS measures.

* "Hybrid measure" for which carriers gather additional information from patients' medical records for HEDIS. "Hybrid measures" are more difficult for HCDSS report accurately due to requirement of additional data sets.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Rating of Health Care |
|---|---|
| Operational Outcome Owner: | Donna Lum |
| Outcome Measure: | Customer Satisfaction Driven Organization |
| Core Process: | Provide & Administer Health Care Benefits |

| | |
|---|---|
| Status: | Pending Refresh |
| Numeric Status: | N/A |

| | |
|---|---|
| Description: | Percent of CalPERS members who rate all their health care in the past 12 months at 8 or higher on a 0 to 10 scale with 10 being the best health care possible. |
| | This metric represents the percentage of CalPERS members who rated their health care as positive. A higher percentage is considered good. Factors that can influence this measure include enforcement of contractual requirements and collaborative efforts with CalPERS health plan partners. |
| | KPI trend: |
| | 81.9% (survey conducted in 2017 covering experience in 2016). |
| | 83.6% (survey conducted in 2018 covering experience in 2017). |
| Baseline: | 80.3% (survey conducted in 2016 covering experience in 2015) |
| Target: | 90% |
| Refresh Frequency: | Annually, June |
| Reporting Range: | 01/2018 – 12/2018 |
| Thresholds: | On-Target: 85% and above<br>At-Risk: 80 – 84.9%<br>Off-Target: Below 80% |

Status Narrative:

Performance data will be available in June 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Public Agency Retention |
|---|---|
| Operational Outcome Owner: | Donna Lum |
| Outcome Measure: | Customer Satisfaction Driven Organization |
| Core Process: | Provide & Administer Health Care Benefits |

| Status: | Pending Refresh |
|---|---|
| Numeric Status: | N/A |

| Description: | This measure is an indicator of the strength of the CalPERS Health Benefits Program as agencies leaving our program may pose a risk in achieving the strategic goal of health care affordability by driving up health care costs. The calculation is based on the number of agencies in the CalPERS Health Benefits Program at the end of the previous calendar year against the number of agencies in the program at the beginning of the current calendar year. Any new agencies that joined during the previous calendar year are excluded. |
|---|---|
| Baseline: | 99% rate of retention of public agency and school employers for calendar year 2017. |
| Target: | 100% |
| Refresh Frequency: | Annually, February |
| Reporting Range: | 01/2018 – 12/2018 |
| Thresholds: | On-Target: 99.0% and above<br>At-Risk: 98.0% - 98.9%<br>Off-Target: 97.9% and below |

Status Narrative:

2018 performance data will be available in February 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Public Agency Recruitment |
|---|---|
| Operational Outcome Owner: | Donna Lum |
| Outcome Measure: | Customer Satisfaction Driven Organization |
| Core Process: | Provide & Administer Health Care Benefits |

| Status: | Pending Refresh |
|---|---|
| Numeric Status: | N/A |

| Description: | This measure is an indicator of the strength of the CalPERS Health Benefits Program because not increasing the number of contracting agencies and Total Covered Lives (TCLs) may pose a risk in achieving the strategic goal of health care affordability by driving up health care costs. |
|---|---|
| Baseline: | 5,823 TCLs gained through the resolution process for calendar year 2017. |
| Target: | 12,000 new TCLs in 2018. |
| Refresh Frequency: | Annually, February |
| Reporting Range: | 01/2018 – 12/2018 |
| Thresholds: | On-Target: 9,000 TCLs or above<br>At-Risk: 6,000 – 8,999 TCLs<br>Off-Target: 5,999 TCLs or below |

Status Narrative:

2018 performance data will be available in February 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | % of Employer Participation in CalPERS Annual Educational Forum |
|---|---|
| Operational Outcome Owner: | Brad Pacheco |
| Outcome Measure: | Open & Transparent Communication |
| Core Process: | Educate Members, Employers & Stakeholders |

| Status: | On-Target |
|---|---|
| Numeric Status: | 17.7% (438) |

| Description: | CalPERS hosts the Educational Forum on an annual basis, in the month of October. The KPI is based on the total number of unique employers registered. The totals will be measured by the past year's total number of unique employers registered. |
|---|---|
| Baseline: | The baseline is total number of unique employers registered, resulting from October 31, 2016 to October 31, 2017<br>• 372 unique employers |
| Target: | Increase registration totals by 2.0% every year for next five years of number of unique employers |
| Refresh Frequency: | Annually, November |
| Reporting Range: | 10/31/2017 – 10/31/2018 |
| Thresholds: | On-Target: Percentage meets or exceeds target yearly increase of 2.0%<br>At-Risk: Percentage remains the same or increases by less than 2.0%<br>Off-Target: Percentage decreases from previous years |

Status Narrative:

This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Member Education Satisfaction |
|---|---|
| Operational Outcome Owner: | Brad Pacheco |
| Outcome Measure: | Open & Transparent Communication |
| Core Process: | Educate Members, Employers & Stakeholders |

| | |
|---|---|
| Status: | On-Target |
| Numeric Status: | 96% |

| | |
|---|---|
| Description: | The key performance indicator for member education measures satisfaction of our customers who attend educational offerings for members, including webinars, instructor-led training, computer-based training, and CalPERS Benefit Education Events. Closely monitoring satisfaction data ensures our educational offerings meet customer expectations. For the 2017-18 Fiscal Year, 95% of attendees reported satisfaction with member education offerings, exceeding performance targets and demonstrating an overall positive customer experience. |
| Baseline: | Fiscal Year 2017-18, Quarter 1: 95% |
| Target: | Achieve an overall satisfaction rate of 90%, reflecting a positive customer experience across multiple educational offerings |
| Refresh Frequency: | Quarterly |
| Reporting Range: | 10/01/2018 – 12/31/2018 |
| Thresholds: | On-Target: 80% or above<br>At-Risk: 70 – 79%<br>Off-Target: Below 70% |

Status Narrative:

This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Employer Education Satisfaction |
|---|---|
| Operational Outcome Owner: | Brad Pacheco |
| Outcome Measure: | Open & Transparent Communication |
| Core Process: | Educate Members, Employers & Stakeholders |

| Status: | On-Target |
|---|---|
| Numeric Status: | 98% |

| Description: | The key performance indicator for employer education focuses on measuring satisfaction of business partners who attend webinars, computer-based, and instructor-led training for business partners. The collection of this data ensures we effectively educate employers on our benefit programs and enable them to report accurate information to CalPERS on behalf of their employees. |
|---|---|
| | Satisfaction with our Employer Education offerings performed at 94% for the 2017-18 Fiscal Year, demonstrating the effectiveness of employer training courses. |
| Baseline: | Fiscal Year 2017-18, Quarter 1: 94% |
| Target: | Achieve an overall satisfaction rate of 90%, reflecting a positive customer experience across multiple educational offerings |
| Refresh Frequency: | Quarterly |
| Reporting Range: | 10/01/2018 – 12/31/2018 |
| Thresholds: | On-Target: 80% or above |
| | At-Risk: 70 – 79% |
| | Off-Target: Below 70% |

Status Narrative:

This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Member Rating on Stakeholder Perception Survey |
|---|---|
| Operational Outcome Owner: | Brad Pacheco |
| Outcome Measure: | Open & Transparent Communication |
| Core Process: | Listening & Informing |

| Status: | Pending Refresh |
|---|---|
| Numeric Status: | N/A |

| Description: | The Stakeholder Perception Survey is administered every year to a randomized sampling of active and retired members from the public agency, State, and school employers that make up the System. The KPI is based on responses to the question "Does CalPERS do a good job of keeping members informed?" This question provides the clearest insight into our members' perception of CalPERS' efforts towards communicating proactively with our members, and reflects on our operational outcome measure of open and transparent communication. |
|---|---|
| Baseline: | The baseline for this measure is 80.1% of members answering "yes" to the question "Does CalPERS do a good job keeping members informed?" The baseline was established from the score in the survey administered in January 2017, with results reported to the Board in May 2017. |
| Target: | Increase by 0.6% from previous year. For 2018, the target is 80.7%. |
| Refresh Frequency: | Annually, February |
| Reporting Range: | 02/2018 – 02/2019 |
| Thresholds: | On-Target: Score meets or exceeds target increase of 0.6% from the previous year |
| | At-Risk: Score remains the same or increases by less than 0.6% from the previous year |
| | Off-Target: Score decreases from the previous year |

Status Narrative:

Performance data will be available in February 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Employer Rating on Stakeholder Perception Survey |
|---|---|
| Operational Outcome Owner: | Brad Pacheco |
| Outcome Measure: | Open & Transparent Communication |
| Core Process: | Listening & Informing |

| Status: | Pending Refresh |
|---|---|
| Numeric Status: | N/A |

| Description: | The Stakeholder Perception Survey is administered every year to employers at many different levels from the public agency, State, and school employers that make up the System. The KPI is based on responses to the following question; "Does CalPERS do a good job of keeping employer informed". This question provides the clearest insight into our employers' perception of CalPERS' efforts towards communicating across all channels, including in-person, via phone, employer bulleting, circular letters, and outreach meetings. |
|---|---|
| Baseline: | The baseline for this measure is 82.1% of members answering "yes" to the question "Does CalPERS do a good job keeping members informed?" The baseline was established from the score in the survey administered in January 2017, with results reporting to the Board in May 2017. |
| Target: | Increase score by 3 percentage points from baseline of 82.1% to 85.1% in five years, with an average 0.6 percentage point increase per year. The survey will be administered every January, to provide a fair and consistent interval between data periods. |
| Refresh Frequency: | Annually, February |
| Reporting Range: | 02/2018 – 02/2019 |
| Thresholds: | |

| On-Target: | Score meets or exceeds target increase of 0.6% from the previous year |
|---|---|
| At-Risk: | Score remains the same or increases by less than 0.6% from the previous year |
| Off-Target: | Score decreases from the previous year |

Status Narrative:

Performance data will be available in February 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Stakeholder Rating on Stakeholder Perception Survey |
|---|---|
| Operational Outcome Owner: | Brad Pacheco |
| Outcome Measure: | Open & Transparent Communication |
| Core Process: | Listening & Informing |

| Status: | Pending Refresh |
|---|---|
| Numeric Status: | N/A |

| | |
|---|---|
| Description: | The Stakeholder Perception Survey is administered every year to a list of the 75 stakeholder leaders with whom CalPERS is most closely engaged.  These stakeholders represent members, employers, retirees, private sector business, the Legislature, peer pension funds, and business partners.  The KPI is based on responses to the following question: "Does CalPERS do a good job of keeping stakeholders informed". This question provides the clearest insight into our stakeholders' perception of CalPERS' efforts to communicate and be responsive. |
| Baseline: | The baseline for this measure is 69% of surveyed stakeholders answering "yes" to the to the question "Does CalPERS do a good job keeping stakeholders informed?"  The baseline was established from the score in the survey administered in January 2017, with results reported to the Board in May 2017. |
| Target: | Increase score by 3 percentage points from baseline of 69% to 72% in five years, with an average 0.6 percentage point increase per year.  The survey will be administered every January, to provide a fair and consistent interval between data periods. |
| Refresh Frequency: | Annually, February |
| Reporting Range: | 02/2018 – 02/2019 |
| Thresholds: | On-Target:  Score meets or exceeds target increase of 0.6% from the previous year<br>At-Risk:  Score remains the same or increases by less than 0.06% from the previous year<br>Off-Target:  Score decreases from the previous year |

Status Narrative:

Performance data will be available in February 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Community Outreach Efforts |
|---|---|
| Operational Outcome Owner: | Brad Pacheco |
| Outcome Measure: | Open & Transparent Communication |
| Core Process: | Listening & Informing |

| Status: | Pending Refresh |
|---|---|
| Numeric Status: | N/A |

| Description: | This KPI measures our efforts to modernize CalPERS' communications and outreach to improve agility and maximize reach, response, and reputation while increasing programmatic and operational efficiencies. |
|---|---|
| | Factors: |
| | • Visits to Public Website |
| | • Total Social Media Followers |
| | • CalPERS News and Ambassador Newsletter Email Subscriptions |
| Baseline: | 234,863 Total Visitors, Followers & Subscribers (as of 07/01/17) |
| Target: | 274,559 Total Visitors, Followers & Subscribers (by 06/30/22) |
| Refresh Frequency: | Annually, June |
| Reporting Range: | FY 2018-19 |
| | • Total Increase (over 5 years): 39,696 |
| | • Annual Increase: 7,939 |
| Thresholds: | On-Target: 7,939 and above |
| | At-Risk: 7,000 – 7,938 |
| | Off-Target: Below 7,000 |

Status Narrative:

Performance date will be available in June 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Member, Employer, & Stakeholder Rating on Perception Survey |
|---|---|

| | |
|---|---|
| Operational Outcome Owner: | Brad Pacheco |
| Outcome Measure: | Open & Transparent Communication |
| Core Process: | Brand Reputation |

| | |
|---|---|
| Status: | Pending Refresh |
| Numeric Status: | N/A |

| | |
|---|---|
| Description: | The Stakeholder Perception Survey is administered every year to members (active, inactive, and retired), employers of all levels, and stakeholder leaders.   The KPI is based on responses to the following survey question: "My overall perception of CalPERS is positive". Respondents are asked to indicate their agreement on a scale ranging from Strongly Agree (7) to Strongly Disagree (1).  Each response is assigned a numerical value, as follows: |
| | Strongly Agree:  7 |
| | Agree: 6 |
| | Somewhat Agree: 5 |
| | Neither Agree nor Disagree: 4 |
| | Somewhat Disagree: 3 |
| | Disagree: 2 |
| | Strongly Disagree: 1 |
| | The combined average score from all of these segments offers the clearest insight into the overall brand reputation of CalPERS. |
| Baseline: | The baseline for this measure is a score of 5.65, out of a possible 7, which is roughly between "Somewhat agree" and "Agree". The baseline was established from the results of the Stakeholder Perception Survey, administered in January 2017, with results reported to the Board in 05/2017. |
| Target: | Increase score by 5% (0.28) to 5.93 in five years, with an average increase of 0.056 points per year |
| Refresh Frequency: | Annually, February |
| Reporting Range: | 02/2018 – 02/2019 |
| Thresholds: | On-Target: Score meets or exceeds target yearly increase of 0.056 from previous year |
| | At-Risk: Score remains the same or increases by less than 0.056 from the previous year |
| | Off-Target: Score decreases from the previous year |

Status Narrative:

Performance data will be available in February 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Project Portfolio Health |
|---|---|
| Operational Outcome Owner: | Doug Hoffner |
| Outcome Measure: | Efficient & Effective Organization |
| Core Process: | Leveraging Technology |

| Status: | On-Target |
|---|---|
| Numeric Status: | 71% |

| Description: | This KPI measures the overall health component of Board Reportable Projects in the portfolio. The score is calculated using the project size and overall health score. |
|---|---|
| Baseline: | The baseline measurement, taken from Board Reportable Projects as of 9/29/17, is 77%. |
| Target: | The target is 70% of the projects in the portfolio are On-Target for the next fiscal year. |
| Refresh Frequency: | Quarterly |
| Reporting Range: | 09/30/18 – 12/31/18 |
| Thresholds: | |
| | On-Target: 70% or above |
| | At-Risk: 54% to 69% |
| | Off-Target: Less than 54% |

Status Narrative:

This KPI is On-Target for this reporting period.

# Information Technology Projects Dashboard

**12/31/18**

| Project Name | Status | Start Date | End Date | Total Budget | Total Expeditures | Overall Health |
|---|---|---|---|---|---|---|
| Contact Center Cloud Application Project | Active | 06/01/18 | TBD | TBD | $0 | 🟢 |
| Advanced Analytics and Integration | Active | 11/01/18 | 12/31/19 | $5,968,133 | $208,252 | 🟢 |
| Generation 4 (GEN4) Data Warehouse | Active | 06/26/17 | 01/31/19 | $1,530,000 | $621,957 | 🔺 |
| Backup, Restoration, and Disaster Recovery (BR/DR) Implementation | Active | 08/01/16 | 02/20/19 | $7,000,000 | $335,358 | 🟥 |
| Human Resources Management Solution (HRMS) | Active | 06/11/18 | TBD | TBD | $0 | 🟢 |

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Timely Resolution of Public Agency Reviews |
|---|---|
| Operational Outcome Owner: | Doug Hoffner |
| Outcome Measure: | Efficient & Effective Organization |
| Core Process: | Compliance & Managing Risks |

| Status: | On-Target |
|---|---|
| Numeric Status: | 100% |

| Description: | Timely resolution of public agency reviews ensures compliance with CalPERS Audit Resolution Policy of closing observations within 12 months of issuance. |
|---|---|
| | When a final Public Agency Review audit report is issued, the appropriate program areas have up to 12 months to assist the agency into gaining compliance with Public Employees' Retirement Law (PERL) and its contract with CalPERS. This measure supports the Audit Compliance & Resolution Process established in 2017 to hold employers accountable to resolving findings in a timely manner. |
| Baseline: | Three-year average from 2013-15: 78% |
| Target: | 80% of Employer Review Observations closed within 12 months |
| Refresh Frequency: | Quarterly |
| Reporting Range: | 10/01/18 – 12/31/18 |
| Thresholds: | On-Target: 70% and above<br>At-Risk: 60-69%<br>Off-Target: 59% and below |

Status Narrative:

This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Form 700 Completed Timely |
|---|---|
| Operational Outcome Owner: | Doug Hoffner |
| Outcome Measure: | Efficient & Effective Organization |
| Core Process: | Compliance & Managing Risks |

| Status: | Pending Refresh |
|---|---|
| Numeric Status: | N/A |

| Description: | The KPI measures the performance of the Core Process by setting standards for performance (baseline and target). |
|---|---|
| | Timely submission of Annual Statement of Economic Interests (Form 700) by Board members, employees, and third parties. |
| | The KPI measure influences the Operational Outcome Measure by prompting changes to processes and procedures that promote and increase compliance |
| Baseline: | 98% |
| Target: | 100% |
| Refresh Frequency: | Annually, June |
| Reporting Range: | 07/01/18 – 06/30/19 |
| Thresholds: | On-Target: 90% to 100% |
| | At-Risk: 75% to 89% |
| | Off-Target: below 75% |

Status Narrative:

Performance Data will be available in June 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Mandated Training Compliance |
|---|---|
| Operational Outcome Owner: | Doug Hoffner |
| Outcome Measure: | Efficient & Effective Organization |
| Core Process: | Compliance & Managing Risks |

| Status: | Pending Refresh |
|---|---|
| Numeric Status: | N/A |

| Description: | This KPI measures mandated training for all CalPERS officers and employees.  There are six types of mandated training, the first four listed below are due by December 31, 2017 and the last two are due by June 30, 2018.  However, the "Status" provides a weighted average for all mandated training for the fiscal year. |
|---|---|
| Baseline: | FY 2017-2018 as of June 2018<br>Workplace Violence Prevention – 98%<br>Harassment Prevention for Employees -97.9%<br>Harassment Prevention for Supervisors – 98.76%<br>Mandatory State Officials – Ethics Training Course for Form 700 Filers – 99.2%<br>Health Insurance Portability Accountability Act – 98.67%<br>Information Security Awareness – 98.59% |
| Target: | Target is 100% for each mandated training module |
| Refresh Frequency: | Annually, June |
| Reporting Range: | FY 2017-18 |
| Thresholds: | On-Target: ≥ 97%<br>At-Risk: 90-96%<br>Off-Target: ≤ 89% |

Status Narrative:

Performance data will be available in June 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Personal Trading Monitoring |
|---|---|
| Operational Outcome Owner: | Doug Hoffner |
| Outcome Measure: | Efficient & Effective Organization |
| Core Process: | Compliance & Managing Risks |

| Status: | Pending Refresh |
|---|---|
| Numeric Status: | N/A |

| Description: | Measure all violations to CalPERS Personal Trading Regulations. For FY 2017-18 there were approximately 650 covered persons who completed 7,382 transactions, 62 of which were violations.  This translates in to approximately five violations a month, or <1% of all transactions.  It is important to note that a single offense can result in multiple violations. ECOM expects the Personal Trading Amendment Regulatory change to take into effect FY 2018-19 which will significantly reduce the number of violations due to increased clarity and simplicity. |
|---|---|
| Baseline: | 62 violations per year |
| Target: | Zero |
| Refresh Frequency: | Annually, June |
| Reporting Range: | Current fiscal year snapshot, 07/01/18 to 06/30/19 |
| Thresholds: | On-Target: ≤ 60 transactions |
| | At-Risk: 61-79 transactions |
| | Off-Target: ≥ 80 transactions |

Status Narrative:

Performance data will be available June 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Ensure Evacuation Readiness |
|---|---|
| Operational Outcome Owner: | Doug Hoffner |
| Outcome Measure: | Efficient & Effective Organization |
| Core Process: | Compliance & Managing Risks |

| Status: | Pending Refresh |
|---|---|
| Numeric Status: | N/A |

| Description: | This KPI is focused on increasing the overall health and safety of all team members in the organization by ensuring they are equipped with the tools to efficiently and effectively evacuate during an emergency. To achieve this, the following tasks are performed: hold an annual evacuation drill; work to obtain appropriate team member to Floor Warden Team (FWT) and Emergency Response Team (ERT) ratios; hold ERT and FWT trainings and mock drills; and work to increase the visibility of, and education around, the emergency assistance program for those with special assistance needs. |
|---|---|
| Baseline: | The baseline for Fiscal Year 16/17 is 77%. It is a combined average of 77% Floor Warden Team (FWT) and 78% Emergency Response Team (ERT) participation. |
| Target: | The target is to achieve a combined average of 80% or greater on the FWT and ERT participation rate. |
| Refresh Frequency: | Annually, September |
| Reporting Range: | FY 2017-18 |
| Thresholds: | On-Target: > 80% ERT and FWT participation<br>At-Risk: 75 - 80% ERT and FWT participation<br>Off-Target: < 75% ERT and FWT participation |

Status Narrative:

Performance Data will be available September 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Business Continuity Readiness - INFORMATIONAL |
|---|---|
| Operational Outcome Owner: | Doug Hoffner |
| Outcome Measure: | Efficient & Effective Organization |
| Core Process: | Compliance & Managing Risks |

| | |
|---|---|
| Status: | Not applicable as KPI is Informational |
| Numeric Status: | N/A |

| | |
|---|---|
| Description: | This KPI supports CalPERS' mission of delivering retirement and health care benefits to members and their beneficiaries during disaster recovery and maintaining CalPERS' ability to remain effective after an interruption to business operations. |
| Baseline: | Not applicable as KPI is Informational |
| Target: | Not applicable as KPI is Informational |
| Refresh Frequency: | Annually, July |
| Reporting Range: | FY 2017-18 |
| Thresholds: | Not applicable as KPI is Informational |

Status Narrative:

We have completed the Business Continuity update for FY 2017/18 and submitted the CalOES Checklist in January 2018.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

**Reported in Closed Session Q2 & Q4**

| KPI Title: | Cyber Security Risk Rating |
|---|---|
| Operational Outcome Owner: | Doug Hoffner |
| Outcome Measure: | Efficient & Effective Organization |
| Core Process: | Compliance & Managing Risks |

| Status: | Information to be provided in Closed Session |
|---|---|
| Numeric Status: | N/A |

| Description: | Information to be provided in Closed Session. |
|---|---|
| Baseline: | N/A |
| Target: | N/A |
| Refresh Frequency: | N/A |
| Reporting Range: | N/A |
| Thresholds: | N/A |

Status Narrative:

Information to be provided in Closed Session.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Lean Adoption |
|---|---|
| Operational Outcome Owner: | Doug Hoffner |
| Outcome Measure: | Efficient & Effective Organization |
| Core Process: | Compliance & Managing Risks |

| | |
|---|---|
| Status: | On-Target |
| Numeric Status: | 8% |

| Description: | Lean is a continuous business process improvement approach to eliminate waste and increase value to customers. Lean Adoption needs to begin with education and the Senior Leadership Council recommended providing White Belt education across the enterprise.  As such, the initial Lean Adoption KPI will measure the percent of CalPERS team that participated in Lean White Belt training. |
|---|---|
| | As Lean education increases throughout the organization, we may develop additional KPIs to further measure Lean Adoption or identify opportunities to embed Lean Adoption into other directly related KPIs. |
| Baseline: | As of March 2018, 9 percent of CalPERS team participated in Lean White Belt training |
| Target: | 80 percent of CalPERS team participation in Lean White Belt training by June 30, 2020 |
| Refresh Frequency: | Quarterly |
| Reporting Range: | 10/1/18 – 12/31/18 |
| Thresholds: | |
| | On-Target:   Above 7% increase in participation per quarter |
| | At-Risk:   1-7% increase in participation per quarter |
| | Off-Target:   0% increase in participation per quarter |

Status Narrative:

As of December 31, 2018, 33.2 percent of CalPERS team has participated in Lean White Belt training. This KPI is On-Target for this reporting period.  For the next reporting period, however, there is potential risk due to limited White Belt training resources. Two White Belt trainers are no longer available to train, which increases training workload for the other trainers and may not be sustainable long-term. To mitigate the risk, CalPERS is sending two trainers to CalHR's White Belt Train the Trainer class in January 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Employers Current on CalPERS Health Obligations |
|---|---|
| Operational Outcome Owner: | Doug Hoffner |
| Outcome Measure: | Efficient & Effective Organization |
| Core Process: | Compliance & Managing Risks |

| Status: | On-Target |
|---|---|
| Numeric Status: | 96.7% |

| Description: | Public Agency employers are required to pay health contributions by the 10th business day of the month.  If employers do not pay timely they are subject to penalties and will be contacted by the Member and Health Collections Unit.  Continued failure to pay will result in cancelled benefits. This KPI reflects the percentage of Public Agency employers that are current. |
|---|---|
| Baseline: | 97.6% of Public Agency employers are current on their health obligations (July – September 2018 timeframe) |
| Target: | The target is for 100% of Public Agency employers to be current on all CalPERS health contributions |
| Refresh Frequency: | Quarterly |
| Reporting Range: | 90 days |
| Thresholds: | On-Target:      95-100% of Public Agency employers current |
| | At-Risk:        90-94% of Public Agency employers current |
| | Off-Target:     Less than 89% of Public Agency employers are current |

Status Narrative:

This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Employers Current on CalPERS Pension Obligations |
|---|---|
| Operational Outcome Owner: | Doug Hoffner |
| Outcome Measure: | Efficient & Effective Organization |
| Core Process: | Compliance & Managing Risks |

| Status: | On-Target |
|---|---|
| Numeric Status: | 98% |

| Description: | The positive proportion of employers that are current on their CalPERS obligations ensures fulfillment of the employer's contractual and statutory responsibilities when participating in CalPERS' pension programs. |
|---|---|
| Baseline: | 98% of employers are current on their CalPERS pension obligations based on the September FAC Reporting on Participating Employers. |
| Target: | 100% of employers are current on all CalPERS pension obligations. |
| Refresh Frequency: | Quarterly |
| Reporting Range: | Quarterly (timed in conjunction with report to FAC) |
| Thresholds: | On-Target: 85-100% of employers current<br>At-Risk: 60-84% of employers current<br>Off-Target: 59% of employers current |

Status Narrative:

This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Small Business & Disabled Veterans Business Enterprise Requirements Compliance |
|---|---|

| Operational Outcome Owner: | Doug Hoffner |
|---|---|
| Outcome Measure: | Efficient & Effective Organization |
| Core Process: | Purchasing & Acquisition |

| Status: | Pending Refresh |
|---|---|
| Numeric Status: | N/A |

| Description: | This KPI is focused on ensuring compliance pertaining to Small Business (SB) & Disabled Veterans Business Enterprise (DVBE) laws, rules & regulations. All State Agencies must comply with the California State Law by meeting both targets of 25% SB participation and 3% DVBE participation for all total contracting dollars. If CalPERS is not successful in meeting these numbers for three straight Fiscal Years this could impact its ability to continue to run its own SB/DVBE program. |
|---|---|
| Baseline: | The baseline reflects Fiscal Year 17/18 participation is 25.04% SB and 3.09% DVBE of all contracting dollars. |
| Target: | The target is to have 25% SB or greater and 3% DVBE or greater participation for all total contracting dollars. |
| Refresh Frequency: | Annually, September |
| Reporting Range: | FY 2017-18 |
| Thresholds: | |

| | On-Target: | 2 targets met |
|---|---|---|
| | At-Risk: | 1 target met |
| | Off-Target: | 0 targets met |

Status Narrative:

Performance Data will be available in September 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Solicitation, Contract, Amendment & Purchase Order Service Level Compliance |
|---|---|
| Operational Outcome Owner: | Doug Hoffner |
| Outcome Measure: | Efficient & Effective Organization |
| Core Process: | Purchasing & Acquisition |

| Status: | Pending Refresh |
|---|---|
| Numeric Status: | N/A |

| Description: | This KPI ensures OSSD and Program areas meet service level agreements (SLA) for CalPERS issued solicitations, contracts, amendments and Purchase Orders (PO). Meeting Solicitation SLAs are vital to ensuring CalPERS programs continue to do their job for the members. If SLAs are not met for contracts or amendments this can significantly impact CalPERS program areas completing work for their members. Goods cannot be delivered nor, can services begin until a contract, amendment, or PO is executed. |
|---|---|
| Baseline: | The baseline reflects FY 2017-18 information as a combined average of 86% for solicitations, contracts, amendments and purchase orders |
| Target: | The target is to achieve 100% solicitation, contract, amendment and purchase order service level compliance |
| Refresh Frequency: | Annually, September |
| Reporting Range: | FY 2017-18 |
| Thresholds: | |
| | On-Target: 91% or greater |
| | At-Risk: 81% to 90% |
| | Off-Target: 80% or lower |

Status Narrative:

Performance data will be available September 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Team Member Perception of Leadership: Manager Relationships |
|---|---|
| Operational Outcome Owner: | Ben Meng |
| Outcome Measure: | Supportive & Engaged Leadership |
| Core Process: | Managing Resources & Performance |

| Status: | On-Target |
|---|---|
| Numeric Status: | 73% |

| Description: | The annual Employee Engagement Survey will help us ensure we continue to measure how team members perceive their relationship with their direct managers. |
|---|---|
| | The annual Employee Engagement Survey captured team members' perceptions of leadership for Manager Relationships. |
| Baseline: | 71% positive survey score for team member perception of Manager Relationships as of 10/2017 |
| Target: | 59% or higher positive survey score represents high performance |
| Refresh Frequency: | Annually, December |
| Reporting Range: | November 2018 – October 2019 |
| Thresholds: | On-Target: Above 59% represents high performance |
| | At-Risk: 40-59% represents average performance |
| | Off-Target: Under 40% represents low performance |

Status Narrative:

This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Retain Highly Skilled Senior Leaders - INFORMATIONAL |
|---|---|
| Operational Outcome Owner: | Ben Meng |
| Outcome Measure: | Supportive & Engaged Leadership |
| Core Process: | Managing Resources & Performance |

| Status: | Not applicable as KPI is Informational |
|---|---|
| Numeric Status: | N/A |

| Description: | This KPI assess the retention of leaders, as indicated by senior and executive recruitments filled by internal candidates who participate in the competitive recruitment process. Senior and executive recruitments are classified as Division leaders at a CEA or equivalent classification and Branch leaders that are direct reports to the CEO. The methodology is derived from the 67/33 build/buy ratio from Korn Ferry's Real World Leadership Study. |
|---|---|
| | Based on best practice research, companies should strive to arrive at a 67% retention rate. |
| Baseline: | Not applicable as KPI is Informational |
| Target: | Not applicable as KPI is Informational |
| Refresh Frequency: | Annually, August |
| Reporting Range: | 7/1/17-6/30/18 |
| Thresholds: | Not applicable as KPI is Informational |

Status Narrative:

The retention rate for the reporting period (July 1, 2017 through June 30, 2018) is 68.8%. 68.8% reflects all senior management incumbents still in their position, as well as senior management incumbents previously in another senior level position. An additional data point, 83.3%, includes senior management incumbents who were previously at a lower level position here at CalPERS (e.g., SSM IIIs who were hired into chief positions).

The civil service merit process limits our ability to directly influence this metric; however, our outreach efforts to include Diversity & Inclusion and build talent pools of qualified candidates using social media outlets (i.e. LinkedIn) are some of the ways we engage external candidates.

Our next Informational update will be available in August 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Health of Enterprise Performance Reporting (EPR) Framework |
|---|---|
| Operational Outcome Owner: | Ben Meng |
| Outcome Measure: | Supportive & Engaged Leadership |
| Core Process: | Managing Resources & Performance |

| Status: | Data Not Available |
|---|---|
| Numeric Status: | N/A |

| Description: | The Enterprise Performance Reporting KPI provides a comprehensive view of the health of CalPERS as it pertains to our strategic efforts and operational processes. This KPI will include the health of Strategic Measures, Business Plan Initiatives, and KPIs. |
|---|---|
| Baseline: | It is anticipated that the baseline will be established in FY 2018-19 when all three EPR components reach full maturity |
| Target: | 85% or greater of all EPR components that are in a healthy status (On-Target) |
| Refresh Frequency: | Quarterly |
| Reporting Range: | FY 2019-20, Q1 |
| Thresholds: | On-Target: 85% + <br> At-Risk: 80-84.9% <br> Off-Target: Below 80% |

Status Narrative:

For Quarter 2: of the 34 Strategic Measures, 3 are On-Target, 1 is At-risk, 24 are pending refresh, 5 are under development, and one is reported in Closed Session.

For Quarter 2: of the 34 Business Plan Initiatives, 31 are On-Target, two are Off-Target, two completed and one is reported in Closed Session.

For Quarter 2: Of the 60 Key Performance Indicators, 26 are On-Target, 2 are At-risk, 21 are pending refresh, one is Data not available, 9 are Informational only and one is reported in Closed Session.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Operational sustainability report - INFORMATIONAL |
|---|---|
| Operational Outcome Owner: | Ben Meng |
| Outcome Measure: | Supportive & Engaged Leadership |
| Core Process: | Managing Resources & Performance |

| Status: | Not applicable as KPI is Informational |
|---|---|
| Numeric Status: | N/A |

| Description: | CalPERS completes the Sustainability Roadmap, administered by Department of General Services (DGS), which details the actions and steps taken to meet the requirements of the Governor's sustainability initiatives. The Roadmap is broken into five sections: climate adaptation, zero emissions vehicles, energy, water efficiency and conservation, and green operations. The Roadmap is peer reviewed by DGS with the final version due bi-annually in December. This indicator supports the CalPERS Core Value of Accountability and Integrity of maintaining compliance with CalPERS sustainability practices and the Governor's Executive Orders which outline state agencies sustainable operations. |
|---|---|
| Baseline: | Not applicable as KPI is Informational |
| Target: | Not applicable as KPI is Informational |
| Refresh Frequency: | Every two years. Next report in December 2020. |
| Reporting Range: | Not applicable as KPI is Informational |
| Thresholds: | Not applicable as KPI is Informational |

Status Narrative:

The CalPERS 2018-19 Sustainability Roadmap is available on the California Green Buildings website at Green.ca.gov. CalPERS will update its Roadmap in December 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Average Time to Hire for Hard-to-Recruit Positions |
|---|---|
| Operational Outcome Owner: | Liana Bailey-Crimmins |
| Outcome Measure: | Team Member Engagement |
| Core Process: | Attracting & Supporting Team Members |

| Status: | Pending Refresh |
|---|---|
| Numeric Status: | N/A |

| Description: | This KPI measures the average time to hire for those defined as hard-to-recruit positions. Time measured starts when the recruitment request is submitted to Human Resources until the time an official job offer is accepted by the candidate. HRSD will work with CalHR to develop a reporting feature that integrates ECOS and STAR data. This integration will provide the complete set of data points required to measure the time it takes from the point of request to the acceptance of offer. |
|---|---|
| Baseline: | 75% with the average time to hire being 70 days as of 6/30/18. |
| Target: | 70% of hard-to-recruit positions filled within 120 days of recruitment initiation. The target and thresholds may be adjusted after we begin measuring all hard-to-recruit positions enterprise-wide, beginning FY 2019-20. |
| Refresh Frequency: | Annually, September |
| Reporting Range: | FY 2017-18 |
| Thresholds: | On-Target: 70% at 120 days <br> At-Risk: 55% to 69% at 120 days <br> Off-Target: 54% and below at 120 days |

Status Narrative:

Performance data will be available September 2019.

For FY 2018-19, we will continue measuring hard-to-recruit positions exclusively for leadership. The baseline will change during FY 2019-20 when we begin measuring a larger group consisting of all hard-to-recruit positions enterprise-wide.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Retention Rate - INFORMATIONAL |
|---|---|
| Operational Outcome Owner: | Liana Bailey-Crimmins |
| Outcome Measure: | Team Member Engagement |
| Core Process: | Attracting & Supporting Team Members |

| Status: | Not applicable as KPI is Informational |
|---|---|
| Numeric Status: | N/A |

| Description: | This is an overview of CalPERS retention rate. We will research best practices, evaluate existing data, towards establishing a baseline for measurement and breakdowns for reporting retention. A review of employee retention on an annual basis involves identifying trends for areas where we have success, as well as areas where we may be experiencing challenges. |
|---|---|
| | We do not set a target for a minimum or maximum amount of hires, transfers, promotions, discharges, etc. |
| Baseline: | Not applicable as KPI is Informational |
| Target: | Not applicable as KPI is Informational |
| Refresh Frequency: | Annually, December |
| Reporting Range: | FY 2017-18 |
| Thresholds: | Not applicable as KPI is Informational |

Status Narrative:

We continue to make progress with identifying a formula for calculating retention rates for CalPERS. We have researched best practices, tentatively identified a formula for calculating retention, and are currently testing the formula and working with our other HRSD business partners to ensure consistency.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Work Life Balance Perceptions |
| --- | --- |
| Operational Outcome Owner: | Liana Bailey-Crimmins |
| Outcome Measure: | Team Member Engagement |
| Core Process: | Attracting & Supporting Team Members |

| Status: | On-Target |
| --- | --- |
| Numeric Status: | 68% |

| Description: | There is a return on investment for work life balance programs-such return is typically realized through employee attendance, lower health care costs, lower workers' compensation cost, increased productivity, and reduced employee turnover. As the second largest pension fund in the country, it is important CalPERS promotes work life balance, demonstrating commitment to team members. |
| --- | --- |
| | The annual Employee Engagement survey captures team members' perceptions of work life balance. |
| Baseline: | 65% positive survey score for work life balance perception as of 10/2017. |
| Target: | 59% or higher positive survey score represents high performance. |
| Refresh Frequency: | Annually, December |
| Reporting Range: | November 2017-October 2018 |
| Thresholds: | On-Target: Above 59% represents high performance |
| | At-Risk: 40-59% represents average performance |
| | Off-Target: Under 40% represents low performance |

Status Narrative:

This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Team Member Perception of Training and Development |
|---|---|
| Operational Outcome Owner: | Liana Bailey-Crimmins |
| Outcome Measure: | Team Member Engagement |
| Core Process: | Attracting & Supporting Team Members |

| Status: | On-Target |
|---|---|
| Numeric Status: | 62% |

| Description: | The annual Employee Engagement survey will help us ensure we continue to measure and capture how team members perceive CalPERS training and development. |
|---|---|
| Baseline: | 60% positive survey score for team member perception of training and development as of 10/2017. |
| Target: | 59% or higher positive survey score represents high performance. |
| Refresh Frequency: | Annually, December |
| Reporting Range: | November 2017-October 2018 |
| Thresholds: | On-Target: Above 59% represents high performance |
| | At-Risk: 40-59% represents average performance |
| | Off-Target: Under 40% represents low performance |

Status Narrative:

This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Response Rate of Employee Engagement Survey |
|---|---|
| Operational Outcome Owner: | Liana Bailey-Crimmins |
| Outcome Measure: | Team Member Engagement |
| Core Process: | Attracting & Supporting Team Members |

| Status: | On-Target |
|---|---|
| Numeric Status: | 71% |

| Description: | This KPI will capture survey response rate of team members. The annual Employee Engagement survey will help us ensure that we continue to foster a culture where engaging behaviors are part of our daily interactions and practices. |
|---|---|
| Baseline: | 70% response rate of employees responded to the survey |
| Target: | 70% or higher positive survey score represents high performance |
| Refresh Frequency: | Annually, December |
| Reporting Range: | November 2017-October 2018 |
| Thresholds: | On-Target: Above 59% represents high performance |
| | At-Risk: 40-59% represents average performance |
| | Off-Target: Under 40% represents low performance |

Status Narrative:

This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Emerging Leader Program - INFORMATIONAL |
|---|---|
| Operational Outcome Owner: | Liana Bailey-Crimmins |
| Outcome Measure: | Team Member Engagement |
| Core Process: | Attracting & Supporting Team Members |

| Status: | Not applicable as KPI is Informational |
|---|---|
| Numeric Status: | N/A |

| Description: | The Emerging Leader Program is a program that prepares high-potential team members for a leadership role. The program targets journey-level analysts, technical, and professional staff to participate in a six-month learning program while they work in their current capacity. |
|---|---|
| Baseline: | Not applicable as KPI is Informational |
| Target: | Not applicable as KPI is Informational |
| Refresh Frequency: | Annually, July |
| Reporting Range: | FY 2018-19 |
| Thresholds: | Not applicable as KPI is Informational |

Status Narrative:

Completed Emerging Leader Pilot Program during FY 2017-18. 25 team members in non-supervisory, journey-level classifications participated in the program. 23 graduated from the program in April 2018. During the program, seven participants (28%) received promotions; two of these seven participants left the program to participate in LEADER. Survey feedback shows value of the program and participant satisfaction: 95% of participants claim they gained skills they are applying on the job; 90% reported the program provided them with a solid foundation for ongoing professional development; 90% reported the program provided a foundational understanding of the skills and development needed to be a successful leader.

Our next informational update will be available in July 2019.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | 100% of All Ideas Responded to Within 120 days |
|---|---|
| Operational Outcome Owner: | Liana Bailey-Crimmins |
| Outcome Measure: | Team Member Engagement |
| Core Process: | Attracting & Supporting Team Members |

| Status: | On-Target |
|---|---|
| Numeric Status: | 100% |

| Description: | Idea Factory is a CalPERS employee-driven innovation program, designed to inspire team members to share ideas and solutions that will improve CalPERS. All ideas will be evaluated and scored based upon perceived business value and effort to implement by the Senior Leadership Council (SLC) and the outcome of the ideas will be shared with the organization via The Spark and Idea Factory Library. By considering and responding to each idea submitted through the program, it shows that leadership supports team members by being open to innovative thinking and continuous improvement. |
|---|---|
| Baseline: | 100% as of 11/2017 |
| Target: | 100% of ideas submitted through Idea Factory will be responded to within 120 days of ideas submission <br><br> • Responded to: communicating the ideas' evaluation outcome to the idea submitter |
| Refresh Frequency: | Quarterly, month following end of preceding quarter |
| Reporting Range: | 10/1/18-12/31/18 |
| Thresholds: | On-Target: 100% of ideas responded to within 120 days of idea submission <br> At-Risk: 99-95% of ideas responded to within 120 days of idea submission <br> Off-Target: 95% or less of ideas responded to within 120 days of idea submission |

Status Narrative:

This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | 80% of All Viable Ideas Implemented as Scheduled |
|---|---|
| Operational Outcome Owner: | Liana Bailey-Crimmins |
| Outcome Measure: | Team Member Engagement |
| Core Process: | Attracting & Supporting Team Members |

| Status: | On-Target |
|---|---|
| Numeric Status: | 100% |

| Description: | Idea Factory is a CalPERS employee-driven innovation program, designed to inspire team members to share ideas and solutions that will improve CalPERS. All ideas will be evaluated and scored based upon perceived business value and effort to implement by the Senior Leadership Council (SLC). Implementing ideas that are submitted through the program shows that leadership supports team members by being open to innovative thinking, values their ideas and solutions for continuous improvement, and encourages team member engagement. |
|---|---|
| Baseline: | 100% as of 11/2017 |
| Target: | 80% of all viable ideas submitted through Idea Factory will be implemented as scheduled<br>• Viable idea: any idea that has been deemed feasible for implementation |
| Refresh Frequency: | Quarterly, month following end of preceding quarter |
| Reporting Range: | 10/1/18-12/31/18 |
| Thresholds: | On-Target: 80% or more of all viable ideas are implemented as scheduled<br>At-Risk: Less than 80% (50-79%) of all viable ideas are implemented as scheduled<br>Off-Target: Less than 50% of all viable ideas are implemented as scheduled |

Status Narrative:
 This KPI is On-Target for this reporting period.

# 2018-19 Key Performance Indicator Summary (as of 12/31/18)

| KPI Title: | Our Promise & Annual Food Drive - INFORMATIONAL |
|---|---|
| Operational Outcome Owner: | Liana Bailey-Crimmins |
| Outcome Measure: | Team Member Engagement |
| Core Process: | Attracting & Supporting Team Members |

| Status: | Not applicable as KPI is Informational |
|---|---|
| Numeric Status: | N/A |

| Description: | Our goal is to gauge the level of outreach by cataloging our efforts to promote and support the Our Promise and food drive campaigns. |
|---|---|
| Baseline: | Not applicable as KPI is Informational |
| Target: | Not applicable as KPI is Informational |
| Refresh Frequency: | Annually, January |
| Reporting Range: | 2017 fundraising efforts |
| Thresholds: | Not applicable as KPI is Informational |

Status Narrative:

Information will be available in January 2019 for the 2018 calendar year.

For the 2017 calendar year, CalPERS raised $122,416 for the Our Promise campaign, and donated 53,021 pounds of food for the annual food drive. Also, our CEO, Marcie Frost served as vice chair of the statewide Our Promise Leadership Team.