



Milwaukee County
Department of Human Resources
INTER-OFFICE COMMUNICATION

Date: June 22, 2018

To: Theodore Lipscomb, Sr., Chairman, Board of Supervisors

From: Timothy Coyne, Retirement Plan Services Director *TC*

Subject: Petition for Waiver Request on Ethics Code Section 9.05 (3) (a) for Gautam Khurana, former Retirement Specialist, Department of Human Resources

POLICY

The Director of Milwaukee County Retirement Plan Services ("RPS") respectfully requests a waiver of 9.05(3)(a) of the Ethics Code, which states that no former County employee, for twelve (12) months following the date on which he/she ceases to be a County employee, shall, for compensation, on behalf of any person other than a governmental entity, provide any contractual services to the County. This waiver request is for Gautam Khurana, Retirement Specialist, who began employment as a Retirement Specialist on April 11, 2016 and resigned effective Friday June 22, 2018.

BACKGROUND

RPS is currently implementing the recommendations resulting from the comprehensive audit conducted by Baker Tilly. Phase three of the Baker Tilly audit recommends that RPS document policies and procedures that govern the maintenance of member data and computation and disbursement of benefits. RPS has committed to documenting policies and procedures throughout the organization while continuing to provide exceptional service to members. In his capacity as a Retirement Specialist, Gautam has been integral to the ongoing administration of member benefits. His imminent departure will have an immediate negative impact, resulting in an increased workload for all staff in RPS Operations. This will also inhibit the ability of RPS to proceed with implementation of the Baker Tilly audit recommendations, delaying the effective documentation of critical policies and procedures.

Gautam has been one of the top performers at RPS. He specializes in reciprocity and has proven adept at mastering other aspects of benefits administration and the accurate maintenance of member data. With Gautam's departure, RPS will have three vacancies, all of which are in Operations, the functional area that is largely responsible for administering and disbursing member benefits. RPS is moving forward with a recruitment for a Senior Compliance Analyst and a Clerical Assistant, and will be seeking to fill the Retirement Specialist position that Gautam is vacating as expeditiously as possible. However, there will still be a multi-month gap in resources and knowledge that RPS is seeking to address.

The best solution to this gap is for Gautam to pivot to policy and procedure documentation, applying the knowledge he has gained during his tenure at RPS enabling the newly hired Senior Compliance Analyst to work with RPS Operations staff on benefits administration, with a focus on accurate computation and calculation of member benefits.

RPS also wants to make the Committee aware that Gautam has expressed a desire to maintain employment with Milwaukee County and RPS and that the decision to resign is due to his spouse being transferred to a position based in the state of Oregon.

RECOMMENDATION

It is respectfully requested that the County Board Finance and Audit Committee waive 9.05(3)(a) of the Ethics Code regarding Gautam Khurana's return to Retirement Plan Services because his substantial knowledge and deep understanding of benefits administration can be vital to RPS making significant progress towards documenting complex procedures.

The contract will be funded through the RPS trust.

FISCAL NOTE

There will be no tax levy impact from this action.

cc: *Chris Abele, County Executive*
Raisa Koltun, Chief of Staff
Kerry Mitchell, Chief Human Resources Officer
Kelly Bablitch, Milwaukee County Board of Supervisors Chief of Staff
Stephan Cady, Comptroller's Office
Adam Gilmore, Paralegal, PRB/Ethics
Shanin Brown, Committee Coordinator
Janelle Jensen, Committee Coordinator