

SAN JOSÉ RETIREMENT BOARDS:

LEADERSHIP/MANAGEMENT SURVEYS FOR THE CEO AND CIO

CONTENTS

Overview 1

CEO Leadership/Management Survey 2

CIO Leadership/Management Survey 4

Overview

The questions for the two surveys are on the following pages.

Each trustee will be provided two unique on-line links (one for the CEO, the other for the CIO) where trustees can complete each of the two surveys.

CEO Leadership/Management Survey

| The CEO: | Needs Improvement | Meets Expectations | Exceeds Expectations | Unable to Assess |
|--|-------------------|--------------------|----------------------|------------------|
| A. Stakeholder Relations | | | | |
| 1. Effectively represents and promotes the interests of the retirement system to stakeholders (e.g., City Council), maintaining their trust and confidence. | | | | |
| 2. Works effectively with the Mayor's Office, City Council, and City Administration, as well as the media and general public. | | | | |
| 3. Demonstrates a strong service orientation towards the membership. | | | | |
| B. Board Relations | | | | |
| 4. Keeps the Board properly informed of all relevant matters, and supports the Board to ensure Board meetings are efficient and effective. | | | | |
| 5. Provides sound recommendations or guidance to the Board/committees regarding board policy matters and decisions (e.g., identifying and analyzing issues with well-supported recommendations). | | | | |
| 6. Is responsive to questions/concerns of board members and welcomes their feedback (e.g., suggestions, new ideas, and constructive criticism). | | | | |
| C. Enterprise Risk Management, Operations Management, and Human Resources | | | | |
| 7. Effectively monitors trends in the environment (e.g., the City, pension industry, etc.) that may have a significant impact on the Systems. | | | | |
| 8. Demonstrates technical and professional knowledge of: <ul style="list-style-type: none"> a. all facets of public plan administration to effectively lead and oversee benefit administration, the actuarial function, etc.; and b. public plan investments to effectively lead and oversee the investment program and the work of the CIO. | | | | |
| 9. Develops and recommends an appropriate operating budget, including the effective and efficient use of consultants and other service providers. | | | | |

| The CEO: | Needs Improvement | Meets Expectations | Exceeds Expectations | Unable to Assess |
|---|-------------------|--------------------|----------------------|------------------|
| 10. Works effectively with senior management, and promotes staff satisfaction, development, and recognition of all staff. | | | | |
| D. Leadership/Management | | | | |
| 11. Demonstrates a high degree of personal integrity, ethics, and decorum. | | | | |
| 12. Demonstrates good judgment in his/her actions, decisions, and communications. | | | | |
| 13. Articulates a clear and appropriate strategy and direction for the organization. | | | | |
| 14. Communicates effectively in oral reports, presentations, and other communications. | | | | |

15. Please elaborate on any of the scores you provided above:

16. Please elaborate on any areas where you believe the CEO is particularly strong:

17. Please elaborate on any areas where you believe the CEO could improve:

CIO Leadership/Management Survey

| The CIO: | Needs Improvement | Meets Expectations | Exceeds Expectations | Unable to Assess |
|--|-------------------|--------------------|----------------------|------------------|
| A. Stakeholder Relations | | | | |
| 1. Effectively represents and promotes the interests of the retirement system to stakeholders (e.g., City Council), maintaining their trust and confidence. | | | | |
| 2. Works effectively with the Mayor's Office, City Council, and City Administration, as well as the media and general public. | | | | |
| 3. Demonstrates a strong service orientation towards the membership. | | | | |
| B. Board Relations | | | | |
| 4. Keeps the Board properly informed of all relevant matters, and supports the Board to ensure Board meetings are efficient and effective. | | | | |
| 5. Provides sound recommendations or guidance to the Board/committees regarding board policy matters and decisions (e.g., identifying and analyzing issues with well-supported recommendations). | | | | |
| 6. Is responsive to questions/concerns of board members and welcomes their feedback (e.g., suggestions, new ideas, and constructive criticism). | | | | |
| C. Enterprise Risk Management, Operations Management, and Human Resources | | | | |
| 7. Effectively monitors trends in the environment (e.g., the City, pension industry, etc.) that may have a significant impact on the Systems. | | | | |
| 8. Demonstrates: <ul style="list-style-type: none"> a. appropriate leadership and oversight of the investment function; and b. sufficient technical and professional knowledge of investments. | | | | |
| 9. Develops and recommends an appropriate operating budget, including the effective and efficient use of consultants and other service providers. | | | | |
| 10. Works effectively with senior management, and promotes staff satisfaction, development, and recognition of all staff. | | | | |

| The CIO: | Needs Improvement | Meets Expectations | Exceeds Expectations | Unable to Assess |
|--|-------------------|--------------------|----------------------|------------------|
| D. Leadership/Management | | | | |
| 11. Demonstrates a high degree of personal integrity, ethics, and decorum. | | | | |
| 12. Demonstrates good judgment in his/her actions, decisions, and communications. | | | | |
| 13. Articulates a clear and appropriate strategy and direction for the investment program. | | | | |
| 14. Communicates effectively in oral reports, presentations, and other communications. | | | | |

15. Please elaborate on any of the scores you provided above:

16. Please elaborate on any areas where you believe the CIO is particularly strong:

17. Please elaborate on any areas where you believe the CIO could improve: