

### Vendor Performance Guarantees Report

Vendor	Measured	Fees at Risk	Q3 2020	Q4 2020	Q1 2021	Q2 2021	Q3 2021	Contractual Goal	
<b>BNY Mellon</b>									
NAV Report Timeliness NAVs for each Fund	Daily	\$1,000/day	√	√	√	X	X	No late NAVs	<b>Not met</b>
NAV Report Accuracy NAVs for each Fund	Daily	\$1,000/day	√	√	√	√	X	No inaccurate NAVs	<b>Not met</b>
Monthly Valuation Timely Monthly Values	Monthly	\$1,000/month	√	√	√	√	√	No late monthly reports (by end of 2nd business day)	<b>Standard met</b>
Monthly Valuation Accurate Monthly Values	Monthly	\$1,000/month	√	√	√	√	√	No inaccurate monthly reports (by end of 2nd business day)	<b>Standard met</b>
Monthly Reconciliation Holdings, pricing, market value, net assets	Monthly	\$1,000/month	√	√	√	√	√	No late monthly files (by end of 5th business day)	<b>Standard met</b>
Monthly Investment Performance Reporting Timely	Monthly	\$1,000/month	√	√	√	√	√	No late performance files (by end of 6th business day)	<b>Standard met</b>
Monthly Investment Performance Reporting Accurate	Monthly	\$1,000/month	√	√	√	√	√	No inaccurate performance files (by end of 6th business day)	<b>Standard met</b>
Quarterly Rebalancing	Quarterly	\$10,000	N/A	√	√	√	√	100% accuracy.	<b>Standard met</b>
Project Management	By Project	\$10,000 / \$100/day	N/A	√	√	√	√	100% accuracy / Project scope within 10 business days.	<b>Standard met</b>
Monthly Reporting	Monthly	\$100/day	N/A	√	√	√	√	Within 5 business days of month end.	<b>Standard met</b>
Best and Final Offer Review	~Custodian delivered all the services described in the final offer, as agreed upon by the Plans' management; ~Staff monitors the non-monetary key performance indicators (KPIs) via quarterly reporting and bi-weekly service teleconference.								

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<b>Prudential NC</b>									
Call Center Speed to Answer	Quarterly	\$20,000/yr	37%	81%	84%	80%	78%	80% of calls answered within 20 sec.	<b>78% Not met</b>
Call Abandonment	Quarterly	\$10,000/yr	√	√	√	√	√	Less than 3%.	<b>1.8% Goal Achieved</b>
Statement Mailing Timeliness	Quarterly	\$10,000/qr	√	√	√	√	√	99% mailed within 10 business days after quarter end.	<b>5 business days; Goal Achieved</b>
Website Availability	Annually	\$10,000/yr	N/A	√	N/A	N/A	N/A	Available at least 97.5% of the time on 24/7 schedule.	<b>2021: 100% Goal Achieved</b>
Participant Satisfaction Survey	Annually	\$10,000/yr	96.88%	96.66%	94.00%	93.00%	94.00%	94% of members respond "YES" to survey question.	<b>94.00% Goal Achieved</b>
Contribution Processing Timeliness	Annually	\$10,000/yr	N/A	√	N/A	N/A	N/A	99% processed within 1 business day of receipt.	<b>2021: 100% Goal Achieved</b>
Distribution Processing Timeliness	Annually	\$20,000/yr	N/A	√	N/A	N/A	N/A	99% processed within 2 business days.	<b>2021: 99.9% Goal Achieved</b>
GoalMaker Usage	Monthly	\$10,000/yr	√	√	√	√	√	80% usage by new members.	<b>93.59% Goal Achieved</b>



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<b>Prudential NC (continued)</b>									
Contribution Level	Annually	\$10,000/yr	√	√	√	√	√	2% increase per each contract year.	<b>26.20% Above Goal</b>
Participation Level	Annually	\$10,000/yr	√	√	√	√	√	1% increase per each contract year.	<b>14.00% Above Goal</b>
Communications Strategy	Quarterly	\$10,000/qr	√	√	√	√	√	Annual communication plan development and quarterly updates.	<b>Standard met</b>
Revenue Report	Quarterly	\$5,000/qr	√	√	√	√	√	Provided within 15 days of the end of each calendar quarter and year.	<b>Standard met</b>
Administrative Quality Standards	Ad Hoc	\$50,000	N/A	N/A	X	X	√	100% compliance with performance, IT-upgrade, and protected info standards.	<b>Standard met</b>
Best and Final Offer Review	~The recordkeeper increased the Retiree Advocate position to two staff members. ~Social Security Calculator is available to members via NCplans.prudential.com. ~GoalMaker enhancements accurately completed by second quarter of 2018.								



### Vendor Performance Guarantees Report

Vendor	Measured	Fees at Risk (\$)	Q3 2020	Q4 2020	Q1 2021	Q2 2021	Q3 2021	Results
<b>Callan</b>								
Investment Policy Statement Development and Monitoring	Annually	Any material deficiencies will reduce the fee by \$5,000 for the impacted calendar quarter.	N/A	✓	N/A	N/A	N/A	Next Review 4Q 2021.
Plan Design Review and Recommendations	Annually		N/A	N/A	N/A	N/A	N/A	Next Review 2022.
Investment Manager Searches and Ongoing Monitoring	Quarterly		✓	✓	✓	✓	✓	Standard met
Performance and Risk Reporting	Quarterly		✓	✓	✓	✓	✓	Standard met
Industry Research	Quarterly		✓	✓	✓	✓	✓	Standard met
Glidepath Review	Annually		N/A	N/A	N/A	✓	N/A	Standard met
Stable Value Fund Review	Annually		✓	N/A	N/A	N/A	✓	Standard met
Board Meeting Presentations	Quarterly		✓	✓	✓	✓	✓	Standard met
Recordkeeper Benchmarking Study	Annually		✓	N/A	N/A	✓	✓	Standard met
Additional services	~Procurement services, including recordkeeping and custody, as requested by the Plans' management; ~Custody Transition Consulting Service, as requested by the Plans' management; ~Educational opportunities offered to Plans' staff; ~ Services outside of the Scope of Work, delivered upon written request from Plans' management.							

Vendor	Measured	Fees at Risk (\$)	Q3 2020	Q4 2020	Q1 2021	Q2 2021	Q3 2021	Contractual Goal	Results
<b>Glass Lewis</b>									
Voting System Availability	Daily	Failure to meet one or more of the performance standards during a quarter shall reduce the fees by \$1,000.00, up to a maximum of \$5,000.00 in any 12-month period.	✓	✓	✓	✓	✓	99.9% availability. No scheduled maintenance from 7:00 am-7:00 pm M-F.	Standard met
Client Service Representative Responsiveness	Daily		✓	✓	✓	✓	✓	VM response same day if received by 2:00 pm. Email response within 24 hours (proxy season) or 48 hours (otherwise).	Standard met
Voting Accuracy	Per ballot		✓	✓	✓	✓	✓	100% voting accuracy.	Standard met
Reconciliation Reports	Monthly and Annually		✓	✓	✓	✓	✓	Non-policy and missed votes and online access to authorization and instructions changes within 15 days of end of month. Voting history by June 15 for prior June 1-May 31. Monthly reconciliation of ballots received and holdings.	Standard met
Account audit	Monthly		✓	✓	✓	✓	✓	Accounts and votes within 10 business days of month-end.	Standard met
Status Meeting	Quarterly		✓	✓	✓	✓	✓	Hold meeting.	Standard met
Proxy Policy Review	Annually		✓	N/A	N/A	N/A	N/A	Meeting at DST to discuss policy and governance.	Standard met