

CIO Management/Leadership Survey 202~~6~~⁵ - Fed

Chief Investment Officer Survey

This survey consists of three pages:

- **14** questions
- **3** open-ended questions

The CIO:

| | <u>Needs Improvement</u> <u>†Outstanding</u> | <u>Meets Expectations</u> <u>C</u> <u>ommendable</u> | <u>Exceeds Expectations</u> <u>Satisfactory</u> | <u>Unable to Assess</u> <u>Needs Improvement</u> | <u>Unable to Assess</u> |
|--|---|--|--|---|-------------------------|
| 1. Effectively represents and promotes the interests of the retirement system to stakeholders (e.g., City Council), maintaining their trust and confidence. | () | () | () | () | Ω |
| 2. Works effectively with the Mayor's Office, City Council, and City Administration, as well as the media and general public. Develops relationships with stakeholders and provides relevant and timely information that can affect the investment program. | ⊕ | ⊕ | ⊕ | ⊕ | 3. |
| 2. Establishes collaborative relationships with the City plan sponsor. The CIO demonstrates a calm, professional, and respectful demeanor in | Ω | Ω | Ω | Ω | Ω |

| | <u>Needs Improvement</u> <u>†Outstanding</u> | <u>Meets Expectations</u> <u>Commendable</u> | <u>Exceeds Expectations</u> <u>Satisfactory</u> | <u>Unable to Assess</u> <u>Needs Improvement</u> | <u>Unable to Assess</u> |
|--|---|---|--|---|-------------------------|
| <u>interactions with staff, even during periods of stress or disagreement.</u> | | | | | |
| 3. 4. <u>Provides educational sessions for the Board on relevant and timely investment topics. The CIO listens attentively and allows others staff to fully express perspectives without interruption or dismissal.</u> | ⊖ | ⊖ | ⊖ | ⊖ | ⊖ |
| 3. <u>Demonstrates a strong service orientation towards the membership.</u> | ⊕ | ⊕ | ⊕ | ⊕ | |
| 5 <u>4. Informs the Board of his regular review of the portfolio risk of the investment program.</u> | ⊖ | ⊖ | ⊖ | ⊖ | ⊖ |
| 4. <u>5. Keeps the Board properly informed of all relevant matters, and supports the Board to ensure Board meetings are efficient and effective.</u> 6. <u>Organizes ideas logically, speaks and writes clearly and concisely, using understandable terminology.</u> | ⊖ | ⊖ | ⊖ | ⊖ | ⊖ |
| 6. 5. <u>7. Provides sound recommendations or guidance to the Board/committees regarding board investment policy matters and decisions (e.g., identifying and analyzing issues with</u> | ⊖ | ⊖ | ⊖ | ⊖ | ⊖ |

| | <u>Needs Improvement</u> Outstanding | <u>Meets Expectations</u> Commendable | <u>Exceeds Expectations</u> Satisfactory | <u>Unable to Assess</u> Needs Improvement | <u>Unable to Assess</u> |
|--|--|---|--|---|-------------------------|
| well-supported recommendations). | | | | | |
| 7. 6. 8. Is responsive to questions/concerns of board members and welcomes their feedback (e.g., suggestions, new ideas, and constructive criticism). | () | () | () | () | Ω |
| 8. 7. 9. Effectively monitors trends in the environment (e.g., the City, pension industry, etc.) that may have a significant impact on the Systems. Stays current on relevant industry topics and conveys trends to the Board | () | () | () | () | Ω |
| <u>9. Articulates a clear and appropriate strategy and direction for the investment program.</u> | Ω | Ω | Ω | Ω | Ω |

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

The CIO:

| | | | | |
|--|---|---|---|---|
| 8.— Demonstrates: (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. | ⊖ | ⊖ | ⊖ | ⊖ |
| 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:

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

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

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~~18. Overall, do you feel the CIO is doing well at prudently managing the investment program?~~