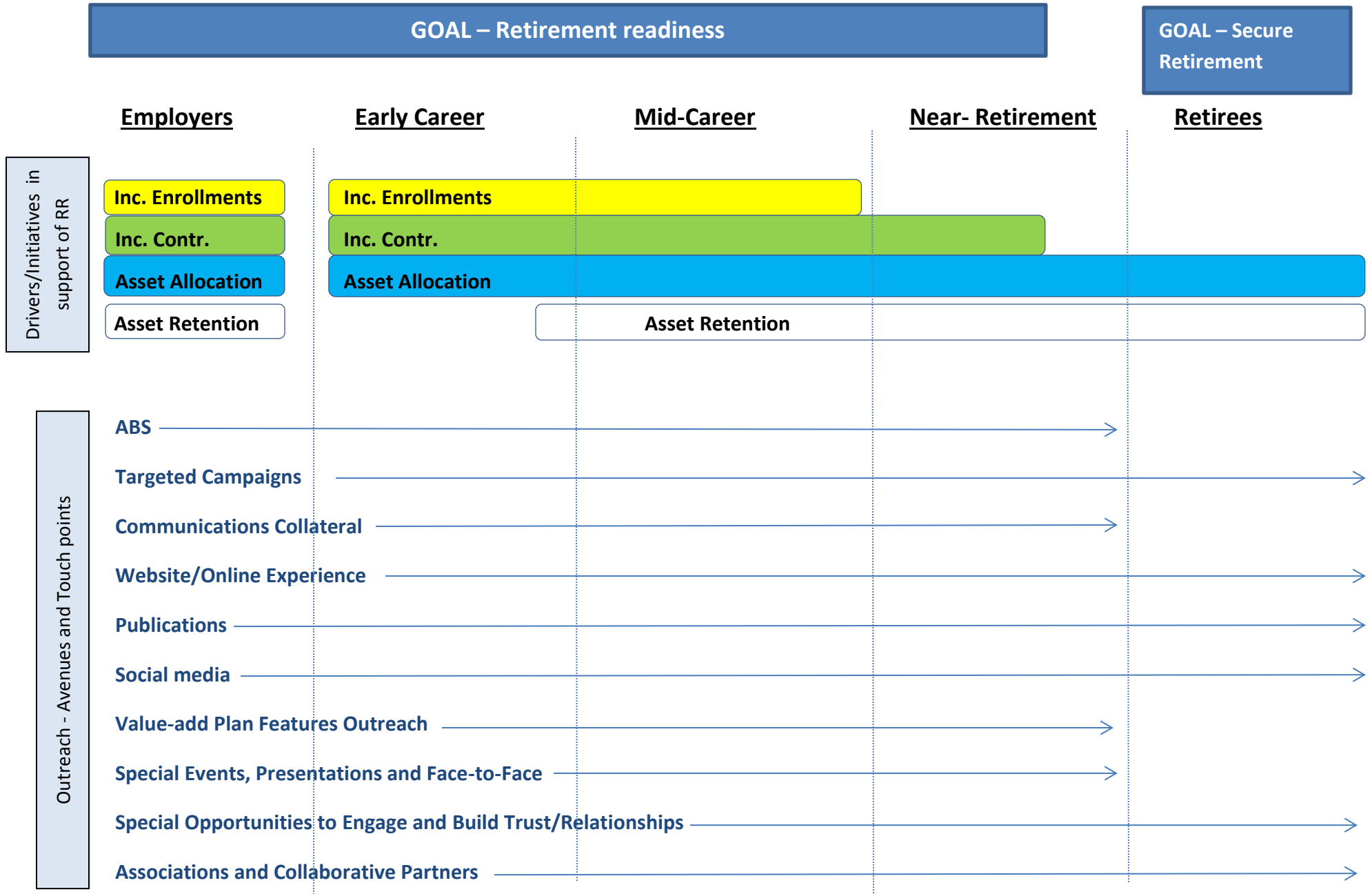


# NC 401(k)/NC 457 Plans and NC 403(b) Program – 2016 COMMUNICATIONS Snapshot



## A Sampling of Communications Outreach from 2016

<b>Annual Benefits Statement</b>	<ul style="list-style-type: none"> <li>• Post- ABS NC 401/457 Campaign- <i>Close the Gap</i> w/targeted outreach to 4 age+gap groups, and NR at 65%</li> <li>• Supporting campaign – 30 touch points from Nov-May targeted to Employers and Employees</li> </ul>	<b>Value-add Plan Features Outreach</b>	<ul style="list-style-type: none"> <li>• Contribution Accelerator Campaign</li> <li>• Employer Match/Contribution Campaign outreach</li> </ul>
<b>Targeted Campaigns</b>	<ul style="list-style-type: none"> <li>• Employer Contr. outreach NC 401/457</li> <li>• Enrollment Toolkit NC 401/457 – w/ Contribution Accelerator</li> <li>• NC 403(b) New Fund Line-up</li> <li>• Surveys / Data Collection to approx. 10,000 who withdrew funds</li> <li>• Spring outreach – Increase Contributions NC 403(b) participants</li> <li>• NC 403(b) Recordkeeping transition</li> </ul>	<b>Special Events, Presentations and Face2Face</b>	<ul style="list-style-type: none"> <li>• Field Teams – presentations and one-on-one</li> <li>• DST Designated Retirement Education Consultant</li> <li>• RR Tour June</li> <li>• RSD ERG F2F</li> <li>• RSD Webinars</li> <li>• NRSW and NCS4RM</li> <li>• OSHR Sensible Savings events</li> </ul>
<b>Communication Collateral</b>	<ul style="list-style-type: none"> <li>• Brochures, Educational Resources – (i.e <i>Ducks in a Row</i>, <i>EZ Enroll</i>)</li> <li>• Mats. for Presentations / Event materials – (i.e. SHP event – June, RR event Oct.)</li> <li>• Direct mail – ABS Enrollment Campaign <i>Close the Gap</i> to 4 targets to age + gap</li> <li>• Email outreach – “Summer Off” to NC 403(b) parts</li> <li>• NC 401/457 Employer Contribution outreach flyer</li> </ul>	<b>Special Opportunities to Engage and Build Trust/Relationships</b>	<ul style="list-style-type: none"> <li>• Bailey Flag Initiative</li> <li>• RSD Beneficiary update - <i>Who are You Connected To?</i> and Targeted benies outreach to NC 401/457</li> <li>• Small balance account reach-out</li> </ul>
<b>Website/Online Experience</b>	<ul style="list-style-type: none"> <li>• SRP Plan and Board Pages</li> <li>• RSD Facebook and Instagram</li> <li>• New Beneficiary website portal</li> <li>• NCPlans.prudential.com</li> <li>• TIAA.org/NC403(b) + SD microsites</li> </ul>	<b>Associations and Collaborative Partners</b>	<ul style="list-style-type: none"> <li>• TSERS/LGERS Association Roundtable – materials and quarterly presentations</li> <li>• OSHR (Sensible Savings)</li> <li>• SECU</li> </ul>
<b>Publications</b>	<ul style="list-style-type: none"> <li>• <i>Employer</i> NL</li> <li>• <i>Signature</i> NL</li> <li>• <i>RSD Monitor</i> NL</li> <li>• <i>RSD Quarterly Employer</i> Emails</li> <li>• RSD All-member emails</li> </ul>	<b>Social Media</b>	<ul style="list-style-type: none"> <li>• RSD Facebook</li> <li>• RSD Instagram</li> </ul>

# 2017 Strategic Footprint for NC 401(k)/NC 457 Plans and NC 403(b) Program

**Retirement Readiness – Members to replace 80% of their income at age 62 throughout retirement.**

**Retirement  
Readiness Goal  
– 66% for 2017**

Members Working  
for an Employer  
offering EC  
77% are  
Retirement Ready

Members  
Working for an  
Employer  
Without EC  
53% are  
Retirement Ready

Members Enrolled  
74% are  
Retirement Ready

Members Not Enrolled  
50% are  
Retirement Ready

**Increasing  
Participation  
Initiatives**

## Employer Engagement

- Promote Plan Adoptions
- Promote Employer Contributions
- Enrollment Electronic Toolkit
- DST and NC Plans Websites
- RSD *Employer Monitor* Newsletter and *Employer* Newsletter
- ABS

## Employee Engagement

- Educational Meetings/One-on-one Educational/Take Action Materials
- ABS
- Enrollment Campaign
- DST and NC Plans Website
- *Signature* Newsletter
- NRSW
- RSD direct emails to members

**Increasing  
Contributions  
Initiatives**

## Employer Engagement

- Employer Contribution
- Promote ABS
- Contribution Accelerator adoption
- NC Plans Website
- RSD *Employer Monitor* Newsletter and *Employer* Newsletter
- ABS

## Employee Engagement

- Education Meetings/One-on-one Educational/Take Action Materials
- ABS
- Webinars (Nearing Retirement) and RSD events
- Promote Contribution Accelerator
- Nearing Retiree Outreach (Roll Overs, One-time Contributions)
- NC Plans Website
- *Signature* Newsletter

**Asset  
Allocation  
Initiatives**

## Employer Engagement

- DST and NC Plans Websites
- RSD *Employer Monitor* Newsletter and *Employer* Newsletter
- ABS

## Employee Engagement

- Education Meetings/One-on-one Educational/Take Action Materials
- *Signature* Newsletter
- NC Plans Website
- ABS

**Areas of  
Focus**

- Support NC 403(b) Transition and Ongoing Needs
- Support GM Glide Path – multi-year approach
- Support Employee Education:
  - Support Retiree Advocate and outreach

# NC 403(b) 2016/2017 Transition Communication Strategy - Outline

Pre- Transition December and January	Transition February	Immediate Post-Transition (Phase I) March to May	Post Transition (Phase II) June and July	Post Transition (Phase III) August to December
<p><b>Employer Engagement Goal:</b> Prepare for an informative welcome and anticipate needs</p> <p><b>Employee Engagement Goal:</b> Prepare for a warm and informative welcome</p>	<p><b>Employer Engagement Goal:</b> Provide a warm &amp; informative welcome</p> <p><b>Employee Engagement Goal:</b> Provide a warm and informative welcome</p>	<p><b>Employer Engagement Goal:</b> Reinforce relationships and promote plan adoptions</p> <p><b>Employee Engagement Goal:</b> Provide a personal, warm and informative welcome</p>	<p><b>Employer Engagement Goal:</b> Continue to promote plan adoptions/reinforce relationships AND seeking to book employer/employee meetings</p> <p><b>Employee Engagement Goal:</b> Provide a personal educational experience to current and eligible participants</p>	<p><b>Employer Engagement Goal:</b> Continue to promote plan adoptions and employer contributions</p> <p><b>Employee Engagement Goal:</b> Provide a personal educational experience to current and eligible participants</p>
<p>Initiatives to support objectives:</p> <ul style="list-style-type: none"> <li>• Q3 <i>Employer NL</i></li> <li>• Dec and Jan RSD <i>Employer Monitor NL</i></li> <li>• Q4 <i>Employer NL</i></li> <li>• Employer direct email</li> <li>• Employee direct email</li> <li>• RIA targeted outreach (multiple)</li> <li>• Employer animation</li> <li>• Employee animation</li> <li>• Participant direct mail</li> <li>• Online experience</li> <li>• RSD social media</li> <li>• Service Team calls</li> <li>• Field Team calls</li> </ul>	<p>Initiatives to support objectives:</p> <ul style="list-style-type: none"> <li>• Feb RSD <i>Employer Monitor NL</i></li> <li>• Online experience</li> <li>• RSD social media</li> <li>• Begin to build materials inventory</li> </ul>	<p>Initiatives to support objectives:</p> <ul style="list-style-type: none"> <li>• Personal introduction from RECs to all school districts w/materials</li> <li>• Q1 <i>Employer NL</i></li> <li>• March, April and May RSD <i>Employer Monitor NL</i></li> <li>• Town Hall Mtg/ Special Event</li> <li>• District Presentation(s)</li> <li>• Continue to Build Materials Inventory, i.e.: <ul style="list-style-type: none"> <li>○ Plan Highlights</li> <li>○ Fee Document</li> <li>○ Counselor Flyer</li> <li>○ Website</li> </ul> </li> </ul>	<p>Initiatives to support objectives:</p> <ul style="list-style-type: none"> <li>• Continue to Build Materials Inventory, i.e.: <ul style="list-style-type: none"> <li>○ Plan Comparison Flyer</li> <li>○ Presentation</li> <li>○ Performance Document</li> <li>○ Website (continued)</li> </ul> </li> </ul>	<p>Initiatives to support objectives:</p> <ul style="list-style-type: none"> <li>• Expand Materials Inventory, i.e.: <ul style="list-style-type: none"> <li>○ Plan Adoption Flyer</li> <li>○ Employer Fee Flyer</li> <li>○ Take Action</li> <li>○ Expand Presentations</li> <li>○ Website (continued)</li> </ul> </li> </ul>