Imperial County Employees' Retirement System (ICERS)

Request for Proposal: Pension Administration System

ICERS PAS Modernization Project

Proposal Date: January 17, 2025

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1.Introduction

The Imperial County Employees' Retirement System ("ICERS" or the "System") is soliciting proposals from qualified vendors for either:

A. the development, installation, and implementation of a fully integrated Pension Administration System (PAS), or
B. comprehensive third-party pension administration services.

For the PAS option, vendors must demonstrate in-depth knowledge and technical expertise in pension system implementation. For the third-party administration option, vendors should demonstrate extensive experience in managing any public pension operations. The selected vendor will be expected to work in partnership with ICERS to either deliver a fully-functioning system that meets the System's requirements or provide comprehensive pension administration services that align with ICERS' operational needs and service standards.

A Respondent's preparation and submittal of a proposal or subsequent participation in presentations or contract negotiations creates no obligation on the System to award a contract or to pay any associated costs. All proposals and related materials will be retained by the System and will be subject to disclosure as required in accordance with the California Public Records Act (CPRA).

All proposals are due no later than 11:59 p.m. PST on March 17, 2025. Proposals received after 11:59 p.m. will not be considered. Proposals must be sent via ICERS website. Faxed or hand delivered proposals will not be considered. Bidders will receive an acknowledgment of their proposal submission. A Bidder who has submitted a proposal and not received an acknowledgment should call Denise Fernandes (Linea Solutions) at 310-405-1365.

2.Description of ICERS

ICERS is a multiple-employer public employee retirement system, enacted and administered in accordance with the provisions of the County Employees Retirement Law (CERL) of 1937 (California Government Code Section 31450, et seq.) (‘37 Act). Since its establishment in 1951, ICERS provides members with retirement, disability, death, and cost-of-living benefits. There are approximately 4,700 members served by ICERS, comprising 3,200 active and deferred members and 1,500 retirees and beneficiaries. ICERS is governed by a nine-member Board of Retirement ("Board") which has plenary authority and fiduciary responsibility for investment of moneys and administration of the retirement system. ICERS has eight employees, and the Board appoints a Retirement Administrator who is responsible for the management of the agency. For additional information about ICERS, please refer to the ICERS website at https://icers.imperialcounty.org/.

The following employers participate in ICERS:

- Imperial County
- Superior Court
- Local Agency Formation Commission (LAFCO)
- Imperial County Transportation Commission (ICTC)

ICERS is a tax-qualified governmental defined benefit plan established under the CERL. Eligible employees automatically become members of ICERS on the first day of the first full pay period after employment with their employer. Benefits are determined by formulas that vary according to the type of benefits payable (for example, retirement, disability, or survivor benefits). The formulas are based on such factors as a member's salary, age, years of service credit, and membership classification (General and Safety - Tiers 1, 2, and 3). The plan is funded by employer contributions, employee contributions, and investment earnings.

Basic retirement income is the member's normal monthly lifetime benefit. This basic amount may be adjusted if the member wants to provide monthly income for a spouse, domestic partner, or another person after their death. The general formula for calculating basic retirement income is:

Service Credit x Age Factor x Final Average Compensation (FAC)

ICERS members have a five (5) year vesting requirement. ICERS, the other nineteen ’37 Act County systems, CalPERS, CalSTRS, Judge's Retirement Systems (JRS and JRSII), and San Luis Obispo County Pension Trust have a reciprocal agreement or a concurrent retirement provision to ensure continuity of benefits for members who change employers and transfer between the retirement systems within 180 days. If an ICERS member qualifies , service credit accrued under both systems can be used to determine whether a member is vested in their benefits under each retirement system. Salary from employment covered under both systems can also be used in the benefit calculation.

ICERS currently operates with IT support from the Imperial County ITS department through a contractual arrangement. The current pension administration system, is hosted on the current vendors servers for program maintenance and support. The County ITS Department provides network administration and interfaces with the current PAS and vendor on a regular basis. The current technical environment includes non-integrated systems that require manual processing for some core business functions.

3.Service Required

ICERS is seeking qualified respondents to provide either:

(A) the development, installation, and implementation of a fully integrated PAS, and/or
(B) comprehensive third-party pension administration services.

Vendors may respond to either or both options.

For option (A), ICERS requires a modern, comprehensive technology solution that may be either a single, all-inclusive system or a "Best-of-Breed" approach integrating multiple specialized components. The system must incorporate workflow functionality, correspondence capabilities, reporting solutions, and robust member-facing portal. The solution should automate manual tasks, reduce data entry, and optimize workflows to increase efficiency and minimize errors. This includes automating core functions such as benefit calculations, service credit purchases, and reciprocal determinations. The system must support straight-through processing for key functions and provide comprehensive document management capabilities.

A key requirement is the transformation of member services through an intuitive, comprehensive self-service portal. This portal should offer online retirement application submission with step-by-step guidance, secure document upload, benefit estimates, service purchase calculations, and electronic signature capabilities. The system must also enhance employer integration by streamlining payroll data submission, providing automated error detection, and enabling secure data exchange between ICERS and participating employers.

For option (B), vendors may propose comprehensive third-party pension administration services. This approach would include full administration of core services such as member enrollment, contribution management, benefit calculations, payment processing, and disability retirement administration. The service provider would be responsible for technical services including system hosting, maintenance, data security, disaster recovery, and ongoing support. Member services would encompass call center support, portal management, document processing, correspondence handling, and member education. Employer services would include payroll processing, portal management, training, and compliance support.

For either or both options, the selected vendor should demonstrate any experience with ’37 Act County Systems, a strong track record of successful implementations, robust security and compliance capabilities, and a clear project management methodology. The vendor should also demonstrate a commitment to knowledge transfer and staff training, enabling ICERS to achieve operational independence in maintaining and supporting the solution post-implementation.

4. Minimum Qualifications and Intent to Respond

Using Attachment 1, clearly demonstrate that your product or service meets these minimum qualifications. Failure to meet these qualifications will result in your proposal being rejected as nonresponsive. ICERS may evaluate minimum qualifications based solely on the Statement of Minimum Qualifications document, so responses must be sufficiently detailed to demonstrate compliance without reference to other materials. Proposals that do not clearly meet these minimum qualifications will be rejected without further consideration.

The following minimum qualifications must be met for proposals to be eligible for evaluation:

For Option A (PAS Implementation):

- The Respondent must not have any material conflicts of interest with ICERS or its participating employers
- The Respondent must have been in the pension administration system implementation business for a minimum of five (5) years
- The proposed solution must be an integrated system supporting core pension administration functions, including document management and reporting capabilities
- The proposed solution must be currently in production at a minimum of three (3) public pension systems

For Option B (Third-Party Administration Services):

- The Respondent must not have any material conflicts of interest with ICERS or its participating employers
- The Respondent must have been providing pension administration services for a minimum of five (5) years

- The Respondent must currently be providing pension administration services to at least three (3) public pension systems
- The Respondent must demonstrate experience with California public pension law and regulations

5.Proposal Content

At a minimum, the proposal must include the following information to be considered for this engagement. Each requirement should be addressed separately for ease of review. All communications regarding this RFP, including questions or clarifications, must include the RFP Title and RFP Number as shown on the title page.

Summary of RFP Response Requirements

The table below outlines all required components of the RFP response and includes references to the corresponding attachments provided. It specifies whether the attachment must be returned to ICERS, along with applicable due dates and maximum page limits. Detailed instructions for each item are provided in the sections following the table.

Item	Title	Provided in RFP	Include in proposal	Due date	Max page length
Attachment 1	Minimum Qualifications and Intent to Respond	✓	✓	Jan 31 2025	n/a
n/a	Cover Letter and Table of Contents		✓	Mar 17 2025	n/a
Attachment 2	Executive Summary		✓	Mar 17 2025	5 pages

Item	Title	Provided in RFP	Include in proposal	Due date	Max page length
Attachment 3	Organization and Financial Questionnaire	✓	✓	Mar 17 2025	10 pages
Attachment 3A	Organization Chart		✓	Mar 17 2025	n/a
Attachment 3B	Financial Statements		✓	Mar 17 2025	n/a
Attachment 3C	Ability to Finance		✓	Mar 17 2025	n/a
Attachment 3D	Insurance Certificate		✓	Mar 17 2025	n/a
Attachment 4	Implementation and Staffing Questionnaire	✓	✓	Mar 17 2025	40 pages
Attachment 4A	Project Schedule		✓	Mar 17 2025	n/a
Attachment 4B	Candidate Information		✓	Mar 17 2025	2 pages per candidate
Attachment 5	Data Conversion Questionnaire	✓	✓	Mar 17 2025	10 pages
Attachment 6	Training Questionnaire	✓	✓	Mar 17 2025	10 pages
Attachment 7	Functional Requirements Questionnaire	✓	✓	Mar 17 2025	3 pages per process

Item	Title	Provided in RFP	Include in proposal	Due date	Max page length
Attachment 7A	Functional Requirements Workbook	✓	✓	Mar 17 2025	n/a
Attachment 8	Technical Requirements Questionnaire	✓	✓	Mar 17 2025	n/a
Attachment 8A	Technical Requirements Workbook	✓	✓	Mar 17 2025	n/a
Attachment 9	Generative Artificial Intelligence Questionnaire	✓	✓	Mar 17 2025	15 pages
Attachment 10	Maintenance and Support Questionnaire	✓	✓	Mar 17 2025	15 pages
Attachment 11	References	✓	✓	Mar 17 2025	2 pages per reference
Attachment 12	Implementation Assumption and Exceptions	✓	✓	Mar 17 2025	n/a
Attachment 13	Ongoing Assumption and Exceptions	✓	✓	Mar 17 2025	n/a
Attachment 14	Video Demonstration		✓	Mar 17 2025	n/a

Item	Title	Provided in RFP	Include in proposal	Due date	Max page length
Attachment 15	Sample ICERS Master Service Agreement		✓	Mar 17 2025	n/a
Attachment 16	Fee Proposal	✓	✓	Mar 17 2025	n/a
Attachment 17	Redacted Proposal		✓	Mar 17 2025	n/a
Attachment 18	RFP Questions	✓		Feb 10 2025	n/a
Attachment 19	ICERS Plan Information	✓		n/a	n/a
Attachment 20	Interpretation and Defined Terms	✓		n/a	n/a

Minimum Qualifications and Intent to Respond

Respondents must certify their compliance with the minimum qualification requirements outlined in this RFP and confirm their intent to respond. Certification must be provided using the sections and questions specified in **Attachment 1 - Minimum Qualifications and Intent to Respond**.

Cover Letter

The proposal must include a cover letter, considered an integral part of the submission, in the form of a standard business letter. This letter must be signed by an individual authorized to bind the Respondent contractually. The cover letter must:

1. Indicate that the signer is authorized to bind the Respondent and include their title or position.

- **Note**: Proposals without a signed cover letter will be rejected.

2. Include the following statements and disclosures:

   a. **Compliance Statement**: Confirm that the proposal meets all requirements of this RFP and that the offer submitted shall remain valid for acceptance by ICERS for a period of 180 days following the submission deadline.

   b. **Disclosure Statement**: Disclose any current business relationship or ongoing negotiations with ICERS or its staff, as well as any relationship with parties currently providing services to ICERS.

   c. **CPRA Acknowledgment**: Acknowledge that all documents submitted in response to this RFP may be subject to disclosure under the California Public Records Act (CPRA).

Executive Summary

Summarize your proposal in a manner suitable for an executive-level audience. ICERS requests that all Respondents explain why and how their organization can achieve the stated goals and objectives. Submit your executive summary as **Attachment 2 – Executive Summary**.

Organization and Financial Questionnaire

Provide ICERS with details about your organization, including financial information. Complete your response using the sections and questions outlined in **Attachment 3 – Organization and Financial Questionnaire**.

Organizational Chart

Include your organization's current organizational chart as **Attachment 3A - Organization Chart.**

Financial Statements

Submit your organization's audited financial statements for the past three (3) years as **Attachment 3B - Financial Statements.**

Ability to Finance

Provide ICERS with a description of your organization's ability to finance any additional costs that may be incurred if awarded a contract resulting from this RFP. Specify the amount your organization would need to borrow, if any, and include documentation from your lender confirming its willingness to provide such financing. Submit this information as **Attachment 3C - Ability to Finance**.

Insurance Certificate

Submit a copy of your organization's Insurance Certificate as **Attachment 3D - Insurance Certificate.**

Implementation and Staffing Questionnaire

Provide a detailed description of your proposed approach for implementing your Solution. The response must address project management, project governance and staffing, business process improvement analysis, requirements gathering and analysis, quality assurance and testing, and go-live and transition to ongoing operations. Submit your response using the sections and questions outlined in **Attachment 4 - Implementation and Staffing Questionnaire**.

Project Schedule

Include a preliminary project schedule outlining the number of calendar days required to complete the work following the award of the contract. Submit your project schedule as **Attachment 4A - Project Schedule.**

Candidate Information

Provide resumes for project team candidates, detailing their relevant experience and credentials. Submit this information as **Attachment 4B - Candidate Information**.

Data Conversion Questionnaire

Describe your detailed project approach for converting data into your Solution. Submit your response using the sections and questions outlined in **Attachment 5 - Data Conversion Questionnaire.**

Training Questionnaire

Explain your approach and methodology for training and documentation. Submit your response using the sections and questions outlined in **Attachment 6 – Training Questionnaire.**

Functional Requirements and Questionnaire

Submit your responses to the following:

1. Functional Requirements Questionnaire provided in **Attachment 7 – Functional Requirements Questionnaire**
2. Functional Requirements Workbook provided in **Attachment 7A - Functional Requirements Workbook**

Technical Requirements and Questionnaire

Submit your responses to the following:

1. The Technical Requirements Questionnaire provided in **Attachment 8 – Technical Requirements Questionnaire**.
2. The Technical Requirements Workbook provided in **Attachment 8A – Technical Requirements Workbook**.

Generative Artificial Intelligence Questionnaire

Provide your approach to Generative AI by responding to the sections and questions outlined in **Attachment 9 - Generative Artificial Intelligence Questionnaire**.

Maintenance and Support Questionnaire

Provide detailed information about your experience and capabilities related to maintenance and support. Submit your responses to the sections and questions outlined in **Attachment 10 - Maintenance and Support Questionnaire**.

References

Provide ICERS with details about your organization's clients and references from past, similar engagements. Reference checks will be conducted for each finalist. Submit reference information using the sections and questions provided in **Attachment 11 - References**.

Implementation Assumptions and Exceptions

List any assumptions or clarifications made in the implementation section of your response to this RFP, as well as any exceptions to the requirements (e.g., items you cannot provide). Where applicable, reference the relevant RFP section and specific item or requirement ID.

- Assumptions/clarifications must be detailed enough to explain why they are necessary and their significance to your proposal.
- Exceptions must clearly state the reason for the exception and, if applicable, propose a solution or alternative.

Provide this information using the sections and questions outlined in **Attachment 12 - Implementation Assumptions and Exceptions**.

Ongoing Assumptions and Exceptions

List any assumptions or clarifications made in the ongoing maintenance and support section of your response to this RFP, as well as any exceptions to the requirements (e.g., items you cannot provide). Where applicable, reference the relevant RFP section and specific item or requirement ID.

- Assumptions/clarifications must be detailed enough to explain why they are necessary and their significance to your proposal.
- Exceptions must clearly state the reason for the exception and, if applicable, propose a solution or alternative.

Provide this information using the sections and questions outlined in **Attachment 13 - Ongoing Assumptions and Exceptions**.

Video Demonstration (Optional)

Respondents have the option to submit a video demonstration of their proposed PAS solution, with a maximum duration of 20 minutes.

The video may provide an overview of the solution's key features, user interface, and workflows, highlighting how it aligns with ICERS' requirements and objectives.

Submission Guidelines:

- If submitting a video, provide it as a **link to a private video hosting service** (e.g., Vimeo, YouTube, or a cloud platform). Ensure the link is secure and, if necessary, password protected.
- The video must be in **MP4 format**, with a minimum resolution of **720p**.

Label the submission as **Attachment 14 – Video Demonstration** if included.

Sample ICERS Contract

This RFP is not a contract and should not be interpreted as such. It is anticipated that a proposal submitted in response to this RFP may serve as the foundation for contract negotiations with the selected Respondent. The resulting contract is expected to incorporate the terms of the chosen proposal, as negotiated and finalized, subject to ICERS' approval.

ICERS retains the right to negotiate alterations, omissions, or amendments to the terms of any proposals received. The organization selected to perform the work specified in this RFP must accept ICERS' contractual terms, with any exceptions clearly identified in the Respondent's proposal.

ICERS is requesting that Respondents include a sample Master Services Agreement (MSA) with their submission as **Attachment 15 – Sample ICERS Master Services Agreement**. The sample should reflect the Respondent's standard terms and conditions for engagements of this nature. Any proposed exceptions or deviations from ICERS' expectations should be clearly highlighted within the Respondent's submission.

While ICERS is not obligated to accept any proposed exceptions or the terms outlined in the provided sample MSA, all submissions will be reviewed and may be discussed during the evaluation process. Final amendments to the contract will only be implemented if mutually agreed upon by ICERS and the Respondent.

Fee Proposal

Respondents must submit a fixed-cost proposal using the format specified in **Attachment 16 – Fee Proposal**. Any material deviation from the prescribed format, as determined by ICERS, may result in the rejection of the proposal.

The proposed fee must include all costs and expenses related to the services and equipment described in this RFP, as well as any extended warranties associated with the initial installation. Once finalists are selected, ICERS reserves the right to request a "best and final" offer as part of the evaluation process.

The fee proposal must explicitly state that the proposed fees are guaranteed for the duration of any resulting contract.

Redacted Proposal

Respondents are responsible for submitting a redacted version of their RFP response that omits information the Respondent claims as trade secrets, confidential, and/or proprietary information. The redacted version must comply with applicable disclosure exemptions under the California Public Records Act (CPRA). Label the submission as **Attachment 17 – Redacted Proposal.**

RFP Question Form

To address any questions regarding this RFP, ICERS will only respond to inquiries submitted in writing. Please use **Attachment 18 – RFP Questions** to submit your questions and email them to the designated contact listed in the RFP.

ICERS Plan Information

For reference purposes, information on the laws, regulations, and policies governing ICERS can be found in **Attachment 19 – ICERS Plan Information**.

Interpretation and Defined Terms

The interpretation and defined terms used in this RFP and its attachments are provided in **Attachment 20 - Interpretation and Defined Terms**.

6.Submissions of Proposals

All proposals must be received no later than the deadline stated in the Timeline and Contact Information section. Proposals must be submitted through ICERS' website.

Proposals should be submitted in PDF format (except Attachments 7A, 8A and 16) with all required attachments included. The submission should not exceed 100MB in total size. If the proposal exceeds this size limit, the Respondent should contact Denise Fernandes .

All proposals become the property of ICERS upon submission. All costs associated with proposal development, presentations, demonstrations, and/or interviews are entirely the responsibility of the Respondent and shall not be chargeable to ICERS.

Only one proposal per Respondent will be considered for this project. A Respondent may submit a proposal for Option A, Option B, or both options, but must clearly indicate which option(s) they are proposing within a single submission.

7.Evaluation Process

Pre-Evaluation Review

All proposals will be reviewed to determine if they contain all the required submittals specified in this RFP. Those not submitting all required information in the prescribed format will be rejected.

Proposal Evaluation

All proposals received by the deadline and that pass the pre-evaluation review will undergo an evaluation process conducted by ICERS staff and its designated evaluation committee. Proposals will be reviewed to determine whether they meet all RFP requirements. ICERS will evaluate proposals based on the following criteria:

- For Option A (PAS Implementation):
  - Understanding of ICERS' needs and technical requirements
  - Experience with ’37 Act County Systems and PAS implementations
  - Expertise and track record of the organization and proposed implementation team
  - Proposed implementation methodology and project management approach
  - System functionality and technical architecture
  - Implementation timeline and resource requirements
  - Training and knowledge transfer strategy
  - Data conversion and migration approach
  - Quality and comprehensiveness of deliverables
  - Client references and implementation track record
  - Total cost of ownership (including licensing, maintenance, and support)
  - Warranty and maintenance provisions
  - Performance guarantees and service level agreements
  - Contract terms and flexibility
  - System security and compliance capabilities
- For Option B (Third-Party Administration Services):
  - Understanding of ICERS' operational needs and service requirements
  - Experience with ’37 Act County Systems and pension administration
  - Organization's operational capabilities and service delivery model
  - Proposed staffing plan and service team structure
  - Quality of service delivery methodology

- Transition plan and timeline
- Member service capabilities and approach
- Employer service approach
- Business continuity and disaster recovery
- Service quality metrics and reporting
- Client references and service track record
- Fee structure and pricing model
- Service level agreements and performance guarantees
- Contract terms and flexibility
- Security and compliance framework

For proposals addressing both options, each component will be evaluated separately using the above criteria. While cost will be a significant consideration in the evaluation process, it will not be the sole determining factor. The selection will be based on the proposal(s) that offers the best overall value and fit for ICERS.

A review panel led by the Evaluation Committee will analyze and evaluate all proposals received. All finalists and non-finalists will be notified in writing of their status.

Proposals containing false or misleading statements, or references that do not support claimed capabilities, will be rejected. The issuance of this RFP creates no obligation to award a contract or pay any costs incurred in proposal preparation. Nothing in this RFP or any resulting contract shall preclude ICERS from procuring services similar to those described herein from other sources.

During the evaluation process, Respondents may be requested to provide additional information and/or clarify contents of their proposal. Other than information requested by ICERS, no Respondent will be allowed to alter their proposal or add new information after the submission deadline.

The ICERS evaluation committee will review all responses and select finalists during the evaluation period. ICERS may contact Respondents in writing to request clarification of their responses. Questions may also be posed during oral presentations and demonstrations.

Once finalists are selected, fees may be subject to a "best and final" offer process at ICERS' discretion.

Finalists' Oral Interview and Software Demonstration

As part of the evaluation process, finalist Respondents may be invited to participate in oral presentations and demonstrations. These sessions will allow ICERS to gain a deeper understanding of the proposed solutions, evaluate how they meet ICERS' requirements, and assess the Respondents' expertise, service delivery capabilities, and technology platforms.

For Option A (PAS Implementation):
Finalist Respondents may be invited to participate in oral presentations and system demonstrations. The Respondent's proposed key team members must attend these sessions. The presentation should include a comprehensive demonstration of the proposed system's capabilities, focusing on ICERS' key requirements. Detailed requirements for the presentations and demonstrations will be provided to the finalist Respondents.

For Option B (Third-Party Administration Services):
Finalist Respondents may be invited to give oral presentations detailing their service delivery approach, operational capabilities, and technology platforms. The Respondent's proposed key service team members must attend these sessions. The presentation should include a detailed walk-through of their service model and supporting systems. Specific requirements for the presentations will be provided to the finalist Respondents.

For Respondents Proposing Both Options:
If invited, separate sessions will be scheduled for each component to ensure a thorough evaluation of both proposals.

Best and Final Offer/ Contract Negotiations Begin

Following the presentations and demonstrations, ICERS may request best and final offers from one or more finalists. During this period, ICERS will conduct comprehensive due diligence, including:

• Reference checks with current clients

• Potential site visits to existing implementations or service centers

• Review of financial statements and corporate information

• Evaluation of technical capabilities and infrastructure

• Assessment of service delivery capabilities

• Verification of compliance requirements

Once ICERS has selected an apparent awardee(s), contract negotiations will commence. If ICERS is unable to negotiate satisfactory terms with the first-choice Respondent, it reserves the right to commence negotiations with other Respondents, cancel the RFP, or take other actions in ICERS' best interest.

8. Timeline and Contact Information

Activity	Sample Timeline
Request for Proposals (RFP) issued	Jan 17 2025
Notice of Minimum Qualifications and Intent to Respond due	Jan 31 2025
Written questions from Responders due	Feb 10 2025
Response to written questions shared	Feb 28 2025

Activity	Sample Timeline
Proposals due	Mar 17 2025
Finalists selected	Apr 4 2025
Finalists' oral presentations and demonstrations	Apr 28 – May 2 2025
Best and final offer (BAFO) process	May 9 2025
Successful Vendor recommended to ICERS Board	TBD
Contract negotiations begin	TBD

ICERS may extend these deadlines at its discretion. Any such extensions will be posted to the ICERS website.

Contact Information: Denise Fernandes, Linea Solutions - dfernandes@lineasolutions.com

9.Submission Process

Deadline

To be considered for selection, proposals must be submitted through ICERS' website no later than the RFP Response due date and time listed in the Timeline section. Submissions must be in stated format and should not exceed 100MB. The submission will generate a confirmation of receipt.

Withdrawal

A submitted proposal may be withdrawn at any time prior to the submission deadline. To withdraw a proposal, the Respondent must submit a written withdrawal request through the RFP portal on ICERS' website. The request must be signed by an authorized representative of the Respondent's organization. A confirmation receipt of the withdrawal request will be sent via email. A withdrawn proposal may be resubmitted with modifications up until the submission deadline. Modifications offered in any other manner will not be considered.

Questions

All questions regarding this RFP must be submitted in writing through ICERS' RFP portal to ensure fairness and transparency in the procurement process.

Questions must be submitted no later than the date and time specified in the Timeline section. Questions should:

- Reference the specific RFP section and page number
- Be clear and concise
- Be submitted using the Question Template provided in Attachment 19
- Be submitted through ICERS' RFP portal

ICERS will compile all questions received and post responses on the ICERS website by the date specified in the Timeline section. The addendum will include all questions (either verbatim or paraphrased) and ICERS' responses without identifying the source of the questions.

All posted questions and responses will become part of the RFP. It is the Respondent's responsibility to:

- Monitor ICERS' website regularly for addenda and updates
- Submit any clarifying questions by the question submission deadline

- Incorporate the information provided in addenda into their proposal

ICERS will not respond to questions or inquiries about the RFP received through other channels or after the question submission deadline. Failure to request clarification of any inadequacy, omission, or conflict will not relieve the Respondent of any responsibilities under this RFP or any subsequent contract.

10. General Conditions

California Public Records Act (CPRA) RFP Response Requirement

All documents submitted in response to this RFP may be subject to disclosure under the California Public Records Act (CPRA). Respondents are responsible for identifying any trade secrets, confidential, or proprietary information they wish to exempt from disclosure and must submit a redacted version of their response clearly indicating such exemptions.

Ordinary Course of Business Communications Allowed

Other than existing normal business matters, Respondents, potential Respondents, or their representatives should not contact anyone at ICERS (including ICERS staff and members of the evaluation committee) other than the designated RFP contact. Additionally, Respondents must not discuss this RFP with any employee of ICERS, Board members, legal counsel, or other advisors or persons/entities having contracts or other affiliations with ICERS.

Rights Reserved

ICERS reserves the right to amend any segment of the RFP prior to the announcement of a selected Respondent. In such events, all Respondents will be afforded the opportunity to revise their proposals to accommodate the RFP amendment.

At its discretion, ICERS may remove any or all services from consideration for this contract and may issue a separate contract for any service or groups of services included in this RFP. ICERS may negotiate additional provisions to the contract awarded pursuant to this RFP.

ICERS may request additional information from any or all Respondents to assist in the evaluation of proposals, and ICERS reserves the right to conduct background investigations of selected individuals or organizations prior to awarding a contract under this RFP.

ICERS does not bear any obligation to complete the RFP process or to select any individual(s) or organization(s). ICERS also reserves the right without prejudice to reject any or all proposals submitted. ICERS will NOT reimburse any expenses incurred in responding to this RFP.

Terms and Conditions

Following proposal review, selected Respondents must be prepared to make a presentation and participate in an in-person interview at ICERS' offices with staff members at a date and location to be determined by ICERS. ICERS will not provide reimbursement for any costs associated with these presentations. Prior to contract award, selected Respondents must provide all requested documentation.

A final contract will be negotiated between ICERS and the selected Respondent(s). The laws of the State of California shall apply to the contract in all respects. In performing its obligations under the contract, the Respondent shall comply with all applicable federal, state, and local laws, rules, and regulations, including but not limited to the CERL. The Respondent may not assign its rights or obligations under the contract without ICERS' prior written consent.

The Respondent must provide assurance that their key professionals and organization have no actual or potential conflicts of interest with ICERS, its employees, Board members, or any of ICERS' service providers. Respondents are responsible for reviewing all specifications, requirements, terms and conditions, insurance requirements, and other requirements herein. By submitting a proposal, Respondents acknowledge and agree that such submission indicates acceptance of all terms and conditions noted in this RFP. Respondents must price and submit proposals to reflect all specifications and requirements. Failure to do so may result in the proposal being deemed non-responsive.

Any specific areas of dispute with the RFP terms and conditions must be identified in the Respondent's response and may, at ICERS' sole discretion, be grounds for disqualification from further consideration. For Option A (PAS Implementation), Respondents may be asked to submit their standard licensing and maintenance agreements for informational purposes. However, this should not be construed as ICERS' willingness to accept such agreements as written. Any required licensing or maintenance agreements must be identified as exceptions to the contract terms and will be considered accordingly.

ICERS may consider and accept some, none, or all contract modifications that the Respondent has submitted with their proposal. Nothing herein prohibits ICERS from introducing or modifying contract terms and conditions and negotiating with finalist vendor(s) to align proposals with ICERS' needs. Given the critical timelines for this initiative, if negotiations fail, ICERS retains the option to terminate negotiations and proceed with other Respondents.

Attachment 1 - Minimum Qualifications and Intent to Respond

A Word format version of this document can be provided separately for completion.

Minimum Qualifications

The following table outlines the minimum qualifications required to respond to this Request for Proposals. Responses to this attachment are due by Jan 31 2025. Please check the applicable box to signify compliance or non-compliance with each minimum qualification. If you do comply, describe exactly how you achieve each minimum qualification. The determination that you have achieved all the minimum qualifications is made from this document.

All the minimum qualifications must be met to submit a response to this attachment and a Proposal. Proposals submitted where the Attachment 1 is not received by the deadline will be rejected.

For Option A (PAS Implementation):

Qualification	Complies	Compliance description
1. The Respondent must not have any material conflicts of interest with ICERS or its participating employers	Yes ☐ No ☐	
2. The Respondent must have been in the pension administration system implementation business for a minimum of five (5) years	Yes ☐ No ☐	
3. The proposed solution must be an integrated system supporting core pension administration functions, including document management and reporting capabilities	Yes ☐ No ☐	
4. The proposed solution must be currently in production at a	Yes ☐	

Qualification	Complies	Compliance description
minimum of three (3) public pension systems	No ☐	

For Option B (Third-Party Administration Services):

Qualification	Complies	Compliance description
1. The Respondent must not have any material conflicts of interest with ICERS or its participating employers	Yes ☐ No ☐	
2. The Respondent must have been providing pension administration services for a minimum of five (5) years	Yes ☐ No ☐	
3. The Respondent must currently be providing pension administration services to at least three (3) public pension systems	Yes ☐ No ☐	
4. The Respondent must demonstrate experience with California public pension law and regulations	Yes ☐ No ☐	

Intent to Respond

Please state your intention concerning this RFP by selecting all that apply and completing the table below:

[ ] Intends to respond to Option A - PAS Implementation

[ ] Intends to respond to Option B - Third-Party Administration Services

[ ] Does not intend to respond to this RFP

Organization Name:	
Date:	
Product / Service Name:	
Authorized Representative:	
Telephone Number:	
Email Address:	
Primary Office Location:	
Support Office Location(s):	

If you do intend to respond, you:

[ ] Certify that you meet or exceed all of the minimum requirements described above for the option(s) selected.

Respondent Key Contacts

Provide your key contacts for the RFP process. All communication regarding the RFP (e.g., answers to questions, additional information, notifications) will go to these contacts.

Name	Title	Email	Phone

Name	Title	Email	Phone

Submit through ICERS website.

Please note, acknowledgments of this Minimum Qualifications and Intent to Respond will be sent to Respondents by email. If you do not receive an acknowledgment email within one business day, please contact Denise Fernandes, Linea Solutions – dfernandes@lineasolutions.com.

ICERS would appreciate receiving prior notice should a Respondent decide not to proceed with submitting a Proposal after submitting Attachment 1.

Attachment 3 – Organization and Financial Questionnaire

A Word format version of this document can be provided separately for completion.

Complete all the applicable sections to provide ICERS with information about your organization.

Contact Information

Organization Name:	
Organization Address:	
Contact Name:	
Contact Person Title:	
Contact Telephone:	
Contact Email:	
Organization Website:	

Organization Information

For the purposes of understanding more about your organization and your ability to successfully fulfill the requirements of this RFP, please complete the information requested below. Please identify any major differentiators between your organization and other possible Respondents.

For All Respondents:

1.	Attach an organization chart and label as Attachment 3 - Organization and Financial Questionnaire	Attached
2.	Provide a brief corporate history, including how long you have been in business	

3.	Describe your organization's ownership structure	
4.	Has your organization been sued or involved in any legal action in the last five (5) years? If yes, briefly describe the context of the issue and status (e.g., resolved, unresolved)	
5.	Has your organization had any cybersecurity events or breaches (including data breaches) in the last five (5) years? Please describe the incidents and mitigations	
6.	List the locations of the organization's offices and the primary function(s) performed at each	
7.	Provide the address of the office that will serve as the primary contact for ICERS	
8.	If the Respondent is a subsidiary, will your parent organization offer ICERS a parent guarantee to guarantee the performance of the obligations and liabilities of the Respondent? (Yes/No)	
9.	Describe your strategy for managing the vendor/client relationship	
10.	Identify your closest office/meeting location to El Centro, California	

For Option A (PAS Implementation) Respondents:

11.	How many employees does your organization have associated with pension administration solutions? Specify full-time versus contract	
12.	Provide the number of employees in each category:	- Customer support: # employees - Installation and training: # employees - Product development: # employees - Sales and marketing: # employees
13.	What is your average annual staff turnover rate (percentage) for employees within the PAS Implementation and Application Support teams?	
14.	Do you sponsor user conferences or events where clients can learn about and provide feedback on system changes/enhancements?	
15.	What is the average age of your PAS client defect/bug tickets?	
16.	What is the average number of PAS defect/bug tickets in your client backlogs?	
17.	Describe your quality assurance and testing processes	
18.	What is your typical response time for critical system issues?	

For Option B (Third-Party Administration Services) Respondents:

19.	How many employees are dedicated to pension administration services? Specify full-time versus contract	
20.	Provide the number of employees in each category:	- Member Services: # employees - Benefit Processing: # employees - Technical Support: # employees - Quality Assurance: # employees
21.	What is your average annual staff turnover rate (percentage) for pension administration service teams?	
22.	Describe your quality control processes and performance metrics	
23.	What is your average response time for:	- Benefit calculations - Member inquiries - Employer requests
24.	How do you handle peak workload periods?	
25.	Describe your business continuity and disaster recovery capabilities	
26.	What technology platforms do you use to deliver services?	

Financial Information

ICERS will evaluate the financial information below and may, at its sole discretion, reject the Respondent's Proposal if the information indicates that completion of a contract resulting from this RFP may be jeopardized.

For All Respondents:

27.	Provide the Organization's annual gross revenue during the last three (3) fiscal years.	
28.	Attach (as Attachment 3B – Financial Statements) a copy of the organization's audited financial statements for the last three (3) fiscal years.	☐ Attached
29.	Attach (as Attachment 3C - Ability to Finance) a description of the organization's ability to finance additional costs that would be incurred in the event your firm is awarded a contract resulting from this RFP. State the amount the organization would need to borrow, if any, and provide documentation from the organization's lender stating its willingness to lend such amount to the organization.	☐ Attached
30.	Attach (as Attachment 3D – Insurance Certificate) a copy of your insurance certificate.	☐ Attached
31.	Confirm Respondent has not filed for bankruptcy, insolvency, or creditor protection proceedings in the United States within the past five (5) years.	
32.	Confirm any third-party certifications (e.g., SOC 2 Type 2, ISO 27001, NIST CSF, NIST 800-53). Please include the latest reports for any of the above certifications as part of your Proposal.	
33.	Confirm compliance with the requirement that all data must be hosted within the United States and that no Personal Information will leave the United States.	

For Option A (PAS Implementation) Respondents:

34.	What percentage of gross revenue is invested in research and development for the Solution?	
35.	What was the average annual organization sales volume for pension administration software for the previous three (3) fiscal years?	
36.	What percentage of gross revenue does the sales volume for pension administration Solution represent?	

For Option B (Third-Party Administration Services) Respondents:

37.	What percentage of gross revenue is derived from pension administration services?	
38.	What was the average annual revenue from pension administration services for the previous three (3) fiscal years?	
39.	What percentage of pension administration service revenue is invested in technology and process improvements?	

Attachment 4 – Implementation and Staffing Questionnaire

A Word format version of this document can be provided separately for completion.

Instructions:

1. Provide your detailed proposed project approach, ensuring your plan covers all areas and questions listed below. Please provide your response using the sections provided in the tables below.
2. For Option A (PAS Implementation):
    a. Project Schedule
        i. Respondents must provide a detailed project schedule in Microsoft Project or MS Excel format (native format and PDF)
        ii. Label the project schedule as Attachment 4A – Project Schedule and include both files
        iii. The schedule should include:
            - Tasks and timing for all project phases including setup, requirements, development, configuration, testing, training, change management, data conversion, etc.
            - Data conversion milestones and synchronization points
            - All Respondent, ICERS, and other vendor tasks
    b. Candidate Information
        i. Respondents must provide resumes for project team candidates
        ii. Label the candidate information as Attachment 4B – Candidate Information
3. For Option B (Third-Party Administration Services):
    a. Project Schedule
        i. Respondents must provide a detailed transition plan in Microsoft Project or MS Excel format (native format and PDF)
        ii. Label the transition plan as Attachment 4A - Project Schedule and include both files
        iii. The plan should include:
            1. Tasks and timing for all transition phases including planning, knowledge transfer, data migration, process implementation, staff training, and service cutover
            2. Service transition milestones and checkpoints
            3. All Respondent, ICERS, and other stakeholder tasks
    b. Candidate Information
        i. Respondents must provide resumes for project team candidates
        ii. Label the candidate information as Attachment 4B – Candidate Information

4.1 Project Management

Project Management	
4.1.01	Does your project schedule and/or implementation approach account for contingency? Please explain.
4.1.02	Based on the requirements of the RFP: • What is the scope of the implementation? • What is considered out of scope for you, but still necessary for the project? • What are the project assumptions?
4.1.03	**Project duration, effort, and phasing:** For Option A (PAS Implementation): • How long will the overall project take? • What are the main project phases? • How long will each phase take? • What are the major activities/tasks? • What are the hour estimates for each phase? • What are the start and finish dates for each phase? • Will there be software releases during implementation, and will we be required to include them? Provide details on how these are planned for and included. For Option B (Third-Party Administration): • How long will the service transition take? • What are the main transition phases? • How long will each phase take? • What are the major transition activities/tasks? • What are the hour estimates for each phase? • What are the start and finish dates for each phase? • How will you ensure continuity of service during transition?

Project Management	
4.1.04	**Deliverables and milestones:** For Option A (PAS Implementation): • What are the major milestones in the project? • What are the project deliverables for each milestone? Please include a detailed enough description to give ICERS a good expectation of content and include completion criteria. • Show all gates and decision points in your plan. For Option B (Third-Party Administration): • What are the major transition milestones? • What are the service establishment deliverables for each milestone? Include detailed descriptions and acceptance criteria. • Show all service validation points and go/no-go decision points in your plan.
4.1.05	**Approach and Methodology:** For Option A (PAS Implementation): • Describe the project approach and implementation methodology (i.e. Agile, hybrid, waterfall) and why you believe this is the best approach for ICERS. • Describe any tools, environments you use (e.g. Kanban boards, sandboxes) • ICERS is looking for an iterative implementation approach that allows for ICERS SME's to access and/or test elements of the Solution functionality throughout the project. Given the inter-dependency of overall pension operations, however, we want to ensure that final sign-off is only provided when full Solution functionality is delivered. Please explain how your approach will support and balance ICERS' desire to oversee Solution setup progression and ensure that overall functional requirements are met. In addition, please ensure to reflect this approach in your Solution Cost and ICERS resourcing responses. • Please explain your approach to client resource planning. How do you handle peak operational periods? How do you approach shared project resources? • Please explain your approach to task delays within the project. • What formal methods and disciplines will be employed to effect high-quality releases of functionality?

Project Management	
	For Option B (Third-Party Administration): • Describe your service transition methodology and why it's best for ICERS • Describe any tools and tracking systems you use • ICERS seeks a phased transition approach allowing validation of service quality throughout the transition. Explain how your approach achieves this. • Explain your approach to resource planning, peak periods, and knowledge transfer • Explain your approach to transition delays • What methods ensure high-quality service delivery?
4.1.06	**Change Requests:** • Describe the change request process during the implementation period. • Do you commonly see change orders or requests during an implementation process? • If so, what kind of change orders or requests are common during an implementation?
4.1.07	**Risk and Issue Management:** • Identify the risks you see for this implementation and discuss risk mitigation strategies for each. In addition, describe what ICERS and the selected Respondent need to do to help mitigate these risks. • Give one example of a successful implementation. What made the project work well? • Give one example of an implementation that did not go as planned. What happened? What were the lessons learned? • For Option A: What is your process if there is a product upgrade mid-implementation? • For Option B: What is your process if there are regulatory or process changes during transition?
4.1.08	**Dependencies:** • Identify the factors both inside and outside of the project that are required to be in place to successfully complete this project.

Project Management	
4.1.09	**Constraints** • Identify the factors that put restrictions on the Respondent's ability to execute the project.
4.1.10	**Project / Deliverable Quality Management:** • Describe the process that will be used to ensure that the project delivers the desired outcome at the agreed to level of quality.
4.1.11	**Success Criteria:** • Describe, as precisely as possible, the criteria that will be used to determine project success. • Success criteria, if met, determine that the project has achieved what it was formed to achieve.
4.1.12	**Completion Criteria:** • Describe, as precisely as possible, the criteria that will be used to determine that the project work has been finished, independent of whether or not the project is successful. • Criteria should be Specific, Measurable, Achievable, Relevant and Time-bound.

4.2 Project Governance and Staffing

Project Governance and Staffing	
4.3.01	**Project Governance:** ICERS expects the Respondent to assign a team with significant relevant experience. For Option A (PAS Implementation), the team must have extensive experience with the proposed solution. For Option B (Third-Party

Project Governance and Staffing	
	Administration), the team must have demonstrated experience in pension administration services. The assigned team will be required to participate in presentations and staff interviews. The Respondent should only present staff who will be available for an extended period. ICERS reserves the right to designate certain team members as 'key personnel' who cannot be removed without prior ICERS approval. Provide a governance model and staffing plan that includes: • Project governance model, including people, meetings, reporting, decision frameworks, and escalation procedures • Note that ICERS leadership will be actively involved in the project/transition. We expect similar engagement from the Respondent's executive team, continuing through the transition to operational mode • Organization diagram showing the proposed structure, including both Respondent and ICERS teams, clearly indicating project leadership
4.3.02	**Respondent Resources:** Provide a project team matrix including: • Name • Length of employment with company • Location • Project / service role • Role description • Key activities • Time allocation • Years of experience in assigned role • Years of experience in other relevant roles (role and years) • Years of experience in pension administration industry For Option A: Number of PAS implementations completed For Option B: Number of pension systems supported Additional requirements: • Identify key roles and provide detailed information about assigned personnel's experience in similar projects/services • Identify backup resources for key roles • List any subcontractors and their roles

Project Governance and Staffing	
	• Describe the process for replacing assigned resources **Assignment priority:** Include statements that: • Key personnel identified and accepted by ICERS will be dedicated to ICERS as their primary assignment • Any changes to key personnel require ICERS' prior written approval • The project/program manager will be fully dedicated to ICERS • Key personnel will attend all required presentations and interviews during the selection process • The key personnel identified in your Proposal will attend the product demonstrations and interviews, should you be one of the shortlisted Respondents. Include resumes for all project team candidates as Attachment 4B.
4.3.03	**ICERS Resources:** Provide a resource matrix for required ICERS staff including: • Role • Role description • Key activities • Pre-requisite skills • Time allocation • Number of staff needed Other Resource Requirements: • Identify any additional resources needed beyond Respondent and ICERS staff • For Option A: Specify any technical infrastructure support requirements • For Option B: Specify any operational support requirements

4.4 Business Process Improvement Analysis

Business Process Improvement Analysis	
4.4.01	For Option A (PAS Implementation): ICERS requests a review of its processes before starting functional requirements, to ensure processes are designed for optimal use of your solution, user experience, efficiency, and automation. Please explain how you will accommodate this request within your implementation process and ensure your Solution Cost includes this process. Include the following information: • What is your approach to this process? • What roles will be involved in this process from your team? • How long will this analysis take? • What deliverables will be produced? For Option B (Third-Party Administration): ICERS requests a review of its current processes to ensure efficient service delivery. Please explain how you will evaluate current processes and recommend improvements. Include the following information: • What is your approach to process assessment? • What roles from your team will be involved? • How long will this evaluation take? • What recommendations will be delivered?

4.5 Business Process Improvement Analysis

Requirements Gathering and Analysis	

4.5.01	**Requirements Gathering:**
	• Requirements analysis is an iterative and time-intensive process that requires substantial involvement by ICERS staff.
	• For Option A (PAS Implementation):
	    o Explain in detail your process for gathering, analyzing, and documenting system requirements
	    o Describe how you ensure all requirements are captured correctly
	    o Explain your method for prioritizing requirements Note: ICERS requires all requirement documentation to be in writing for review and sign-off
	• For Option B (Third-Party Administration):
	    o Explain in detail your process for gathering, analyzing, and documenting service requirements
	    o Describe how you will document operational procedures and service levels
	    o Explain your method for identifying service priorities Note: ICERS requires all requirement documentation to be in writing for review and sign-off

4.5.02	**Requirements Validation and Sign-Off** • Please explain your process for requirements review, validation, and sign-off • Please explain the process followed if a change is required in requirements after sign-off • Describe how requirements changes are documented and tracked

4.6 Quality Assurance and Testing

Quality Assurance and Testing	
4.6.01	**Quality Assurance Approach** For Option A (PAS Implementation): • Please explain your approach and methodology to testing and quality assurance, including:

Quality Assurance and Testing	

	• Provide an overview of your testing process, all required testing types, and resources involved
	• Describe the testing tools to be used, including automated test tools, testing matrices, and documentation
	• Explain your practice for demonstrating testing readiness
	• Detail what certifications you provide for each release
	• Describe how test results are documented and delivered to ICERS
	• Outline the formal methods for testing each build:
	  ○ Unit testing
	  ○ Regression testing
	  ○ System testing
	  ○ Performance testing
	  ○ Stress testing
	• Explain your approach to data conversion testing:
	  ○ How and when converted data is tested
	  ○ How testing of functionality and converted data is synchronized
	  ○ Timeline for testing large population batch processes (payroll, COLA, interest, statements)
	• What do you consider a reasonable defect rate for delivered builds?
	• Describe your version control and build release management process
	• Outline ICERS' role in the testing process
	
	For Option B (Third-Party Administration):
	
	Please explain your approach to quality assurance, including:
	
	• Describe your quality control processes for service delivery
	• Outline your testing procedures for:
	  ○ Payment processing
	  ○ Benefit calculations
	  ○ Member communications
	  ○ Employer reporting
	• Detail your quality metrics and reporting
	• Explain how service accuracy is validated
	• Describe ICERS' role in quality assurance

4.6.02	**Internal Quality Control** For Option A:

Quality Assurance and Testing	
	• Describe your internal testing process for PAS code changes before client testing • Detail the level of testing effort required • Explain your quality gates and approval process For Option B: • Describe your internal quality control processes • Explain your approach to service validation • Detail your quality assurance staffing and oversight
4.6.03	**User Experience Testing** For Option A: • Do you utilize Personas in your testing? If so, describe their use and provide examples • How do you ensure the system meets different user needs? For Option B: • How do you test service procedures for different member types? • How do you validate service quality for various stakeholder groups?

4.6 Go-Live and Transition to On-Going Operations

Go-Live and Transition to On-Going Operations	
4.6.01	**Go-Live and Warranty Period:** For Option A (PAS Implementation):

Go-Live and Transition to On-Going Operations	
	• Describe your pre go-live planning activities, go-live support activities, and post go-live activities • What are your typical "go-live" criteria? • Describe the warranty you provide after "go-live". What is provided during this period? For Option B (Third-Party Administration): • Describe your service transition planning, cutover activities, and post-transition support • What are your typical service transition readiness criteria? • Describe your service level guarantees for the initial transition period • What special support is provided during the initial service period?
4.6.02	**Transition and Warranty Period:** For Option A: • How do you ensure transition to the new PAS is successful? • Will the implementation team remain available for post go-live support? If so, for how long? • What is the division of support responsibilities between you and ICERS in the production environment? • Under an on-prem hosting model, how will you ensure that ICERS' IT resources understand how to maintain the system in production? • How have you managed similar transitions successfully in the past? • What can ICERS do to ensure a successful transition? For Option B: • How do you ensure service transition is successful? • Will the transition team remain available for ongoing support? If so, for how long? • What is the division of responsibilities between your team and ICERS staff? • How do you ensure knowledge transfer and operational readiness? • Describe successful service transitions you've managed in the past • What can ICERS do to ensure a successful service transition?

Attachment 5 – Data Conversion Questionnaire

A Word format version of this document can be provided separately for completion.

ICERS data conversion questions are below.

Instructions:

- Provide your response to all questions in the space provided after each question below.
- Provide detailed information that will allow ICERS to better understand the Respondent's experience and abilities related to data conversion.
- If responding to both Option A (PAS Implementation) and Option B (Third-Party Administration Services), please clearly indicate if your responses differ for each option.

Data Conversion	
5.1	Please describe your company's experience with data conversion in public pension systems. Include specific experience with U.S. public pension data conversion for both system implementations and/or administration transitions.
5.2	Please describe your detailed approach to data conversion for your proposed solution(s). If responding to both options, clearly differentiate your approach for each.
5.3	Where in your overall implementation/transition timeline do you typically start the data conversion process?
5.4	Please describe your approach to mapping between data schemas and what documentation regarding the mapping process will be provided to ICERS. Include any differences between Option A and Option B approaches if applicable.

Data Conversion	
5.5	Has time for data cleansing efforts been accounted for in your project plan? Please specify for each option if responding to both.
5.6	Do you require data to be received in a particular format prior to cleansing and conversion? If so, please provide specifications or details regarding this format.
5.7	How many iterations or cycles of data do you recommend for this project based on the requirements? How many are included in your Proposal? Please specify for each option if responding to both.
5.8	For your proposed solution (specify Option A and/or Option B): — How many data conversion hours are included in your Proposal? — Describe your process for monitoring and reporting these hours — Describe the process when additional hours/work are required — If additional hours are charged at time and materials (T&M) rates, provide these rates and explain potential impacts to the project
5.9	Please describe your data testing and validation process. Is it automated? Include any differences between Option A and Option B approaches.
5.10	Please describe what artifacts and/or processes are used to ensure full population data validation.

Data Conversion	
5.11	Please describe your data conversion import functionality and the validations performed as part of this process. For Option B, describe how data will be maintained in your administration system.
5.12	What tools or mechanisms are used to flag or identify participants where known data discrepancies exist? Can these flags be integrated with the calculation tool to ensure that data is reviewed before any calculations are completed?
5.13	Please describe your approach to ensure the data conversion process is repeatable and minimizes manual work.
5.14	Please describe what processes and steps are being taken to ensure the security of personal information and other personally identifiable information (PII) data during the conversion process and ongoing operations.
5.15	Please detail what mechanisms and processes are used to ensure the quality of the data post go-live/transition.
5.16	Please explain what tools and validations are in place for any ongoing import files and data maintenance.
5.17	For Option B respondents: Please describe your approach to: - Initial data migration to your administration platform

Data Conversion	
	- Ongoing data maintenance procedures - Data ownership and transition requirements at contract termination

Attachment 6 – Training Questionnaire

A Word format version of this document can be provided separately for completion.

Complete the following sections to provide ICERS with information about your organization's training and user documentation. If responding to both Option A (PAS Implementation) and Option B (Third-Party Administration Services), please clearly indicate where approaches differ.

Training and User Documentation	
6.1	**Training Approach and Methodology** Please describe your training approach addressing the following: • Types of training offered and recommended delivery methods (online vs. in-person) • Training approach for different user groups: — Regular users — Power users — Business administrators — Technical staff (for Option A) • Estimated number of ICERS staff to be trained • Training timeline and coordination with implementation/transition • Available training materials and user documentation • Customization of training materials to ICERS' specific needs • Process for maintaining and updating training materials • Post go-live training recommendations and support
6.2	**Project Documentation** Besides user and training documentation, describe other documentation to be provided during the project: • For Option A (PAS Implementation): Include technical specifications, functional documentation, etc. • For Option B (Third-Party Administration): Include operational procedures, service manuals, etc.

Attachment 7 – Functional Questionnaire

A Word format version of this document can be provided separately for completion.

This appendix is divided into two parts:

1. *Functional Requirements Questionnaire - Responders must complete and return the accompanying questionnaire with their response.*
2. *Functional Requirements Workbook - Responders are required to fill out and submit this workbook as a component of their response.*

Important Context

ICERS seeks solutions that are:

- Operationally efficient and appropriately scaled to our organization
- Cost-effective with clear value proposition
- Streamlined to maximize administrative efficiency
- Focused on core functionality while maintaining high service standards
- Designed to promote operational excellence without unnecessary complexity
- Flexible enough to grow with our organization

Functional Requirements Questionnaire

Responders must complete the questionnaire based on which option they are proposing:

Option A: Pension Administration System Implementation

OR

Option B: Third-Party Administration Services

7.1 General Solution Overview

General Solution Overview	
7.1.1	Provide an overview of your solution in clear, non-technical language.
7.1.2	Describe how ICERS-specific customizations will be deployed. Will any of these customizations limit ICERS' ability to access new functionality or features moving forward? Will there be any impacts on maintenance and/or future versions?
7.1.3	What level of configuration vs. customization is available in your system?

7.2 Data Model

Data Model	
7.2.01	How does your data model handle one member who has: • Multiple memberships with the same or different employers • Different statuses (e.g., active and inactive) • Various roles (member, spouse, power of attorney, child, beneficiary) • Multiple relationships (e.g., member and spouse)

Data Model	
7.2.02	How does your data model handle multiple employers?
7.2.03	Will your Solution support schema validation and the creation of validation rules for fields, data types and value ranges? Please explain how this is achieved or what this might look like to an end user?
7.2.04	Please explain what level of access ICERS will have to the data for additional reporting and analytics.

7.3 Solution Functionality

Solution Functionality	
7.3.01	Describe the out-of-the-box service purchase and payment schedule functionality available in your Solution.
7.3.02	How does your system handle exception cases? Specifically: • How are calculation adjustments updated in the system? • How can data be updated in the system? • How do you handle cases where full automation isn't feasible?
7.3.03	How does your Solution handle benefit calculations: • Based on final data vs. projected data (preliminary benefit) • Data modification and true-up processes

Solution Functionality	
	• Case identification and tracking
7.3.04	How does your system: • Handle employer-reported termination dates in the future? • Track service in eligible classes pre-enrollment. • Manage the proof of life process?

7.4 Employer Integration and Reporting

Employer Integration and Reporting	
7.4.1	Provide an overview of how employers will interact with your Solution for reporting and data submission.
7.4.2	What file formats can your system accept for employer reporting?
7.4.3	Describe your Solution's capabilities for: • Validating employer-submitted data for accuracy and completeness • Handling employer contributions and reconciliation • Managing varying reporting frequencies (bi-weekly, semi-monthly, monthly) • Tracking reporting compliance and identifying missing submissions • Processing data corrections and adjustments for prior periods • Handling multiple employer types and different contribution rates

Employer Integration and Reporting

7.5 Member Portal

Member Portal	
7.5.1	Provide an overview of your member portal in clear, non-technical language.
7.5.2	How does your system manage Member Portal access and data for: • Members with multiple periods of membership • Members with multiple employers under the same membership period • Members receiving survivor pensions who also have their own member profile • Members with QDROs • Members with purchased service credit • Members who have returned to work after retirement
7.5.3	What types of processes can be initiated through your member portal?
7.5.4	Describe your portal's: • Secure communication capabilities • Meeting scheduling functionality • Accessibility features for members with disabilities • Security measures for protecting member data and privacy

Member Portal

7.6 Customer Relationship Management (CRM)

Customer Relationship Management (CRM)	
7.6.1	Provide an overview of how your Solution manages member and employer interactions.
7.6.2	How does your Solution track and manage: • Member inquiries and requests • Member communications • Follow-up tasks • Meeting scheduling
7.6.3	Does your Solution integrate with common email platforms? If so, which ones?
7.6.4	Describe how your Solution helps staff maintain a complete history of member interactions.

7.7 Enterprise Content Management (ECM)

Enterprise Content Management (ECM)	
7.7.1	Provide an overview of your document management capabilities in clear, non-technical language.

Enterprise Content Management (ECM)	
7.7.2	Does your ECM Solution use an in-house developed product, or is it integrated with a third-party product? If it is integrated, provide details about the third-party product. Additionally, describe how your solution supports integration with ECM products other than those standardly integrated by your organization.
7.7.3	Describe: • How your Solution integrates documents with core PAS functions • Types of documents your system can store and manage • Document indexing and retrieval methods, including the solutions API, if any. • Available security controls for document access

7.8 Workflow / Case Management

Workflow / Case Management	
7.8.1	Provide an overview of how your Solution manages and tracks work items and cases.
7.8.2	Describe: • How your system helps staff track pending tasks and monitor deadlines • How work items are routed to appropriate staff members • How priority levels and service standards are managed

Workflow / Case Management

7.9 Reporting

Reporting	
7.9.1	What standard reports are available in your system? List key operational and management reports.
7.9.2	Describe the client access to database for non-standard reporting and data analysis: • How users can access and run reports • Available export formats • Report scheduling capabilities • Custom report creation process and required skills • Report organization and accessibility

7.10 Strategy/Vision/Innovation

Strategy/Vision/Innovation	
7.10.1	How does your company handle required legislative changes? What is your process for ensuring system compliance?
7.10.2	How do you gather client feedback and incorporate it into product improvements?

Strategy/Vision/Innovation	
7.10.3	Please explain your approach to software updates and new releases: ○ Frequency of updates ○ Testing process ○ Client notification and training on new features
7.10.4	What major system improvements are planned for the next 2-3 years?

2. Functional Requirements Workbook

The functional specifications are described in detail in the **Attachment 7A - Functional Requirements Workbook**. Responders must complete and return this workbook as part of their response. Responders must clearly indicate whether they are responding to Option A (PAS Implementation) or Option B (Third-Party Administration Services).

Workbook Structure

Each functional requirement is identified by a unique number. Process identification numbers are for reference only. Requirements are numbered as extensions to the process number. Responders must not alter the process ID numbers.

For Option A (PAS Implementation) responses, requirements should be addressed in terms of system capabilities and functionality.

For Option B (Third-Party Administration Services) responses, requirements should be addressed in terms of service delivery methods and operational procedures.

Priority Definitions

Priority 1 Critical

ICERS must have this requirement; therefore, ICERS is not asking for detailed pricing that may be attributed to the item and is requesting the Responder's all-inclusive pricing to include compliance with the requirement.

For Option A: The solution should meet the requirement and ICERS' business process as written; the Responder should avoid proposing a means of meeting the requirement that is significantly different than the requirement as written. If the proposed solution is significantly different than the requirement as written, the Responder should provide an explanation on how the requirement will be met.

For Option B: The service delivery must meet the requirement and ICERS' business process as written; the Responder should avoid proposing a service approach that is significantly different than the requirement as written. If the proposed service approach is significantly different than the requirement as written, the Responder should provide an explanation on how the requirement will be met.

Priority 2 Required

ICERS must have this requirement; therefore, ICERS is not asking for detailed pricing that may be attributed to the item and is requesting the Responder's all-inclusive pricing to include compliance with the requirement.

For Option A: The solution must meet the requirement, but ICERS will adjust its own business process to follow the design of the solution.

For Option B: The service delivery must meet the requirement, but ICERS will adjust its own business process to align with the service provider's standard procedures.

Priority 3 Important

ICERS would like this requirement fulfilled but recognizes that it may or may not be fulfilled without some additional work from the Responder. Therefore, ICERS would like further information regarding costs from the Responder prior to committing to it if the functionality/service would require additional cost to implement. Priority 3 requirements are to be priced separately. If the Responders do not specifically list out Priority 3 requirements as additional cost, ICERS will assume the requirements are included in the price of the fixed bid at no additional cost.

Pricing and Priority Designation

The Responder is required to include in their fixed price bid all functionality/services identified as Priority 1 and Priority 2 which are deemed critical to ICERS.

All priority 3 requirements will be assumed to be included in the fixed price unless the Responder specifies otherwise in the Cost Worksheet.

ICERS Attachment 7B - Functional Requirements Workbook

ID	Process	Sub-Process	Feature/Name	Role	User Story and Acceptance Criteria	Business Rules	Priority	Meets Requirement	Meets Requirement with Modification (see comment)	Does Not Meet Requirement (see comment)	Comment
1.01	Active Payroll		File Upload	Employer	As an Employer, I want to upload an active payroll file to ICERS, So that I can communicate member data information for employees associated with ICERS. I'll be satisfied when: • I can upload my payroll files securely. • I am notified of formatting errors in my payroll files. • I can send ad-hoc correction files. • I can communicate to ICERS if I have any issues. • I am notified once ICERS has received and processed the file. • I am notified of any issues or changes that occurred after the payroll was accepted by ICERS.		2				
1.02	Active Payroll		Workflow / Case Management / Validation	ICERS Staff	As an ICERS Staff Member, I want to validate the active payroll file prior to posting, So that I can verify the data received and communicate to the employer if needed. I'll be satisfied when: • The system initiates a workflow when an active payroll file is uploaded. • The system follows a validation process that identifies data issues (such as wrong tier, expected vs. actual contribution/salary/buyback amount, etc.). • I can securely communicate validation issues with employers. • I can view, update, and override validation issues within the workflow. • The system keeps a record of changes made to the active payroll data for future auditing and reporting. • I can tell what status the payroll data is in (such as processed/posted, adjusted, cancelled, pending, paid, etc.). • I can differentiate when the data received from the active payroll file is mean to correct a previous known issue that required work/follow-up.		2				
1.03	Active Payroll		Member Data – Active Payroll	Accounting Technician	As an Accounting Technician, I want to be able to post the active payroll file into the system, So that member accounts can be updated with the new pay period data. I will be satisfied when the system: • Automatically updates member information, statuses, and service communicated through the payroll file after posting. • Can split contributions based on established funds for the respective tiers.		1				
1.04	Active Payroll		Forms, Letters, and Reports	Accounting Technician	As an Accounting Technician, I want to be able to let the employer know what ICERS corrected/adjusted in the file, So that they can correct their system for the next payroll. I will be satisfied when: • The system generates a report of corrections to employer payroll data made during payroll file processing that includes before and after data. • I can securely send the payroll file corrections report to employers via email or an online employer portal. • The report identifies reoccurring issues to highlight for the employers.		2				

1.05	Active Payroll		Member Data	ICERS Staff	As an ICERS Staff Member, I want the ability to update a member account while processing the active payroll file, So that the member account data is current. I will be satisfied when: • I can access and update the member's account from the active payroll workflow. • I can update existing information and add new employment information as needed. • The system retains an audit trail of data changes.		2					
1.06	Active Payroll		Forms, Letters, and Reports	Accounting Technician	As an Accounting Technician, I want a summary and detail report of the biweekly active payroll, So that I can reconcile the money reported and the money received. I will be satisfied when: • The system generates a report of the data from active payroll for each employer summarized by CDH Code and associated G/L account. • The report can be generated in different formats, such as PDF, excel. • I can dictate a "to" and "from" date for the report.		2					
1.07	Active Payroll		Buybacks - Installments	Accounting Technician	As an Accounting Technician, I want to be notified of active buybacks with installments, So that I can account for them during the active payroll process. I will be satisfied when: • The system can identify buyback installments in the active payroll file. • I run my reports and buybacks are clearly identify in their correct fund buckets.		2					
1.08	Active Payroll		Return / Recovery	Accounting Technician	As an Accounting Technician, I want to be notified of active buybacks with installments, So that I can account for them during the active payroll process. I will be satisfied when: • The system can identify buyback installments in the active payroll file. • I run my reports and buybacks are clearly identify in their correct fund buckets.		2					
1.09	Active Payroll		30-year member	Retirement Specialist	As a Retirement Specialist, I want the active payroll process to validate member contributions for members with 30 years of continuous service, So I can ensure that contributions are not collected for these members. I will be satisfied when the system: • Accurately identify members who have reached 30 years of continuous service. • Provides a report to confirm the cessation of contributions for auditing purposes. • Initiate Return or Recovery Workflow if needed. • Provides a report of upcoming "30-year members."	Business Rules: •Safety Member contributions cease after 30 years of continuous service.	2					

1.10	Active Payroll		Enrollment - Tier	Retirement Specialist	As a Retirement Specialist, I want to validate member data that is coming in through payroll files, So I know what types of data issues require clarification & follow up. I'll be satisfied when: • The system identifies data issues (including wrong tiers and expected contributions). • The system identifies member status (new member vs. returning member), hire dates, and termination dates. • The system determines an incoming member's tier and age of entry.	Business Rule: •Employee is a Tier 1 member if they entered membership in a California Public Retirement System prior to July 1, 2005. •Employee is a Tier 2 member if they entered membership in a California Public Retirement System between July 1, 2005, and December 31, 2012. •If Tier 1 and 2, then Age of Entry must be calculated to determine percentage of contributions to be paid (aggregate). •Employee is a Tier 3 member if they first entered membership in a California Public Retirement System on or after January 1, 2013, AND do not otherwise qualify for Tier 1 or 2 membership through reciprocity or other applicable public employment.	2					
1.11	Active Payroll		Maximum Compensation	Accounting Technician	As an Accounting Technician, I want to receive an alert when a member is approaching the defined benefit plan's annual contribution limit, So that I can ensure compliance with the plan's regulations and prevent over-contributions. I will be satisfied when: • The system automatically generates an alert when a member's contributions are within 5% of the annual limit. • I can easily access and review these alerts in a dedicated section of the PAS interface.		2					
1.12	Active Payroll		Maximum Compensation	Accounting Technician	As an Accounting Technician, I want the system to automatically initiate a Return & Recovery workflow when excess contributions are detected, So that any overages are addressed promptly and in accordance with the plan's guidelines. I will be satisfied when: • The system automatically identifies and flags contributions that exceed the annual limit. • The system initiates the Return & Recovery workflow without manual intervention.		2					
1.13	Active Payroll		Maximum Compensation	Accounting Technician	As an ICERS staff, I want to be able to update the maximum compensation limit for an upcoming year, So that we are capturing the correct compensation limit for the correct year. I will be satisfied when: • I can insert an effective date and compensation limit for each tier. • The system has a historical table capturing previous years' compensation limit.		2					
2.01	Member Enrollment		Correspondence	Retirement Specialist	As a Retirement Specialist, I want to view all the received Personnel Status (PS2) forms for the pay period, So that I can properly account for new or return members. I will be satisfied when: • I can securely receive PS2 forms from employers. • I can scan the PS2 form into the PAS (or, if received via portal, automatically imaged into the PAS). • The PAS identifies whether the member is new or rehire. • The PAS initiates the appropriate workflow.		2					

ICERS Attachment 7B - Functional Requirements Workbook

2.02	Member Enrollment		Report	Retirement Specialist	As a Retirement Specialist, I want to track the incoming new or returned hires for the pay periods, So I can properly reach out to the members that need to complete the Member Affidavit. I will be satisfied when I can: • Identify all new hires for the upcoming pay period. • Identify all the rehires for the upcoming pay period. • Identified all the retired rehires for the upcoming pay period. • Securely send a Member Affidavit for the member to sign. • Schedule a counseling meeting with members who would like to come into the office.	Business Rule: • New Member Affidavit Form is a required form from ICERS, but contributions still commerce if this form is absent / unreturned.	2				
2.03	Member Enrollment		Member Data	Retirement Specialist	As a Retirement Specialist, I want to easily identify what membership tier each incoming member is in, So that the member can make the correct contributions to the pension fund. I will be satisfied when I can: • Easily identify what tier the incoming member is based on their hire date and membership entry date. • See member's contribution based on their new hire information. • See member's entry age based on their new hire date. • Validate that the contribution amount is correct for the member.	Business Rules: • Every regular full-time employee employed for a minimum of 30 hours per week becomes a member of ICERS. • Membership in the retirement system is effective beginning on the first full pay period following their date of hire. • Full-time employees entering membership in a California Public Retirement System prior to January 1, 2013, will be placed in Tier 2. • Full-time employees entering membership in a California Public Retirement System on or after January 1, 2013, will be placed in Tier 3 (PEPRA). • Full-time employees at the age of 60 and above can choose to opt out of membership in a California Public Retirement System (Govt. Code Section 31552). • Membership is mandatory except for elected officials (Govt. Code Section 31562). • Previous Tier 1 or 2 members returning as a new member will retain the same entry age as their prior membership if they are either: o Deferred vested status o Non-vested deferred status returning within 180 days of previous termination. • Tier 1 or 2 member with a Non-vested	2				
2.04	Member Enrollment		Correspondence	Retirement Specialist	As a Retirement Specialist, I want to communicate with the member, So they understand their pension benefit. I will be satisfied when: • I can send secure messages to the member. • I can notify member of missing items from their submitted documents. • Members can securely return the signed Member Affidavit to ICERS. • A returned Member Affidavit is imaged into the PAS and connected to a workflow.		2				
2.05	Member Enrollment		Correspondence	Retirement Specialist	As a Retirement Specialist, I want to send the completed Member Affidavits to the corresponding employers, So that employers can accurately deduct contributions using the Board of Retirement's approved rate. I will be satisfied when: • The PAS initiates or resume a workflow when a completed Member Affidavit form is received via the Member Portal or scanning in the imaging system. • I can securely send the Member Affidavit forms in bulk via an Employer Portal or email. • I receive a notice of receipt from the employer.		2				

3.01	Buybacks	Buyback Quote	Member Self-Service	Member	As a Member, I want to submit a request for a buyback quote, So that I can financially prepare myself for the cost. I will be satisfied when: • I can securely submit the request online. • I am informed of back-up documentation required for each buyback. • I can upload back-up documentation with my request. • I am notified via my preferred communication method when I am missing required documents or information. • I am notified via my preferred communication method when my buyback request is approved or denied. • I can view the processed quote online. • I get an automated reminder via my preferred communication method that my buyback quote is expiring. • I can request multiple buyback quotes.	Business Rules: • Buyback quote expires 60 days after creation.	2				
3.02	Buybacks	Buyback Quote	Workflow/Case Management	Retirement Specialist	As a Retirement Specialist, I want to be notified when a member submits a formal quote to ICERS, So that I can verify their back-up documents. I will be satisfied when: • The system initiates a workflow when an official buyback quote request is received from a member online via the portal, by mail or by email and scanned/uploaded into the imaging repository. • I am assigned a task/workflow upon member's submission of a buyback quote request. • I can view the documents through the workflow. • I can communicate to the member regarding missing/incorrect documents. • The system automatically notifies member via their preferred communication method of quote acceptance upon completion of the task/workflow.		2				
3.03	Buybacks	Buyback Quote	Buyback Quote	Retirement Specialist	As a Retirement Specialist, I want to be able to process a buyback quote for a member, So that I can provide them accurate information. I will be satisfied when: • I can view and select which buyback the member is interested in. • The system pulls the correct member data based on the buyback selection. • I can select the number of payment installments. • The system provides the cost for lump sum, partial lump-sum with installments, and full lump-sum payment for the quote. • The system automatically inputs the upcoming quote expiration date. • The quote comes with a signature contract form for member to initiate the contract. • I can process multiple buyback quotes for the same member. • I can securely send the member the requested buyback quote via their preferred communication method.		2				

3.04	Buybacks	Buyback Quote	Buyback Quote	Retirement Specialist	As a Retirement Specialist, I want to be able to recalculate an existing buyback quote, So that I can quickly provide the member an updated cost and expiration date. I will be satisfied when: • I can locate the correct previous buyback quote. • I can create a new quote by duplicating and modifying a previous buyback quote. • I can recalculate the quote without additional research. • The system updates the cost to purchase. • The system accounts for added interest, if applicable. • I can securely send the member the updated requested buyback quote via their preferred communication method.		2				
3.05	Buybacks	Types of Buybacks	Buyback – Extra Help & Public Service	Member	As a Member, I want to request a buyback quote for my prior extra help service and/or public service, So that I can possibly increase my benefit. I will be satisfied when I can: • Request a quote. • See the benefit of the purchase (retirement estimate with or without purchase). • See the cost to purchase. • Sign the contract if I wish to move forward.	Business Rules: Extra Help • Members can receive credit for prior service in positions excluded from ICERS (extra help, part-time, seasonal, temporary) by electing to pay for it ensuring payment is complete before retirement. (Govt. Code Section 31641.5) • The contribution rate used to generate the buyback quote will be based on member's first entry date. • Members may choose to buy back any portion of calculated service time and retain the option to purchase the remaining time later. Public Service • Public service credit does not satisfy the minimum requirement for retirement benefits. • A member's initial compensable salary is defined as the salary at the start of their membership in the retirement system. However, for members who were part of a previous retirement system in the same county before January 1, 1952, and who choose to request it, their initial compensable salary is based on the later of	2				
3.06	Buybacks	Types of Buybacks	Buyback – Medical Leave	Member	As a Member, I want to request a buyback quote for medical leave, So that I can make-up my service credit. I will be satisfied when I can: • Request a quote. • See the benefit of the purchase (retirement estimate with or without purchase). • See the cost to purchase. • Sign the contract if I wish to move forward.	Business Rules: • Medical Leave: Members returning from a leave of absence due to illness may buy back service credit for the period of absence, up to 12 consecutive months, by paying the contributions plus interest they would have paid if not absent. (Govt. Code Section 31646) • The contribution rate used to generate the buyback quote will be based on member's contribution rate in effect at the time of the medical leave. • Members may choose to buy back any portion of calculated service time and retain the option to purchase the remaining time later.	2				

3.07	Buybacks	Types of Buybacks	Buyback – Military Leave	Member	As a Member, I want to request a buyback quote for my military service, So that I can receive credit for that service. I will be satisfied when I can: • Request a quote. • See the benefit of the purchase (retirement estimate with or without purchase). • See the cost to purchase. • Sign the contract if I wish to move forward.	Business Rules: • Members who resigned or took a leave of absence for voluntary or involuntary U.S. armed forces service and returned to work under honorable conditions within one year after military separation can receive credit for service and prior service for any part of the military service. • Service credit is provided if, before retirement, the member contributes what they would have contributed during the absence plus interest, and the service isn't used for military retirement pay. (Govt. Code Section 31649.5)	2					
3.08	Buybacks	Types of Buybacks	Buyback - Redeposit	Returning Refunded Member	As a Returning Refunded Member, I want to request a buyback quote for my prior service with ICERS, So that I can restore my previous membership level. I will be satisfied when I can: • Request a quote. • See the benefit of the purchase (retirement estimate with or without purchase). • See the cost to purchase. • Sign the contract if I wish to move forward.	Business Rules: • General Redeposit: Members can redeposit previously withdrawn contributions plus accrued interest anytime before submitting a retirement application to regain service credit. (Govt. Code Section 31652) • Benefit Considerations for Redeposits Pre-7/1/2005: Redeposits before this date fall under the old benefit .11 (General 1), per Resolution 07/01/2005. To qualify for the .14 benefit for prior service (General 2), the member must have been part of the system on 7/1/2005 and made redeposits before 2005. • Installment Payments: Payment periods for redeposit installments match the buyback time but are limited to 5 years o For example, a 1-year buyback time allows 26 pay periods for buyback completion.	2					
3.09	Buybacks	Processing Buyback	Member Self-Service	Member	As a Member, I want to easily return my buyback contract form, So that I can complete my purchase, or I can start my installments. I will be satisfied when I can: • Securely submit my contract online. • Schedule a drop-off to submit my checks or rollover checks to the office. • Estimate pay-off amount online if I am already enrolled in installments. • View my receipt online.	Business Rule: • ICERS members who wish to purchase service credit in the retirement system (military, redeposit, leave of absence and time prior to membership according to ICERS' bylaws) may do so by transferring funds from either a 457 or 403(b) plan, a traditional Individual Retirement Account or other qualified plan.	2					

ICERS Attachment 7B - Functional Requirements Workbook

3.10	Buybacks	Processing Buyback	Buyback - Retired	Retirement Specialist	As a Retirement Specialist, I want to be able to complete a buyback for a retired member, So that they can increase their retirement benefit. I will be satisfied when: • The system validates the purchase is complete within 120 days of member's effective retirement date. • The system processes a buyback in a retired member's account. • I can see the increase in service after the completed buyback. • I can recalculate member's retirement benefit within the same buyback processing. • The system calculates any retroactive payments that may be owed to member due to the increase in their benefit due to increased service and FAC.	Business Rule: • A member who elects to purchase retirement service credit shall complete that purchase within 120 days after the effective date of his or her retirement (Govt. Code section 31485.7).	2				
3.11	Buybacks	Processing Buyback	Member Self-Service	Member	As a Member, I want to view my in-progress installments via the Member self-service portal, So that I can plan and anticipate the end of the contract. I will be satisfied when I can view: • My ongoing payments. • My service credit increasing with every payment (not redeposit). • My estimated last payment. • My executed contract, for record keeping.		2				
3.12	Buybacks	Processing Buyback	Buyback Payment	Retirement Specialist	As a Retirement Specialist, I want to process a buyback, So that I can complete the member's buyback or put them in payment. I will be satisfied when I can: • Utilize the latest quote to create the contract. • Select member's payment option. • Select a start date for the installment. • Communicate to the member via their preferred communication method that they have completed their buyback or that it is now in progress.		2				
3.13	Buybacks	Processing Buyback	Buyback Payment	Retirement Specialist	As a Retirement Specialist, I want to notify the Employer when I initiate an installment for a member, So that they can deduct the correct amount in member's paycheck. I will be satisfied when I can: • Submit a secure message to notify the Employer. • Provide the correct CDH codes and deduction amounts. • Provide the start and estimated end date of the installments.		2				
3.14	Buybacks	Processing Buyback	Buyback Payment	Retirement Specialist	As a Retirement Specialist, I want to be able to apply a pay-off to an in-progress installment, So that the member can finish their buyback. I will be satisfied when: • The system calculates the current pay-off amount. • I can record the receipt of the pay-off amount from the member. • I can verify the correct service was applied after pay-off.		2				

3.15	Buybacks	Processing Buyback	Member Self-Service	Member	As a Member, I want to know status of my buyback, So that I can plan and understand my benefit. I will be satisfied when: • I can view the status of the buyback online. • I am notified that my installments are coming to an end. • I receive confirmation of buyback completion. • I can see the bought back service in conjunction with my regular service credit, as applicable.		2				
3.16	Buybacks	Processing Buyback	Forms, Letters, and Reports	Retirement Specialist	As a Retirement Specialist, I want a report detailing "in progress" buybacks, So that I can reconcile the data and money and communicate with members as needed. I will be satisfied when: • The PAS generates a report that encompasses the data I need from buybacks and active payroll including: o When a member will end their deductions for their buyback(s). o The type of buyback a member has, including the CDH code. o The outstanding balance of the buyback o The breakdown of the amount such as principal and interest, tier, & membership fund. o Other data elements defined by ICERS		2				
3.17	Buybacks	Processing Buyback	Workflow/Case Management	Accounting Technician	As an Accounting Technician, I want to be notified of received lump-sums, So that I can properly deposit them and apply them to the correct fund. I will be satisfied when: • I receive a task/workflow notifying me of a received payment. • The task/workflow comes with back-up documentation, so I don't need to research. • I can easily identify the member, type of buyback (CDH codes), and fund bucket the payment belongs to.		2				
3.18	Buybacks	Processing Buyback	QDRO Refund/Redeposit	Retirement Specialist	As a Retirement Specialist, I want to know if a non-member spouse elects a refund after a QDRO, So I can alert the member regarding their option to purchase accumulated contributions and interest. I will be satisfied when: • The system triggers a workflow when non-member spouse refund documentation is received. • I can determine if any action is required and create/initiate a task (within the workflow) if needed. • I can alert the member about their option to redeposit accumulated contributions and interest and receive that credit/service back. • The system calculates the cost of the service purchase. • I can communicate the cost back to the member. • The system tracks the 5-year timing and triggers follow-up tasks, so I can inform the member how much time remains to take advantage of the purchase.	Business Rule: • If the non-member ex-spouse withdraws his/her accumulated contributions, the member will have the option of purchasing that service credit with ICERS. The election shall be made within five years of receipt of notice to redeposit the contributions.	2				

3.19	Buybacks	Processing Buyback	Buyback Payment	Retirement Specialist	As a Retirement Specialist, I want to be able to apply a lump-sum payment to the member's in-progress installment, So that they can pay down their owed money faster. I will be satisfied when: • I can add a lump-sum payment to an in-progress installment at any time while the installment is active. • I can record the receipt of the lump-sum and provide an updated balance to the member. • I can verify the correct service was applied, if applicable. • The member can see the updated payment and pay-off date on their portal.		2				
3.20	Buybacks	Processing Buyback	Buyback Payment	Retirement Specialist	As a Retirement Specialist, I want to effectively manage missed installment payments, so that members can be accurately billed. I will be satisfied when the system: • Automatically recognizes missed installment payment. • Flags these missed payments for initial administrative review, o If repeating missed payments, ICERS can opt not to flag future missed payments. • Automatically extends the last payment date for a member who has missed installment payments. • Accounts for additional accrued interest due to missed payments.		2				
4.01	Reciprocity	Incoming and Outgoing Reciprocity	Correspondence	Member	As a Member, I want to easily submit the Reciprocity Request form to ICERS, So that I can establish reciprocity. I'll be satisfied when I can: • Submit a reciprocity request form online. • Securely message a retirement specialist on reciprocity issues. • Be notified that my request was received. • Be notified that my request was either denied/approved.		2				
4.02	Reciprocity	Incoming and Outgoing Reciprocity	Correspondence	Retirement Specialist	As a Retirement Specialist, I want to send an intersystem membership advice (ISMA) to reciprocal systems, So that I can establish reciprocity for an ICERS member. I'll be satisfied when: • The system generates an ISMA when a Reciprocity workflow is initiated. • The Reciprocity workflow tracks the status of the ISMA sent to the reciprocal agencies. • I can establish a timeline in the system for follow up on reciprocity requests with reciprocal agencies. • The workflow generates reminders to me and communications to reciprocal agencies for reciprocity request based on an established timeline. • I can communicate the results of the ISMA request to the member via their preferred method of communication.		2				
4.03	Reciprocity	Incoming and Outgoing Reciprocity	Correspondence	Reciprocal Agency	As a Reciprocal Agency, I want to easily communicate member's reciprocal eligibility to ICERS, So that I can establish reciprocity for my member in a timely manner. I'll be satisfied when I can: • Identify a member's eligibility online (like CalPERS's Reciprocal Portal). • Upload or securely send an ISMA to ICERS. • Clarify member's information with ICERS' staff.		2				

4.04	Reciprocity	Incoming and Outgoing Reciprocity	Reciprocity	Retirement Specialist	As a Retirement Specialist, I want the system to account for reciprocity, So that the system shows accurate service under the member's account. I'll be satisfied when the PAS: • Records confirmation that the member is eligible for reciprocity. • Maintains a record of the member's Service and FAC documented by the reciprocal agency. • Can establish a member's reciprocity with multiple reciprocal agencies. • Initiates or continues a reciprocity workflow when documents or other information is received from reciprocal agencies. • Identifies the status of the reciprocity (such as pending, completed, rejected, etc.). • Generates communication to members when reciprocity is established or denied.		2				
4.05	Reciprocity	Incoming and Outgoing Reciprocity	Validation	Retirement Specialist	As a Retirement Specialist, I want the system to validate the member's reciprocity information, So that the process is automated. I will be satisfied when the system can: • Verify the member's age for establishing a legacy member's contribution rate. • Modify the entry age and corresponding rate, if applicable. • Verify the FAC. • Verify eligibility criteria.	Business Rules: • As defined by PEPRA's §7522.32 and by the 37Act's §31833, the age at time of entrance into the system – for someone who enters within 90 days [or six months if §31840.4 applies] of rendering their service at different retirement system – shall be their age at entry into the first [prior] system. • ICERS members may be eligible for reciprocity, which permits moving from one public employer to another in a full-time position [within 180 days]. o At retirement, the benefit will be based on the highest FAC earned in any linked reciprocal retirement system.	2				
4.06	Reciprocity	Incoming and Outgoing Reciprocity	Reciprocity	Retirement Specialist	As a Retirement Specialist, I want to identify and correct overlapping service periods, So the member's service is not overstated. I will be satisfied when I can: • Verify the employment timeline from the previous reciprocal agency(ies). • Verify the membership date from the current reciprocal agency. • Verify that any existing overlapping service has been corrected. • Correct any overlapping service.	Business Rule: • Overlap of Service between Reciprocal Agency falls within an allowable amount of 12 weeks.	2				
4.07	Reciprocity	Incoming and Outgoing Reciprocity	Correspondence	Retirement Specialist	As a Retirement Specialist, I want to generate the reciprocity confirmation letter automatically through the system, So that I don't have to generate the correspondence manually. I will be satisfied when: • The system generates the confirmation letter automatically after completion of the reciprocity process. • The system stores the confirmation letter in the imaging repository and send communication to the member based on the member's preferred communication method.		2				

4.08	Reciprocity	Incoming and Outgoing Reciprocity	Workflow	Retirement Specialist	As a Retirement Specialist, I want to be able to view all "in-flight" reciprocity cases, So that I can track, and follow-up as needed. I will be satisfied when: • The system provides a reciprocity workflow. • The system launches and assigns a reciprocity workflow or re-launches a suspended reciprocity workflow upon receipt of an Intersystem Membership Advice (ISMA) Form. • The system provides the capability of flagging an active member's account as having established reciprocity with one or more prior reciprocal systems. • The system provides a report of all outstanding reciprocity requests that have not yet been established, denied, or replied to based on a timeline established in the system.		2				
4.09	Reciprocity	Retirement with Reciprocity	Benefit Calculation	Retirement Specialist	As a Retirement Specialist, I want the system to recognize that the member has established reciprocity during the retirement process. So that I can verify that the benefit calculation includes the correct information. I will be satisfied when: • The tier is correct based on the member's entry date if modified by reciprocity. • The reciprocal system(s) service is properly accounted for. • I can view reciprocal service and total service in the member's record. • The final average compensation for the reciprocal agency is present.		2				
4.10	Reciprocity	Retirement with Reciprocity	Final Average Compensation	Retirement Specialist	As a Retirement Specialist, I want the system to account for reciprocal final average compensation (FAC), So that the system can locate the highest FAC for member's retirement benefit without manual intervention. I will be satisfied when: • The system maintains reciprocal FAC confirmed by the reciprocal agency. • The system utilizes either ICERS' calculated FAC or the reciprocal system's FAC as the highest FAC to be used in calculating a member's benefit. • The system notifies me if member has an established reciprocity without a reciprocal FAC on file.		2				
5.01	Employment Separation		Workflow/Case Management	Retirement Specialist	As a Retirement Specialist, I want the new PAS to generate separation correspondence, So that ICERS can communicate the options a member has regarding their separation. I will be satisfied when: • The system initiates an employment information change workflow when a PS2 form is received and scanned or uploaded into the imaging repository. • I can receive a notification when the system receives a separation personnel change form. • The system generates the termination package. • The system auto-fills known member information. • I can review the termination package prior to sending. • I can send the termination package to member, per their preferred method of communication.		2				

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5.02	Employment Separation		Deferred	Member	As a Member separating from employment, I want to know my post-employment options, So that I can decide my next steps. I will be satisfied when I can: • Read about my benefit online. • Access my membership information through a portal. • Request retirement, disability, or reciprocal information through the member portal. • Notify ICERS of my decision for my sick leave hours, if applicable. • Schedule a counseling session with an ICERS' Retirement Specialist in the member portal. • Securely complete my disposition form on the member portal. • Be notified of issues prior to submitting the disposition form back to ICERS.	Business Rules: • Vested member can defer their retirement until age eligible. • Vested deferred members with 10+ years of continuous service have the option to either cash out 15% of their accumulated sick leave hours OR apply their remaining sick leave hours towards their service. • Non-vested deferred members can: o Elect to terminate membership and withdraw their retirement contributions and interest. o Leave their contributions and interest with ICERS. • Non-vested deferred members are eligible to retire if they: o Reach the age of 72 regardless of service credit. o Re-enter membership and earn enough service to be vested. o Establish reciprocity (see reciprocity document) and earn enough service to be vested. o Purchase eligible service credit to become vested.	2				
5.03	Employment Separation		Workflow	ICERS Staff	As an ICERS Staff Member, I want to receive returned Disposition forms from the member, So that I can take the appropriate action on their election. I will be satisfied when the PAS: • Resumes the appropriate workflow based on their election. • Reviews the member's account to see if there are any holds/restrictions (such as pending DRO).		2				
5.05	Employment Separation		Deferred Member	Deferred Member	As a Deferred Member, I want to leave my contributions in the retirement fund, So that my contributions can accumulate interest and count towards future retirement benefits. I will be satisfied when: • There's a clear option presented for me to leave or withdraw my contributions upon termination of employment. • My retained contributions continue to earn interest.		2				
5.06	Employment Separation		ICERS Employer Transfer	ICERS Staff	As a ICERS Staff Member, I want the system to notify me when a separated member immediately starts employment with another ICERS employer, So that I can verify the member's account. I will be satisfied when: • I can review member's new employment information. • I can verify member's new contributions. • I can notify employer of member's correct contribution rate. • The system notifies me if the member is eligible for a sick leave cash-out. • I can initiate a return/recovery workflow, if applicable.		2				

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5.07	Employment Separation		Active Payroll	ICERS Staff	As a ICERS Staff Member, I want the system to recognize elected job positions, So that I can be notified if a member changes job positions. I will be satisfied when: • The system initiates a workflow to notify me of this change. • I can generate a Declaration of Membership form with member's information.	Business Rules: • Elected officials have the option to opt-out of ICERS membership.	2					
6.01	Benefit Estimate & Counseling	Benefit Estimate	Member Self-Service/Estimate	Member	As a Member, I want access to an online tool to be able to calculate my own retirement estimate, So that I can get a retirement estimate without waiting for ICERS to generate one. I will be satisfied when: • I have access to a retirement estimate tool via a Member portal. • The retirement estimate tool pre-populates with relevant data from my Member record. • The retirement estimate tool calculates my earliest retirement date. • I can adjust my future retirement date. • I can edit my calculated final average compensation. • I can input a separation date (last day of employment) that's different from my retirement date. • I can add service from possible service purchases or reciprocal service. • I can add, remove, or modify beneficiary/survivor information in the tool without impact to my Member record. • The system validates the information I put into the calculator. • I can view different benefit options available to me.		2					
6.02	Benefit Estimate & Counseling	Benefit Estimate	Estimates	Retirement Specialist	As a Retirement Specialist, I want to be able to calculate a member's future retirement, So that I can provide them an estimate of what they could receive. I will be satisfied when: • I can initiate a workflow in the system for the benefit estimate. • The system calculates the member's earliest retirement date. • I can adjust the retirement date. • I can adjust the separation date. • I can add in accruals, such as sick leave. • I can override the final average compensation. • The system accounts for reciprocity, including service for eligibility and FAC. • I can calculate multiple estimates with different factors. • The system can calculate estimates based on retirement type, such as service retirement, service-connected disability, and non-service-connected disability. • I can input the approved COLA percentage for member's estimate. • The system maintains a history of estimates generated for a member.	Business Rule: • Members who retire before April 1st will receive a COLA percentage.	2					
6.03	Benefit Estimate & Counseling	Benefit Estimate	Estimates/DRO Split	Retirement Specialist	As a Retirement Specialist, I want to provide an estimate to a non-member ex-spouse after the DRO split, So that they're aware of the benefit they may receive. I will be satisfied when: • I can calculate a benefit estimate based on member's current factors and eligibility. • I can input the non-member ex-spouse's information.		2					

6.04	Benefit Estimate & Counseling	Benefit Estimate	Correspondence	Retirement Specialist	As a Retirement Specialist, I want to be able to provide the calculated estimate to the member, So that they have a copy of their estimated future benefit for reference. I will be satisfied when: • The system generates a benefit estimate document populated with the data from the estimate including the input parameters, calculation results, and the member's information. • I can securely send the benefit estimate document to the member per their preferred communication method, including posting on the member portal, email, or US mail. • The system stores the benefit estimate document in the imaging repository indexed to the member's account.		2				
6.05	Benefit Estimate & Counseling	Counseling	Member Self-Service	Member	As a Member, I want to be able to schedule a meeting with a Retirement Specialist, So that I can review my benefit option with them. I will be satisfied when I can: • Schedule a time to meet with a retirement specialist on the Member portal or by phone. • Choose to have the appointment virtually or in-person. • Reschedule or cancel my scheduled appointment on the Member portal or by phone. • Communicate about the appointment with ICERS via the Member portal.		2				
6.06	Benefit Estimate & Counseling	Counseling	Member Data	Retirement Specialist	As a Retirement Specialist, I want to have information on the member I am meeting with, So that I am better prepare for our counseling appointment. I will be satisfied when: • I am notified of a scheduled appointment with a member. • A reminder for an upcoming appointment is sent to me. • The appointment is placed in my to-do module or linked to my Outlook. • I can easily view member's account information. • I can see what was sent to the member (i.e., service purchase contract, retirement estimate, tax communication, etc.). • The member provides me questions they may already have prior to the meeting.		2				
6.07	Benefit Estimate & Counseling	Counseling	Member self-service/Correspondence	Retirement Specialist	As a Retirement Specialist, I want to generate communications for counseling, So that I can send the member follow-up or other documentation detailing their counseling appointment. I will be satisfied when: • I can send a courtesy follow-up message the member via the member portal. • I can send files or messages to the member via the member portal. • The system notifies me when the member posts questions or follow-up on the member portal. • I can view member questions or follow-up posted on the member portal in the PAS.		2				

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7.01	Benefit Calculation & Processing	Withdrawal	Withdrawal	Terminating Member	As a Terminating Member, I want to easily withdraw my accumulated contributions after leaving service, So that I can claim the funds I've contributed. I will be satisfied when: • I can submit the required documentation for a contribution refund. • I am informed about the one-time withdrawal charge (up to $25.00). • I know the refund processing time.	Business Rule: •Members terminating service are permitted to withdraw accumulated contributions and interest. •A withdrawal charge, up to a maximum of $25.00 will be subtracted from the withdrawn contributions. •Refunds are processed on the last working day of the month after the termination month. •Terminating employees must submit the requisite documentation to facilitate a refund of contributions.	2				
7.02	Benefit Calculation & Processing	Withdrawal	DRO Split - Withdrawal	Non-Member Ex-Spouse	As a Non-Member Ex-Spouse, I want to be able to withdraw my portion of the benefit, So that I can have immediately access to the funds. I will be satisfied when: • I can contact a Retirement Specialist to discuss my choices. • I can submit the required documentation for a contribution refund. • I am informed about the one-time withdrawal charge (up to $25.00). • I know the refund processing time.		2				
7.03	Benefit Calculation & Processing	Withdrawal	Correspondence – Buyback	Member	As a Member, I want to be notified when my non-member ex-spouse withdraws, So that I can repurchase my time. I will be satisfied when: • I am notified through my preferred communication method of the opportunity to repurchase the split time. • I can read about the benefit of redeposit. • I can complete the redeposit form online.		2				
7.04	Benefit Calculation & Processing	Withdrawal	Withdrawal	Retirement Specialist	As a Retirement Specialist, I want to set up a withdrawal benefit calculation, So that the member can receive their selected benefit. I will be satisfied when: • The PAS indicates what option the member chose from the disposition form. • The PAS breaks down what money sources are being distributed (pre/post tax, interest, etc.). • The PAS indicates what the tax withholdings are or defaults to the correct IRS withholding rate. • The PAS collects rollover details, if applicable. • I can see all payment details prior to finalizing. • I can modify payment details if needed.	Business Rules: • If a direct rollover is not selected by the member, ICERS will automatically apply the IRS's default withholding rate of 20% on distributions. • Members can choose to withhold more than the default 20% by completing a Form W-4R. • A withholding rate less than 20% is not permissible as per IRS guidelines.	2				

7.05	Benefit Calculation & Processing	Retirement	Member Self-Service - Retirement	Member	As a Member, I want to communicate to ICERS via a portal that I wish to retire, So ICERS can prepare my retirement benefit. I will be satisfied when I can: • See if I'm eligible for retirement or not. • Communicate my intent to request retirement on the portal. • The system populates my Member information. • Override any information I want when communicating my intent to retire. • Communicate spouse/partner information. • Indicate if: o I have an injury or illness and results in me wanting information about a disability retirement. o I'd like to purchase service. o I'm a member of a reciprocal retirement system. o I was married or in a registered domestic partnership during my ICERS Membership. o I am part of a DRO that is pending or has been completed. • I can send required documents (or communicate information) as part of the request for retirement application. • I can ask questions to ICERS through the portal.	Business Rule: • Required documents for retirement are: o Certified copy of Marriage License or Domestic Partnership Certification, if applicable o Birth Certificates (minor children only) o Social Security Cards (member & beneficiaries) o Direct Deposit Form o State & Federal Tax Form o Health Insurance Form o I.C.A.R.E. Membership Form o Death Benefit Form • A non-member ex-spouse's retirement date cannot be before they turn 50 and only when the member has the required service credit years by that date.	2				
7.06	Benefit Calculation & Processing	Retirement	Retirement - Eligibility	Retirement Specialist	As a Retirement Specialist, I want the system to validate member's retirement application request, So that it can confirm member's eligibility. I will be satisfied when the system: • Validates the member's request based on their requested retirement date. • Utilizes member's membership data within in the system. • Utilizes '37 Act and PEPRA eligibility rules. • Automatically generates ineligibility correspondence if member is not eligible based on their requested retirement date. o Offers the earliest retirement date for the member as an alternative.	Business Rules: • Members are eligible to retire if they meet one of the following criteria based on their membership and tier. TIER 1 & 2 (LEGACY TIERS) • GENERAL members (Govt. Code 31672): o 50+ years old with 10+ years of ICERS/reciprocal service (excluding public service credit) o 30+ years of ICERS/reciprocal service regardless of age o 72+ years old regardless of service • SAFETY members (Govt. Code 31663.25): o 50+ years old with 10+ years of ICERS/reciprocal service (excluding public service credit) o 20+ years of ICERS/reciprocal service regardless of age o 72+ years old regardless of service TIER 3 (PEPRA) • GENERAL members (Govt. Code 7522.20(a)): o 52+ years old with 5+ years of ICERS/reciprocal service (excluding public service credit) o 72+ years old regardless of service • SAFETY members (Govt. Code 7522.25(D)): o 50+ years old with 5+ years of ICERS/reciprocal service (excluding public	2				
7.07	Benefit Calculation & Processing	Retirement	Workflow/Case Management	Retirement Specialist	As a Retirement Specialist, I want to review an eligible member's retirement application request, So that I can prepare their retirement benefit. I will be satisfied when: • I am assigned a workflow when a member requests to retire. • I can review additional request/questions from member. • I can review any attached documents from member. • I can communicate to the member regarding questions or any missing documents.		2				

7.08	Benefit Calculation & Processing	Retirement	Member Data	Retirement Specialist	As a Retirement Specialist, I want to review a member's record within the system, So that I can prepare their retirement benefits. I will be satisfied when: • I have confidence that the member's data is accurate. • I can access and review a member's record online. • The system checks to see if a DRO or any other administrative hold is on file. • All member information required for processing a retirement is accessible from the retirement workflow.		2				
7.09	Benefit Calculation & Processing	Retirement	Calculation - Retirement	Retirement Specialist	As a Retirement Specialist, I want the system to calculate member's retirement benefit based on their requested retirement date and the data within the system, So that I can prepare the member's retirement packet. I will be satisfied when: • The system calculates member's benefit options based on their member data and requested retirement date. • I can verify the calculation parameters, factors, and results.	Business Rules: • Age – member's age factor on retirement date, factor is determined by member's tier and age. ICERS will provide the age factor charts during design. • Service – years of member's credited service within ICERS (reciprocal service not included) • Final Average Compensation (FAC) o Tier 1 & 2 – highest one year within a member's career. o Tier 3 – highest three years within a member's career. o Reciprocal system's FAC, if applicable. o Benefit calculation cannot be more than 100% of the FAC.	2				
7.10	Benefit Calculation & Processing	Retirement	Correspondence – retirement packet	Retirement Specialist	As a Retirement Specialist, I want to prepare a retirement packet for the member, So that the member can prepare for their retirement. I will be satisfied when: • The system generates a retirement packet including benefit options, payment method, and tax withholding. • I can review all calculations and correspondence prior to it being sent to the member and make necessary adjustments where appropriate. • I can send the retirement packet to member.		2				
7.11	Benefit Calculation & Processing	Retirement	Correspondence	Member	As a Member, I want to submit retirement-related information/details that are typically found in the retirement packet, So that I can commence my retirement benefits. I will be satisfied when: • I am notified when I receive an item/message from ICERS. • I can submit retirement forms and/or information back to ICERS through the Member portal, by mail or secure email. • I am notified via my preferred communication method of any items/forms that are missing.	Business Rule: • Member can only submit their retirement application within 60 days prior to their retirement date. • Member must complete the following before a new retirement benefit can be processed: o Benefit option selection o Sick leave memo (if applicable) o I.C.A.R.E. application o Direct Deposit Authorization form o Federal & California State Tax Withholding (if applicable) o Health Insurance form o Death Benefit form o Signature • ICERS does not withhold state taxes for other states.	2				

7.12	Benefit Calculation & Processing	Retirement	Workflow/Case Management	Retirement Specialist	As a Retirement Specialist, I want to know when the member returns their retirement forms (or information), So that I can ensure they are ready to commence retirement benefits. I will be satisfied when: • I am notified when a member returns their retirement forms/information. • The system automatically generates a task or continues a workflow after retirement forms/information are received via the member portal or when scanned into the imaging repository. • I can review all items sent by member from the workflow tasks. • The system determines if any validation issues exist and flags accordingly. • The system generates necessary correspondence to be sent to member.	Business Rules: • The member's employment separation effective date and retirement date cannot be concurrent; the retirement date can be no sooner than the day following the employment separation date. • Retirement applications cannot be backdated.	2				
7.13	Benefit Calculation & Processing	Retirement	Retirement Benefit Option	Retirement Specialist	As a Retirement Specialist, I want to accurately calculate member's benefit, So that the member will receive the correct calculated benefit payment. I will be satisfied when: • The system calculates member's benefit based on member data. • The benefit amount is correctly reflected in retiree payroll. • The benefit amount is correctly reflected in member's portal account.	Business Rules: • For the unmodified option, no reduction factors are applied, and a specific continuance is provided to eligible beneficiaries. • For option 1, actuarial reduction factors are applied to the unmodified benefit with the aim of preserving the member's original contributions for a longer period. • For option 2, reduction factors are applied to the unmodified benefit. These factors are influenced by the beneficiary's age at the time of the member's retirement. • For option 3, reduction factors are applied to the unmodified benefit. These factors are determined by the beneficiary's age at the time of the member's retirement. • For option 4, actuarial reduction factors are applied to the unmodified benefit.	2				
7.14	Benefit Calculation & Processing	Retirement	Retirement - Cancellation	Member	As a Member, I want to be able to cancel my retirement application, So that I can continue my employment. I will be satisfied when: • I can easily submit a written notification to cancel my retirement. • I notified whether the request was accepted or denied.	Business Rules: • Members must submit a written notification to cancel their retirement to ICERS. • The written cancellation notification must be received no later than 5:00 p.m. on the effective date of retirement as stated on the member's application.	2				
7.15	Benefit Calculation & Processing	Retirement	Recalculation	Retirement Specialist	As a Retirement Specialist, I want to be able to recalculate a member's pension benefit, So that it can account for adjustments received from active payroll and/or changes from reciprocal systems. I will be satisfied when: • I am notified through workflow that a recalculation is needed. • I can view all the backup documentation or triggers that caused the recalculation from within the workflow. • The system recalculates the member's future benefit and any retro amount that may be owed to them.		2				

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7.16	Benefit Calculation & Processing	Retirement	415(b) Limit - IRC Compliance	Member	As a Member, I want assurance that my retirement benefits are not reduced due to IRC 415(b) limitations, So that I receive the full benefit I've earned. I will be satisfied when: • I receive information about the IRC 415(b) limits. • I'm informed about the Excess Benefit Plan when affected by the IRC 415(b) limitation. • I receive the difference between my ICERS earned benefit and the 415(b) maximum via the Excess Benefit Plan.		2				
7.17	Benefit Calculation & Processing	Retirement	415(b) Limit - IRC Compliance	ICERS Staff	As an ICERS Staff Member, I want to be aware of the periodic adjustments to the 415(b) dollar limit, So that ICERS can make changes to the 415(b) limit within the system. I will be satisfied when: • I can update the 415(b) dollar limit within the system. • The system retains historical 415(b) dollar limits.		2				
7.18	Benefit Calculation & Processing	Retirement	415(b) Limit - IRC Compliance	ICERS Staff	As an ICERS Staff Member, I want the system to alert me when the IRS 415(b) limits are close to being reached, based on an 85% threshold reasonableness test against the IRS index for General members, So that we can ensure compliance and take timely action for affected retirees. I will be satisfied when: • The system automatically monitors each General member's contribution levels in relation to the IRS 415(b) limits. • The system provides real-time alerts once contributions reach 85% of the IRS indexed 415(b) limits. • The system initiates a process to identify retirees potentially affected by the updated 415 limits. • The system recalculates the excess benefit automatically upon updating the 415 limits. • The system stores individual limits and cumulative YTD 415(b) benefit payout amounts in their accounts.		1				
7.19	Benefit Calculation & Processing	Retirement	Required Minimum Distribution (RMD)	ICERS Staff	As an ICERS Staff Member, I want to process RMDs for members who are eligibility, So that distributions are made according to the plan's formula and in compliance with IRC regulations. I will be satisfied when: • The system calculates required minimum distribution (RMD) based on the participant's life, the joint lives of the participant and beneficiary, or a period certain as prescribed. • I can notify member of the upcoming periodic annuity payments. • Upon approval, the system automatically initiates periodic annuity payments to fulfill RMD obligations.	Business Rule: • See Treasury Regulation §1.401(a)(9)-6, A-3 in the calculation and distribution of RMDs. • Retirement plan account owners generally must withdraw annually starting with the year they reach age 72. o Or, age 73 before January 1, 2033. o Or, age 74 after December 31. 2032, the applicable age is 75.	2				

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7.20	Benefit Calculation & Processing	Disability	Benefit Calculation - Disability	Retirement Specialist	As a Retirement Specialist, I want to be able to process a deferred member's retirement benefit when the disability is granted by a reciprocal plan, So that the member can collect the disability benefit from the other plan. I'll be satisfied when: • I can determine the maximum benefit using the highest FAC from either plan for an ICERS benefit. • I can determine the maximum benefit using the highest FAC from either plan for the reciprocal plan. • I can compare the results of the above two and establish the maximum benefit based on the highest amount. • I can calculate the higher full disability retirement benefit attributable to service rendered at ICERS using either the disability retirement allowance (SCD 50% of FAC) or a service retirement allowance, whichever is greater.	Business Rule: • If the combined service and highest reciprocal final average compensation (FAC) benefit calculation surpasses disability percentages, use the larger service-based amount. (Govt. Section Codes 31727.4. 31727.7, 31837, and 31838) • Per section 31838.5, the sum of the member's disability retirement allowance and any reciprocal system award should not exceed the combined reciprocal disability benefit cap. • When ICERS is not the last plan: o Pay a disability retirement allowance based on ICERS service, adhering to the cap. 31838.52. o Pay service annuity based on the actuarial equivalent of contributions when retiring due to disability. 318373. o Allow service retirement based on age, service, and tier eligibility on a distinct date, disregarding benefits potentially available through reciprocity, and adjust for any necessary higher contribution. 31837. o Permit withdrawal of the member's accumulated contributions plus interest from the initial plan following retirement from the secondary plan.	2				
7.21	Benefit Calculation & Processing	Disability	Service-Connected Disability Retirement (SCDR)	Retirement Specialist	As a Retirement Specialist, I want to calculate service-connected disability retirement benefits accurately, So that eligible members receive the correct monthly benefit. I will be satisfied when: • The system calculates the monthly benefit based on the disability formula and a service retirement benefit. • The system utilizes the higher of the disability or service retirement benefit calculated.	Business Rules: SCDR: • A member must be permanently incapacitated, either physically or mentally, to be eligible for disability retirement benefits. • The permanent incapacity must prevent the member from performing their usual job duties. • The permanent incapacity must be the result of a job-related injury, illness, or disease. • The monthly benefit is equal to 50% of member's highest monthly average compensation earnable or their service retirement benefit, whichever is greater.	2				
7.22	Benefit Calculation & Processing	Disability	Non-Service-Connected Disability Retirement (NSCDR)	Retirement Specialist	As a Retirement Specialist, I want the system to calculate non-service-connected disability retirement benefits, So that eligible members with at least five years of retirement service credit receive the correct monthly benefit. I will be satisfied when: • The system calculates the monthly benefit based on the disability formula and a service retirement benefit. • The system utilizes the higher of the disability or service retirement benefit calculated. • The system verifies that the member has a minimum of five years of retirement service credit.	Business Rule: NSCDR: • Member must be permanently incapacitated. • Member must have a minimum of five years of retirement service credit. • The monthly benefit is based on a disability formula or a service retirement benefit, whichever is greater.	2				
7.23	Benefit Calculation & Processing	Disability	Service Retirement Pending Disability	Member	As a Member awaiting a disability case decision, I want to opt for service retirement in the interim, So that I can maintain financial stability while waiting for the Board's verdict. I will be satisfied when: • I am given information for the option to receive a service retirement benefit pending approval of my disability application. • The service retirement process does not change because I have a pending disability retirement.		2				

7.24	Benefit Calculation & Processing	Disability	Service Retirement Pending Disability	Retirement Specialist	As a Retirement Specialist, I want to be able to process a service retirement for a member awaiting a disability case decision, So that the member can receive benefit payments while they wait. I will be satisfied when: • The system allows me to process a service retirement for a member with a pending disability. • The system transitions the service retirement to disability retirement benefits, if approved, without any loss of benefits during the interim period. • The 1099-R is updated to reflect the new distribution code.		2				
7.25	Benefit Calculation & Processing	Disability	Service Retirement Pending Disability	Retirement Specialist	As a Retirement Specialist, I want to be able to update a member's service retirement to disability retirement after board approval, So that the member can receive correct benefit payments. I will be satisfied when: • I can verify member's retirement date. • I can update member's retirement date based on what was board approved. • The system recalculates member's retirement and incorporates disability benefits and what was owed.		2				
7.25	Benefit Calculation & Processing	Return to Work Retiree (2nd Pension)	Enrollment - Return to Work Retiree	Retired Member	As a Retired Member, I would like to notify ICERS of my return to full-time employment with an ICERS-sponsored employer, So that ICERS can suspend my pension and correctly enroll me. I will be satisfied when: • I can contact ICERS to notify them of my start date with the employer. • ICERS provides me with my estimated final pension payment and the stop date. • I can read more about returning to work full-time versus being an extra help retiree.	Business Rules: • The individual will earn service credit for a second period of ICERS membership, likely under a new tier, based on the following conditions: o If the individual retired as a Tier 1 or 2 member and returned to work within six months or with the same ICERS employer, they will return as a Tier 2 member. o If the individual retired as a Tier 1 or 2 member and returned to work with a different ICERS employer more than six months after retirement, they will remain a legacy member. • A service retired member can work up to 960 hours with an ICERS' employer and keep their pension payment active.	2				
7.26	Benefit Calculation & Processing	Return to Work Retiree (2nd Pension)	Return to Work Retiree	Retirement Specialist	As a Retirement Specialist, I want to be able to update the status of a service-retired member when they are re-employed full-time, So that their pension gets correctly suspended and resumed based on their employment status and hours worked. I will be satisfied when the system: • Detects a re-employed retired member and changes their status to an active ICERS member from their re-employment date. • Suspends the pension of the re-employed retired member from their re-employment date. • Resumes member's pension upon their subsequent employment termination. • Updates member's overall pension benefit based on their missed COLAs when their benefit resumes.	Business Rules: • A service retired member who is re-employed becomes an active ICERS member upon their re-employment date. • The member's pension will be suspended starting from the re-employment date. • The pension will resume upon the member's subsequent employment termination. • COLAs granted during the reemployment period will be applied to the member's benefit when employment ends and benefit payments resume.	2				

7.27	Benefit Calculation & Processing	Return to Work Retiree (2nd Pension)	Return to Work Retiree 2nd Pension	Return-to-Work Retiree	As a Return-to-Work Retiree, I would like to easily retire from my 2nd employment, So that I can earn a 2nd retirement and resume my 1st retirement benefit payments. I will be satisfied when: • My 2nd retirement process is the same as the 1st retirement process. • I am notified of when my 1st retirement benefit payment will resume.		2				
7.28	Benefit Calculation & Processing	Return to Work Retiree (2nd Pension)	Return to Work Retiree 2nd Pension	Retirement Specialist	As a Retirement Specialist, I want to process a member's 2nd retirement, So that they can receive their benefits. I will be satisfied when: • System determines eligibility based on the age requirements for the tier held during their 2nd period of membership. • System automatically resume 1st retirement benefit payment within the next payment cycle after member's 2nd separation date.	Business Rules: • Upon retiring a second time from their full-time job, ICERS will resume the member's initial pension payments. • The member will also be eligible to receive a 2nd pension, subject to meeting the age requirements for the tier they held during their 2nd period of membership.	2				
7.29	Benefit Calculation & Processing	Deductions	Health Insurance	Retirement Specialist	As a Retirement Specialist, I want to be able to add the correct deductions, So that I can correctly account for a member's health premium. I will be satisfied when I can: • Input deductions provided by the Employer (health) or PGA (supplemental, dental, life…etc.). • Upload a change file to update multiple members' deductions after open enrollment or any time following. • Pull a report of all the additions/changes/deletions made [to provide to 3rd party vendors].		2				
7.30	Benefit Calculation & Processing	Deductions	Adjustments	Retirement Specialist	As a Retirement Specialist, I want the ability to create a one-time deduction from a member's pension payment, So that ICERS can collect what was owed. I will be satisfied when: • The system notifies me from the active payroll process of adjustments related to retired members. • I can add a deduction to retirees' pension payment. • I can add a note or link the deduction referencing the active payroll adjustment.		2				
7.31	Benefit Calculation & Processing	Deductions	Court ordered deductions	Retirement Specialist	As a Retirement Specialist, I want the system to have the ability to process court-ordered deductions from retirees' pension payments, So that ICERS can comply with legal obligations. I will be satisfied when: • I can apply court-ordered deductions (i.e., child support, tax levy, garnishments…etc.) to a retiree's pension benefit payments. • I can update an existing court-ordered deductions specifying the deduction amount. • The system maintains a record of all court-ordered deductions for auditing and compliance purposes.		2				

7.32	Benefit Calculation & Processing	Deductions	I.C.A.R.E.	Retirement Specialist	As a Retirement Specialist, I want the system to automatically apply the annual I.C.A.R.E. deduction to retired members' pension payments every February, So that we can efficiently manage annual financial adjustments. I will be satisfied when the system: • Automatically deducts a specified amount from retired members' pension payments every February. • Allows staff to update the annual deduction amount as needed.		2					
7.33	Benefit Calculation & Processing	Deductions	Tax Withholding	Retirement Specialist	As a Retirement Specialist, I want to apply default tax withholding rates based on IRS and state regulations when a member does not submit a tax withholding form, So that ICERS remains compliant with tax laws. I will be satisfied when the system: • Applies federal and state default tax withholding rates for members who have not submitted a tax withholding form. • Allows ICERS administrators to update default tax withholding rates as needed to stay compliant with changing regulations.		2					
7.34	Benefit Calculation & Processing	Deductions	Payment Setup	ICERS Staff	As an ICERS Staff Member, I want the system to store, track, and process one-time and recurring payroll information, So that payees can be paid. I will be satisfied when: • I can enter new or modify existing payment instructions. • The system processes different types of payments for different fund sources following ICERS procedures (e.g., one-time vs recurring, cash vs rollovers, disability vs retirement pensions). • The system calculates and processes taxes, deductions, dues, etc.	Business Rules: • Members/payees may elect to have the following deducted from their monthly retirement benefit (but not limited): o Income taxes o Retiree health, dental and/or vision insurance premiums o I.C.A.R.E. dues	2					
7.35	Benefit Calculation & Processing	Deductions	Payment Processing	ICERS Staff	As an ICERS Staff Member, I want to adjust payments as needed, So benefit payments are accurate. I'll be satisfied when: • Adjustments can have an effective/start and end date, as applicable. • The benefit payment amount will revert to the original benefit amount automatically based on the end date if the end date is attached to an adjustment. • Adjustments can be recorded, tracked, and included in the payee's payment history within the PAS and the member self-service portal. • Negative (overpayment) benefit adjustments can be processed by the system. • Benefit payments can be separately adjusted for current and futures payments. • Proper tax withholdings can be computed based on applicable tax tables.		1					

7.36	Benefit Calculation & Processing	Deductions	Deductions	ICERS Staff	As an ICERS Staff Member, I want to process deductions to a payee's benefit, So deductions are applied to the benefit. I'll be satisfied when: • An unlimited number of voluntary and/or mandatory tax deductions can be made to the payee's gross benefit. • The amount of each deduction applied to a payee's benefit can be tracked and stopped when a specified limit has been reached (e.g., overpayment, recovery). • Deductions can be processed as set dollar amounts or percentages. • I can create future effective dated deductions. • The system executes validations to make sure I am not creating a zero dollar, or net negative, benefit. • I can remove the deductions if a pension is not sufficient to cover the deductions. • I can remove duplicate deductions if a retiree has multiple disbursements (e.g., regular pension and one-time retroactive payments for retiree and beneficiary). • I can manually update the deduction amounts or recovery remaining balances as needed. • I can enter notes on the member's account for reference and auditing purposes.		2				
7.37	Benefit Calculation & Processing	Deductions	Payee Data	ICERS Staff	As an ICERS Staff Member, I want to view all the deductions on a retiree's account, So I can confirm if any changes are needed. I will be satisfied when: • I can view all the deductions that are set up for a payment, including: o Deduction type and third-party payee o Deduction start/end date(s) o Deduction amount o Frequency (e.g., recurring, or one-time) o Additional field settings required for withholding tax (e.g., filing status, exemptions, etc.) o Recovery remaining balance o Payment method (e.g., bank name, routing number, etc.) • I can print the retiree's payment detail for auditing purposes.		2				
7.38	Benefit Calculation & Processing	Deductions	Payee Data	ICERS Staff	As an ICERS Staff Member, I want to maintain current addresses for payees, So that benefit payments can be delivered. I'll be satisfied when: • Payees can be flagged as "undeliverable" when there is a known invalid bank account or address on file. • Payments will not be generated for payee's flagged as "undeliverable". • Balances owed for undeliverable payees are maintained in the system. • Ad-hoc payments can be issued for the balance owed to undeliverable payees once a valid address is on file. • The member self-service portal prompts update to payment address if individual is in payment status and no active or valid address is on file. • The member self-service portal allows payees to modify their payment address. • The member self-service portal requires secondary multi-factor authentication for payees to update their payment address.	Business Rules: • ICERS will pay payee with valid direct deposit, however ICERS is unable to mail checks to payees with bad addresses.	2				
7.39	Benefit Calculation & Processing	General System Requirements	Benefit Calculation	System	The system must store and segregate both the ongoing monthly pension amount (employer-based) and annuity amount (employee-based) into their basic, COLA, and supplemental components, for both employee and employer contributions.		2				

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7.40	Benefit Calculation & Processing	General System Requirements	Benefit Calculation	System	The system must have the ability to calculate amounts owed/payable according to ICERS plan rules when a benefit already in pay is modified. The system will have the ability to allow ICERS users to identify payees where no change is required.		2					
7.41	Benefit Calculation & Processing	General System Requirements	Tax Withholding	System	The system must utilize federal tax withholding tables to automatically compute members' benefit tax, while permitting user selection for withholding via a flat amount, a percentage, or a combination thereof.		2					
7.42	Benefit Calculation & Processing	General System Requirements	Taxation	System	The system must have the ability to allow ICERS users to adjust the amount of tax withholding for the current payment and future payments separately.		2					
7.43	Benefit Calculation & Processing	General System Requirements	Recalculation	System	The system must have the ability to re-calculate a member's benefit (when key parameters for that benefit have changed) and maintain a history of calculations.		2					
7.44	Benefit Calculation & Processing	General System Requirements	Recalculation	System	The system must have the ability to retroactively select a retirement date and must retroactively calculate all benefits due from date of retirement.		2					
7.45	Benefit Calculation & Processing	General System Requirements	Retirement Calculation	System	The system must automatically calculate and issue an accurate first payment, considering prorated and/or retroactive amounts, based on retirement and payroll dates.		2					
7.46	Benefit Calculation & Processing	General System Requirements	Retirement Calculation	System	The system must automatically calculate and process the correct retroactive and adjusted amounts for resumed benefits, considering suspension and resumption payroll dates.		2					
7.47	Benefit Calculation & Processing	General System Requirements	Retirement Calculation	System	The system must automatically calculate, and process prorated final benefit payments, considering base and ongoing adjustments (including COLA), based on continual monthly benefit amounts.		2					
7.48	Benefit Calculation & Processing	General System Requirements	System Data	System	The system must be able to display a member's retirement application status (e.g., "pending," "processed," "on hold," etc.) when a member logs onto their portal.		2					
7.49	Benefit Calculation & Processing	General System Requirements	System Data	System	The system must be able to eliminate retirement options that are not applicable to the member.		2					
7.50	Benefit Calculation & Processing	General System Requirements	Person Data	System	The system must be able to track the use of "sick leave" data.		2					
7.51	Benefit Calculation & Processing	General System Requirements	Benefit Data	System	The system must maintain a record of all benefit amounts (original and modified) and their necessary effective dates.		2					
7.52	Benefit Calculation & Processing	General System Requirements	Active Payroll	System	The system must be able to verify that the final active payroll for a member has been processed is accurately based on the member's employment and termination date.		2					
7.53	Benefit Calculation & Processing	General System Requirements	Benefit Data	System	The system must automatically place new retirees or payees on payroll.		2					
7.54	Benefit Calculation & Processing	General System Requirements	Benefit Data	System	The system must automatically calculate the member's service for multiple tiers and types of service.		1					
7.55	Benefit Calculation & Processing	General System Requirements	Benefit Payments & Withdrawals	System	The system must allow the user to specify multiple types of deductions and amounts to be withheld or deducted from the new retiree's monthly benefit. This may include, but is not limited to, the following: • State tax withholding (for multiple states) • Federal tax withholding • Membership dues • Insurance under employer provided plan (health, dental, vision) • Voluntary deductions		2					
7.56	Benefit Calculation & Processing	General System Requirements	Benefit Payments & Withdrawals	System	The system must allow for input of the member's direct deposit banking information when establishing a new retiree benefit.		2					
7.57	Benefit Calculation & Processing	General System Requirements	Benefit Payments & Withdrawals	System	The system must allow a member to change their direct deposit banking information through the portal at any time subsequent to a new retiree benefit set-up.		2					

7.58	Benefit Calculation & Processing	General System Requirements	Benefit Payments & Withdrawals	System	The system must allow the splitting a retiree's gross monthly benefit, either by dollar amount or percentage, between the member and one or more non-member ex-spouse(s) in accordance with domestic relations order(s).		2				
7.59	Benefit Calculation & Processing	General System Requirements	Benefit Payments & Withdrawals	System	The system must allow for the establishment of a non-member ex-spouse who is to receive a dollar amount or percentage portion of the member's retiree benefit in accordance with a domestic relations order(s), or other purpose as defined.		2				
7.60	Benefit Calculation & Processing	General System Requirements	Benefit Payments & Withdrawals	System	The system must maintain a viewable and printable history (audit trail) for changes to a member's tax withholding elections, beneficiaries, membership, etc., that impact their monthly benefit amount.		2				
7.61	Benefit Calculation & Processing	General System Requirements	Benefit Payments & Withdrawals	System	The system must allow the user to change a non-member ex-spouse's direct deposit banking information at any time after a new retiree benefit set-up.		2				
7.62	Benefit Calculation & Processing	General System Requirements	Benefit Payments & Withdrawals	System	The system must allow the user to specify multiple types of deductions and amounts to be withheld or deducted from a non-member ex-spouse's monthly payment.		2				
7.63	Benefit Calculation & Processing	General System Requirements	Benefit Payments & Withdrawals	System	The system must allow for the inclusion of any retroactive payment amounts for a member in their retirement benefit payment.		2				
7.64	Benefit Calculation & Processing	General System Requirements	Benefit Payments & Withdrawals	System	The system must allow for the inclusion of a pro-rated monthly payment amount that may be due to the member in their first retirement benefit payment.		2				
7.65	Benefit Calculation & Processing	General System Requirements	Reserve Movement	System	The system must generate a reserve movement transaction when a new benefit is set up. This transaction will move all contribution amounts from the Active Reserve(s) to the Retired Reserve(s), and "zero out" the contribution and interest amounts in the member record. The member's record will continue to track the member's annuity amount as it is reduced over time.		2				
7.66	Benefit Calculation & Processing	General System Requirements	Reserve Movement	System	The system must queue up reserve movement transactions as a general ledger transaction batch for reporting.		2				
7.67	Benefit Calculation & Processing	General System Requirements	Maximum Compensation	System	The system must be capable of enforcing the maximum compensation limits on an annual basis.		2				
7.68	Benefit Calculation & Processing	General System Requirements	Maximum Compensation	System	The system must be capable of updating the maximum compensation benefit formulas.		2				
7.69	Benefit Calculation & Processing	General System Requirements	Taxability	System	The system must provide the ability to display and differentiate taxable and non-taxable portions of the final benefit annuity.		2				
7.70	Benefit Calculation & Processing	General System Requirements	Validations	System	The system must allow for an ICERS user to verify any service purchases that are in-process at the time of retirement.		2				

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8.01	Payroll	User Story Requirements	Payment Processing (EFT)	ICERS Staff	As an ICERS Staff Member, I want to disburse payments to payees electronically, So payments are deposited directly into recipients' bank accounts. I'll be satisfied when: • The PAS and member self-service portal support automates verification of routing number, bank name, and other direct deposit details. • Financial data for the set-up of direct deposit payments can be stored, such as: o Name of Institution o Bank Account Number o Routing number o Account type indicator (Checking or Savings) o Dollar amounts for partial deposits o Other data defined by ICERS • EFT interface files go through basic validations to ensure their accuracy and completeness. • EFT payment instruction file(s) can be produced by the PAS in the NACHA formatting. • EFT pay statements can be produced and posted to the member self-service portal. • EFT rejection notices from the bank can be processed electronically and update payment details in the PAS.		2				
8.02	Payroll	User Story Requirements	Payment Processing (check)	ICERS Staff	As an ICERS Staff Member, I want to disburse payments to payees via check, So recipients can receive their benefit payments. I'll be satisfied when: • Checks can be selected as a payment option in the PAS. • Positive pay file(s) can be produced by the PAS and be sent to a third party. • Positive pay file(s) go through basic validations to ensure their accuracy and completeness. • Payees can view payment statements/stubs and individual payment details (and/or check images) on the self-service portal.	Business Rules: • ICERS offers the payment method of direct deposit for reoccurring benefit payment, unless under special circumstances.	2				
8.03	Payroll	User Story Requirements	Payment Processing (Void payments)	ICERS Staff	As an ICERS Staff Member, I want the system to manage the voiding of payments, So that the integrity of financial transactions is maintained, and unnecessary overpayments are prevented. I'll be satisfied when: • The system can generate correspondence and reports related to payment statuses. • The system allows for querying of payment statuses to identify any outstanding transactions based on predetermined time frames.	Business Rule: • Checks that have been issued and not deposited for more than 6 months are considered stale dated checks.	2				
8.04	Payroll	User Story Requirements	Payment Processing (Reissue payment)	ICERS Staff	As an ICERS Staff Member, I want to reissue payments, So the recipient receives their benefit payments. I'll be satisfied when: • A workflow is used to process a payment reissue. • I can reissue a payment based on the response of a recipient regarding an uncashed/stale dated payment or rejected EFT. • I can reissue an EFT payment through EFT rather than a check. • Workflow can be triggered by several sources, such as: o Imaging artifact(s) o System action (e.g., updating "undeliverable" address to new, valid address) o Manually o Other triggers defined by ICERS	Business Rule: • Members must respond to stale-dated check affidavit providing a reason why the payment needs to be reissued.	2				

8.08	Payroll	User Story Requirements	Batch Processing	ICERS Staff	As an ICERS Staff Member, I want to run a trial of the current month payroll, So that it can be sent for review before finalizing. I'll be satisfied when: • I can specify the pay cycle date. • I can run the payroll in trial mode.		2				
8.09	Payroll	User Story Requirements	Validation	ICERS Staff	As an ICERS Staff Member, I want to reconcile and review payment data, So I can approve a payroll run. I'll be satisfied when: • The system has features that make it easy for me to review, reconcile, and perform quality assurance on payroll runs. • Trial payroll batches can be run for the purposes of validation and reconciliation prior to posting the payments, without impacting production data. • The trial payroll process presents me with descriptive and instructive validations that help me resolve them. • The trial payroll process uses hyperlinks and quick references to streamline my review of source data throughout the system. • I can easily generate reports to export details of the trial payroll process. • Trial payroll reports can be generated with a wide variety of inputs that can be modified by ICERS. • Validations are used to verify accurate payment data and to flag potential issue such as: o An individual payee is scheduled to receive more than one payment on the same payment cycle. o One direct deposit account is receiving payment from multiple independent payees.		2				
8.10	Payroll	User Story Requirements	Batch Processing	ICERS Staff	As an ICERS Staff Member, I want to initiate multiple payment runs at different intervals, So all the payments are processed in a timely manner. I'll be satisfied when: • Payment runs can be completed at configurable intervals or on an as needed basis. • The payment schedule configuration can be set by calendar year but can be adjusted as required by users with appropriate security access. • Payments are sequenced and processed by the batch run type based on multiple criteria, such as: o Benefit type (e.g., retirement, withdrawal, death benefit, residuals) o Start and end dates o Payment effective date o Payment status (e.g., reissue) o Other criteria defined by ICERS • Off-cycle check runs can be scheduled/executed to accommodate special payment requests. • Payment runs will not interfere with the performance of the system or prohibit other users from completing work in the system while it is running.		2				

8.11	Payroll	User Story Requirements	Payment Positive Pay & ACH Files	ICERS Staff	As an ICERS Staff Member, I want to easily upload payment files to our bank, So that we can fund benefits. I will be satisfied when: • The system generates a positive pay file in the specified formatting. • There are multiple deductions, and the positive pay file reflects individual deductions even with the same organization number. • The system generates an ACH/EFT file in the specified formatting.		2				
8.12	Payroll	User Story Requirements	Workflow & Case Management	ICERS Staff	As an ICERS Staff Member, I want to use a workflow to process benefit payments, So key steps are not missed. I'll be satisfied when: • A system checklist is used as part of a workflow to process benefit payments. • Workflows to process benefit payments can be manually launched by an ICERS user or automatically launched based on a configuration schedule in the PAS. • Confirmation steps within the workflow can be reviewed. • Status of benefit payments, and overall benefit payroll, can be easily viewed by ICERS users. • "Review" and "approve" steps are incorporated as needed. • Workflows are used to process: o Monthly payroll run o Ad-hoc payroll run o Stale dated checks o Stopped payments o Other payroll types defined by ICERS • Validations with plain English descriptions are issued if criteria for the check run have not been satisfied (e.g., death audit not run prior). • The system assists me with resolving validations.		2				
8.13	Payroll	User Story Requirements	Letters, Forms & Reports	ICERS Staff	As an ICERS Staff Member, I want to generate reports related to pension benefit payments, So I can confirm payroll. I'll be satisfied when: • Validation reports can be generated from both the trial and final payroll processes to reconcile benefit payment data. • I can view validation reports online with the system and extract the details into printed and electronic versions. • Payroll validations for both trial and final payroll processing can be configured within the system and the severity can be modified by authorized users. • Payroll validation reports displayed online provide me with hyperlinks for quick access to other parts of the system so I can further examine and resolve validation(s) for each payee. • Reports can be generated to provide details for Payroll runs (both trial and final). • Reports can be generated to differentiate between check runs. • Death audit report is generated prior to each check run to help prevent issuing erroneous payments.		2				

8.14	Payroll	User Story Requirements	Letters, Forms & Reports	ICERS Staff	As an ICERS Staff Member, I want to generate correspondence related to benefit payments, So recipients are informed about their benefit payments. I will be satisfied when: • Correspondence is automatically generated as part of a workflow. • Correspondence can be generated on an ad-hoc basis. • Templates can be modified. • Templates can support conditional variables and paragraphs. • Automatic confirmation notices are generated. • Information in correspondence is auto populated with data from a specific member record. • Generate correspondence such as: o Stale Payment Letter o Acknowledgement Letters o Other letters defined by ICERS		2					
8.17	Payroll	User Story Requirements	Reports, Forms, & Letters	ICERS Staff	As an ICERS Staff Member, I want the system to automatically generate regular monthly reporting, So information can be sent to other ICERS staff members for review and processing. I will be satisfied when: • The system automatically generates benefit payroll reports (i.e., Routing Sheet, deduction reporting, etc.). • The system sends a notification to a designated ICERS staff member when the monthly reporting generation process is complete. • Users with the appropriate role designation can update the schedule for the generation of reports.		2					
8.18	Payroll	User Story Requirements	Member Self-Service	Member/Payee	As a Member/Payee, I want to see benefit payment details on the Member self-service portal, So I don't have to contact ICERS. I will be satisfied when: • I can see my benefit payment details on the Member self-service portal. • I am notified when there are changes made to my benefit payment. • I can view a complete history of all my benefit payments. • I can update my banking information on the Member portal.		2					
8.20	Payroll	General System Requirements	Payroll Processing	System	The system must process recurring, one-time, and off-cycle payments to various recipients in various payment methods (e.g., EFT or paper checks). The system must also be able to cancel, suspend, stop, recall, reissue, and pay partial payments.		2					
8.21	Payroll	General System Requirements	Benefit Data	System	The system must maintain a history of the benefit recipient's original and revised benefit option and pension amounts (e.g., disbursement register).		2					
8.22	Payroll	General System Requirements	Benefit Data	System	The system must be able to pay a benefit directed to one or more payment methods or destinations.		2					
8.23	Payroll	General System Requirements	Benefit Data	System	The system must be able to keep benefit payments separate when an individual has multiple payee relationships (e.g., both a retiree and a survivor).		2					
8.24	Payroll	General System Requirements	Benefit Data	System	The system must allow ICERS users and recipients to specify multiple types of deductions and amounts (e.g., state and federal tax withholding, wage garnishments, liens, and levies) to be withheld or deducted, as dollar amounts or percentages, from a recipient's overall benefit.		2					

8.25	Payroll	General System Requirements	Benefit Data	System	The system must apply certain defaults defined by ICERS if data is not manually entered (e.g., default settings for federal and state withholding, recovery percentage or amount). The system will also have the ability to allow ICERS users to override deduction values.		2				
8.26	Payroll	General System Requirements	Benefit Data	System	The system must allow ICERS users to enter positive or negative payroll adjustments and must maintain a record of adjustments made. Adjustments may be at the person level or apply to a defined population (e.g., COLA) with an effective date.		2				
8.27	Payroll	General System Requirements	Benefit Data	System	The system must allow ICERS users to apply manual benefit payroll credits or debits to a benefit recipient's payroll. These credits or debits must be assigned to specific vendors and/or agencies, defined by effective date start and end dates and amount.		2				
8.28	Payroll	General System Requirements	Benefit Data	System	The system must track total deduction amounts and terminate certain deductions when a specified limit has been reached. Deduction total incorporates adjustments from overpayments and recoveries.		2				
8.29	Payroll	General System Requirements	Interfaces	System	The system must import payment confirmation files into the system and also allow ICERS to manually enter data and update the status of the corresponding payment (e.g., paid, rejected, etc.).		2				
8.30	Payroll	General System Requirements	Benefit Calculation	System	The system must be able to calculate and apply the interest as of the payment date (vs relying on a separate process to be run).		2				
8.31	Payroll	General System Requirements	Batch Processing	System	The system must allow ICERS users to initiate payroll batch jobs either through a payroll calendar or ad hoc for both recurring and single payments.		2				
8.32	Payroll	General System Requirements	Batch Processing	System	The system must allow ICERS users to produce a "trial run" of the payroll run for validation and reconciliation prior to posting payroll.		2				
8.33	Payroll	General System Requirements	Batch Processing	System	The system must allow ICERS users to rerun a payroll batch job if errors were found and corrected prior to posting payroll and authorizing payments.		2				
8.34	Payroll	General System Requirements	Batch Processing	System	The system must allow ICERS users to change an individual record in payroll file without requiring that the entire batch is rerun.		2				
8.35	Payroll	General System Requirements	Batch Processing	System	The system must automatically determine which payments to process for a given payroll run based on the start and end dates of each payment.		2				
8.36	Payroll	General System Requirements	Interfaces	System	The system must be able to produce interfaces to send to external parties to generate EFT and check payments.		2				
8.37	Payroll	General System Requirements	Interfaces	System	The system must be able to produce a prenote interface for direct deposit accounts to send to third parties to preauthorize direct deposits.		2				
8.38	Payroll	General System Requirements	Taxation	System	The system must be able to recognize when a new payment exists vs. a re-issued payment and apply taxes to new payments (but not reissued payments).		2				
8.39	Payroll	General System Requirements	Benefit Data	System	The system must be able to calculate and store yearly gross check amount, taxable amount, basis recovery amount, deductions, excludable amounts, ratios, and recovered amounts for 1099-R reporting.		2				
8.40	Payroll	General System Requirements	Validation	System	The system must be able to validate payment amounts such as deductions, tax limits, etc.		2				
8.41	Payroll	General System Requirements	Reports, Forms & Letters	System	The system **must be able to** generate reports for ICERS users to reconcile taxes, monthly and annually.		2				
8.42	Payroll	General System Requirements	Interfaces	System	The system must be able to generate interfaces to send withholding information to the IRS and State.		2				
8.43	Payroll	General System Requirements	Interfaces	System	The system must be able to import tax table data into the system as well as allow ICERS to manually enter data.		2				
8.44	Payroll	General System Requirements	Reports, Forms & Letters	System	The system must allow ICERS users to generate, view, and print a variety of payroll reports that can be tailored to meet ICERS's needs.		2				
8.46	Payroll	General System Requirements	Reports, Forms & Letters	System	The system must be able to generate required quarterly/annual Federal and State reports in the required format.		2				
8.47	Payroll	General System Requirements	Workflow & Case Management	System	The system must notify ICERS users when the system is lock (view only).		2				
8.48	Payroll	General System Requirements	Usability	System	The system must enforce payroll calendar cut-off dates in the system and on the self-service portal.		2				

8.49	Payroll	General System Requirements	Usability	System	The system must allow ICERS to configure certain functionality to be available based on role-based profiles. For example, managers/supervisors can override payroll data while ICERS' staff cannot.		2				
9.01	Periodic Processing	COLA Processing	COLA	Retirement Specialist	As a Retirement Specialist, I want to apply the current year COLA to all eligible recipients, So that retirees can receive their annual increase. I will be satisfied when the system: • Allows me to input the new COLA percentage and CPI received from the actuary. • Allows for an effective date for the new COLA. • Applies the COLA to current and new retirees and survivors. • Maintains the COLA Bank.	Business Rules: • All retirees and employees who retire prior to April 1st of each year may receiving an annual cost-of-living adjustment. • The maximum percentage given each year is 2%. • ICERS utilizes the Urban CPI of the Western Region to calculate their COLA percentage	2				
9.02	Periodic Processing	COLA Processing	Benefit Calculation - COLA	Retirement Specialist	As a Retirement Specialist, I want to apply historical COLA to retroactive retirements, So that members can receive their correct benefit. I will be satisfied when the system: • Automatically applies historical COLA to retroactive retirements (example: disability retirements that are approved for a past date). • Initiates a workflow with a task for me to verify the update.		2				
9.03	Periodic Processing	COLA Processing	Letters, Forms, & Report	Retirement Specialist	As a Retirement Specialist, I want to validate the applied COLA, So that I can confirm the COLA percentages are correct for the members. I will be satisfied when: • The system provides a report of the COLA applied. • I can view the added/adjusted COLA in a member's account.		2				
9.04	Periodic Processing	COLA Processing	COLA – COLA Bank	Retirement Specialist	As a Retirement Specialist, I want to accurately manage the COLA bank, So that COLA is stored and applied correctly for future use. I will be satisfied when the system: • Automatically increases the COLAs to 2% if the CPI is under 2% and the COLA Bank is sufficient to support the increase. • Automatically decreases the COLA Bank balance when the COLAs are increased to 2%. • Automatically increases the COLA Bank if the CPI is over 2%. • Calculates the COLA Bank balance based on the member's effective retirement date.	Business Rules: • If the CPI is under 2%, the COLAs are increased to 2% if the COLA Bank is sufficient to support the increase. The increased to the COLA decreases the COLA Bank. • If the CPI is over 2%, the excess increases the COLA Bank. • The COLA Bank balance is calculated based on the member's effective retirement date.	2				
9.05	Periodic Processing	Interest Posting	Interest	Accounting Technician	As an Accounting Technician, I want to apply interest biannually to member's contribution balances, So that the contribution can be correctly accounted for. I will be satisfied when the system: • Recognizes the correct contribution rate for the date I selected. • Applies the correct contribution rate to eligible members.	Business Rules: • Interest will be applied to member's account balance on June 30th on the balance as of December 31st of the prior year. • Interest will be applied to member's account balance on December 31st on the balance as of June 30th of the prior year.	2				

9.06	Periodic Processing	Interest Posting	Letters, Forms, & Reports	Accounting Technician	As an Accounting Technician, I want to be able to review the interest applied contributions, So that I can update the GL to keep it current. I will be satisfied when: • I can view the new contribution interest amounts applied in the member's accounts. • I can view the fund buckets that each interest amounts belong in. • The system creates a report of the interest applied including: o Contribution balances before the interest run by member detailed by G/L account. o Interest applied in the interest run by member detailed by G/L account. o Contribution balances after the interest run by member detailed by G/L account. o Summaries by G/L account for before and after balances and interest applied. o A breakout between the refund and reserve interest.		2				
9.07	Periodic Processing	Contribution Rate Changes	Contribution	Accounting Technician	As an Accounting Technician, I want to be able to input new contribution rates, So that it can be utilize during active payroll process. I will be satisfied when I can: • Input new contribution rates based on the Memoranda of Understanding (MOU) • Input an effective date. • View historical contribution rates.	Business Rules: • Contribution rates are maintained by a Group code. Each Group code may contain multiple Bargaining Units. • Separate contribution rates are maintained by tier and entry age. • Separate contribution rates are maintained by type of contribution, e.g. regular or supplemental.	2				
9.08	Periodic Processing	Contribution Rate Changes	Letters, Forms, & Reports	Accounting Technician	As an Accounting Technician, I want to be able to run a report of the new contribution rates, So that I can provide employers new contribution rates to be withheld for employees. I will be satisfied when the system generates a report: • Based on the effective date • Based on the Employer • The report shows (not limited to): o Employer Name o Group A or B (ER pick-up contribution or not) o Employee's names and Employee ID o Membership Type (Safety, General) o Membership Tier (1, 2, 3) o Bargaining Unit o Entry Age o Previous Contribution Rate o New Contribution Rate o New Contribution Rate Effective Date		2				
9.09	Periodic Processing	1099-R Issuances & Tax Reporting	Member Self-Service – 1099-R	Member	As a Member, I want to receive my 1099-R in a timely manner, So that I can file my taxes. I will be satisfied when: • I can opt-out of being mailed my 1099-R or continue to receive my 1099-R via US mail. • I am notified via my preferred communication method when my 1099-R has been posted to the portal. • I can access and download my 1099-R on the Member portal. • I can print my 1099-R from the Member portal. • I can request a 1099-R correction, as needed.		2				

9.10	Periodic Processing	1099-R Issuances & Tax Reporting	1099-R	ICERS Staff	As an ICERS Staff Member, I want review and test the 1099-R file, So that I can ensure the file is correct prior to releasing. I will be satisfied when I can: • Confirm the 1099-Rs are complying and reflect the IRS changes made in current and subsequent tax years. • Issue a test electronic submission 1099-R file. • Run a 1099-R batch and hold it in queue for validation. • Rerun the 1099-R batch after corrections or correct the queued batch then release for submission to the IRS.		2				
9.11	Periodic Processing	1099-R Issuances & Tax Reporting	1099-R	ICERS Staff	As an ICERS Staff Member, I want to produce a 1099-R file, So that I can print the documents in-house I will be satisfied when I can: • Upload a 1099-R template to the system. • Identify the payee population that requested a printed 1099-R. • Print a test 1099-R document. • Print in bulk of all the requested 1099-R forms.		2				
9.12	Periodic Processing	1099-R Issuances & Tax Reporting	Workflow/Case Management	ICERS Staff	As an ICERS Staff Member, I want to be notified of a 1099-R correction request, So that I can research and correct the 1099-R if needed. I will be satisfied when: • I am notified of a correction request. • I can approve or deny the request. • I can easily correct a 1099-R. • I can provide the updated 1099-R to the member on the member portal or print and mail the corrected form to the member.		2				
9.13	Periodic Processing	1099-R Issuances & Tax Reporting	Letters, Forms, & Reports	ICERS Staff	As an ICERS Staff Member, I can create a report indicating any corrections done to the 1099-R, So that I can send the report to the IRS and Tax Franchise Board I will be satisfied when: • The system generates a report to ICERS specification that encompasses any corrections done for a certain tax year. • I can rerun the report as needed.		2				
9.14	Periodic Processing	1099-R Issuances & Tax Reporting	Letters, Forms & Reports	ICERS Staff	As an ICERS Staff Member, I want to create a report from the system, So that I can reconcile the numbers produced from the 1099-R to the GL. I will be satisfied when: • I can select the detail of G/L accounts listed. • I can export the report to excel.		2				

9.15	Periodic Processing	1099-R Issuances & Tax Reporting	Workflow/Case Management	ICERS Staff	As an ICERS Staff Member, I want to have a task/workflow to help me with reporting annual federal tax with the IRS, So ICERS can fulfil compliance. I will be satisfied when the system: • Triggers an annual federal tax reconciling task/workflow when the year concludes. • Warns (or even restricts) me from working on the annual federal tax reconciling task/workflow if retiree payroll and refund processing is not complete for the applicable year. • Generates reports automatically to help me reconcile. • Triggers a review task within the workflow when appropriate.		2				
9.16	Periodic Processing	1099-R Issuances & Tax Reporting	Tax Reporting	ICERS Staff	As an ICERS Staff Member, I want to apply adjustments to the annual federal tax file, So ICERS is reporting accurate tax information with the IRS. I will be satisfied when: • I can apply adjustments where I see necessary (both prior to sending data to the IRS and after). • The system tracks any updates that are made for record-keeping purposes. • The adjustments are reflected in any G/L reporting.		2				
9.17	Periodic Processing	Form 945 & 945A	Completing / Sending Tax Forms	ICERS Staff	As an ICERS Staff Member, I want to compile and submit 945 and 945A data to the IRS, So ICERS can fulfil compliance with the IRS. I will be satisfied when: • The system generates 945 and 945A forms and reports using benefit payroll data from the system. • The system generates electronic and printed version of the forms/reports. • I can submit 945 and 945A data to the IRS.	Business Rule: • ICERS needs to submit the 945 and 945A Federal tax reports annually by January 31st.	1				
9.18	Periodic Processing	Quarterly State Tax Reporting	Quarterly State Tax & Reporting	ICERS Staff	As an ICERS Staff Member, I want to be able to complete Form DE9 and 9C, So that ICERS complies with the State of California tax reporting. I will be satisfied when: • The system generates the Quarterly State tax file for all payees with issued or adjusted payments within the tax year. • I can issue a corrected Quarterly State File. • The system maintains an electronic file version that meets changing state requirements. • The system produces a detailed payee-level report of the Quarterly State file. • I can test the electronic Quarterly State File.		1				
9.19	Periodic Processing	Member Annual Statement	Member Self-Service	Member	As a Member, I want to be able to view my member information on the portal, So that I can plan for retirement. I will be satisfied when I can: • See my Membership information and account balances. • See the factors I need to estimate my future retirement. • Download a printable version of my member annual statement.		2				

9.20	Periodic Processing	Member Annual Statement	Forms, Letters, Reports	Retirement Specialist	As a Retirement Specialist, I want to be able to generate member annual statements, So that the ICERS membership can view their current information and retirement estimates. I will be satisfied when: • I can run the member annual statements. • I can specify the as of date on the annual statement run. • The system produces a printable file of annual statements in PDF format. • The system indexes and stores the annual statements in the member's record in the imaging repository. • The member can access their member annual statement through the member portal.		2				
10.01	QDRO	QDRO Inquiry	Correspondence	Member/Ex-Spouse/Attorney	As a Member/Ex-Spouse/Attorney, I want to alert ICERS of a pending QDRO, So that my benefit can be modified appropriately. I will be satisfied when I can: • Notify ICERS of potential change to my marital status. • Communicate a joinder and any other DRO-related documentation to ICERS via my preferred communication method.		2				
10.02	QDRO	QDRO Inquiry	Workflow/Case Management	Retirement Specialist	As a Retirement Specialist, I want to be alerted when a joinder or QDRO-related document is received, So that I can collect and track all QDRO-related documentation that is required prior to finalizing the QDRO. I will be satisfied when: • The system alerts me when DRO-related documentation is received (via member portal, e-mail, secure messaging, etc.). • The system initiates or resumes a workflow when initial DRO-related documentation is received. • The system images and saves the joinder and other DRO-related documentation automatically to the member's record. • I can determine if any action is required and create/initiate a task (within the workflow) if needed. • I can flag the member's account to indicate notice of a possible QDRO/Joinder. • I can save any additional DRO-related documentation to the member's record.		2				
10.03	QDRO	QDRO Inquiry	Estimate - QDRO	Retirement Specialist	As a Retirement Specialist, I want to create an estimate of a member's QDRO Split, So that I can better assist the member with their future benefit. I will be satisfied when: • I can input the estimated separation date. • I can view and update the member's marriage date. • The system correctly calculates the community property period. • The system correctly estimates the member's DRO split. • The system generates a letter that documents the estimate split. • I can send the member and non-member and/or their respective representatives an Estimate DRO split letter securely via their preferred communication method. • I can send the Estimate DRO split letter securely to any 3rd party counsels.	Business Rules: •The community property period is also referred to the Time Rule formula. •Upon divorce, pension benefits earned during the marriage are considered community property. The community share is calculated based on the ratio of years worked while married to total years contributing to the pension. This share is then equally divided between the spouses. 31685.2	2				

10.04	QDRO	QDRO Inquiry	Correspondence	Retirement Specialist	As a Retirement Specialist, I want to securely send QDRO-related documents to our General Counsel, so ICERS can complete the joinder and expediate the process. I will be satisfied when I can: •Send the joinder to our General Counsel through a partner portal. •Receive the signed joinder electronically. •Notify member and non-member ex-spouse of signed documentation.		2				
10.05	QDRO	QDRO Processing	Workflow/Case Management	Retirement Specialist	As a Retirement Specialist, I want to be notified of a finalized QDRO, So that I can begin the QDRO split processing. I will be satisfied when the system: • Alerts me that a court ordered stipulated division of benefits has been received (via portal, email, secure messaging, etc.). • Initiates or resumes a workflow upon receipt of a QDRO-related document via the member portal. • Initiates or resumes a workflow when a QDRO-related document is scanned in the imaging system. • Recognizes previously received QDRO documents. • Properly associates received or scanned documents to the correct member account.		2				
10.06	QDRO	QDRO Processing	DRO Processing	Retirement Specialist	As a Retirement Specialist, I want to apply the details that are stated in the finalized QDRO, So the modified benefit or account is correct for both the member and non-member ex-spouse. I will be satisfied when the system: • Determines if divorce is a "Post-Retirement Divorce" or a "Pre-Retirement Divorce." • Can calculate what the modified benefit is for the member and non-member ex-spouse. • Requires a review after a DRO calculation is completed.		2				
10.07	QDRO	QDRO Processing	Correspondence	Retirement Specialist	As a Retirement Specialist, I want to know if the QDRO is a Post-Retirement Divorce, So I know what needs to be communicated to the members and non-member ex-spouse. I will be satisfied when: • I can notify both members and non-member ex-spouses that the benefit split is complete (along with any other correspondence to help them understand any modifications to their benefits). • The system automatically triggers a workflow with time-based tasks to communicate with non-member ex-spouse on missing required forms required to place them on payroll (beneficiary form, direct deposit form, and tax withholding form).	Business Rule: • Post-Retirement Divorce, the non-member ex-spouse will receive the community property share of the member's established retirement benefit.	2				

10.08	QDRO	QDRO Processing	Correspondence	Retirement Specialist	As a Retirement Specialist, I want to know if the QDRO is a Pre-Retirement Divorce, So that I know what needs to be communicated to the members and non-member ex-spouse. I will be satisfied when: • I can notify both members and non-member ex-spouse that the account split is complete. • The system automatically puts the non-member ex-spouse in a "deferred" status. • I can notify the member on their updated service time and contributions. • I can notify the non-member ex-spouse on their options (to refund, retire, designate a beneficiary, etc.).		2				
10.09	QDRO	QDRO Processing	DRO	Retirement Specialist	As a Retirement Specialist, I want to be able to split a non-retired member's account, So that I comply with the signed Court Order. I will be satisfied when: • The system calculates community property period and split the member's account per QDRO order. • The system debits the split contributions and interest amounts from the member's accounts and credits the ex-spouses accounts using the correct G/L accounts. • The non-member ex-spouse has their own account.	Business Rules: • The member's contributions, earnings, and service credit are separated into two accounts, one for the member and the other for the non-member. (Govt. Section Code 31685)	1				
10.10	QDRO	QDRO Processing	DRO	Retirement Specialist	As a Retirement Specialist, I want to process a Post-Retirement DRO, So that I comply with the signed Court Order. I will be satisfied when: • Upon notification of a joinder for a retired member, the system allows the option to pause member's payment or part of their payment. • The system can split the monthly retirement benefit into two separate payments based on the entered percentage or amount per court order. • The system calculates any missed payrolls that the non-member ex-spouse has due to forms being turned in late and applies those payments on the following payroll cycle (to catch up the missing payments).	Business Rules: •If a member has already retired, ICERS cannot be ordered to divide the account, but can be ordered to split each monthly retirement benefit payment under the account into two separate payments, based upon the parties' respective shares of the benefit, and provide payment to each party. •If the member receives a disability retirement, the non-member ex-spouse remains eligible to retire when the former spouse meets the age and service credit requirements under the law. •If the member receives a disability retirement, the non-member ex-spouse may not receive a disability retirement and its taxability benefit.	1				
11.01	Disability		Member Self-Service	Member	As a Member, I want to be able to apply for disability through a Member portal, So that I can be considered for a disability pension. I'll be satisfied when I can: • Apply and submit documents securely. • Track the disability process status. • Communicate with ICERS via secure messaging. • Schedule an appointment with ICERS to submit the disability packet. • Receive a notification when my application has had a decision made.		2				

11.02	Disability		Workflow/Case Management	Retirement Specialist	As the Retirement Specialist, I want to be able to process a disability application, So that I can process the disability file securely and completely. I'll be satisfied when: • I can confirm a disability interview appointment scheduled via the member portal. • The system initiates a disability application workflow when an application has been received via the member portal or scanned into the imaging system. • The system assigns the disability application workflow to me or other ICERS staff responsible for processing disabilities. • The system tracks all required applications and supporting documentation through a disability application workflow and records when the documents are received, completed, and signed. • The system generates follow-up tasks for document requests in the disability application workflow based on a specified schedule. • I can follow-up on and facilitate requests for additional information at all stages in the disability application workflow. • I can initiate a request for any missing information or documentation in the disability application workflow and communicate the request to the member via secure messaging in the member the portal or other means according to the member's preferred communication method. • I can track the status of the disability case as it moves from one step to another using automated case management tools. • I receive a system notification when there is a change in the status of the case, such as receipt of proof documents or		2					
11.03	Disability		Workflow/Case management	Assistant Retirement Administrator	As the Assistant Retirement Administrator, I want to be able to review the disability case, So that I can return the case to the Retirement Specialist for further processing. I'll be satisfied when I can: • See my tasks through a workflow outlining each step. • Review an online image of the disability application and any backup documentation from within the workflow. • Add the case to the Board Agenda, so that the case can be reviewed. • View a list of in-progress disability applications in the system.		2					
11.04	Disability		Correspondence	ICERS' Disability Counsel	As ICERS' Disability Counsel, I want to be able to administer the disability file securely, So that the file can be processed. I'll be satisfied when I can: • Submit documentation, such as the recommendation to ICERS to either grant or deny. • Be notified electronically (e.g., secure message) when there are any pending cases available for processing.		2					
11.05	Disability		Letters, Forms, & Reports	Retirement Specialist	As a Retirement Specialist, I want to be able to provide the Disability Counsel with member's employment history, So that they can correctly review the member's case. I'll be satisfied when the system can create a report that includes: • Member's employment status • Accruals statistics • Information provided from Disability Questionnaire responses.		2					

12.01	Death	Death Notification	Notification	Employer	As an Employer, I want to be able to report a death to ICERS, So that I can notify all parties of an employee's death. I will be satisfied when I can: • Securely notify ICERS of an employee's death. • Indicate the cause of death. • Forward contact information to ICERS.		2				
12.02	Death	Death Notification	Notification	ICERS Staff	As an ICERS Staff Member, I want the system to integrate real-time data sources, such as death registries, So that it can promptly update and initiate workflows for death benefit processing. I will be satisfied when: • The system can automatically receive updates from death registries, or I can upload a file from the death registries into the system. • The system automatically updates member statuses and date of death based on received data. • A workflow is initiated and assigned to staff for death benefit processing upon receiving a notification.		2				
12.03	Death	Death Notification	Workflow/Case Management	Retirement Specialist	As a Retirement Specialist, I want to be able to initiate a workflow/task when someone reports a death, So that I can track the needed information. I will be satisfied when: • I can start a task/workflow. • I can input the following data: o Date of death o Type of death (active member) o Contact information o Beneficiary information • I can reassign the workflow to another team member to process. • I can attach supporting documents to the workflow, such as a PS2 form. • I can request documents from the beneficiary/survivor/employer from the workflow.		2				
12.04	Death	Death Notification	Workflow/Case Management	Retirement Specialist	As a Retirement Specialist, I want a death process workflow, So that I am guided through processing a member's death. I will be satisfied when: • The system notifies me of a death workflow assigned to me. • I can easily see the information to process the death benefit(s). • The system generates notification to 3rd parties of the payee's death (ICARE, PGA, Employer). • The workflow guides me through the death process.		2				
12.05	Death	Death Notification	Workflow/Case Management	Retirement Specialist	As a Retirement Specialist, I want the system to place a deceased retiree's pension in suspension, So that ICERS does not overpay a deceased member. I will be satisfied when: • The system recognizes a death date for a payee. • The system suspends the payment of a payee when a death date is entered in the system. • I can resume the payment, if needed.		2				

12.06	Death	Death Benefit Processing	Member Data	Retirement Specialist	As a Retirement Specialist, I want the system to preliminary validate the deceased member's account, So that ICERS can populate the correct benefit option for the beneficiary. I will be satisfied when the system: • Recognizes member's vesting status. • Recognizes type of death. • Recognizes date of death. • Determines what benefit options are available based on data. • Generates a death benefit form based on the benefit to be provided and information needed from survivors/beneficiaries.		2				
12.07	Death	Death Benefit Processing	Survivor Information	Retirement Specialist	As a Retirement Specialist, I want to view and edit information about survivors and beneficiaries in the PAS, So that I can determine their eligibility and benefit options. I'll be satisfied when I can view and edit the following information about survivors: • Survivor/beneficiary name • Survivor/beneficiary SSN • Add additional survivors (for example, in the event of an additional surviving minor child) • Relationship to member • Contact information including: - Mailing address - Phone number - Email address		2				
12.08	Death	Death Benefit Processing	Correspondence	Beneficiary	As a Beneficiary, I want to easily complete and submit the needed documents, So that ICERS can initiate my beneficiary benefits. I will be satisfied when I can: • Securely submit the completed forms and documents requested by ICERS. • Read or contact ICERS about my benefit options.	Business Rules: • ICERS must receive the member's certified death certificate.	2				
12.09	Death	Death Benefit Processing	Death processing	Retirement Specialist	As a Retirement Specialist, I want the system to determine eligible benefit options, So that I know which benefits to offer the survivor. I will be satisfied when: • The system correctly determines what type of benefit the beneficiary is entitled to, such as: o Burial death benefit o Continuance o Residual contributions o Other benefits as specify by ICERS • The system validates beneficiary and member information to ensure correct processing. • The system recognizes whether ICERS is the last system of member's employment.	Business Rules: • For members with reciprocity, the burial death benefit would be paid by the last system of member's employment.	2				

ICERS Attachment 7B - Functional Requirements Workbook

12.10.	Death	Death Benefit Processing	Death Processing	ICERS Staff	As an ICERS Staff Member, I want to make payments to eligible payees, So they receive the benefit they are entitled to. I'll be satisfied when: • The system makes payments to eligible payees including: o Spouses o Minor children o Adult children o Beneficiaries o Estates o Guardians or other court designated representatives • The system pays all combinations of the benefit options. • I can see the benefit to be paid. • I can view benefit amount and calculation on my screen. • I can see initial and final disbursement dates. • The system pays multiple payees depending on the beneficiary setup in the system.		2				
12.11	Death	Death Benefit Processing	Death Processing – Multiple Payments	ICERS Staff	As an ICERS Staff Member, I want the system to divide the basic death benefits for eligible payees, So that multiple payees can receive their entitled benefit. I'll be satisfied when I can: • Designate multiple payees. • Set the thresholds/portions for each payee. • Set up benefits at different times. For example, being able to set up a beneficiary once their paperwork is received, regardless of whether paperwork for all beneficiaries has been received. • Enter minor child information for tracking		2				
12.12	Death	Death Benefit Processing	Overpayment	ICERS Staff	As an ICERS Staff Member, I want the system to identify and process overpayments to the member, So that ICERS can collect them from the survivor. I'll be satisfied when I can: • Receive notifications from the system that an overpayment has occurred. • Either initiate a Return & Recovery or deduct the amount owed in the burial death benefit. • See the amount and deduction that will be processed. • See the deduction applied to the burial death benefit. • Ensure that an overpayment has been collected and the account has been made whole.		2				
12.13	Death	Death Benefit Processing	Workflow/Case Management (Student Verification)	ICERS Staff	As an ICERS Staff Member, I want the system to track child eligibility, So that survivor benefits can be updated as required. I will be satisfied when: • The system can automatically send notifications for: o Single child is aging out (18 or 22) o One of multiple children is aging out (18 or 22) o School enrollment verification • The system recalculates the benefits for the remaining survivors, if applicable.		2				

ICERS Attachment 7B - Functional Requirements Workbook

12.14	Death	Death Benefit Processing	Death Processing – Active Members	Retirement Specialist	As a Retirement Specialist, I want the system to calculate benefits for Active Member Death, So that payments can be processed and distributed. I will be satisfied when: • The system calculates survivor benefits according to ICERS' business rules. • I can review the calculated survivor benefits prior to communicating them to the survivors and/or beneficiaries.	Business Rules: Death Benefit: Basic Death Benefit: Govt. Code Sections 31781 and 31784 • Upon a member's death, a refund is provided comprising their accumulated contributions and a salary benefit equal to one month's average salary (from the prior 26 biweekly pay periods) for each retirement credit year, capped at 6 months of salary. • The designated beneficiary can opt to receive the death benefit as a lump sum or across 120 monthly installments. Optional Death Benefit: Govt. Code Section 31781.2 • If a member under 50 with 10+ years of retirement credit dies, their surviving spouse or domestic partner can defer the basic death benefit until the member's 50th age year and then receive 60% of the deceased member's retirement allowance for life. • If the surviving spouse or domestic partner dies, the allowance transfers to their unmarried children until age 18, or age 22 if they are full-time students in an accredited institution, as verified by the Board of Retirement.	2				
12.15	Death	Death Benefit Processing	Death Processing – Retired Member	Retirement Specialist	As a Retirement Specialist, I want the system to calculate benefits upon a Retired Member's Death, So that payments can be processed and distributed. I will be satisfied when: • The system calculates survivor benefits according to ICERS' business rules. • I can review the calculated survivor benefits prior to communicating them to the survivors and/or beneficiaries.	Business Rules: Survivor Benefits Regular Service or Non-Service-Connected Disability Retirement: Govt. Code Section 31785.1 •The surviving spouse or domestic partner may be entitled to receive a monthly allowance of 60% of the deceased member's retirement allowance providing: oThe allowance was not modified in accordance with an optional settlement. oSurviving spouse or domestic partner was married or registered as a domestic partner at least one year prior to retirement (Govt. Code Section 31760.1), OR oA surviving spouse or domestic partner is eligible for benefits if they were married/registered for at least two years before the member's death, were 55 or older at the time of death, and no other individual has been designated as a payee by a court order (Govt. Code Section 31760.2). •If there is not a qualified spouse or domestic partner, the unmarried children may receive the same benefit until attaining age 18 or 22 if enrolled full-time in an accredited school, as determined by the Board of Retirement.	2				
12.16	Death	Death Benefit Processing	Death Processing - Deferred	Retirement Specialist	As a Retirement Specialist, I want to be able to process a deferred member's death, So that the beneficiary can receive the member's contributions plus interest. I will be satisfied when I can: • Validate member's contributions and interest at date of death. • Apply one or more beneficiaries to the benefit payout. • Notify the beneficiary of the payment. • Provide the beneficiary of a letter or receipt of payment.	Business Rules: •If a member passed away as an inactive or deferred member, then the designated beneficiary(ies) will only receive the deceased member's contributions plus interest.	2				

12.17	Death	Death Benefit Processing	Death Processing - Survivor	Retirement Specialist	As a Retirement Specialist, I want to be able to process a survivor's death, So that I can close the account properly. I will be satisfied when: • I can input a death date for the survivor. • The system stops the survivor's continuance. • The system initiates a Return & Recovery workflow if there's an overpayment. • I can pay out any residuals from the account to the survivor's beneficiary or estate/trust. • I can confirm the system does not generate a burial death benefit. • I can create some correspondence to the survivor's family that the benefit is done.		2				
13.01	Member Data Maintenance		Member Data	Retirement Specialist	As a Retirement Specialist, I want to be able to view and update member data, So that I can correctly add/update the information in the system. I will be satisfied when I can add/update a member's: • Demographic information • Beneficiary information • Beneficiary designation • Power of attorney information • Payment method • Tax withholding		2				
13.02	Member Data Maintenance		Address Change	Non-Active Member	As a Non-Active Member, I want to add and manage multiple addresses on my account online via a Member Portal, So that I can ensure correct correspondence delivery according to my current living or mailing situation. I will be satisfied when: • I can add multiple addresses (e.g., mailing, home, temporary) to my account without restrictions. • I can easily select and designate a specific address for different types of correspondence. • I can update or modify address details effortlessly, ensuring my personal data is always accurate and up-to-date. • The system confirms that the address change or addition has been successfully completed and acknowledged.		2				
13.03	Member Data Maintenance		Correspondence	Member	As a Member, I want to be notified of the completion of any information change requests that I've made based on my preferred communication method, So that I am aware of the status of my request. I will be satisfied when: • I receive a notification that my request was received, denied, missing supporting document(s), or accepted/completed. • I receive notifications via my preferred communication method (US mail, email or via a Member Portal).		2				

13.04	Member Data Maintenance		Beneficiary Data	Retirement Specialist	As a Retirement Specialist, I want to manage and maintain comprehensive beneficiary data, So that accurate and historical beneficiary information is readily available and updatable. I will be satisfied when: • The system can store and maintain all historical beneficiary information, including names, addresses, relationships, and Social Security Numbers. • I can enter and assign beneficiaries, including linking members as beneficiaries without creating separate profiles. • I can modify beneficiary information, ensuring that changes like address updates are reflected in both member and beneficiary profiles if the beneficiary is also a member. • The system can record and maintain details of one or multiple beneficiaries, including designation dates, personal details, allocation percentages, and associated documents. • The system maintains a comprehensive history of beneficiary designations.		2				
13.05	Member Data Maintenance		Security	Retirement Specialist	As a Retirement Specialist, I want to update and maintain active, deferred, and retired members' records efficiently, So that the member data is accurate and up-to-date. I will be satisfied when: • Data validation is in place to ensure data quality and completeness of member accounts. • Records of pension benefit payments are maintained accurately. • Role-based permissions are enforced to limit or restrict access to member data maintenance and view functions. • Authorized users can manually update termination information and override or add previous membership information with appropriate security.		2				
13.06	Member Data Maintenance		Audit Trail	Retirement Specialist	As a Retirement Specialist, I want to see previous data points prior to changes, So that I can easily audit a process. I will be satisfied when the system: • Maintains an historic record of member data changes that includes: o Date of change o Before/after data o User that made the change o Reasoning/notes, if any • Provides me a screen to view historical member data changes. • Provides a link to the document that initiated the change, if applicable. • Provides reports listing demographic, beneficiary, banking, or tax withholding changes.		2				
14.01	Imaging	User Story Requirements	Imaging/MSS	Retirement Specialist	As a Retirement Specialist, I want to receive the documents from the Member Self-Service Portal, So that I can begin processing the member's request. I'll be satisfied when: • The documents received via portal are automatically stored in the imaging repository and indexed with the member's account and document information. • Documents received and stored in the imaging repository initiate or resume the correct workflow based on the document type and member.		2				

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14.02	Imaging	User Story Requirements	Imaging/Upload	Retirement Specialist	As a Retirement Specialist, I want to upload electronic documents received from members. So that I can begin processing the member's request. I'll be satisfied when: • I can drag and drop documents into the integrated imaging software and connect with PAS. • PAS identifies the documents based on their barcodes. • The documents received will initiate the correct workflow.		2				
14.03	Imaging	User Story Requirements	Imaging/Scanned	Retirement Specialist	As a Retirement Specialist, I want to scan physical documents received from members. So that I can begin processing the member's request. I'll be satisfied when: • The scan documents are identified by the imaging system based on their document barcode. • I can identify documents without barcodes. • Documents received and scanned into the imaging repository initiate or resume the correct workflow based on the document type and member.		2				
14.04	Imaging	User Story Requirements	Imaging	Retirement Specialist	As a Retirement Specialist, I want to utilize barcodes on documents to automate document identification, So that when documents are imaged or uploaded, the system can initiate the appropriate workflow or place unidentified documents into an "index" queue. I will be satisfied when: • The imaging system identifies documents based on their barcodes. • The PAS initiates or resumes the appropriate workflow based on their barcodes. • The imaging system places any unidentified document into an "index" queue for user review.		2				
14.05	Imaging	User Story Requirements	Workflow/Case Management	Retirement Specialist	As a Retirement Specialist, I want to review documents that were submitted from members, So that I can fulfill their request. I'll be satisfied when: • The PAS automatically initiates or resumes a workflow based on the type of form or document received. • I can identify and view the document in the imaging repository that triggered the workflow. • I can add associated documents to an active workflow.		2				
14.06	Imaging	General System Requirements	Usability	System	The system must have the ability to index documents into the appropriate record (i.e., member, non-member spouse, etc.).		2				
14.07	Imaging	General System Requirements	Workflow & Case Management	System	The system must have the ability to include a verification step within an imaging workflow.		2				
14.08	Imaging	General System Requirements	Usability	System	The system must have the ability to label what form is being imaged.		2				
14.09	Imaging	General System Requirements	Usability	System	The system must allow users to search for certain types of forms, correspondence, and information found within those forms/correspondence (such as Estimate Request Forms, Member Waiver Forms, etc.).		2				
14.10	Imaging	General System Requirements	Usability	System	The system must have the ability to search for forms and correspondence by using any combination of record and/or folder metadata elements utilizing full text search (such as name, SSN, ICERS-related IDs, etc.).		2				
14.11	Imaging	General System Requirements	Usability	ICERS Staff	The system must have the ability to search and find items without including case-sensitivity. For example, if name being searched is John Doe but ICERS staff member types in "john doe," a result will still display.		2				

14.12	Imaging	General System Requirements	Usability	System	The system must have the ability to read forms that are electronically completed and know what the data element is communicating. For example, if a member electronically fills out a form through the portal and types in a new address, the PAS would be able to read that address and compare it to the one on file to see if it needs to be updated.		2				
14.13	Imaging	General System Requirements	System Data	System	The system must have the ability to store all form templates (vs. having some stored in the PAS and some stored on staffs' desktops, ICERS internal folders, etc.).		2				
14.14	Imaging	General System Requirements	System Data	System	The system must have the ability to sort member documents in the imaging system by common sorting functions (such as by date received, by name, by SSN, etc.).		2				
14.15	Imaging	General System Requirements	Usability	System	The system must allow for the editing of documents before printing from the system.		2				
14.16	Imaging	General System Requirements	System Data	System	The system must allow for the imaging of documents generated in the PAS without needing to first print and then scan.		2				
14.17	Imaging	General System Requirements	System Data	System	The system must allow for all documents to be automatically saved to the member's record after an item is imaged to a task or workflow.		2				
14.18	Imaging	General System Requirements	System Data	System	The system must allow for all ICERS-generated outgoing documents to be automatically saved to the member's imaging profile/record.		2				
14.19	Imaging	General System Requirements	System Data	System	The system must allow the date that a form/document was received to be known.		2				
14.20	Imaging	General System Requirements	System Data	System	The system must allow for the manual generation of walk-in interaction workflows, manual imaging and indexing of documents the member drops off, and associating of the imaged documents to the appropriate workflow and member record.		2				
14.21	Imaging	General System Requirements	Enterprise Content Management	System	The system must allow for the adding of bar codes to member documents produced by the PAS (i.e., outgoing correspondence, forms, contracts, etc. that are provided to members), integrating the imaging system and workflow functionalities.		2				
14.22	Imaging	General System Requirements	Enterprise Content Management	System	The system must provide routing capability that allows a user to enter a message indicating the purpose of the document.		2				
14.23	Imaging	General System Requirements	Enterprise Content Management	System	The system must provide the capability to place freshly scanned document images into a non-PAS folder for cases where ICERS does not want certain documents to go into the PAS.		2				
14.24	Imaging	General System Requirements	Enterprise Content Management	System	The system must be able to identify documents that have an encoded document identifier (such as a barcode printed on the document) and automatically apply/associate these documents to the correct workflow, task, and/or member, if applicable.		2				
14.25	Imaging	General System Requirements	Enterprise Content Management	System	The system must be able to read and interpret a barcode located anywhere on a document.		2				
14.26	Imaging	General System Requirements	Enterprise Content Management	System	The system must be able to read and interpret a barcode forwards and/or backwards.		2				
14.28	Imaging	General System Requirements	Enterprise Content Management	System	The system must be able to read and interpret barcodes of varying sizes on documents.		2				
14.29	Imaging	General System Requirements	Enterprise Content Management	System	The system must be able to interpret a barcode on a document and automatically index the document based on the values encoded in the barcode.		2				
14.30	Imaging	General System Requirements	Enterprise Content Management	System	The system must provide the capability for a user to view documents in the incoming folders prior to indexing and filing, even though the documents may not yet be accessible from the PAS environment.		2				
14.31	Imaging	General System Requirements	Enterprise Content Management	System	The system must provide the capability to retrieve documents from the repository using document attributes and/or combinations of attributes as search criteria.		2				
14.32	Imaging	General System Requirements	Enterprise Content Management	System	The system must provide the capability for users to search on annotations, comments, and redactions that are associated with a document, folder, or group of documents.		2				

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14.33	Imaging	General System Requirements	Enterprise Content Management	System	The system must provide the capability for users to browse stored documents based on their user access permissions.		2				
14.34	Imaging	General System Requirements	Enterprise Content Management	System	The system must provide the capability to specify partial matches and allow for the designation of "wild card" fields or characters.		2				
14.35	Imaging	General System Requirements	Enterprise Content Management	System	The system must open documents within the repository as view-only by default.		2				
14.36	Imaging	General System Requirements	Enterprise Content Management	System	The system must provide the capability for a user to edit documents within the repository.		2				
14.37	Imaging	General System Requirements	Enterprise Content Management	System	The system must provide the capability for a user to save an edited document as a new version of the document.		2				
14.38	Imaging	General System Requirements	Enterprise Content Management	System	The system must allow for documents to be marked as "viewable" by the member or employer in self-service applications.		2				
15.01	Letters, Forms, and Reports		Correspondence	Member	As a Member, I want to manage my communication preference, So that my information is delivered to my preferred destination. I will be satisfied when: • I can select my preferred communication method, such as email, postal mail, or self-service portal message. • I can select specific preferences for a specific action, such as a change notification having a different communication method than payment method updates. • Communication preferences are immediately reflected.		2				
15.02	Letters, Forms, and Reports		Correspondence	Retirement Specialist	As a Retirement Specialist, I want to manage a member's communication preference, So that I can assist a member that may not have access to their portal. I will be satisfied when: • I can select their preferred communication method, such as email, postal mail, or self-service portal message. • Communication preferences are immediately reflected within the system. • The member receives a notification that their communication method was changed by a retirement specialist.		2				
15.03	Letters, Forms, and Reports		Correspondence	Retirement Specialist	As a Retirement Specialist, I want the system to notify members of certain data changes, So that members are informed of these changes. I will be satisfied when: • Automated correspondences are generated for members when changes are made to their data in the PAS. • Correspondences are delivered to the members via their preferred communication method.		2				
15.04	Letters, Forms, and Reports		Document Management	Retirement Specialist	As a Retirement Specialist, I want system-generated outbound correspondence to be barcoded, So that the barcoded returned mail/documents can be easily identify in the imaging process. I will be satisfied when: • The system generates barcodes for outbound correspondence. • The system associates the barcodes to a specific member and process or request. • The barcodes are machine-readable and can be easily identified during scanning or uploading. • Barcoded documents scanned or uploaded to the system generate or resume a corresponding workflow.		2				

15.05	Letters, Forms, and Reports		Document Management	Retirement Specialist	As a Retirement Specialist, I want the related paperwork and documentation to be scanned and indexed into the member's account, So that I can access them easily. I will be satisfied when I can: • Scan/upload documents into the system and have them categorized by type and date. • Search and view scanned documents by type and date.		2				
15.06	Letters, Forms, and Reports		Forms	Member	As a Member, I want to complete a request form in the Member Portal, So that I can make a request to ICERS. I will be satisfied when: • I can easily complete the form online. • Portions of the form are completed based on my information in the portal. • I can submit these request forms online. • The Member Portal generates a notification of my submission.		2				
15.07	Letters, Forms, and Reports		Reports – Ad-hoc	ICERS Staff	As an ICERS Staff Member, I want the ability to create ad-hoc reports, So that I can utilize them for business needs. I will be satisfied when: • I can select or indicate what type of data I need. • I can utilize an already existing report and customize it. • I can specify the format of the report (Word, Excel, PDF, print file, etc.). • I can access historical versions of reports. • The system allows other users, with permission, to run my reports or create new reports based on my reports.		2				
15.08	Letters, Forms, and Reports		Reports Management	ICERS Staff	As an ICERS Staff Member, I want to generate and manage reports efficiently, So that I can make informed decisions, ensure compliance, and effectively manage operations. I will be satisfied when: • I can generate a comprehensive range of reports based on ICERS' operational, financial, and compliance requirements. • The system provides the ability to produce an extract/report for ACFR reporting. • The data utilized in reports is accurate, consistent, and reflects the most recent validated data. • I can export reports in various formats like PDF, Excel, CSV for sharing and further analysis. • I can schedule reports to be generated at specified intervals and automatically distributed to predefined user groups or individuals.		2				

15.09	Letters, Forms, and Reports		Letters and Form Management	ICERS Staff	As an ICERS Staff Member, I want to create, edit, and manage letters and forms efficiently, So that I can ensure consistency, accuracy, and compliance with organizational standards. I will be satisfied when: • The system allows me to create letters and forms using predefined templates and customizable fields. • I can edit letters and forms with authorized access, ensuring accurate and updated content while maintaining version control and an audit trail. • Archived and active letters and forms are easily accessible to authorized users for quick retrieval, viewing, and management. • The system allows automation in the creation, sending, and archiving of letters, ensuring timely and consistent communication with members. • The system implements data and spelling validation checks during the creation and editing of letters and forms. • The system can autofill the member's information when opening a form or letter, with the ability to modify data fields if necessary.		2				
15.10.	Letters, Forms, and Reports		Audit & Security – Letters & Forms	ICERS Staff	As an ICERS Staff Member, I want the system to manage letters and forms securely and in accordance with applicable laws, So that we maintain data integrity and adhere to regulatory standards. I will be satisfied when: • Access, editing, and management of letters and forms are restricted based on user roles and permissions. • The system maintains a comprehensive audit trail for all actions taken on letters and forms. • All letters and forms adhere to applicable laws and regulations. • The system facilitates compliance with data retention and protection policies.		2				
15.11	Letters, Forms, and Reports		Audit & Security – Reports	ICERS Staff	As an ICERS Staff Member, I want the system to generate reports efficiently and in compliance with data protection standards, So that we can ensure data security and optimal system performance. I will be satisfied when: • All reports adhere to relevant data protection and privacy standards. • The system restricts access to reports based on user roles and permissions. • An audit trail is maintained for all reports generated, capturing user details, timestamps, and criteria used. • Reports are generated expediently without notable delays and without significantly impacting system performance.		2				

16.01	File Extract	General Ledger Extract	General Ledger (Extract)	Accounting Technician	As an Accounting Technician, I want to receive a general ledger extract file from the PAS, So that I can maintain accurate financial records of inbound money and other financial transactions. I'll be satisfied when I can: • Receive a general ledger extract file from the PAS in a format organized according to ICERS' current Chart of Accounts. • Receive a general ledger extract file from the PAS that includes all financial data needed to accurately and efficiently complete required financial reporting: o Contributions from employer payroll processing o Buyback payments from employer payroll processing o Buyback payments received directly from members o Buyback payments received from rollovers o Benefit payments to members, survivors, and alternate payees o Returns and recoveries from adjustments to prior benefit payments o Reserve fund movements for retirements, deaths, and adjustments to benefits o Interest posted to member accounts • Receive a general ledger extract file from the PAS in the format needed to import directly to the County's accounting system. • Generate the extract file from the PAS on a schedule based on ICERS' financial calendar, another user-defined timetable, or on-demand. • Include financial transactions from the PAS in the GL without the need for manual entry.		1				
16.02	File Extract	Actuarial File Extract Audit File Extract	Actuarial Files and Audit Files (Extracts)	Assistant Retirement Administrator	As an Assistant Retirement Administrator, I want to export actuarial files and/or audit files from the PAS, So that I can send our actuary a snapshot of ICERS' member population as of June 30th. I'll be satisfied when I can: • Preview the extract file in the PAS system prior to finalizing the extract. • Individually run the extract of each population group or select to run all population groups. • Export the extract in different formats, such as: o CSV o Fixed length o TXT o Excel o XML • Revise the data elements, selection parameters, and output format of the actuarial extract file or table quickly and easily.		1				
16.03	File Extract	General System Requirements	Extract	System	The system must provide the capability to create general ledger extract files organized according to ICERS' current Chart of Accounts.		2				
16.04	File Extract	General System Requirements	Extract	System	The system must provide the capability to create general ledger extract files in a format that can be consumed by/uploaded into the county's G/L system (One Solution).		2				
16.05	File Extract	General System Requirements	Extract	System	The system must create individual, detailed transactions that represent the smallest level of granularity corresponding to a financial transaction. These general ledger transactions will be accumulated at an aggregated level determined by the type of financial transaction and the posting date, and the accumulated general ledger transaction records will form the basis of general ledger extract files.		2				
16.06	File Extract	General System Requirements	Extract	System	The system must track and batch all financial transactions that occur in the system to be included on the general ledger extract files.		2				

16.07	File Extract	General System Requirements	Extract	System	The system must provide the capability to define, configure, and store financial transaction categories, such as employee contributions, employer contributions, service purchases, refunds, etc. and associate identifying codes to all transactions included on the general ledger extract files.		2				
16.08	File Extract	General System Requirements	Extract	System	The system must create general ledger entries and hold these in a pending status according to ICERS's business rules until reconciled, reviewed, and approved at a summary and detail level.		2				
16.09	File Extract	General System Requirements	Extract	System	The system must generate indicators, such as posted date and time stamp, for items that have previously been posted to a general ledger extract file. Search tools will allow an internal user to review groupings of data posted to the general ledger by date range.		2				
16.10	File Extract	General System Requirements	Extract	System	The system must have the ability to create a reversing general ledger transaction when a system process reverses or voids a transaction that has a financial impact in the system. Similarly, when a correcting transaction with a financial impact is processed, a GL transaction reflecting that correction must be generated.		2				
16.11	File Extract	General System Requirements	Extract	System	The system must provide both detail and summary level reports for use in verification and reconciliation of all general ledger transactions.		1				
16.12	File Extract	General System Requirements	Extract	System	The system must provide the capability to accommodate the definition of new general ledger accounts for processing in the general ledger extract files.		2				
16.13	File Extract	General System Requirements	Extract	System	Upon acceptance and posting of financial transactions during the active payroll process, the system must have the capability to automatically create appropriate general ledger transactions associated with employer remittances.		2				
16.14	File Extract	General System Requirements	Extract	System	The system must automatically create debit/credit transactions to the general ledger for corrections in reported data (e.g., through Active Payroll) with appropriate audit trail.		2				
16.15	File Extract	General System Requirements	Extract	System	The system must allow ICERS' users to query and report on financial information, by employer or member, to include all appropriate financial data, (e.g., amounts paid, amounts outstanding, interest adjustments, etc.).		2				
16.16	File Extract	General System Requirements	Extract	System	The system must provide the capability for withdrawals and rollovers to create general ledger financial transactions upon the generation of the withdrawal or rollover payments, not upon the setup of the withdrawal/rollover.		2				
16.17	File Extract	General System Requirements	Extract	System	The system must have the capability to track and automatically reverse/recover any applied transaction, if necessary, to a member's account or between member accounts complete with audit tracking and general ledger entries as appropriate (e.g., reversing a refund or reversing employer reporting/adjustment).		2				
16.18	File Extract	General System Requirements	Extract	System	The system must provide the ability to produce an actuarial data extract file (for the actuarial valuation process), containing specified data at the individual member level and provide summary level reports. Note: This is a cyclical process that is done once per year with actuary/auditors. ICERS will provide a complete listing of the information that is communicated with the actuary/auditors as part of this process.		2				
16.19	File Extract	General System Requirements	Extract	System	The PAS must provide the user with the ability to specify an Effective Date for the data extract in the date range "from – to."		1				
16.20	File Extract	General System Requirements	Extract	System	The system must be able to generate an Actuarial Data File and store actuarial data in a table.		2				
16.21	File Extract	General System Requirements	Extract	System	The PAS must allow for the previewing of the data extract in report format.		2				
16.22	File Extract	General System Requirements	Extract	System	The PAS must allow an authorized user to revise the data elements, selection parameters, and output format of the actuarial extract file or table quickly and easily. The specific data elements that are sent to the Actuary should be configurable and easily selectable.		2				

16.23	File Extract	General System Requirements	Extract	System	The system must allow the user to produce data on a user-specified date range; at a minimum, allowing the user to produce a one-year, two-year, and three-year snapshot for the actuary.		2				
16.24	File Extract	General System Requirements	Extract	System	The system must be able to generate queries in easy-to-read formatted reports.		2				
16.25	File Extract	General System Requirements	Extract	System	The system must be able to query any data field that exists in the system.		2				
16.26	File Extract	General System Requirements	Extract	System	The system must provide the ability to generate a "trial" run of the actuarial data for export.		2				
16.27	File Extract	General System Requirements	Extract	System	The system must maintain a detailed history of information requested by and sent to ICERS' actuary.		2				
16.28	File Extract	General System Requirements	Extract	System	The PAS must provide the ability to view an edit/validation screen of the data, in an easy- to-read format, before it gets extracted, allowing the staff member to review and modify certain parameters/data points.		2				
16.29	File Extract	General System Requirements	Extract	System	The system must have the ability to export query results in multiple file formats (CSV, fixed length, text, Excel, and XML), with a separate document specifying the record layout for each file and the values and complete descriptions for all codes used in the file.		2				
16.30	File Extract	General System Requirements	Extract	System	The PAS must have the ability to generate an annual actuarial export file and allow for field changes based on actuarial requirements, without involving the PAS vendor when changing the file layout.		2				
16.31	File Extract	General System Requirements	Extract	System	The PAS must have the ability to generate an audit export file and allow for field changes based on auditing requirements, without involving the PAS vendor when changing the file layout.		2				
17.01	Member Self-Service	User Security and Authentication	Account Creation	Member	As a Member, I want to securely create an online account using my valid personal email address, So that I can access member services online. I will be satisfied when: • I get a validation message when I try to create an account with a work email address (e.g.,.gov,.ca.gov). • I receive an email confirmation with a link to verify my email address upon account creation. • Additional information is requested to verify my identification prior to account creation. • I can read and download an End User Agreement and agree to it via a checkbox at sign-up.		2				
17.02	Member Self-Service	User Security and Authentication	MFA	Member	As a Member, I want to use multi-factor authentication to securely sign-in, So that my account is protected from unauthorized access. I will be satisfied when: • The portal provides multi-factor authentication techniques, such as security questions, image keys, text message confirmation, or authenticator app. • The portal authenticates my credentials before allowing access to my information.		1				

17.03	Member Self-Service	User Security and Authentication	Account Lockout/ Configuration	ICERS Administrator	As an ICERS Administrator, I want the portal to lock out members after a specified number of failed sign-in attempts, So that we can prevent unauthorized access. I will be satisfied when: • The portal locks out a member after a specified number of failed sign-in attempts within a short period (e.g., 12 hours). • I can configure the number of failed attempts and the lockout period. • The portal will reset the counter for unsuccessful sign-on to zero upon a successful login from member.		2				
17.04	Member Self-Service	User Security and Authentication	Password Management	Member	As a Member, I want to be able to change or recover my password, So that I can maintain secure access to my account. I will be satisfied when: • I can change my password at any time once I sign-on successfully. • I can recover my password through re-authentication if I forget it.		2				
17.05	Member Self-Service	User Security and Authentication	Compliance	ICERS Administrator	As an ICERS Administrator, I want the portal to adhere to stringent security and compliance standards, So that member data and interactions are secure and compliant with regulations. I will be satisfied when: • The portal requires passwords that are compliant with ICERS' security policy and applicable information security regulations. o ICERS to provide policy in design phase. • The portal conforms to compliance standards, including Section 508, HIPAA, and 1386 SB. • The portal provides electronic signature features that conform to California's UETA Civil Code Section 1633.1-1633.17. • The portal ensures secure and encrypted transmission of all data, including authentication and sign-on credentials		1				
17.06	Member Self-Service	Member Information	Member Data	Member	As a Member with multiple benefit accounts, I want to access all my benefit information through a single login in my member portal, So that I can seamlessly review my benefit information. I will be satisfied when: • I can see both my member benefit and survivor benefit with the same log-in. • I can switch between views of member and survivor. Note: The use of member and survivor here are examples as there can be different combinations of benefits for a member (or payee).		2				

17.06	Member Self-Service	Member Information	Member Data	Member	As a Member, I want to view and manage my personal, demographic, and beneficiary information, So that I can ensure all my details on file at ICERS are accurate and up-to-date. I will be satisfied when: • I can view my name, address, and other demographic information. • I can update certain types of information, like address changes for retirees. • I can initiate changes like name changes and changes to beneficiaries that require proof documents - the portal provides instructions on how to submit proof documents. • I can print a form to complete rather than change it online. • I can contact ICERS if I find membership information that is incorrect on the portal that I cannot change myself.		2					
17.07	Member Self-Service	Member Information	Member Data	Member	As a Member, I want to access various financial and employment-related data, So that I can stay informed about my contributions, benefits, and employment history. I will be satisfied when: • I can view my current payment data, contribution and interest balances, and tax withholding information. • I can view commonly requested information such as plan summary, Final Average Compensation, employment history, and service purchases. • I can print or generate a Member Statement type document. • I can update my tax withholding for retirement benefit payment. • I can update my bank information for direct deposit.		2					
17.08	Member Self-Service	Member Information	Correspondence	Member	As an ICERS member, I want to schedule appointments and receive notifications, So that I can have timely consultations with retirement specialists. I will be satisfied when: •I receive a notice upon login for any scheduled one-on-one meeting with a retirement specialist, including date, time, and location details. •I can request and schedule specific types of appointments through the portal within certain time blocks. •The portal provides secure messaging capability.		2					
17.09	Member Self-Service	Member Information	Forms, Letters, & Reports	Member	As a Member, I want to access my 1099R forms and monthly retirement pension statements in the portal, So that I can manage my financial records conveniently. I will be satisfied when: • I can access my current and historical 1099R forms. • I can view my monthly retirement pension statement (pay advice). • I can print both 1099R forms and monthly retirement pension statements for my records. • I can request a correction on my 1099R form through secure messaging.		2					

17.10	Member Self-Service	Member Information	Correspondence	Member	As a Member, I want to receive a notification for any account changes, So that I can keep records of any changes to my member account. I will be satisfied when: • I receive a notification of a change per my preferred communication method (USPS, secure message through portal, email, etc.).		2				
17.11	Member Self-Service	Calculators	Calculator - Benefit	Active or Deferred Member	As an Active or Deferred Member, I want to use a retirement benefit estimate calculator, So that I can plan for my retirement more effectively. I will be satisfied when: • The calculator uses my information available from the system that is appropriate for the calculation. • I can perform 'what-if' calculations. • I can manually input variables like final earnings, credited and continuous years of service, age at retirement, and retirement date to produce an estimate. • I understand what factors are used and what the calculator presents to me. • I can print and save the calculator's results, and they are distinguishable from those produced by ICERS. • The portal/PAS will only retain a set number of ‘saved’ what-if estimates in member’s account. • ICERS staff can view the benefit estimates I created on the portal in the system.		2				
17.12	Member Self-Service	Calculators	Calculator - Tax	Member	As a Member, I want to use a tax calculator to see future payments with different tax withholding and deductions, So that I can make informed financial decisions. I will be satisfied when: • I can see future payments with different tax withholding selections and any deductions like health and PGA deductions.		2				
17.13	Member Self-Service	Technical & System Administration/Accessibility & Usability	Security	ICERS Administrator	As an ICERS Administrator, I want role-based capabilities to maintain the portal, So that I can perform administrative tasks effectively. I will be satisfied when: • I can lock members out of the portal, reset passwords, and create usernames/passwords on behalf of members. • An approved staff member can authenticate a user who has called ICERS for technical support.		1				
17.14	Member Self-Service	Technical & System Administration/Accessibility & Usability	Forms, Letters, & Reports	Member	As a Member, I want to manage documents and forms through the portal, So that I can make necessary updates and submissions. I will be satisfied when: • I can upload and download files. • I can submit forms and documents through the portal, and ICERS can also send forms and documents to me through the portal. • The portal provides editable PDF forms that autofill my information but also allows for modifications.		2				

ICERS Attachment 7B - Functional Requirements Workbook

17.15	Member Self-Service	Technical & System Administration/Accessibility & Usability	Member Self-Service	Member	As a Member, I want the portal to have electronic signature capabilities, So that I can make official changes and submissions. I will be satisfied when: • The portal conforms to California law regarding electronic signatures. • I can affix an electronic signature to documents or select "I Agree" within electronic forms to submit official changes.		2				
17.16	Member Self-Service	Technical & System Administration/Accessibility & Usability	ADA	Member	As a Member, I want the portal to be accessible and user-friendly, So that I can easily navigate and interact with the portal. I will be satisfied when: • The portal uses member-friendly vocabulary while also abiding by IRS-specific wording, where applicable. • The portal is ADA compliant and provides capabilities like changing font size and zooming in/out on content. • Choices on the portal are depicted by both color and text, if color is used.		2				
17.17	Member Self-Service	Technical & System Administration/Accessibility & Usability	Workflow & Case Management	ICERS Staff	As an ICERS Staff Member, I want to receive a workflow when a member submits a document or form through the member self-service portal, So I can properly account for the document/form and its associated task. I will be satisfied when: • The system automatically creates a workflow when a document is received through the portal. • The system automatically saves a copy of the submitted document in the member's account upon submission. • I can confirm that the document is accessible and correctly filed in the member's account after processing.		2				

Attachment 8 – Technical Questionnaire

A Word format version of this document can be provided separately for completion.

This appendix is divided into two parts:

- Technical Requirements Questionnaire - Responders must complete and return the accompanying questionnaire with their response.
- Technical Requirements Workbook - Responders are required to fill out and submit this workbook as a component of their response.

Important Note for Respondents:

- Option A (PAS Implementation): Complete all sections based on your proposed system solution
- Option B (Third-Party Administration): Complete all sections based on the systems you will use to administer ICERS' plan. While TPAs will use their own administrative systems, you must demonstrate how your technical environment supports delivery of ICERS' requirements

8.1 Technical Requirements Questionnaire

The first component is a Technical Requirements Questionnaire attachment. Responders must complete and return the questionnaire as part of their response.

For the version of the solution you are proposing, provide the following information. There is nothing to be implied from the question identification numbers other than simple identification.

General

General	
8.1	Describe your proposed technical solution based on ICERS' requirements as stated in this RFP.
8.2	Is there a planned sunset date for your proposed solution within the term of the contract? If so, describe the potential replacement solution.
8.3	Describe how the proposed solution supports public records requests, legal discovery, and legal holds.
8.4	Describe how the proposed solution supports the timely and secure archival of records as may be required by record retention policies.
8.5	Describe your recommended cloud hosting approach and provide details on this approach.

General	
8.6	Describe the overall architecture of your Solution. This includes platform architecture which identifies servers, databases, networks, identity services, and architecture components required for sustaining ICERS' core business. Such architecture includes the presentation layer, application infrastructure layer as well as the storage architecture for the data. Include information on the platform technology and version proposed for this implementation (e.g. Microsoft Windows Server, Linux etc.), including overall architecture, software and hardware version requirements.
8.7	Provide an overview of your approach to integration and decoupling of architectural components. This includes information on any open application programming interfaces and/or other REST/SOA-based techniques that will enable the Solution's integration with the present architecture. Describe how this platform can manage, orchestrate, or trigger processes with external systems.
8.8	Describe the overall security architecture of the Solution. How will requirements and policies around safeguarding, accessing and distributing ICERS data be enforced? How is security addressed across multiple layers (policy, perimeter network, internal network, endpoint, application layer, identity and authorization layer (RBAC), and data encryption)? What specific industry standards does your system comply with? How often is the Solution audited or reviewed by third-party security firms? Would you permit ICERS, through an external ICERS vendor, to conduct a security assessment of ICERS's instance of your System?

General	
8.9	What recognized cybersecurity framework (e.g., NIST CSF, ISO 27001, CIS Controls) does your organization adhere to, and how do you ensure ongoing compliance with the latest version of the chosen framework?
8.10	Please describe the planned lifespan of the proposed Solution including the core product, database version, operating system, and any other utility Software required for the Solution. How long into the future will the Solution continue to provide return on investment to clients in terms of business efficiencies, accommodations to legislative change, functional enhancements, customer support, and other gains?
8.11	What relational database management system (RDBMS) technologies are supported by your Solution? Which version(s)? Is your Solution compatible with cloud-native managed RDBMS (e.g., Azure SQL, Google Cloud SQL, AWS RDS)?
8.12	Does your Solution support integration (both process and user interface) with other applications? Describe the application programming interfaces (APIs) available as well as the security design to ensure pass-through authentication, system accounts, and logging.

General	
8.13	Describe your overall data model. How does your data model support scalability? Provide information on the data schema transparency and the ability to extract data for analytics purposes.
8.14	How will you ensure that all changes to the data model are documented and provided to ICERS in advance, allowing sufficient time to evaluate the impact on third-party applications?
8.15	Will you update the Data Dictionary in the same manner as system specifications when changes occur, ensuring that the dictionary remains accurate and up-to-date throughout the system's lifecycle?
8.16	Please confirm your cloud based Solution hosting approach.
8.17	Describe how your proposed solution will recover work-in-progress in the event of a system failure.
8.18	Describe how the infrastructure of the proposed solution is designed such that reporting will not impact production performance.

General	
8.19	Explain your print output management approach and built-in proposed functionality to accommodate high volume print jobs.
8.20	Describe how the proposed solution is architected to avoid overnight, weekend, or otherwise off-hour processing.
8.21	Describe how you are planning to provide ICERS access to nonproduction environments (development, test, staging, and other environments) during implementation and after go-live.
8.22	Explain how the system will maintain historical data that will allow ICERS insight into previous configuration changes and parameters (i.e., is this in the form of a log file or is it a history record inside the application)?
8.23	Describe how the proposed solution will achieve the desired response time and performance requirements.
8.24	Describe how response time will be measured and reported to ICERS. Include sample reports and dashboards in the Proposal.

General	
8.25	List any tools necessary to periodically test the system's operational performance.
8.26	Describe how the proposed solution will handle concurrent processing without impeding any aspect of ICERS' operations or day-to-day business.
8.27	Discuss how the proposed solution addresses scalability issues. You must address how you have considered not only future load, but also potential functionality not presently considered by ICERS.
8.28	Describe what planned outages are required by the solution, including production changes, scaling up/down, and routine maintenance. Describe the planning for installation, configuration, tuning, and similar or related activities during evening and weekend hours as needed to ensure there will be a minimum of downtime of ICERS' normal production activity.

Product

Product	
8.29	Provide an overview of your core product configuration, and client-specific customization for your Solution. What guardrails are in place to ensure backwards compatibility?
8.30	Describe any integrated development environment (IDE) required to configure business logic and functionality for your application. Include detailed system requirements and a description of code/configuration deployment procedures. Are all configurations backwards compatible?
8.31	Which database connectivity standards are used by the Solution (e.g. ODBC compliance, JDBC, OLEDB, etc.)?
8.32	Please indicate the type of software license(s) of additional tools that will be required to support the Solution (e.g. MQ, SSIS, Red Hat, IntelliJ, Visual Studio, Logging Tools). Please confirm that any applicable fees are included in the overall pricing of your Solution.
8.33	Describe your fine-grained role-based access control (RBAC) design and approach for document storage (ECM)?

Product		
8.34	Describe your approach and controls for encryption with regard to data that is in transit between internal and external components.	
8.35	Describe your approach and controls for encryption at rest, including field-level encryption.	
8.36	Does the Solution provide the following: (any NO answers must be detailed below)	
	• Provide a view into the overall data model (eg. UML)	☐ YES ☐ NO
	• Include application programming interface / integration points for YES NO non-transactional data, such as summaries, histories, and other external data	☐ YES ☐ NO
	Explanation of any "NO" answers:	
8.37	Please describe how software version control is implemented, and how updates and upgrades will be coordinated with ICERS's computing environment. Also, if the proposed Solution involves the products of multiple vendors, explain how	

Product	
	version compatibility will be maintained among the various products. How is security certification maintained for new versions?
8.38	Please include a description of the type of authentication and federation methods supported in the application for ICERS business users.
8.39	Please include a description of the integration with ICERS' customer identity & access management (CIAM) provider as part of your application.
8.40	Please provide information on overall login and password handling defaults for the Solution, including but not limited to: • Integration with customer identity & access management (CIAM) provider • Password lengths and general password requirements • Login handling -- e.g. how many unsuccessful attempts will result in a locked account, etc. • Audit trail and logging information • Notifications, reporting and monitoring • Multi-factor authentication options

Product	
8.41	Please disclose the full breadth of batch processes below, along with the reasons for these batch jobs. For each job, please also list the estimated impact on normal ICERS operations.

Cloud Hosting

Cloud Hosting	
8.42	What type of cloud deployment models do you offer? If the cloud is shared, how do you segregate data between different clients within the cloud environment?
8.43	How often do you undergo third-party security assessments, audits and/or penetration tests? Can you provide the latest results?
8.44	Are you able to integrate with ICERS' Active Directory federated identity system to provide SSO functionality to your cloud service from ICERS staff workstations?
8.45	What is your organization's approach to cybersecurity?

Cloud Hosting	
8.46	What is your plan for notifying customers of potential security incidents or data breaches?
8.47	How do you support scaling of services as the needs of ICERS change over time?
8.48	What Cloud provider are you proposing?
8.49	What datacenters/regions will be used as the Primary and Secondary locations?
8.50	Please indicate whether the proposed cloud hosting solution is a Community, Public, Government, Private or Hybrid cloud.
8.51	If the proposed cloud hosting solution utilizes a third-party cloud service provider: • Who is the third-party cloud service provider? • How long have you had a business relationship with this provider? • What is the division of duties/responsibilities between ICERS, the Responder, and the third-party cloud services provider in the delivery of services under this RFP? • How will ICERS interact with the third-party cloud services provider?

Cloud Hosting	
	• Does the third-party cloud services provider require ICERS to agree to a Terms of Service agreement (TOS)? Is so, please include a copy of the TOS in the proposal response. • What responsibility does the third-party cloud services provider have for assuring proper patching and version control? How are the responsibilities between the Responder and third-party cloud services provider coordinated?
8.52	How many clients are currently in production using the proposed cloud hosting solution?
8.53	Where is the location of the primary hosting facility? Where is the location of any secondary or back-up hosting facility?
8.54	What are the standard Service Level Agreements for: — System availability — Performance — Support response times — Issue resolution — Maintenance windows

Cloud Hosting	
8.55	Can ICERS access and manage its data through standard tools, or are proprietary tools required?
8.56	How are software updates and system maintenance handled? What is the typical duration of maintenance windows?
8.57	What monitoring and alerting capabilities are provided? How will ICERS be notified of system issues?
8.58	What is the typical outage time for standard hardware and software updates?
8.59	Describe your backup strategy, including: — Frequency of backups — Retention periods — Recovery time objectives — Recovery point objectives
8.60	How will the architecture be managed to scale services during peak load demands?

Cloud Hosting	
8.61	What are the service monitoring and alerting capabilities of the solution? How will ICERS be notified of system issues?
8.62	Please describe your experience deploying a combined Client/Vendor cloud hosting environment such that various solution components are split between your cloud hosting environment and the Client's network. Also, describe the advantages and disadvantages of this approach.
8.63	Describe the minimum networking and bandwidth requirements that ICERS will need to access the proposed solution at the Cloud Services Provider.
8.64	Describe the proposed solution's backup strategy and frequency of backup.

System Recoverability and Business Continuity Plans

System Recoverability and Business Continuity Plans	
8.65	What types of recovery strategies are available and what levels of recovery are they equipped to solve? This discussion should cover:

System Recoverability and Business Continuity Plans	
	— Services offered for recovery protection (i.e., 24-hour emergency coverage) — The response protocol in the wake of malfunctions covering every step from repair to replacement — Restoration and recovery procedures — Local or geographically redundant replication — Tools used to recover the database and application to a known state
8.66	Please describe your business continuity plans and/or disaster recovery plans based on your cloud hosting approach.

Operational Support

Operational Support	
8.67	Please list the administrative tools (including their functions) that will assist staff in managing everyday operations. This includes: — Data backup and recovery — System monitoring and alerts — User administration — Error handling and correction procedures

Operational Support	
	— Performance monitoring
8.68	Please describe how your support team accesses the Solution when providing support. Include: • Security procedures for accessing ICERS data • Authentication and authorization controls • Audit logging of support activities • Duration limits for support access
8.69	What tools are provided to monitor and test system performance? How will ICERS staff be notified of performance issues?
8.70	What technical skills and training will ICERS staff need to effectively use and manage the system? What ongoing training is provided?
8.71	Describe the audit capabilities of your system: • What types of activities are logged? • How can ICERS staff access and review audit logs? • How long are audit records retained?

Operational Support	
	• What standard audit reports are available?
8.72	How does your Solution integrate with common accounting systems? Please describe the standard file formats and integration methods supported.

Reporting

8.73	Please describe your Solution's reporting capabilities: • What standard reports are included? • How are reports created and modified? • What skills are needed to create new reports? • What report formats are available (PDF, Excel, etc.)? • How do you ensure report generation doesn't impact system performance? • What business intelligence tools can integrate with your solution?

ECM

ECM	
8.74	Please describe your Solution's document management capabilities: • How are member documents stored and retrieved? • What types of documents can be stored? • How are documents indexed and searchable? • What security controls are in place for document access? • How long are documents retained in the system?

Process Management (Workflow)

Process Management (Workflow)	
8.75	Please describe how your Solution helps staff manage and track work: • How are tasks assigned and monitored? • What standard processes are included? • Can ICERS staff modify basic process steps? • How are exceptions handled? • How are deadlines and priorities managed?

Customer Relationship Management

Customer Relationship Management	
8.76	Please describe how your Solution helps staff manage member interactions: • How are member inquiries tracked? • What member contact history is maintained? • How are follow-up tasks managed? • What member communication tools are included? • How are member requests monitored through completion?
8.77	Please describe your Solution's phone system capabilities: • What IVR (Interactive Voice Response) features are available? • How does the phone system integrate with member records? • What call statistics and reporting are provided? • How are calls routed to appropriate staff? • How are peak call volumes managed?

8.2 Technical Requirements Workbook

The technical specifications are described in detail in the **Attachment 8A – Technical Requirements Workbook**. Respondents must complete and return this workbook as part of their response. Respondents must clearly indicate whether they are responding to Option A (PAS Implementation) or Option B (Third-Party Administration Services).

Workbook Structure

Each technical requirement is identified by a unique number. These numbers are for reference purposes only and must not be altered by Respondents.

- For Option A (PAS Implementation) responses, requirements should be addressed in terms of system capabilities and technical functionality.
- For Option B (Third-Party Administration Services) responses, requirements should be addressed in terms of the administrative platform's capabilities, supporting infrastructure, and service delivery.

Priority Definitions

Priority 1 (Critical)

ICERS must have this requirement included in the proposed solution or service delivery.
For Option A: The solution should meet the requirement and ICERS' business process as written. If your solution deviates significantly, provide an explanation of how the requirement will be met.
For Option B: The service delivery must meet the requirement and ICERS' business process as written. If your approach deviates significantly, explain how the requirement will be met.

Priority 2 (Required)

ICERS must have this requirement included.
For Option A: The solution must meet the requirement, but ICERS may adjust its business process to align with the solution.
For Option B: The service delivery must meet the requirement, but ICERS may adjust its business process to align with the service provider's standard procedures.

Priority 3 (Important)

ICERS would prefer this requirement fulfilled but recognizes it may require additional work or cost. ICERS requests detailed pricing for Priority 3 items, which must be separately identified in the Cost Worksheet.

Pricing and Priority Designation

The Respondent is required to include in their fixed price bid all functionality/services identified as Priority 1 and Priority 2, which are critical to ICERS.

All Priority 3 requirements will be assumed to be included in the fixed price unless specifically listed as an additional cost in the Cost Worksheet.

ICERS Attachment 8B - Technical (and Cybersecurity) Requirements Workbook

ID	Process	Sub-Process	Feature/Name	Role	Requirement	Priority	Meets Requirement	Meets Requirement with Modification (see comment)	Does Not Meet Requirement (see comment)	Comment
18.01.01	Cybersecurity	Access Control	Policy and Procedures	Vendor	The Proposed Vendor shall provide their access control policy to ICERS annually to determine if the expected security has been appropriately implemented in the Proposed Solution's hosted environment.	1				
18.01.02	Cybersecurity	Access Control	Account Management	Vendor / Solution	The Proposed Vendor and Solution shall have the ability to establish and manage user accounts, relying upon operating system or other software controls to ensure that only access privileges necessary for each user's assigned roles are provisioned.	1				
18.01.03	Cybersecurity	Access Control	Account Management	Solution	The Solution shall have the ability to manage individual accounts and uniquely identify privileged users. Types of individual accounts include: - User - Auditor - System Administrator	1				
18.01.04	Cybersecurity	Access Control	Account Management	Management	System and service level accounts, only those generated by the operating system and necessary for system operation are permitted, shall be managed.	1				
18.01.05	Cybersecurity	Access Control	Account Management	Vendor	All vendor personnel changes shall result in a notification within three (3) days to ensure the timely realignment of privileges commensurate with the duties and responsibilities of the new role. Changes resulting in reduced privilege requirements shall be processed promptly.	1				
18.01.06	Cybersecurity	Access Control	Account Enforcement	Vendor	The Proposed Vendor and solution shall have the ability to only grant access to system information for which they have a need to know, using predefined roles and privileges.	1				
18.01.07	Cybersecurity	Access Control	Access Enforcement	Vendor	The Proposed Vendor shall ensure that access to the Line of Business application is secured through VPN encryption tunnel and protected with MFA. The encryption standard employed should be compliant with FIPS 140-3 specifications.	1				
18.01.08	Cybersecurity	Access Control	Information Flow Enforcement	System / Solution	Systems that have interconnections with the Proposed Solution hosted environment shall have agreements for that interconnectivity, including security controls that specify the maintenance of the privacy of the information exchanged. ICERS System owners shall approve all interconnected systems.	1				

18.01.09	Cybersecurity	Access Control	Separation of Duties	Management	Oversight and management shall be performed over system administrators to ensure that those involved in making any privileged changes to the Proposed Solution are reviewed and monitored.	1				
18.01.10	Cybersecurity	Access Control	Separation of Duties	Solution	The Selected Solution shall exhibit the capability to highlight defined functional and/or administrative separation of duties. All irregularities shall be included in the reporting requirements contained herein.	1				
18.01.11	Cybersecurity	Access Control	Least Privilege	Solution	The Proposed Solution shall predefine roles for server logins that provide only the access required to perform required maintenance functions.	1				
18.01.12	Cybersecurity	Access Control	Least Privilege	Management	Assigned user privileges are defined with the least amount of rights/privileges that will enable the user to perform the tasks they are required to perform.	1				
18.01.13	Cybersecurity	Access Control	Unsuccessful Login Attempts	Solution	The Proposed Solution shall ensure that server configurations include the configurable settings for password attempts and temporary account locking.	2				
18.01.14	Cybersecurity	Access Control	Unsuccessful Login Attempts	Server	Networking devices and servers are configurable to enforce account locking capability.	2				
18.01.15	Cybersecurity	Access Control	Unsuccessful Login Attempts	Solution	Ability to configure parameters to lock and unlock accounts due to invalid login attempts (i.e., number of attempts within a period of time locks account for certain duration). To be defined by ICERS.	2				
18.01.16	Cybersecurity	Access Control	System Use Notification	Solution	The Proposed Solution shall display an ICERS-required system use notification message before processing user credentials and granting access. This message shall be configurable and editable.	1				
18.01.17	Cybersecurity	Access Control	Session Lock	Solution	The Proposed Solution shall allow configuration of maximum duration of idle time for the disconnected session.	3				
18.01.18	Cybersecurity	Access Control	Session Lock	Solution	Ability to configure user inactivity controls.	1				
18.01.19	Cybersecurity	Access Control	Session Lock	Solution	The session is terminated by the server and the user must initiate a new session to resume activity after the session termination requirement stated herein.	2				
18.01.20	Cybersecurity	Access Control	Session Lock	Solution	The Proposed Solution shall allow for external applications (e.g., the Employer Portal) to have an alternative idle time setting which will be configurable.	1				
18.01.21	Cybersecurity	Access Control	Session Termination	Solution	The Proposed Solution shall allow configuration of all servers to terminate the session, after idle time. The user is prompted to (re)authenticate in order to continue system use prior to session termination.	2				

18.01.22	Cybersecurity	Access Control	Session Termination	Solution	After the session has been terminated, users will need to reauthenticate and reinitiate processing.	2				
18.02.01	Cybersecurity	Awareness and Training	Security Awareness and Training Policy and Procedures	Vendor	The Proposed Vendor shall perform formal annual security awareness and training in support of the ICERS hosted environment. The proposed training shall include, at a minimum: - Handling of Personally Identifiable Information (PII) - Health Information Portability and Accountability Act (HIPAA) Training - Phishing Awareness Training, and - General Security Training (To include the requirements contained herein)	1				
18.03.01	Cybersecurity	Audit and Accountability	Audit and Accountability Policy and Procedures	Vendor	The Proposed Vendor shall provide a copy of their audit and accountability policy to ICERS annually to determine if the expected security has been appropriately implemented in the Proposed Solution's hosted environment.	1				
18.03.02	Cybersecurity	Audit and Accountability	Audit Events	Solution	The Proposed Solution shall ensure all capturable events are subject to inclusion in audit logs to support near-real-time and after-the-fact reviews of system activity.	1				
18.03.03	Cybersecurity	Audit and Accountability	Response to Audit Processing Failures	Solution	The Proposed Solution shall be capable of triggering an alert if log recording fails to operate normally.	1				
18.03.04	Cybersecurity	Audit and Accountability	Audit Review, Analysis, and Reporting	Vendor	The Proposed Vendor and solution shall have the capability to perform periodic review and analysis of audit records for indications of inappropriate or unusual activity and report any findings and associated data of said activity immediately to ICERS for review.	1				
18.03.05	Cybersecurity	Audit and Accountability	Time Stamps	Solution	The Proposed Solution shall synchronize timestamps using internal system clocks to corroborate entries across diverse servers using the NIST Network Time Protocol (NTP) to generate time stamps for audit records that are stored internally in UTC-compatible format.	1				
18.03.06	Cybersecurity	Audit and Accountability	Protection of Audit Information	Vendor	The Proposed Vendor and Solution shall restrict access to audit logs and audit tools only to authorized personnel and make said logs and tools available to ICERS.	1				
18.03.07	Cybersecurity	Audit and Accountability	Audit Record Retention	Vendor	Audit logs shall be retained in conformance with ICERS's Records, Retention, and Major Systems Storage Retention Policy.	1				
18.03.08	Cybersecurity	Audit and Accountability	Audit Record Retention	Solutions	The Solution's record retention capability shall be configurable to ensure flexibility in meeting legislative requirements.	1				

ICERS Attachment 8B - Technical (and Cybersecurity) Requirements Workbook

18.03.09	Cybersecurity	Audit and Accountability	Certification, Authorization, Security Assessment Policies and Procedures	Vendor	The Proposed Vendor shall provide their security assessment and authorization policy to ICERS annually to determine if the expected security has been appropriately implemented in the Proposed Solution's hosted environment.	1				
18.03.10	Cybersecurity	Audit and Accountability	Security Assessments	Vendor	The Proposed Vendor shall perform formal security assessments upon all information systems and provide SOC2 Type 2 reports or other evidence of vulnerability management and mitigations, over multiple periods, to ICERS for review.	1				
18.03.11	Cybersecurity	Audit and Accountability	Plan of Action and Milestones	Vendor	The Proposed Vendor shall develop a Plan of Action and Milestones (POAM) post-assessment to address how high priority risks are to be resolved.	3				
18.03.12	Cybersecurity	Audit and Accountability	Continuous Monitoring	Solution	The Proposed Solution shall ensure continuous monitoring of the hosted environment in alignment with the industry's best practices.	2				
18.04.01	Cybersecurity	Configuration Management	Configuration Management Policies and Procedures	Vendor	The Proposed Vendor and Solution shall demonstrate that it has a formal security configuration management process that aligns to ITIL Best Practices and addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance applied to all organizational entities with access to the Proposed Solution. The policy shall be provided to ICERS for review.	1				
18.04.02	Cybersecurity	Configuration Management	Baseline Configuration	Vendor / Solution	The Proposed Vendor and Solution shall demonstrate that its Information Security Policy and associated Procedures discusses configuration management.	1				
18.04.03	Cybersecurity	Configuration Management	Baseline Configuration	Vendor	Proposed Vendor shall develop, document, and maintain baseline configuration documentation to support the system implementation and ensure it conforms to the baseline.	1				
18.04.04	Cybersecurity	Configuration Management	Configuration Change Control	Vendor	The Proposed Vendor's Information Security Policy and associated Procedures shall discuss how changes to the Proposed Solution hosted environment would be approved by authorized ICERS personnel.	1				
18.04.05	Cybersecurity	Configuration Management	Configuration Change Control	Solution	Controls are implemented to assure changes shall not be promulgated to the Proposed Solution unless approved by ICERS as part of the configuration management policy.	1				

18.04.06	Cybersecurity	Configuration Management	Access Restrictions for Change	Vendor	The Proposed Vendor’s Information Security Policy and associated Procedures shall have controls to ensure that only authorized system administrators can make approved changes to the Proposed Solution systems, either on-site or remotely via VPN.	1				
18.04.07	Cybersecurity	Configuration Management	Configuration Settings	Vendor	The Proposed Vendor’s Information Security Policy and associated Procedures shall ensure Center for Internet Security or industry best practice guidelines are followed to harden the operating system and network components to the most restrictive settings consistent with Moderate Risk while permitting system operation.	1				
18.04.08	Cybersecurity	Configuration Management	Configuration Settings	Solution	For all enabled functionality the Proposed Solution shall maintain a reportable inventory of all system settings and configurations.	1				
18.04.09	Cybersecurity	Configuration Management	Configuration Settings	Solution	These settings and configurations shall not be adjusted without following the approved change management process.	1				
18.04.10	Cybersecurity	Configuration Management	Least Functionality	Vendor	The Proposed Vendor’s Information Security Policy and associated Procedures shall ensure that all ports, protocols, and/or services are prohibited by default.	1				
18.04.11	Cybersecurity	Configuration Management	Least Functionality	Vendor	The Proposed Vendor shall provide all functions, ports, protocols and/or services required to be allowed-by-exception for system operability for approval by ICERS.	1				
18.04.12	Cybersecurity	Configuration Management	Least Functionality	Vendor	Under all conditions the following must be restricted: - Telnet - FTP - SSH version 1 - Terminal Services - Port - 1433 for SQL Server - Adobe Flash - SMB v1	1				
18.05.01	Cybersecurity	Contingency Planning	Contingency Planning Policy and Planning	Vendor	The Proposed Vendor and Solution shall ensure backup and recovery procedures address Proposed Solution formal contingency plan processes.	1				
18.05.02	Cybersecurity	Contingency Planning	Contingency Planning Policy and Planning	Solution	The formal documented contingency plan, policy, and procedures address purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance applied to all organizational entities with access to the Proposed Solution.	1				

18.05.03	Cybersecurity	Contingency Planning	Contingency Plan	Solution	The disaster recovery plan should accomplish the following: 1. Identifies essential missions and business functions with associated contingency requirements to continue delivering ICERS retirement plan participant services. 2. Defines Recovery Time Objective (RTO) and Recovery Point Objective (RPO) objectives, priorities and metrics for the Proposed Solution as identified herein. 3. Defines roles, specific responsibilities, and assigned individuals supporting the successful implementation of the Contingency Plan including contact methods and communication protocols. 4. Discusses the methods for maintaining essential business missions and functions during system disruption, compromise or failure including the method to determine whether to maintain operations-in-place or transfer operations to an alternate datacenter. 5. Includes ultimate restoration to normal operations within the original security framework and internal recertification procedures. 6. Provides for annual review, update, approval, and testing to ensure effectiveness.	1				
18.05.04	Cybersecurity	Contingency Planning	Contingency Plan Testing	Solution	An annual test of the Contingency Plan shall be conducted to ensure that the plan, assigned personnel, and resources are prepared and capable to perform required tasks to continue or restore services and system functionality.	2				
18.05.05	Cybersecurity	Contingency Planning	Contingency Plan Testing	Solution	The plan shall test leveraging controlled failover events in conjunction with ICERS approval and participation.	2				
18.05.06	Cybersecurity	Contingency Planning	Alternate Storage Site	Solution	The disaster recovery procedures shall have backup processes that replicate content to alternate processing sites for use in restoring the system.	1				
18.05.07	Cybersecurity	Contingency Planning	Alternate Processing Site	ICERS	ICERS has identified the Proposed Solution as a Critical Application and requires an RTO 24 hours or less and RPO of 15 minutes or less.	1				
18.05.08	Cybersecurity	Contingency Planning	Telecommunications Services	Solution	The disaster recovery procedures shall ensure the Recovery Datacenter provides internet access from the ICERS main office governed by the necessary agreements to permit resumption of information system operations for the Proposed Solution within the RTO and RPO defined in the contingency plan.	1				

18.06.01	Cybersecurity	Identification and Authentication	Identification and Authentication Policy and Procedures	Vendor	The Proposed Vendor's security policy shall define and address how users are credentialed and are granted access to the Proposed Solution.	1				
18.06.02	Cybersecurity	Identification and Authentication	Identification and Authentication Policy and Procedures	Vendor	The formal documented identification and authentication policy and procedures shall address purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities and compliance applied to all organizational entities with access to the Proposed Solution.	1				
18.06.03	Cybersecurity	Identification and Authentication	User Identification and Authentication	Vendor	The Proposed Vendor's security policy and associated Procedures shall address formal identification and authentication processes for the Proposed Solution. All local accounts require authentication using the same password complexity as network accounts.	1				
18.06.04	Cybersecurity	Identification and Authentication	User Identification and Authentication	Vendor	The technique for identification and authentication includes user IDs and passwords, tokens for VPN, Multi-Factor Authentication, or any combination of methods that the system can trust to always work effectively.	1				
18.06.05	Cybersecurity	Identification and Authentication	User Identification and Authentication	Vendor	The solution shall have the capability to enforce multi-factor authentication for all accounts, independent of location.	1				
18.06.06	Cybersecurity	Identification and Authentication	User Identification and Authentication	Vendor	Each privileged user is required to have, at a minimum, a unique user ID and password to access any system to enforce the user's unique identity.	1				
18.06.07	Cybersecurity	Identification and Authentication	User Identification and Authentication	Vendor	The Proposed Vendor's security policy and associated Procedures shall ensure all access to the Proposed Solution from remote sites requires multi-factor authentication to establish VPN connectivity to the Proposed Solution. ICERS requires multi-factor authentication inside the trusted ICERS Local Area Network (LAN) to connect to Proposed Solution components.	1				
18.06.08	Cybersecurity	Identification and Authentication	User Identification and Authentication	ICERS	ICERS does require multi-factor authentication from the trusted ICERS LAN.	1				
18.06.09	Cybersecurity	Identification and Authentication	User Identification and Authentication	Vendor	Privileged users including the vendor's support personnel would have to log in with their regular (non-privileged) user account to establish VPN connection and then log in separately with their privileged user account credentials to perform administrative functions.	1				
18.06.10	Cybersecurity	Identification and Authentication	Identifier Management	Vendor	Users are uniquely identified by user ID. Disabled accounts are retained for a minimum of two years before re-use is permitted.	1				

18.06.11	Cybersecurity	Identification and Authentication	Identifier Management	Vendor	User identifiers are manually disabled after ninety (90) days of inactivity.	1				
18.06.12	Cybersecurity	Identification and Authentication	Authenticator Management	Vendor	The Proposed Vendor’s security policy and associated Procedures shall define and address formal identification and authentication processes for the Proposed Solution.	1				
18.06.13	Cybersecurity	Identification and Authentication	Authenticator Management	Solution	Authenticators must be configurable to satisfying the following criteria: - Password must not match the prior number of passwords - Password must be a minimum length; minimum length if MFA is enabled - Password cannot contain all or a substantial part of the user ID - Password are required to contain a combination of characters from all the following categories: o Upper case characters (A-Z) o Lower case characters (a-z) o Base 10 digits (0-9) o Non-alphanumeric characters (e.g., !&$%)	1				
18.06.14	Cybersecurity	Identification and Authentication	Authenticator Management	Solution	Password requirements shall be configurable to control a minimum life and a maximum life duration.	1				
18.06.15	Cybersecurity	Identification and Authentication	Authenticator Management	Solution	The Proposed Solution shall be configurable so that passwords, when initially established and at every change, meet length, duration, and complexity requirements.	1				
18.06.16	Cybersecurity	Identification and Authentication	Authenticator Management	Solution	Passwords must be encrypted both in storage and during transmission. Non-public transmissions across public networks are always encrypted using FIPS 140-3 compliant encryption methods in encrypted files or via VPN. Network devices, Windows Server, and Red Hat operating systems are configured to automatically encrypt passwords within reserved storage areas unavailable for general use.	1				
18.06.17	Cybersecurity	Identification and Authentication	Authenticator Management	Solution	A password change must be configurable to last a selected duration and expire after a certain duration.	1				
18.06.18	Cybersecurity	Identification and Authentication	Authenticator Management	Solution	Password reuse is configurable. The value defining the number of password generations is embedded into the server’s operating system parameter settings which are reviewed and revised as part of the hardening process for system setup.	1				

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18.06.19	Cybersecurity	Identification and Authentication	Authenticator Management	Solution	Temporary, single-use passwords are assigned when establishing new accounts or resetting the password on existing accounts. The temporary password is provided to the user via private means and should be sufficiently randomized.	1				
18.06.20	Cybersecurity	Identification and Authentication	Authenticator Feedback	Solution	The Proposed Solution shall ensure user account information is protected within the operating system through encryption and obfuscation on display.	2				
18.06.21	Cybersecurity	Identification and Authentication	Authenticator Feedback	Solution	When typing in user-defined or one-time passwords, the screen display should provide sufficient masking (in the form of asterisks or bullets) to avoid the password being read by an individual watching the user's screen.	2				
18.06.22	Cybersecurity	Identification and Authentication	Identification and Authentication (Non-Organization User)	Solution	The Proposed Solution shall ensure all users are issued individual approved identification and authentication credentials based on the user registration process referenced in ICERS' Computer Account Guidelines Policy.	1				
18.07.01	Cybersecurity	Incident Response	Incident Response Policy and Procedures	Vendor	The Proposed Vendor's formal documented incident response plan shall document and address purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance applied to all organizational entities with access to the Proposed Solution.	1				
18.07.02	Cybersecurity	Incident Response	Incident Training Response	Vendor	The Proposed Vendor shall ensure all vendor and 3rd party support personnel receive security incident response training specific to their incident response role as part of their employee orientation and on an annual basis thereafter.	2				
18.07.03	Cybersecurity	Incident Response	Incident Response Testing	Vendor	The Proposed Vendor shall test its incident response capability annually.	2				
18.07.04	Cybersecurity	Incident Response	Incident Response Testing	Vendor	Incident response testing incorporates the following steps: - Develop test plan for incident response - Perform test - Analyze test results and obtain lessons learned - Incorporate lessons learned into incident response procedures and training - Distribute updated incident response documentation	2				
18.07.05	Cybersecurity	Incident Response	Incident Handling	Vendor	The Proposed Vendor shall ensure that all vendor and 3rd party support personnel are properly trained and supplied with the tools necessary to respond correctly and promptly in response to a security incident.	1				
18.07.06	Cybersecurity	Incident Response	Incident Handling	Vendor	Upon notification of an incident, an investigation is initiated to verify and confirm the incident.	1				

18.07.07	Cybersecurity	Incident Response	Incident Handling	Vendor	Once confirmed, notice is provided for further corrective action and the measures defined in the Incident Response policy and procedures are followed.	1				
18.07.08	Cybersecurity	Incident Response	Incident Monitoring	Vendor	Each documented incident should contain details about the detection, analysis, containment, and resolution of the incident.	1				
18.07.09	Cybersecurity	Incident Response	Incident Reporting	Vendor	The Proposed Vendor shall ensure all vendor and 3rd party support personnel will be provided with Incident Response training that, at a minimum, provides instruction in how to report a suspected incident through ICERS and Proposed Vendor management.	1				
18.07.10	Cybersecurity	Incident Response	Incident Reporting	Vendor	All incident reports are treated as sensitive with limited distribution from the time of initial reporting until final resolution, at which time the results are managed appropriately to the sensitivity of the incident.	1				
18.07.11	Cybersecurity	Incident Response	Incident Response Plan	Vendor	The Proposed Vendor shall develop a formal documented Incident Response Plan to ensure that all incidents are properly recognized, identified, addressed, and resolved according to prepared methods and procedures.	1				
18.08.01	Cybersecurity	Maintenance	System Maintenance Policy and Procedures	Vendor	The Proposed Vendor shall document a maintenance policy including procedures that address purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance applied to all organizational entities with access to the Proposed Solution.	1				
18.08.02	Cybersecurity	Maintenance	Controlled Maintenance	Solution	The Proposed Solution shall align with ITIL best practices and NIST guidance, ensuring all maintenance activities must be preauthorized, preapproved, monitored, and exercise all appropriate sanitization activities to ensure that no ICERS-held information is permitted to leave approved facilities.	2				
18.08.03	Cybersecurity	Maintenance	Remote Maintenance	Solution	The Proposed Solution shall ensure ICERS Administrator or designee shall authorize or pre-authorize Proposed Vendor maintenance on hardware and systems. Proposed Vendor monitors, logs, and maintains maximum possible monitoring and control during maintenance and diagnostic activities. ICERS be allowed access to all associated logs and diagnostic tools.	1				
18.08.04	Cybersecurity	Maintenance	Remote Maintenance	Vendor	Network engineers monitor activity and traffic volumes during the maintenance window.	2				

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18.08.05	Cybersecurity	Maintenance	Remote Maintenance	Vendor	Access records for diagnostic and maintenance access must be retained, audited, and reviewed following established procedures applied to all remote maintenance access. These activities must be recorded within an automated system.	1				
18.08.06	Cybersecurity	Maintenance	Maintenance Personnel	Vendor	The Proposed Vendor shall limit access to system software and hardware maintenance only to authorized maintenance personnel.	2				
18.08.07	Cybersecurity	Maintenance	Maintenance Personnel	Vendor	Proposed Vendor maintenance personnel are required to have appropriate access authorizations to the systems being supported.	1				
18.09.01	Cybersecurity	Media Protection	Media Protection Policy and Procedures	Vendor	The Proposed Vendor shall document a media protection policy including procedures that address purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance applied to all organizational entities with access to the Proposed Solution.	1				
18.09.02	Cybersecurity	Media Protection	Media Access	Vendor	The Proposed vendor shall limit access to media files to authorized users.	1				
18.09.03	Cybersecurity	Media Protection	Media Storage	Vendor	The proposed vendor shall store media in accordance with FIPS 199 controls for a moderately rated system.	1				
18.09.04	Cybersecurity	Media Protection	Media Storage	Vendor	Controls shall be maintained for the information system until the media is destroyed or sanitized using approved equipment, techniques, and procedures.	1				
18.09.05	Cybersecurity	Media Protection	Media Storage	Vendor	Physical access to areas containing media must be controlled and restricted to specific parties who have been approved by ICERS.	1				
18.09.06	Cybersecurity	Media Protection	Media Sanitization	Vendor	The Proposed Vendor shall ensure that all repurposed or retired media that contains fund information is sanitized in accordance with NIST Special Publication 800-88: Guidelines for Media Sanitization.	1				
18.09.07	Cybersecurity	Media Protection	Media Sanitization	Vendor	The Proposed Vendor shall provide the ability to verify to ICERS that the sanitization process was successful.	1				
18.09.08	Cybersecurity	Media Protection	Media Use	Vendor	The Proposed Vendor shall ensure that portable storage devices, such as flash drives, cannot be used to store fund information.	1				
18.09.09	Cybersecurity	Media Protection	Media Use	Vendor	Proper data loss monitoring mechanisms shall be in effect to protect against this activity.	1				
18.10.01	Cybersecurity	Physical and Environmental Protections	Physical and Environmental Protection Policy and Procedures	Vendor	The Proposed Vendor shall inherit the Datacenter's physical and environmental protections, services, procedures, and Service Level Agreements (SLAs).	1				

18.10.02	Cybersecurity	Physical and Environmental Protections	Physical and Environmental Protection Policy and Procedures	Datacenter	The Proposed Primary and Alternate Datacenters shall be located within the United States. Additionally, both sites shall be required to meet all requirements contained herein. The primary and alternate datacenter locations shall be listed in Section 10.1.	1					
18.10.03	Cybersecurity	Physical and Environmental Protections	Physical Access Authorizations	Vendor	The Proposed Vendor shall ensure the Datacenter provides secured computing facilities for production cloud infrastructure.	1					
18.10.04	Cybersecurity	Physical and Environmental Protections	Physical Access Controls	Datacenter	The Proposed Datacenter's Information Security Policy and associated Procedures shall ensure that formal physical security safeguards are in place for datacenter premises, which may include: - Premises monitored by CCTV - Entrances protected by physical barriers designed to prevent unauthorized entry by vehicles - Entrances manned 24 hours a day, 365 days a year by security guards who perform visual identity recognition and visitor escort management	1					
18.10.05	Cybersecurity	Physical and Environmental Protections	Monitoring Physical Access	Datacenter	The Proposed Datacenter shall ensure electronic locking systems automatically log all access.	1					
18.10.06	Cybersecurity	Physical and Environmental Protections	Monitoring Physical Access		Visitors are required to present government or employer-issued ID and to sign a visitor log to provide a record of their appearance at the facility.	1					
18.10.07	Cybersecurity	Physical and Environmental Protections	Visitor Access Records	Datacenter	The Proposed Datacenter shall ensure all visitors log into the visitor's log and be authenticated by government- or employer-issued ID before they are recorded in the visitor log.	3					
18.10.08	Cybersecurity	Physical and Environmental Protections	Power Equipment and Cabling	Datacenter	The Proposed Datacenter shall ensure controlled access to areas of the facility that contain power equipment or cabling.	1					
18.10.09	Cybersecurity	Physical and Environmental Protections	Emergency Shutoff	Datacenter	The Proposed Datacenter shall ensure proper configuration and maintenance of emergency shutoff switches.	1					
18.10.10	Cybersecurity	Physical and Environmental Protections	Emergency Power	Datacenter	The Proposed Primary Datacenter shall ensure uninterruptible power that can sustain the Primary Datacenter for the duration of the recovery time required to establish operations at the Recovery Datacenter.	1					
18.10.11	Cybersecurity	Physical and Environmental Protections	Emergency Lighting	Datacenter	The Proposed Datacenter's Information Security Policy and associated Procedures shall address formal processes for maintaining emergency lighting.	1					
18.10.12	Cybersecurity	Physical and Environmental Protections	Fire Protection	Datacenter	The Proposed Datacenter's Information Security Policy and associated Procedures shall address formal processes for ensuring the availability of appropriate fire protection and detection systems.	1					

18.10.13	Cybersecurity	Physical and Environmental Protections	Temperature and Humidity Controls	Datacenter	The Proposed Datacenter's Information Security Policy and associated Procedures shall address the formal process for maintaining and monitoring temperature and humidity with alarms as applicable.	1				
18.10.14	Cybersecurity	Physical and Environmental Protections	Water Damage	Datacenter	The Proposed Datacenter's Information Security Policy and associated Procedures shall address formal processes and procedures to monitor, control and shut-off water to the facility and/or impacted areas.	1				
18.10.15	Cybersecurity	Physical and Environmental Protections	Delivery and Removal	Datacenter	The Proposed Datacenter shall ensure any physical movement of equipment is controlled by hand-delivered receipts and/or other authorized change control procedures.	1				
18.10.16	Cybersecurity	Physical and Environmental Protections	Alternate Work Site	Recovery Datacenter	The Proposed Recovery Datacenter Location has identical or equivalent protections consistent with controls established at the Primary work location/Datacenter.	2				
18.11.01	Cybersecurity	Planning	Security Planning and Policy Procedures	Vendor	The Proposed Vendor shall formally document and maintain the Proposed Solution System Security Plan and address purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance applied to all organizational entities with access to the Proposed Solution.	1				
18.11.02	Cybersecurity	Planning	Security Planning and Policy Procedures		ICERS personnel will review and approve annually and when significant changes are implemented.	1				
18.11.03	Cybersecurity	Planning	Rules of Behavior	Vendor	The Proposed Vendor shall ensure only those employees assigned responsibilities supporting the Proposed Solution or having a need to use the Proposed Solution are permitted access to the Proposed Solution.	1				
18.11.04	Cybersecurity	Planning	Rules of Behavior	Vendor	The Proposed Vendor shall ensure all employees with access to information system resources conform to what ICERS considers an appropriate use of agency resources and includes language regarding the use of social media/networking sites.	1				
18.12.01	Cybersecurity	Personnel Security	Personnel Security Policy and Procedures	Vendor	The Proposed Vendor shall demonstrate a personnel security policy that Proposed Vendor 3rd party support personnel must abide by.	1				
18.12.02	Cybersecurity	Personnel Security	Personnel Screening	Vendor	The Proposed Vendor shall demonstrate a personnel security policy that all Proposed Vendor employees and 3rd party personnel must abide by.	1				
18.12.03	Cybersecurity	Personnel Security	Personnel Screening	Vendor	Proposed Vendor's HR should ensure that all new employees have favorably adjudicated background investigations commensurate with the defined position sensitivity levels.	1				

18.12.04	Cybersecurity	Personnel Security	Personnel Termination	Vendor	The Proposed Vendor shall ensure all authorizations granted to employees who leave the Proposed Vendor are revoked the same day as their employment is terminated.	1				
18.12.05	Cybersecurity	Personnel Security	Personnel Transfer	Vendor	The Proposed Vendor shall demonstrate a personnel security policy that addresses formal personnel security processes.	2				
18.12.06	Cybersecurity	Personnel Security	Third-Party Personnel Security	Vendor	The Proposed Vendor shall demonstrate a personnel security policy that addresses formal personnel security processes.	1				
18.13.01	Cybersecurity	Risk Assessment	Risk Assessment Policy and Procedures	Vendor	The Proposed Vendor shall allow the Proposed Solution System Security Plan to be applied against a formal risk assessment performed on the Proposed Solution environment.	1				
18.13.02	Cybersecurity	Risk Assessment	Vulnerability Scanning & Penetration Testing		Vulnerability scanning and Penetration Testing must be performed on the Proposed Solution environment in accordance with industry best practices. Additionally, the Proposed Vendor shall allow ICERS the right to engage an independent security firm to conduct vulnerability and penetration testing on its externally facing applications. This includes, but is not limited to, the Member Self-Service portal and the Employer Self-Service portal.	1				
18.14.01	Cybersecurity	System and Services Acquisition	Secure System Development Life Cycle	Vendor	The Proposed Vendor warrants that they have a secure software development lifecycle, including robust security testing of new code and secure software development training for software developers.	2				
18.15.01	Cybersecurity	System and Communications Protections	System and Services Acquisition Policy and Procedures	Vendor	The Proposed Vendor shall develop security policies to address formal system and communication protection processes that include purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance applied to all organizational entities with access to Proposed Solution.	1				
18.15.02	Cybersecurity	System and Communications Protections	System and Services Acquisition Policy and Procedures		Policy and procedures shall be disseminated through distribution to managers and key personnel and placed on media for online reference.	1				
18.15.03	Cybersecurity	System and Communications Protections	Application Partitioning	Vendor	The Proposed Vendor shall allocate separate roles to support personnel and system users thereby enforcing a full separation between user interfaces and information system management functionality.	1				
18.15.04	Cybersecurity	System and Communications Protections	Information in Shared Resources	Solution	The Proposed Solution shall be logically separated from other datacenter-hosted assets thereby preventing data leakage or spillage.	1				
18.15.05	Cybersecurity	System and Communications Protections	Information in Shared Resources		This separation is through datacenter hosting infrastructure.	1				

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18.15.06	Cybersecurity	System and Communications Protections	Denial of Service Protection		Network perimeter devices shall be implemented in the Proposed Solution to provide protection from Denial-of-Service attacks.	1				
18.15.07	Cybersecurity	System and Communications Protections	Boundary Protection	Solution	The Proposed Solution boundary devices shall control and monitor communications at the external boundary interface.	1				
18.15.08	Cybersecurity	System and Communications Protections	Boundary Protection		These boundary control devices should be configured for and applicable to all processing sites, including alternate sites used for the system.	1				
18.15.09	Cybersecurity	System and Communications Protections	Transmission Confidentiality and Integrity	Solution	The Proposed Solution shall ensure all sensitive-related content transmitted outside of the ICERS Proposed Solution environment should be encrypted using FIPS 140-3 validated cryptography to ensure both the confidentiality and the integrity of transmitted content.	1				
18.15.10	Cybersecurity	System and Communications Protections	Transmission Confidentiality and Integrity	Solution	The Proposed Solution environment shall use FIPS 140-3 validated cryptography in sensitive information transmissions across public connections to ensure transmission integrity and identify changes in transmitted data.	1				
18.15.11	Cybersecurity	System and Communications Protections	Network Disconnect	Solution	The Proposed Solution environment network devices shall be configurable to disconnect the communications link after a specific duration of inactivity.	1				
18.15.12	Cybersecurity	System and Communications Protections	Cryptographic Key Establishment and Management	Vendor	The Proposed Vendor shall confirm the certification authority used to generate the TLS key.	1				
18.15.13	Cybersecurity	System and Communications Protections	Collaborative Computing Devices	Solution	The Proposed Solution shall ensure collaborative computing is not supported.	1				
18.15.14	Cybersecurity	System and Communications Protections	Public Key Infrastructure Certificates	Vendor	The Proposed Vendor shall obtain all PKI certificates from an approved service provider (certificate authority) using FIPS 140-3 validated encryption (e.g., Verisign).	1				
18.15.15	Cybersecurity	System and Communications Protections	Secure Name-Address Resolution Service (Authoritative Source)	Vendor	The Proposed Vendor shall deploy DNS Security Extensions (DNSSEC) as part of its standard DNS servers' configuration to prevent cache poisoning. DNSSEC uses asymmetric cryptography to provide origin authentication and integrity checking for DNS data. Child zones are not deployed.	1				
18.15.16	Cybersecurity	System and Communications Protections	Protection of Information at Rest	Vendor	The Proposed Vendor shall implement the ICERS Proposed Solution environments with an encrypted database to protect data at rest.	1				

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18.16.01	Cybersecurity	Systems and Information Integrity	System and Information Integrity Policy and Procedures	Vendor	The Proposed Vendor shall develop a formal documented risk assessment policy and procedures that address purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance applied to all organizational entities with access to the ICERS hosted Proposed Solution environment.	1				
18.16.02	Cybersecurity	Systems and Information Integrity	Flaw Remediation	Vendor	The Proposed Vendor shall develop procedures to identify system flaws through system monitoring, security assessments, and incident response.	1				
18.16.03	Cybersecurity	Systems and Information Integrity	Flaw Remediation	Vendor	As patches and updates become available, they are to be applied first to the test environment and subsequently, after all operational issues are resolved, to the production environment.	1				
18.16.04	Cybersecurity	Systems and Information Integrity	Malicious Code Protection	Vendor	The Proposed Vendor shall develop an Information Security Policy and associated Procedures that address formal system and information integrity processes in the Proposed Solution.	1				
18.16.05	Cybersecurity	Systems and Information Integrity	Malicious Code Protection	Vendor	The Proposed Vendor shall employ anti-virus/anti-malware software at endpoints on all servers.	1				
18.16.06	Cybersecurity	Systems and Information Integrity	Information System Monitoring	Vendor	The Proposed Vendor shall implement and configure monitoring tools to detect system behaviors indicative of possible system malfunction.	1				
18.16.07	Cybersecurity	Systems and Information Integrity	Security Alerts and Advisories	Vendor	The Proposed Vendor's security personnel shall receive and review service alerts, advisories, and directives from multiple sources. This includes U.S CERT and SANS Institute security bulletins.	1				
19.01.01	Infrastructure	Hosting		System	The System must have a Cloud Services delivery model for the duration of the project and initial implementation. Acceptable Cloud Service delivery models may include Public, Private, or Hybrid models.	2				
19.01.02	Infrastructure	Hosting		Data	All data, including data stored in all databases, environments, and data backups, must be stored onshore within the United States of America or Canada. State of California data privacy laws will govern the hosted environment.	1				
19.01.03	Infrastructure	Environment		Solution	The solution must include, but not be limited to, the following environments: PRODUCTION, PRODUCTION DR INSTANCE, TEST, UAT, and DEVELOPMENT.	1				
19.01.04	Infrastructure	Environment		Solution	Additional environments should include: UAT/STAGING, and TRAINING.	2				

19.01.05	Infrastructure	Environment		Database Environment	A database environment suitable for legacy data profiling, conversion, and staging must be provided.	1				
19.01.06	Infrastructure	Environment		ICERS	ICERS will maintain ownership of all data stored in cloud environments and reserves the right to retrieve data at any point of time.	1				
19.01.07	Infrastructure	Environment		Solution	The solution should utilize an approach that ensures a fault tolerant, distributed, and scalable architecture.	2				
19.01.08	Infrastructure	Environment		System	The System must not use production data in any non-production environment without ICERS' consent.	1				
19.01.09	Infrastructure	Disaster Recovery		System	The System must provide full backups that must have the ability to be encrypted. The System must securely protect the backup data so that it cannot be accidentally or inappropriately accessed.	1				
19.01.10	Infrastructure	Disaster Recovery		System	The System's proposed infrastructure must use multiple geographically distinct regions for disaster recovery and business continuity.	1				
19.01.11	Infrastructure	Disaster Recovery		System	The System must provide for a Recovery Time Objective of no greater than 4 hours.	1				
19.01.12	Infrastructure	Disaster Recovery		System	The System must provide a Recovery Point Objective (Maximum time period of lost transactions, data changes, or work-in-process) of no greater than 15 minutes.	1				
19.01.13	Infrastructure	Disaster Recovery		System	The System must provide a disaster recovery plan for inclusion in ICERS' comprehensive Disaster Recovery/Business Continuity plan that must be tested annually.	1				
19.01.14	Infrastructure	Hours of Operation		System	The System must be available for use by ICERS staff, members, and employers 24/7 except for planned downtime, maintenance, or solution upgrades.	1				
19.01.15	Infrastructure	Workload Scheduling		System	Batch jobs must be able to be started, restarted, and terminated using a batch scheduling/management tool, with the capability to support triggering events (I.e., time, preceding activity, etc.)	2				
19.01.16	Infrastructure	Workload Scheduling		System	Any required batch jobs must provide for the ability to be scheduled and run to completion without any user intervention.	2				
19.01.17	Infrastructure	Workload Scheduling		System	The System must provide for the capability to roll-back or restart from the abort point of partially completed or aborted batch jobs.	2				
19.01.18	Infrastructure	Workload Scheduling		System	All batch jobs must have a finite run-time of no more than four (4) hours to completion, except as otherwise approved by ICERS.	2				
19.01.19	Infrastructure	Sizing		System	The System must at a minimum be capable of supporting: 1) 10 Line of Business user accounts. 2) 4 employer accounts. 3) 4,300 active members and retirees.	1				

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19.01.20	Infrastructure	Sizing		System	The System must be capable of supporting a 10% growth per annum in user accounts and concurrent user sessions with no performance impact for five (5) years post warranty-end at no added financial burden to ICERS.	1				
19.01.21	Infrastructure	Sizing		System	The System must at a minimum be capable of supporting concurrent access by 100% of internal users accounts (ICERS staff) and approximately 10 % of the total number of external user accounts (member/employer portals). The solution should be scalable and elastic so that growth during peak processing periods and events could be accommodated.	1				
19.01.22	Infrastructure	Performance		System	The System must provide a percentage uptime guarantee of 99.99% and measured by the provider in 15-minute intervals. The time periods used for measuring uptime shall be monthly, starting each first-of-month at 12:01am Pacific Time Zone.	1				
19.01.23	Infrastructure	Performance		System	The System must provide a Maximum response time for query and update functions of 98% of covered transactions within 2 seconds. The intervals measured shall be every 60 minutes during guaranteed periods. The time periods used for measuring system response time shall be monthly, starting each first-of-month at 12:01am Pacific Time Zone.	2				
19.01.24	Infrastructure	Performance		System	The System must provide capability to import and process transmittal files live in production, without affecting access to other system functionality.	1				
19.01.25	Infrastructure	Technical Support		Technical Support	The live Technical Support must be available for use by ICERS staff during 8:00am Pacific Time and 5:00pm Pacific Time, Monday through Friday.	1				
19.01.26	Infrastructure	Technical Support		Technical Support	Any Technical Support staff who need to access ICERS data must be located within the United States of America or Canada.	2				
19.01.27	Infrastructure	Technical Support		System	The System must include an automated tracking tool such that ICERS may enter, update, track, and report on technical support tickets relating to the System.	2				
19.01.28	Infrastructure	Technical Support		Tracking Tool	Technical support tickets shall be classified, prioritized, assessed for impact & urgency, and tracked per ITIL v4 Incident Management guidelines.	2				
19.01.29	Infrastructure	Technical Support		Tracking Tool	The Start Time on Technical support tickets shall be upon the reporting of an incident or upon entry of the incident into the automated tracking tool. The Finish Time on Technical support tickets shall be upon ICERS’s acknowledgement that the support ticket has been satisfactorily resolved.	2				

19.01.30	Infrastructure	Technical Support		Tracking Tool	Technical support tickets shall have the following Maximum Time Length for Initial Callback of; 15 minutes for Critical priority support tickets, 30 minutes for High priority support tickets, 60 minutes for Medium priority support tickets, and 1 Business Day for Low & Very Low priority support tickets.	2				
19.01.31	Infrastructure	Technical Support		Tracking Tool	Technical support tickets shall have the following Expected Time to Resolution of; 60 minutes for Critical priority support tickets, 4 hours for High priority support tickets, 1 Day for Medium priority support tickets, 1 Week for Low priority support tickets, and no Expected Time to Resolution for Very-Low priority support tickets.	2				
19.02.01	Architectural	Architecture		System	The proposed System architecture must provide access to all users via a web browser accessible by current industry standard web and mobile browsers.	2				
19.02.02	Architectural	Architecture		System	The System must be upgradeable to new product releases without constraint due to any ICERS-specific configuration.	2				
19.02.03	Architectural	Architecture		System	The System architecture must be web-based and operate in a virtualized environment.	2				
19.02.04	Architectural	Data		System	Data must be viewable and extractable based upon ICERS specified "as is" date/date ranges. At a minimum, the System must be capable of producing a "snapshot" in table format which could be downloaded on a scheduled basis to ICERS.	2				
19.02.05	Architectural	Data		System	The System must provide the capability to move all historical, expired, and/or unnecessary data to offline storage according to a set of business rules and schedule to be defined by ICERS.	3				
19.02.06	Architectural	Database		Database	The database must be based on a relational format and be exportable to support business intelligence and reporting capabilities.	1				
19.02.07	Architectural	Design		System	Validations in the System must be both at the field level and at the database level.	1				
19.02.08	Architectural	Design		System	Dates must be consistently formatted throughout the System. Dates in the System must allow for unambiguous selection of values that are completely visible in lists.	1				
19.02.09	Architectural	Design		System	Drop-down selection lists must have a logical ordering that makes the selection quick and easy. For example, dates must be listed in “date” order, not “alphabetical” order, where applicable.	1				
19.02.10	Architectural	Design		System	The System must provide the ability to modify help text or field labels without major reprogramming.	2				

19.02.11	Architectural	Integration		System	The System must provide real-time integration (Application Program Interfaces - APIs), such as web services, in order to facilitate the integration with other internal and external systems.	1				
19.02.12	Architectural	Integration		System	The System must support file exchange via Extensible Markup Language (XML), Comma Separated Value (CSV) files, fixed format, and file formats. ICERS will be able to specify which language or file format should be used for each data exchange.	1				
19.02.13	Architectural	Portal		System	Every externally facing, browser-based component of the System must be Web Content Accessibility Guidelines (WCAG) 2.1 or higher compliant.	2				
19.02.14	Architectural	Portal		Self Service Portal	Self Service Portal access via mobile devices must also be supported. The Self-Service Portal must be mobile-friendly and employ the principals of Responsive Web Design (RWD).	2				
19.02.15	Architectural	Standards		System	The System must support the latest stable release and supported versions of Microsoft Windows for all system desktop components.	2				
19.02.16	Architectural	UI		System	The System must support, for internally facing, browser-based components, the following browsers: Apple Safari, Microsoft Edge, Google Chrome, and Mozilla Firefox. For each supported browser, the System must support all major versions released within 24 months of go-live and the most recent two major versions as a minimum.	2				
19.02.17	Architectural	Design		System	The System must provide for the key parameters and data to be driven by effective dates and specific ranges of time. Date-driven variances must allow a calculation or data value to be correct for the date or date range to which it applies.	2				
19.02.18	Architectural	Rules		System	The System must provide ICERS-maintained; effective-date-driven values used in rules with configurable parameters. The System must include tools that are intuitive and easy to use for ICERS to modify these values and rules. Such rules cannot be dependent on hard-coded values.	2				
19.02.19	Architectural	Rules		System	The System must be configurable to handle plan changes, adjustment types, rate changes, rule changes, etc.	2				
19.02.20	Architectural	Documentation		System	The System must include a Business User Manual that features clear organization of content, easy to understand language, useful graphic presentations, and a thorough index and glossary that is maintained with all new enhancements and features.	2				

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19.02.21	Architectural	Documentation		Business Procedure Manual	In conjunction with the Business User Manual, a Quick Reference Business User Document must be provided that will be an immediate aid to the user and quickly describe operations that are maintained with all new enhancements and features.	2				
19.02.22	Architectural	Documentation		Business Procedure Manual	A Business Procedure Manual must be provided which features clear organization of content, easy to understand language, useful graphic presentations, and a thorough index and glossary. The Business Procedure Manual will document instructions for manual operations and tasks that are performed in direct conjunction with the automated system. It will address each task performed in a step-by-step procedure that identifies the action (task to be performed) and the individual with responsibility to complete the action.	1				
19.02.23	Architectural	Testing		System	The System should use an automated software testing tool. This tool will be easily integrated and allow for traceability throughout the execution of all program logic to the requirements. The tool and all created automated software tests will be made available to ICERS.	2				
19.02.24	Architectural	Testing		ICERS	An automated testing tool should be provided such that ICERS may enter, update, track, and report on system testing, specifically User Acceptance Testing.	3				
19.03.01	Ancillary Systems	Imaging		System	The System must allow for documents to be marked as "viewable" by the member or employer in the self-service applications.	2				
19.03.02	Ancillary Systems	Imaging		System	The System must capture log information for users accessing content.	2				
19.03.03	Ancillary Systems	Imaging		System	The System must provide the capability to define configurable rules for routing documents to appropriate users by document type.	2				
19.03.04	Ancillary Systems	Integration		System	The System must provide a means to trigger and process work outside of the proposed workflow System.	2				
19.03.05	Ancillary Systems	Integration		System	The System should be able to seamlessly integrate with the existing ECM (DocuWare) solution or a proposed ECM solution.	2				
19.03.06	Ancillary Systems	Integration		System	The System must provide the ability to pull up a member's documents from within the member's record.	2				
19.03.07	Ancillary Systems	Integration		System	The System must provide the ability to have the fax, scan, or member's web submission of a document trigger a workflow in the System.	2				

19.03.08	Ancillary Systems	Integration		System	The System must provide the ability to provide an interface between the Self-Service Portal and Imaging to allow documents submitted by a user to be validated and then stored within the ECM (DocuWare) solution or a proposed ECM solution.	2				
19.03.09	Ancillary Systems	Integration		System	The System must provide the ability for ICERS to control which documents stored in Imaging are to be displayed to a user through the Self-Service Portal.	2				
19.03.10	Ancillary Systems	Integration		System	The System must provide the ability to push System-generated letters or reports into the ECM (DocuWare) solution or a proposed ECM solution for storage individually per member, letter, and/or report (like a service purchase packet) and also in bulk (like annual 1099R forms).	2				
19.03.11	Ancillary Systems	Integration		System	The System must provide the ability to store a permanent record of System-generated communications and documents including index values and metadata in the ECM solution.	2				
19.03.12	Ancillary Systems	Integration		System	The System must provide the ability to initiate workflow processes both automatically (via the imaging of documents) and manually based on the receipt of a phone-call, walk-in, fax, e-mail, etc. The System must provide the ability to configure for any chosen document type.	2				
19.03.13	Ancillary Systems	Workflow		System	The System must provide a workflow activity log of all activity of tasks through the workflow, to include at a minimum: task id, task name, user assigned, date assigned, and date completed. The workflow activity log must be accessible through the System to let users view the history and review the activities on any given workflow.	2				
19.03.14	Ancillary Systems	Workflow		System	The System must provide deadline monitoring capabilities to trigger the start of a workflow task or the next step in a workflow.	2				
19.03.15	Ancillary Systems	Workflow		System	The System must provide the capability to define configurable rules to prioritize workflow tasks based on the type of document and/or other attributes of the task.	2				
19.03.16	Ancillary Systems	Workflow		System	The System must provide the capability to establish thresholds for review or approval. For example, auditing records processed by new staff members.	2				
19.03.17	Ancillary Systems	Workflow		System	The System must provide the capability to configure workflow step status attributes (e.g., review, pending, complete, approve, etc.).	2				
19.03.18	Ancillary Systems	Workflow		System	The System must provide the capability for a supervisor to reassign a workflow task.	2				

19.03.19	Ancillary Systems	Workflow		System	The System must provide the capability to manage workflow tasks using a combination of passive and active workflow models. Staff would select work from a common pool for some tasks (passive workflow), while with other tasks, staff would be assigned work directly (active workflow).	2					
19.03.20	Ancillary Systems	Workflow		System	The System must provide the capability to establish a timeline for each workflow including tasks such as when items are due, when reminders need to be sent, the frequency and number of additional reminders, and when internal escalations are required.	2					
19.03.21	Ancillary Systems	Workflow		System	The System must provide the capability to alert or notify ICERS users (through email, dashboard, or other means) of upcoming due dates and past due dates for both internal tasks and tasks to be completed by external parties.	2					
19.03.22	Ancillary Systems	Workflow		System	The System must provide the ability for users to link electronic documents (images, spreadsheets, etc.) to any workflow or contact record.	2					
19.03.23	Ancillary Systems	Workflow		System	The System must provide the ability to display the status (not-started, in-process, pending, completed, etc.) of all workflow processes.	2					
19.03.24	Ancillary Systems	Workflow		System	The System must provide the capability to send e-mail notifications to recipients other than System users, as well as recipients outside of ICERS.	2					
19.03.25	Ancillary Systems	Workflow		System	The System must provide the capability for communication to be triggered by business events, user requests, or scheduled times.	2					
19.03.26	Ancillary Systems	Workflow		System	The System must provide the capability to set up and maintain workflows and their associated sub-tasks based on the business processes defined by ICERS.	2					
19.03.27	Ancillary Systems	Query & Reports		System	The System must provide two basic types of reports: pre-developed (canned) reports and an ad hoc querying/reporting tool for end users.	2					
19.03.28	Ancillary Systems	Query & Reports		System	The System must provide the ability for ICERS to create, save, and re-use queries and reports.	2					
19.03.29	Ancillary Systems	Query & Reports		System	The System must provide the capability to perform ad-hoc reporting and query functionality, including the ability for ICERS to define roles and security levels for ad-hoc reporting such that only data the user is allowed to access can be accessed.	2					

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19.03.30	Ancillary Systems	Query & Reports		System	The System must provide the capability to perform ad-hoc reporting and query functionality, including the ability export other documentation formats (e.g., CSV, PDF, XLSX, DOC and XML).	2				
19.03.31	Ancillary Systems	Query & Reports		System	Reports must not contain a person's full SSN unless otherwise approved by ICERS.	2				
19.04.01	Interfaces/Integration	Compliance		System	The System must comply with NACHA requirements for electronic payments when appropriate.	1				
19.04.02	Interfaces/Integration	Configuration		System	The System must make use of the existing interfaces without modification to either the interface or the interfaced System. The exception is those interfaces which are finalized during a design session, based on mutual agreement with ICERS.	2				
19.04.03	Interfaces/Integration	Configuration		System	The system must be capable of importing rule data such as actuarial tables, contribution rate tables, and tax tables without manual intervention by ICERS.	2				
19.04.04	Interfaces/Integration	Integration		System	The System must integrate with an ICERS-approved third party address validation provider.	2				
19.04.05	Interfaces/Integration	Integration		System	The System must integrate with ICERS-approved third party death notification/validation provider(s).	2				
19.04.06	Interfaces/Integration	Integration		System	The System must integrate with a service provider as chosen by ICERS to accept online E-Check/credit card payments.	3				
19.04.07	Interfaces/Integration	Integration		System	The System must allow data to be shared to business intelligence software to support data analysis.	2				
19.04.08	Interfaces/Integration	Integration		System	The System must integrate with a secure e-mail system.	2				
19.04.09	Interfaces/Integration	Interfaces		System	The System must create a file of all tax withholdings to be transmitted to the IRS and applicable state revenue departments.	1				
19.04.10	Interfaces/Integration	Interfaces		System	The System must create a file containing 1099-R data or other state and federal required forms in a proprietary format to be transmitted to the print shop.	1				
19.04.11	Interfaces/Integration	Interfaces		System	The System must provide for the capability to roll-back or restart from the abort point of partially completed or aborted interface load/extract.	2				
19.04.12	Interfaces/Integration	Portal		System	The System must provide the ability for employers to upload their transmittal files directly to the ICERS system via an Employer Web Portal.	3				
19.05.01	Self Service	Design		System	The System must provide a Self-Service capability to members, as defined in the functional requirements.	1				

19.05.02	Self Service	Design		System	The System should provide a Self-Service capability to employers and other stakeholders, as defined in the functional requirements.	2					
19.05.03	Self Service	Document Exchange		System	The System must provide the ability for users to submit supporting documentation through the portal in different formats, including PDF, MS Word, and image format files.	2					
19.05.04	Self Service	Integration		System	The System must be capable of integrating with the ECM such that documents uploaded through the Portal by members are properly indexed and placed into the member's file in the ECM.	2					
19.05.05	Self Service	Integration		System	The System must permit members to securely message ICERS directly through the Self-Service Portal.	2					
19.05.06	Self Service	Integration		System	The System must provide the capability of the Self-Service Portal to link to ICERS' existing public website.	2					
19.05.07	Self Service	Integration		System	The System must integrate with the Self-Service Portal so that all information and services presented on the Self-Service Portal are consistent with the information and services in the PAS.	2					
19.05.08	Self Service	Knowledge Management		System	The System must provide the capability to include and manage changes to a Knowledge Management Repository (e.g., frequently asked questions and answers, standard problems and responses, and a glossary of terminology used by ICERS).	2					
19.05.09	Self Service	Policy		System	The System must require that a new user agrees to the terms of an End User Agreement before the user can create a username/password for the Portal.	2					
19.05.10	Self Service	Policy		System	The System must provide the capability for ICERS to require periodic and/or forced re-acceptance of the End User Agreement.	2					
19.05.11	Self Service	Support		System	The System must provide capabilities to authenticate a user who has called ICERS for technical support. The support personnel may need to have access to the member's authentication tools (e.g., security questions, image keys) within the Portal to authenticate a caller.	2					
19.05.12	Self Service	Support		System	The System must provide the capability for ICERS staff to view the status of the member's self-service account, such as the date of account creation, the date the account was last accessed, and whether the account is locked.	2					
19.05.13	Self Service	UI		Self-Service Portal	All functionality exposed to members through the Self-Service Portal must have a consistent look and feel and must conform to ICERS' style, standards, and branding.	2					

19.05.14	Self Service	UI		System	The System must provide the capability to perform validations and provide on-screen context-sensitive error, warning, and help messages where applicable.	2				
19.05.15	Self Service	Workflow		System	The System must, for changes made by users of the Self-Service Web Portal, have the capability to send change confirmation notification to the user based on a member’s communication preferences (electronic, paper mail, or posted to the self-service portal) at ICERS's option.	2				

Attachment 9 – Generative Artificial Intelligence Questionnaire

A Word format version of this document can be provided separately for completion.

Responders must complete and return the questionnaire as part of their response. Both Option A (PAS Implementation) and Option B (Third-Party Administration) respondents should address these questions in context of their solution/service delivery.

Current Use and Security

Current Use and Security	
9.1	Describe your current use of AI tools in your solution/service delivery. Include: • Specific AI tools/platforms used • Purpose and benefits • Areas of application • Security and compliance measures
9.2	How do you protect member data when using AI tools? • Confirm no PII/PHI is shared with third-party AI models • Describe data protection measures • Outline compliance procedures

Implementation and Support

Implementation and Support	
9.3	How do you: • Evaluate new AI tools before adoption?

Implementation and Support	
	• Train staff on AI tool usage? • Monitor AI tool effectiveness? • Maintain oversight of AI outputs?

Future Plans

Future Plans	
9.4	Describe your strategy for AI integration over the next 2-3 years: • Planned capabilities • Member service improvements • Administrative efficiencies • Risk management approach
9.5	How do you keep clients informed of: • Changes to AI policies • New AI capabilities • Security updates • Best practices

Attachment 10 – Maintenance and Support Questionnaire

A Word format version of this document can be provided separately for completion.

This questionnaire must be completed by both Option A (PAS Implementation) and Option B (Third-Party Administration) respondents, addressing how support and maintenance will be provided for their solution/service.

Instructions:

1. Provide your response to all questions in the space provided
2. Provide detailed information about your support and maintenance capabilities

Maintenance and Support	
10.1	Please describe your support and maintenance structure, including: • Support hours and availability • Methods to contact support • Response time commitments • Issue prioritization approach
10.2	How are issues reported, tracked, and resolved? Include: • Issue reporting process • Issue tracking system • Communication methods • Escalation procedures
10.3	Describe your service level standards for: • System availability • Issue resolution times • Performance monitoring

Maintenance and Support	
	• Security monitoring
10.4	What are your data protection controls and monitoring procedures for: • Support staff access to ICERS data • Member information security • System access logs • Data privacy compliance
10.5	Describe your update and enhancement process: • Frequency of system updates • How updates are communicated • Implementation procedures • ICERS' role in testing • Typical system downtime
10.6	Explain your process for system changes: • How changes are requested • Approval procedures • Implementation timeframes • Emergency change procedures • Change request prioritization
10.7	Post-implementation support:

Maintenance and Support	
	• Ongoing support model • Staff assigned to ICERS account • Knowledge transfer approach • Continuity of support personnel
10.8	What is included in your maintenance fees: • Regular system updates • Legislative changes • Minor modifications • Enhancement requests • Additional costs or exclusions
10.9	Please provide your standard maintenance agreement.

Attachment 11 – References

A Word format version of this document can be provided separately for completion.

Complete the following sections to provide ICERS with information about your organization's clients and references from past, similar engagements.

Organization Experience

List all contracts with similar scope and magnitude held within the previous seven (7) years using the format below. Provide the following information for each contract:

Name	Size (e.g., number of participants)	Duration	Project Scope

Organization References

Provide at least three (3) references from clients of similar size, complexity, and requirements. ICERS prefers references for engagements involving Defined Benefit (DB) plans for public sector retirement systems or similarly structured plans.

References should be from clients whose total membership does not significantly exceed 50,000 participants. At least one reference must be from a completed engagement within the last five (5) years.

The clients listed by the Respondent may be contacted to assist ICERS in evaluating the Respondent's qualifications and performance. ICERS may also contact other clients or sources known to ICERS.

For each reference, include:

Client's name:	
Project name:	
Contact name and title:	

Contact telephone:	
Contact email:	
Dollar value of contract (range):	
Contract start date:	
Contract completion date:	
Description of what service or product was provided:	
How was the contract similar in size, scope, and complexity to ICERS?	
Describe the pension plan (e.g., SERP, MEPP), and provide number of participating employers.	

Current Commitments

Provide details of current contracts, including:

Client's name:	
Project name:	
Description of what is being provided:	
Dollar value of contract (range):	
Approximate share of current income derived from contract:	
Expected contract completion date	

Include information on how current commitments affect your ability to support ICERS' scope of work.

Terminations

Disclose any contracts terminated within the last five (5) years before project completion. For each terminated contract, include:

Client's name	
Reason for Termination (e.g., default, mutual agreement)	
Description of deficiencies and how they were addressed	

Indicate if any terminations involved litigation and provide the outcome. ICERS reserves the right to reject proposals based on this information.

Attachment 12 – Implementation Assumptions and Exceptions

A Word format version of this document can be provided separately for completion.

Instructions:

In the tables below, provide any assumptions or clarifications related to the implementation section of your response to this RFP and any exceptions to the requirements (i.e., items you cannot provide from the requirements).

1. Clearly reference the applicable RFP section and specific item or requirement ID.
2. Assumptions/clarifications should be detailed enough to explain their significance and relevance to the proposal.
3. Exceptions must state the reason for the exception and propose an alternative solution if applicable.

Assumptions / Clarifications	RFP Section and/or Reference

Exceptions	RFP Section and/or Reference

Attachment 13 – Maintenance & Support, Assumptions and Exceptions

A Word format version of this document can be provided separately for completion.

Instructions:

1. In the tables below, list any assumptions or clarifications related to the Maintenance and Support section of your response to this RFP and any exceptions to the requirements (i.e., items you cannot provide from the requirements).
2. Reference the applicable RFP section and specific item or requirement ID where appropriate.
3. Provide detailed explanations for assumptions/clarifications, including their significance and relevance.
4. For exceptions, clearly state the reason and, if applicable, propose a solution or alternative.

Assumptions / Clarifications	RFP Section and/or Reference

Exceptions	RFP Section and/or Reference

ICERS
Request for Proposal - Pension Administration Solution
ATTACHMENT 16: FEE PROPOSAL
FIXED PRICE COST SUMMARY

Respondent Instructions: Cost proposals must be milestone based, fixed price and include all costs for the total PAS solution as described in the RFP.

"Delivery Model" Column - Please select one of the values from the drop down menu for ECM and Data Warehouse (cells B12 and B13):
- Core Component - The component will be provided as a native capability within the vendors product offering. The cost in Section 1 - Implementation Costs should reflect the total cost for the development and implementation of this functionality. Note: ICERS reserves the right to not procure the ECM and/or Data Warehouse solutions from the PAS vendor. As such, if you are proposing those components as "core component", please also provide the integration costs to ICERS current solutions in Section 2 - Integration Costs, should ICERS decide to keep its current solutions.
- Through Sub - The vendor will use a subcontractor/technology partner to provide this functionality. The cost should reflect the costs for the Sub to develop the required capabilities. Integration costs between the PAS and the ancillary capability developed by the Sub shall be reflected in Section 1 - Implementation Costs. Note: ICERS reserves the right to not procure the ECM and/or Data Warehouse solutions from the PAS vendor. As such, if you are proposing those components as "core component", please also provide the integration costs to ICERS current solutions in Section 2 - Integration Costs, should ICERS decide to keep its current solutions.
- Integration Only - The vendor cannot provide this capability, however will integrate with ICERS current solutions. In this scenario, please leave the costs blank in Section 1 - Implementation Costs and only fill out the integration costs to ICERS current solutions in Section 2 - Integration Costs.

Please indicate, as line items, how many Reports, Documents (e.g., letters), Forms (including e-Forms) and Workflows included in your fixed price.

Totals by Year and Type

	Delivery Model	Implementation Period	Implementation Period	Implementation Period	Implementation Period	Go-live and Warranty Period	Maintenance and Support	Maintenance and Support	Maintenance and Support	Maintenance and Support	Maintenance and Support	Total
Section 1 - Implementation Costs												
		Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	Year 9	Year 10	
Software	**N/A**											
PAS	Core Component											$ -
ECM	Core Component											$ -
Data Warehouse	Core Component											$ -
Hardware	**N/A**											$ -
Implementation Services	**N/A**											$ -
Annual Licensing	**N/A**											$ -
Maintenance & Support[1]	**N/A**											$ -
Cloud Hosting	**N/A**											$ -
Other (please specify)	**N/A**											$ -
Totals	**N/A**	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -
Section 2 - Cost to integrate with ICERS current solutions												
1. Integrate with ICERS ECM (OpenText)	Integration Only											$ -
2. Integrate with ICERS Data Warehouse (Tableau)	Integration Only											$ -
Totals	**N/A**	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -

Other Services

"Other Services" refers to all pricing / costs for other services that the Respondent is able to offer that are described within the RFP as desirable (e.g. Disaster Recovery, Business Continuity Services, etc.). Reference the appropriate Requirement # where applicable. Attach a separate price list indicating the type of services that are available. The Respondent should note that the types of services must be clearly identified/described and associated cost itemized. Costs associated for staff time must include hourly rate, staff position (titles), minimum charge, etc.

Item description	Total
Totals	**$ -**

[1] Assumes Intermediate level of support (See Maintenance and Support worksheet)

ATTACHMENT 16: FEE PROPOSAL

SOFTWARE

Respondent Instructions: "Software" refers to any licensed or commercial software that is proposed and required to run and use the proposed solution. Customization and configuration are not included.

Item #	Description	Manufacturer	Version / Build	License Type (Core based / user based)	User Type (individual / concurrent)	Qty	Unit Cost	Discount	Total Cost	Yr Purchased	Licensing fee Year 1	Licensing fee Year 2	Licensing fee Year 3	Licensing fee Year 4	Licensing fee Year 5	Licensing fee Year 6
								TOTAL	$ -							

ATTACHMENT 16: FEE PROPOSAL

HARDWARE

Respondent Instructions: "Hardware" refers to any PC, server, or peripheral asset that is proposed and required to run and use the proposed solution.

Item #	Description	Manufacturer	Model	Qty	Unit Cost	Discount	Total Cost	Yr Purchased
						TOTAL	$ -	

ATTACHMENT 16: FEE PROPOSAL
PAS IMPLEMENTATION

Respondent Instructions: "Implementation" refers to all costs associated with the development, customization, configuration and deployment of the system. The Respondents should note that the implementation duration, start and end dates, staff numbers, rate, and costs MUST be consistent with and supported by the staffing plan, or the proposal may be rejected. Project management, reporting, and other administrative hours shall be included within the areas detailed below. All activities should be considered a fixed price proposal. Please use only those years where implementation fees are applicable. The TOTAL IMPLEMENTATION SERVICES COST must be equal to the total of each year in order for it to be considered a compliant proposal.

Legend	
Duration	Measured in months; duration of the task area
From Date	Date task area begins
To Date	Date task area ends
# of Staff	Number of individuals assigned to task area: each must be identified in the staffing plan
Avg. Hourly Rate	Average bill rate for all individuals in task area. See Hourly Rate definition in RFP section I(F).
Total Hours	Total hours of service provided for task area
Total Cost	Total cost of task area

TOTAL IMPLEMENTATION SERVICES COST

Task Area	Duration	From Date	To Date	# of Staff	Avg. Hourly Rate	Total Hours	Total Cost
Requirements							
Development							
Project Management							
Testing							
Training							
Warranty Support							
TOTALS						0	$ -

IMPLEMENTATION SERVICES COST BREAKDOWN - YEAR 1

Task Area	Duration	From Date	To Date	# of Staff	Avg. Hourly Rate	Total Hours	Total Cost
Requirements							

PAS IMPLEMENTATION

Development							
Project Management							
Testing							
Training							
Warranty Support							
TOTALS						0	$ -

PAS IMPLEMENTATION

IMPLEMENTATION SERVICES COST BREAKDOWN - YEAR 2							
Task Area	**Duration**	**From Date**	**To Date**	**# of Staff**	**Avg. Hourly Rate**	**Total Hours**	**Total Cost**
Requirements							
Development							
Project Management							
Testing							
Training							
Warranty Support							
TOTALS						0	$ -

IMPLEMENTATION SERVICES COST BREAKDOWN - YEAR 3							
Task Area	**Duration**	**From Date**	**To Date**	**# of Staff**	**Avg. Hourly Rate**	**Total Hours**	**Total Cost**
Requirements							
Development							
Project Management							
Testing							
Training							
Warranty Support							
TOTALS						0	$ -

PAS IMPLEMENTATION

IMPLEMENTATION SERVICES COST BREAKDOWN - YEAR 4							
Task Area	**Duration**	**From Date**	**To Date**	**# of Staff**	**Avg. Hourly Rate**	**Total Hours**	**Total Cost**
Requirements							
Development							
Project Management							
Testing							
Training							
Warranty Support							
TOTALS						0	$ -

ATTACHMENT 16: FEE PROPOSAL
MAINTENANCE AND SUPPORT

Respondent Instructions: "Maintenance and Support" refers to all costs associated with the Respondent's support of the system. It does NOT include the annual licensing fees. It does include help desk support, technical support services, troubleshooting, analysis, project management of support resources, etc. The Respondent is asked to provide three models of support: BASIC is defined as the minimum support the Respondent offers. INTERMEDIATE is defined as providing typical / average support for a client who wants some independence from the Respondent but still needs guidance. INTENSIVE is defined as the Respondent's most complete support available. Please include a description of each item provided and add to the lists as appropriate. In the pricing summary, include the cost of the intermediate support. Also please note that we are asking for the rate and cost associated with the first year of maintenance and support. If there is any expected cost increases over time, we expect that this would be reflected in the Summary Totals worksheet. If Offeror's support fee structure is different than that listed in the table below, please use the worksheet to the best of your abilities in order to ensure a compliant proposal.

Legend	
Item	Support role
Description	What is considered in scope for that role (i.e. telephone support to assist users with problem solving)
Respondent Responsible?	Is the Respondent responsible for performing this service? (yes/no)
ICERS Responsible?	Is ICERS responsible for performing this service? (yes/no)
Est. Hrs Per Month	The hours this item will require per month.
Pricing Model	How the Respondent charges for the service; i.e., in blocks, by the hour, monthly, annual etc
Hourly Rate	Hourly rate charged for the service

BASIC SUPPORT

Item	Description (what is included)	Respondent Responsible?	ICERS Responsible?	Est. Hrs Per Month	Pricing Model (hourly, monthly, annual etc)	Hourly Rate	Monthly Cost	Annual Cost
Help Desk (8 am - 5 pm Pacific Time)								
Enhanced hours (6am - 8 pm Pacific Time)								
24/7 Help Desk								
Database Administration								
System Administration								
Other (list)								
Other (list)								
Other (list)								
TOTALS							0	$ -

INTERMEDIATE SUPPORT

Item	Description (what is included)	Respondent Responsible?	ICERS Responsible?	Est. Hrs Per Month	Pricing Model (hourly, monthly, annual etc)	Hourly Rate	Monthly Cost	Annual Cost
Help Desk (8 am - 5 pm Pacific Time)								
Enhanced hours (6am - 8 pm Pacific Time)								
24/7 Help Desk								
Database Administration								
System Administration								
Other (list)								
Other (list)								
Other (list)								

MAINTENANCE AND SUPPORT

INTENSIVE SUPPORT								
Item	**Description (what is included)**	**Respondent Responsible?**	**ICERS Responsible?**	**Est. Hrs Per Month**	**Pricing Model (hourly, monthly, annual etc)**	**Hourly Rate**	**Monthly Cost**	**Annual Cost**
Help Desk (8 am - 5 pm Pacific Time)								
Enhanced hours (6am - 8 pm Pacific Time)								
24/7 Help Desk								
Database Administration								
System Administration								
Other (list)								
Other (list)								
Other (list)								
TOTALS							0	$ -

ATTACHMENT 16: FEE PROPOSAL

CLOUD HOSTING

Respondent Instructions: Please list all costs associated with the hosting solution proposed.

One-Time SW/HW Purchases (if not included in the Software and Hardware tabs)

Item	Description	Qty	Total
Totals			$ -

Monthly Hosting Fees	$

Please include any other recurring charges below, if any.

Item	Description	Qty	Total
Total Other Recurring Fees			$

ATTACHMENT 16: FEE PROPOSAL

FLEXIBILITY 3 REQUIREMENTS

Respondent Instructions: For each Flexibility 3 requirement that is not included in the base fixed price, but for which you are providing pricing, please list the requirement number, the cost associated with the configuration or customization of that requirement, and any additional information required.

ReqID	Cost	Additional Information

ATTACHMENT 16: COST PROPOSAL

RATE SCHEDULE

Respondent Instructions: Please list the hourly charges (if any) for the following types of service (by function) post-production.

Role	Hourly Rate - Year 1	Hourly Rate - Year 2	Hourly Rate - Year 3	Hourly Rate - Year 4	Hourly Rate - Year 5	Hourly Rate - Year 6
System Administrator						
Database Tuning						
Backup/Restore/Recovery						
Diagnostics and Analysis						
Testing						
Operational Support						
Customer Representative						
Project Manager						
Programmer / Analyst						
Database Administrator						
Network Engineer						
Technical Writer						
Trainer						
Other						

ATTACHMENT 16: FEE PROPOSAL

MILESTONES

Respondent Instructions: Please list the milestones from your proposed Implementation Plan and the deliverable and payment associated with each. Include no more than 40% of the total implementation fees in any year of the project. Please include a 10% holdback in your schedule. Please extend this table out if space is needed for additional milestones, and be sure your listing is in chronological order.

Milestone	Project Phase	Associated Deliverable	Year (1, 2, 3, …)	Approximate Date	Associated Payment Amount	Holdback Amount

ATTACHMENT 16: FEE PROPOSAL - THIRD-PARTY PENSION ADMINISTRATION SERVICES

Respondent Instructions: The fee information should be presented using the table below. Respondents must list all assumptions used in establishing the pricing.

Item	Fee Basis	Fee
Implementation Fees - Pension administration system - Employee self-service portal	One time fee	
Implementation Fees - Pension administration system - Employee self-service portal	Annual fee	
Annual Activities - Indexation for retirees and deferred vested members - Production of the actuarial valuation data extract file - Preparation of required reports for Annual reporting - Annual statements (actives, terminated vested, retirees) - Preparation of information required by the auditors - Preparation of additional reports - Financial reconciliation and reports - Processing members reaching milestones (deferred members reaching normal retirement age and active members reaching age Mandatory Retirement age)	Annual fee	

Calculation Transactions: - Termination calculation - Retirement calculation - Recalculations - Termination and retirement estimate not performed by the employee via the employee self-service portal - Pre-retirement death calculation - Post-retirement death calculation - Reciprocal Transfer Agreement processing - Buy-back calculation - QDRO calculation - Payment authorization	Fee per transaction	
Call Center Transactions: - Member call - Member email	Fee per transaction	
Management: - Quarterly executive meetings and performance measurement reports - Hold monthly meetings with ICERS and the provider to address day-to-day administration matters - Annual planning meeting	Annual fee	
Employee Self-Service portal: - Hosting and maintenance	Annual fee	
Other components: - Proof of life audit for deferred vested members and retirees (every 3 years) - Pension Plan education material (webinars, videos, documents, etc.) - List any other components included in services	Annual fee	

* ICERS to choose one method to be followed by all vendors. Both options are similar. If using the Annual fee, vendors would typically provide their volume threshold assumption (e.g., "Fees will be adjusted should the transaction volume vary by X%")

Respondent Assumptions

ATTACHMENT 16: FEE PROPOSAL - THIRD-PARTY

RATE SCHEDULE

Respondent Instructions: Please list the hourly rates by role.

Role	Hourly Rate - Year 1	Hourly Rate - Year 2	Hourly Rate - Year 3	Hourly Rate - Year 4	Hourly Rate - Year 5
Executive Manager					
Day to day Operations Manager					
Senior Data Manager					
Data Manager					
Senior Pension Administrator					
Pension Administrator					
Senior Call Center Service Representative					
Call Center Service Representative					
Administrative Assistant					
Project Manager (Special Projects)					
Retirement Education Trainer					
Other					

Attachment 18 – RFP Questions

A Word format version of this document can be provided separately for completion.

Instructions

Use this form to submit any questions related to the RFP. Email the completed form to: **Denise Fernandes, Linea Solutions – dfernandes@lineasolutions.com no later than Feb 10 2025**.

Respondents should frame questions clearly and concisely, ensuring relevance to systems of similar size and scope to ICERS.

From:

Responder Name:	
Contact Name:	
Telephone:	
Email:	
Date Submitted:	

Questions:

Question Number	RFP Section Reference	Question

Attachment 19 – ICERS Plan Information

For reference purposes, the following links provide information relevant to ICERS:

Retirement Law Book

The laws and statutes governing ICERS can be found at the following locations:

- Retirement Law Book:

  https://icers.imperialcounty.org/wp-content/uploads/2021/09/2021-ICERS-REVISED-BYLAWS-Final-1.pdf

Retirement Booklets

- Retirement Booklet Tiers 1 & 2:

  https://icers.imperialcounty.org/wp-content/uploads/2020/09/RetirementBookletTier12REV920.pdf

- Retirement Booklet Tiers 3:

  https://icers.imperialcounty.org/wp-content/uploads/2020/09/RetirementBookletTier3REV0920.pdf

Attachment 20 – Interpretation and Defined Terms

1(1) In this RFP document and attachments, unless the context otherwise requires,

"AI": means Artificial Intelligence.

"Agreement": means the written agreement, which includes SOWs, the MSA, this RFP, and the Respondent's proposal, between the successful Respondent and IPERS to provide the Services and Materials contemplated by the RFP.

"Artificial Intelligence": means systems that display intelligent behavior by analyzing their environment and taking actions – with some degree of autonomy – to achieve specific goals. AI-based systems can be purely software-based, acting in the virtual world (e.g., voice assistants, image analysis software, search engines, speech and face recognition systems) or AI can be embedded in hardware devices (e.g., advanced robots, autonomous cars, drones or Internet of Things applications).

"Business Day": 8:00 a.m. to 5:00 p.m. PST, Monday to Friday, excluding statutory holidays observed by ICERS.

"Business Hours": means 8:00 a.m. to 5:00 p.m. PST on Business Days.

"Closing Date": The deadline for submission of proposals, no later than 2:00 p.m. PST on the specified date.

"Configuration": Any change or enhancement to the Software not requiring source code changes, completed by the Respondent to meet the specified functionality.

"CRM": means Customer Relationship Management.

"Customer Relationship Management": means technology that manages IPERS' relationships and interactions with members and stakeholders, to improve relationships and streamline processes.

"Customization": means any change, enhancement, etc. to the Software requiring source code changes completed by the Respondent to provide the specified functionality.

"ECM": means Enterprise Content Management.

"Enterprise Content Management": means a set of defined processes, strategies, and tools that allow ICERS to effectively obtain, organize, store, and deliver critical information to its employees, stakeholders, and clients.

"Evaluation": means confirming the proposal, materials, and/or Services meet the RFP requirements.

"Evaluation Team": means the individuals who will evaluate the Proposals on behalf of ICERS.

"Fixed Price": A definite and predetermined price charged for the Materials and performance of the Services by the successful Respondent.

"ICERS": means Imperial County Employees' Retirement System.

"Main Services Agreement": A contractual document that ICERS intends to enter into with the successful Respondent for the PAS Solution, which will form part of the Agreement.

"Materials": All deliverables including reports, studies, plans, specifications, software, documents, and data provided as part of the project.

"must" or **"mandatory"** or **"shall"** means that the requirement so described must be met in a substantially unaltered form for the Proposal to be compliant.

"MSA": Main Services Agreement.

"PAS": Pension Administration System.

"Pension Administration System" means a Solution used to administer all aspects of the plans and benefits as they relate to members.

"Proposal" The Respondent's response to this RFP, including all attachments, presentation materials, and written clarifications.

"Respondent": Any individual, business entity, or organization responding to this RFP with a Proposal.

"Services": The work, duties, functions, and deliverables to be provided by the Respondent as specified in this RFP.

"Software": The proposed commercial off-the-shelf software that meets or exceeds all requirements specified in this RFP.

"Solution": The complete Pension Administration System, including Software, Configuration, and/or Customization, that meets or exceeds all RFP requirements.

"SOW": Statement of Work.

"Statement of Work": A document describing specific tasks, deliverables, and responsibilities to achieve successful implementation, forming part of the Agreement.

"Time & Materials" (T&M): A billing method based on actual time and materials used, charged at agreed hourly rates.

"User": Any individual utilizing the Software or Solution.

1(2) In this document:

a. headings are used for convenience only and will not affect the meaning or interpretation of the clauses.

b. words in the singular include the plural and vice versa.