Imperial County Employees' Retirement System (ICERS)

Member Enrollment

Operational Baseline, Functional Requirements, and Business Process Improvement

September 8, 2023

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02 – Member Enrollment

1. Overview

This section contains a brief description of the process area being addressed in this requirements document including primary goal, objectives, and stakeholders.

The goal of the Member Enrollment process is to accurately enroll eligible employees and rehired retirees into ICERS membership. The process requires the following objectives to be met:

- Determine new vs returning employee.
- Ensure member is in the correct tier and has the correct contribution rate.
- Receive and verify necessary paperwork from member and employer.
  This includes:
  - New Membership Information Form
  - Personnel Status (PS2) Form
  - New Member Affidavit Form
  - Employee's CA ID/Driver's License/Passport
  - Employee's Social Security Card
- Ensure employee data is accurately received and recorded.

Most of this process is done prior to receiving the initial active payroll transmittal file from the Employers. Consequently, new member data is not in the Pension Administration System (PAS). Staff is utilizing physical file folders to collect documents and manually validating enrollment information with the member and employer prior to scanning into DocuWare.

For the future state, the enrollment process will be integrated with workflow capabilities and employer reporting to allow for automated validations of enrollment information and end-to-end processing that occurs within the PAS, eliminating external tracking and communication tools.

2. Roles & Responsibilities

This section contains roles represented in the current state process.

Role	Responsibility
Member	An individual eligible to participate in ICERS, who is a full-time permanent employee or minimum of 30 hours/week of either Imperial County, Superior Court, Imperial County Transportation Commission (ICTC), or Local Agency Formation Commission (LAFCO).
Employer	The organization where the member works that submits active payroll transmittal files, sends Personnel Change Form (PS2), and corrects/confirms active member data.

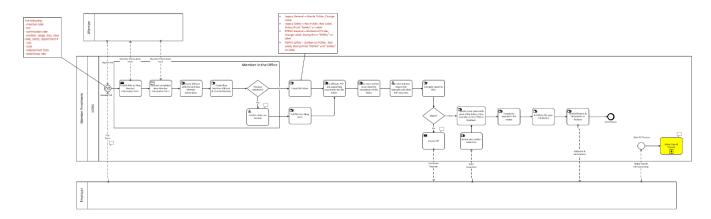| Role	Responsibility
Retirement Specialist I	The ICERS staff member who does the processing and initial review of any document received
Retirement Specialist II	The ICERS staff member who verifies the work done by the Retirement Specialist I

3. Workflow Diagram Legend

Icon	Description
	Task or activity within a process
+	Sub-process within a process
◯	Start event/process
O	End event/process
◎	Interim event
⊕	Timer event
Ⓐ	Escalation event
Ⓝ	Error or exception event
◇	Gateway or decision point
✉	Send message or task
✉	Receive message or task
⚙	Service > automated process using software or hardware
8	User > person performs task with assistance of software application

4. Current State Process

This section includes BPMN 2.0 representation of current state.

Current State_Mbr
Enrollment.pdf

5. Opportunities & Recommendations

This section includes opportunities discovered during the Operational Needs Assessment and the recommendations that accompany it. This will be used to create the future state process.

Opportunity
Utilize a workflow that's integrated with the PAS and imaging system

Recommendation

1. **Document Scanning and Digital Storage**: Implement an integrated imaging system to scan all necessary documents for new member enrollments. These scanned documents should be stored securely in a cloud-based or on-premises digital repository.
2. **Data Integration**: Integrate the imaging system with the pension administration software so that any digital files or documents correspond to the right member profiles without the need for manual data entry.
3. **Automated Workflows:** Develop workflow automation within the pension administration system that triggers specific actions when a new member enrolls, such as automated alerts, task assignments, and approval sequences.
4. **Performance Metrics:** Set up performance indicators to gauge the success of the integrated system. Monitor metrics like time taken for new member enrollment, error rates, and staff productivity to continuously improve the system.

Opportunity
Staff does not have to generate the report and wait for the active payroll files to be uploaded into the system

Recommendation

Opportunity
Automated Reporting and Alerts: Rather than manually generating reports to identify missing new hires, staff can rely on system-generated notifications triggered by the initial active payroll file and its associated validations.

Opportunity
Documents can be combined, provided earlier, or information can be collected later (excluding the affidavit).

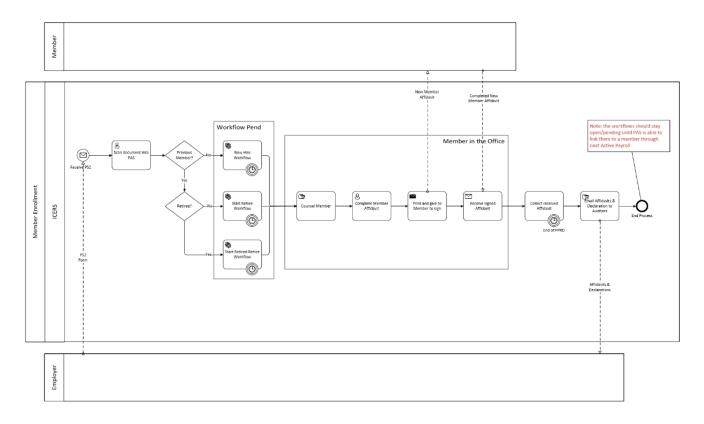| Recommendation |
| --- |
| 1. **Pre-Onboarding Coordination**: Collaborate with the HR departments of member employers to ensure that all necessary documents are provided to new members prior to them arriving at ICERS' office.
 2. **Member-Self Service via Portal**: Except for the affidavit, defer the collection of additional information to after the member is on the active payroll. Utilize a dedicated member portal where individuals can conveniently complete and submit the remaining required information at their own convenience.

 These recommendations aim to streamline the enrollment process and improve member engagement by offering more flexibility and autonomy. |

6. Future State Process

This section contains the proposed future state process. The BPMN diagram identifies high-level steps of the workflow and interactions between groups.

Future State_Mbr
Enrollment.pdf

7. Functional Requirements & Key Business Rules

User stories below represent the functionality needed to support the future state process defined above. Requirements are captured in user story format with acceptance criteria and grouped by sub-process. Relevant business rules are included with the applicable user story.

Step	Description
1 = Inflexible	Requirement is critical to the operations and this requirement must be satisfied as described at go-live.
2 = Flexible	The functional result is required, but there is flexibility in how that functionality is delivered. This requirement must be functional at go-live.
3 = Desired	The system does not have to satisfy this requirement at Go-Live; however, the requirement is desired.

No.	Feature	User Story	Flexibility
02.01	Correspondence	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 the 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 then automatically imaged into the PAS) • The PAS identifies whether the member is new or rehire. • The PAS initiates the appropriate workflow.	2
02.02	Report	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: • Identified all new hires for the upcoming pay period. • Identified 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
02.03	Member Data	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 of the first full pay period following their date of hire. • Full-time employee entering membership in a California Public Retirement System prior to January 1, 2013, will be placed in Tier 2 • Full-time employee entering membership in a California Public Retirement System on or after January 1, 2013, will be placed in Tier 3 (PEPRA)	2

No.	Feature	User Story	Flexibility

		• Full-time employee 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:
		    ○ Deferred vested status
		    ○ Non-vested deferred status returning **within** 180 days of previous termination.
		• Tier 1 or 2 member with a Non-vested Deferred status returning as a new member past 180 days of termination will receive a new entry age	

02.04	Correspondence	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
02.05	Correspondence	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

8. Approvals

Angie Aguilera

Angie Aguilera (Oct 12, 2023 15:21 PDT)

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[Date] Oct 12, 2023

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9. Document Version Control

Date	Change	Name	Version
09/08/2023	Initial Draft	Kahei Inglis	1.0
10/04/2023	Feedback meeting with ICERS	Kahei Inglis	2.0
10/06/2023	Update user stories per feedback; added approval header	Kahei Inglis	2.1
10/09/2023	Peer review and edited for clarity	John Keeler	2.2
10/11/2023	Edited user story 2.3	Regina Rodrigues	2.3
10/12/2023	Prepare draft for final version	Kahei Inglis	3.0

02-Member Enrollment Future State FINAL

Final Audit Report   2023-10-12

Created:	2023-10-12
By:	Kahei Inglis (kinglis@lineasolutions.com)
Status:	Signed
Transaction ID:	CBJCHBCAABAAs0sqfHalqBIJ64siZl6t-canH8K4UzRz

"02-Member Enrollment Future State FINAL" History

Document created by Kahei Inglis (kinglis@lineasolutions.com)
2023-10-12 - 9:18:57 PM GMT

Document emailed to Regina Rodrigues (reginarodrigues@co.imperial.ca.us) for signature
2023-10-12 - 9:20:13 PM GMT

Document emailed to Angie Aguilera (angieaguilera@co.imperial.ca.us) for signature
2023-10-12 - 9:20:14 PM GMT

Email viewed by Regina Rodrigues (reginarodrigues@co.imperial.ca.us)
2023-10-12 - 9:25:37 PM GMT

Document e-signed by Regina Rodrigues (reginarodrigues@co.imperial.ca.us)
Signature Date: 2023-10-12 - 9:25:58 PM GMT - Time Source: server

Email viewed by Angie Aguilera (angieaguilera@co.imperial.ca.us)
2023-10-12 - 10:21:02 PM GMT

Document e-signed by Angie Aguilera (angieaguilera@co.imperial.ca.us)
Signature Date: 2023-10-12 - 10:21:58 PM GMT - Time Source: server

Agreement completed.
2023-10-12 - 10:21:58 PM GMT