



REQUEST FOR PROPOSAL

INTERNAL CONTROL AUDIT FOR PENSION ADMINISTRATION SOFTWARE

Proposals must be submitted by noon on July 20th addressed to:

SamCERA

Gladys Smith, Assistant Executive Officer

gsmith@samcera.org

INTRODUCTION

The San Mateo County Employees' Retirement Association (SamCERA) is seeking proposals for reviewing and evaluating its new Pension Administration Software System (PASS) in regards to its ability to provide adequate internal controls over key areas discussed in Section I below.

SamCERA is a governmental pension plan that provides retirement, disability and death benefits to employees of the County of San Mateo, the San Mateo County Superior Court, and the San Mateo County Mosquito and Vector Control District. There are more than 6,000 active and deferred members and over 4,000 retired members and beneficiaries of SamCERA.

SamCERA's new PASS system is being designed and built by Vitech Systems Group, Inc. ("Vitech") and will be launched on January 1, 2017. The PASS system, implemented using Vitech's V3 product, will permit SamCERA to perform all benefit administration operations, including, but not limited to: processing wage and contributions reports, preparing benefit estimates, issuing refunds, processing service purchases, processing retirement benefit applications, disbursing benefit payments, preparing tax statements and producing member annual statements.

Prior to the PASS launch, the SamCERA audit objectives are to confirm that adequate internal controls exist in the new PASS system and are functioning as expected in order to minimize risk. The audit objectives include ensuring compliance with legal and regulatory requirements, as well as the confidentiality, integrity, and availability of the information maintained in or generated from the PASS system.

SamCERA is interested in receiving proposals from firms that have experience in the review and evaluation of automated information processing systems. Experience with pension benefit administration is preferred.

Proposals must be received no later than noon on July 20, 2016.

I. SCOPE OF SERVICES

A. Desired Services and Deliverables.

Contractor will need to specifically assess whether the PASS system has established an adequate control environment and properly addressed associated risks. This assessment will be done in two phases.

In Phase 1, Contractor will review the PASS "Functional Requirements" contained in SamCERA's PASS agreement with Vitech and determine if the Functional Requirements as written reflect

any internal control deficiencies. Vitech's "Solution Design Documents," which reflect the method of achieving the agreed upon requirements, will be available for the Contractor's use.

If the deficiency is considered material, provide a recommendation to mitigate the risk or strengthen the internal control by either a change to the Functional Requirement, an additional Functional Requirement, and/or other mitigation methods such as a written policy. The Functional Requirements are attached as Exhibit A to this Request for Proposal (RFP).

In Phase 2, which will occur during SamCERA's user acceptance testing of V3, Contractor will determine if the system is working in a manner consistent with the Functional Requirements in regards to the internal controls. Contractor must develop a testing strategy to:

- Test the controls to ensure their functionality and effectiveness.
- Evaluate the application against SamCERA's objectives for the PASS system to ensure efficiency, effectiveness and security.

In both Phase 1 and Phase 2, Contractor will evaluate the following:

- **Security**- Access to the system and its data is controlled and restricted to legitimate users. (This would not include penetration testing.)
- **Confidentiality**- Confidential member and beneficiary information is protected from unauthorized disclosure.
- **Processing Integrity**- Data is processed accurately, completely, in a timely manner, and only with proper authorization.
- **Availability**- System and its information are available to meet operational and contractual obligations (e.g. system back-up and disaster recovery).
- **Application Access Controls**- Authorized users can only use the system in an authorized manner.
- **Audit Trails**- Adequate audit trail exists to detect if the system was used in an authorized or unauthorized manner.

For each the above areas, Contractor will need to: (1) identify and assess whether there are internal control deficiencies, and (2) for any deficiencies considered material, provide a recommendation to mitigate the risk or strengthen the internal control.

B. Timing of Services.

It is anticipated that the agreement with the successful Proposer(s) begin in August 2016 and will be done in two phases:

- Phase 1- Review and evaluation of the PASS "Functional Requirements" and Solution Design Documents - to be completed by September 15, 2016.

- Phase 2- Testing of system to be completed at some point during SamCERA's user acceptance testing between September and December 2, 2016.

C. Contract Form and Specifications.

A sample agreement is attached as Exhibit B. This is the type of agreement to be contemplated. In submitting a proposal, the Proposer is deemed to have agreed to each clause unless the proposal identifies an objection, sets forth the basis for the objection, and provides substitute language to make the clause acceptable to the Proposer. Such objections and substitute language must be submitted no later than the deadline for the proposal.

II. PROPOSAL CONTENTS

Items 1 through 9 below contain brief descriptions of material that should be included in this proposal.

1. **Cover Letter.** Proposer shall identify its name and/or the name of the organization that will be providing the services offered in the proposal. The name, address, telephone number, facsimile number and e-mail address of a principal contact for information regarding the proposal shall be supplied.
2. **Experience in providing similar services.** Describe the organization's history, services it provides, and experience in providing similar services and experience with Control Objectives for Information and Related Technologies (COBIT) and/or (Committee of Sponsoring Organizations of the Treadway Commission (COSO), or similar standards for internal controls for information systems. With the history, include length of time in business, and any experience auditing software, work with public pension systems, the size and complexity of those pension systems, as well as experience presenting findings and recommendations at both a technical and an executive level. Provide a summary of the qualifications for the person(s) proposed to perform the work.
3. **Services.** Proposers should address how the services listed above will be provided. In the discussion, estimate the amount of Proposer staff time for each of the service areas. Proposer should identify the standards framework to be used for the assessment of internal controls. Proposers are encouraged to also include additional services with a discussion of the reason for these other services.
4. **Schedule.** Proposers should provide a proposed schedule for the activities required to complete Phases 1 and 2.
5. **Additional Helpful Information.** Provide any other information about the organization which may be helpful to SamCERA in understanding why the organization should be selected as the Contractor.
6. **Other Commitments.** List commitments or potential commitments that may affect the ability to perform this agreement.

7. **Certain Assistance.** Describe the anticipated support that Proposer will need from SamCERA and Vitech in order to provide the requested services.
8. **Cost.** Please list:
 - a. The hourly rate of each designated key staff that will provide the services, and the estimated hours of service required.
 - b. Expenses anticipated to be incurred when performing the requested services.
 - c. Estimated total charges for the services and expenses that will be incurred during the term of this contract.
9. **References.** List a minimum of three references recently familiar with the quality and reliability of Proposer's work. Include the name of the organization, contact person, mailing address, email address, and phone number for each reference.
10. **Insurance.** Statement that Proposer will be able to provide certificates indicating liability insurance of a minimum of \$1,000,000 for each of the following: comprehensive general, motor vehicle, professional, and worker's compensation.

III. PROPOSAL PROCESS

A. Submission of Proposal.

Proposals must be received **by noon, July 20, 2016** and must be submitted via e-mail to Gladys Smith, Assistant Executive Officer at:

gsmith@SamCERA.org

If Proposer does not receive a confirmation of receipt for the proposal, please call Gladys Smith at (650) 599-1234. Please note that SamCERA's office hours are 7:00 a.m. to 6:00 p.m. Monday-Thursday, and that we are closed on Fridays.

B. Submittal of Questions.

Proposers requiring clarification of the intent or content of this RFP, or of the competitive proposal process, may submit written questions no later than **July 12, 2016, by noon**.

All questions must be in **writing** and sent to Gladys Smith, Assistant Executive Officer via e-mail to gsmith@SamCERA.org.

Verbal questions will not be answered. SamCERA will post a list of all Proposer questions and SamCERA responses on **July 13, 2016, by 5:00 p.m.** at its website: SamCERA.org/auditITRFP.

Other than what is set forth in this RFP, Proposers are specifically precluded from contacting SamCERA staff regarding this RFP, until a contract has been entered into with the successful Proposer.

C. Evaluation of Proposals

SamCERA's staff will evaluate proposals and the qualifications of Proposers. The evaluation criteria will include, but not be limited to, ability to provide the desired services in the required time frame, and experience in providing similar services in related areas to the proposed deliverables. While cost is an important factor, this is not a low-bid process.

The evaluation criteria will include, but not be limited to the following:

- Proposer's qualifications and experience
- Ability to provide the required scope of services
- Positive references
- Cost

IV. GENERAL CONDITIONS OF SUBMISSION

- A.** By submitting this proposal, Proposer acknowledges that SamCERA reserves the right to accept or reject any or all proposals and may waive any requirements of this RFP if it deems that doing so is in the best interests of SamCERA. There is no expressed or implied obligation for SamCERA to reimburse responding firms for any expenses incurred in preparing proposals in response to this request. Costs for developing proposals are entirely the responsibility of the Proposer and will not be chargeable to or reimbursable by SamCERA.
- B.** Proposer further acknowledges that all proposals submitted in response to this RFP shall become the exclusive property of SamCERA and shall be subject to public disclosure pursuant to the California Public Records Act (Cal. Govt. Code Section 6250 et. seq.). The Act provides that access to information concerning the conduct of the people's business is a fundamental and necessary right to every person in the state. Public records are defined as any writing related to the conduct of the public's business. There are specific exceptions to the Public Records Act. In the event SamCERA receives a request for inspection of any proposal submitted pursuant to this RFP, it is the responsibility of the organization whose proposal has been requested to assert any right of confidentiality that may exist. SamCERA will not make that assertion on behalf of the Proposer. Absent a judicial determination that the documents are exempt from disclosure, the proposal will be subject to inspection. Submission of a proposal constitutes a complete waiver of any claims whatsoever against SamCERA and/or agents, officers or employees, that SamCERA has violated a Proposer's right to privacy, disclosed trade secrets or caused any damage by allowing the proposal to be inspected.
- C.** All proposals must remain valid for a period of not less than 120 days from the submission.

- D.** SamCERA reserves the right to retain all proposals submitted and to use any ideas in a proposal regardless of whether that proposal is selected.
- E.** SamCERA, in its sole discretion, may enter into contracts with multiple providers.
- F.** SamCERA reserves the right to contact current and former clients of the Proposer for information at any time during the proposal process.
- G.** SamCERA reserves the right to contact individual Proposers for clarifying information at any time during the proposal process.
- H.** SamCERA may modify the RFP prior to the fixed date for submission of proposals by issuance of an addendum.
- I.** If a satisfactory contract cannot be negotiated, SamCERA may, in its sole discretion, begin contract negotiations with one or more than one of the remaining Proposers. SamCERA may contract with more than one Proposer if SamCERA determines, in its sole judgment, that more than one contractor is preferred to provide the specified services. SamCERA may determine to contract with none of the Proposers.

EXHIBIT A

PASS “Functional Requirements”

ID	Description
1	Ability to provide a complete demographics subsystem that allows for the tracking of beneficiaries and dependents
5	Ability to create dependent and set them as beneficiaries linked to current active current Members. Users can also search for any record in the system.
6	Ability to expedite processing with quick-links between members and beneficiaries
7	Ability to designate a single beneficiary for several different members without duplicating the beneficiary's information. Once a beneficiary record is created, the beneficiary-member relationship is defined by: relationship, beneficiary type (primary, contingent) and percentage.
8	Ability to alert designated users to any follow-up actions that may be required when changing beneficiary information. Beneficiary information fields are designated as either required or optional.
9	Ability to maintain a complete audit history of changes to the designated beneficiary.
10	Ability to process beneficiary payments, using independent benefit processing screens linked to the member's account. Disbursement records preserve all information relating to the original member and their survivor payee(s).
12	Ability to process survivor benefits from members' records to ensure that all necessary information is at the user's fingertips.
13	Ability to indicate as part of the member data that a Trust Agreement exists as part of the member record and the characteristics of the trust. Beneficiary Type of 'Trust'.
15	Ability to provide an alert when a member omits a beneficiary, or elects a beneficiary other than the spouse, when the member marital status is married.
16	Ability to maintain beneficiary information for multiple beneficiaries and the percent designated for each, and to confirm that the total designated equals 100%.
18	Ability to capture and maintain guardians, conservators, power-of-attorney and other legal designations
19	Ability to capture, maintain, query against, and display multiple beneficiaries and survivors and all data associated with each (name, address, DOB, SSN, unique identifier, gender, relationship, type, distribution, percentage, factor, \$ amount, etc., as appropriate)
22	Ability to capture, update, inquire, and delete beneficiary change information
24	Ability to name and set up Trusts, Charity, etc. as a beneficiary as well as establish the percentages, payment priority, etc.
25	Ability to support bi-directional links between member(s) and beneficiary(ies), alternate payees, and/or survivors so that end-user can search on a beneficiary's SSN and/or unique ID and locate the original member's account
27	Ability to determine whether the retiree is allowed to change beneficiary based on the retirement option chosen or restrictions placed on account (Court Orders)
28	Ability to enclose a "Nomination of Beneficiary" correspondence/letter explaining what corrections are needed and include a pre-filled new form with the correct information and what missing/incorrect information is still needed. Will not need to identify the dependent, only send letter to the member.
30	Ability to view active workflows associated with beneficiary change.
31	Ability to perform an edit to ensure that a secondary beneficiary cannot also be a primary beneficiary and vice versa
32	Ability to perform edit to determine that a member did not name self as a beneficiary. V3 base functionality.
33	Ability to ensure that a secondary beneficiary cannot be added unless a primary beneficiary has already been added
35	Ability to enable members to change their own beneficiary information (where appropriate) using member self-service. A validation message based approach may be most effective to explain the importance of beneficiary designation, the different types of benefits and beneficiaries, and to enforce the business rules for each.
36	Ability to generate benefits calculations in the context of PASS and self-service estimates, batch-based estimates in support of statements, PASS final calculations, and actuarial extracts.
37	Ability to provide estimate business processing including applications, correspondence, printing, document tracking, benefit finalization, and payment setup
38	Ability to configure multiple versions of side-by-side comparison estimates that span plans or are for different dates. and estimates that include QDRO information.
39	Ability to generate date specific, age specific and earliest-possible calculations
40	Ability to create an unlimited number of estimates for any individual across any number of accounts or benefits
41	Ability to initiate estimates via PASS or member self-service
42	Ability to generate calculations for payment forms including straight life, lump sum, joint and survivor, and term certain
43	Ability to calculate payments that include COLAs or other future dated adjustments

44	Ability to generate and save estimates based on consistent benefit calculation parameters such as actual service, desired annuity, future credited service for all retirement types and payment combinations configured specifically for SamCERA in a SamCERA approved format. Estimates can be displayed in both a detailed and a summary view on the printed estimate document. Estimates via MSS can optionally provide FAC details in PDF format.
45	Ability to consider the member's elected benefit type/option, configured specifically for SamCERA and conforming to SamCERA business rules; including COLA projections, in-process or future service purchases, tax implications, 415b limit, and any additional deductions needed such as court orders for divorced spouses (such as QDRO splits). Ability to incorporate tax withholdings and other payroll deductions into the total annuity and identify any special characteristics including members over 70.5.
47	Ability to guide SamCERA users through the estimate process using configured workflows and specific actions available as point-and-click checklists for each step.
48	Ability to make estimates readily available through the self-service interface, which members can dynamically create and update. Ability to store historical estimates and compare multiple estimates simultaneously.
49	Ability to generate and print, or digitally send, benefit estimates, with member demographic data in bulk via automatic batch processing or ad hoc.
50	Ability to allow for the configuration of custom retirement factors, types, and payment options, with the ability to update tables for schedule changes, new mortality rates, Social Security tables, or new legislation where possible.
51	Ability to capture a benefit estimate request whether received by mail, Email, phone, fax, hand delivery, or Web. Ability to maintain a record of all estimates created by staff, and all estimates printed or saved by a member. Ability to add a comment to an estimate that explains what the estimate scenario is.
52	Ability to populate (subject to user override) all data used in benefit estimate calculation from available system data (years of service, current salary, etc.)
53	Ability to (only accessible to authorized staff members) estimate both disability and death benefits as well as service retirement
55	Ability to generate (in standardized correspondence format) displayed / printed benefit estimate for all applicable retirement types (service, disability, reciprocal, early, vested, etc.) and all applicable retirement options
57	The ability to generate retirement estimates in mass by entering in unique batch parameters, including unique member identifier of name, SSN or other client identifier and generate estimates including all related correspondence.
58	Ability to provide a member self-service benefit estimate calculator (using same engine as the tool used to calculate final benefit) to assist members with estimating their pension amount
59	Ability for staff to modify or delete estimates that have not been printed or distributed (applicable only to those estimates that the staff member has created). The deleted record will have no record in V3 once removed.
60	Ability to archive, recall, and display estimates in both a summary and detailed view. The detailed view should include the steps used to arrive at the estimate.
61	Ability to calculate actual value/accrued benefit of member's account as of divorce date based upon married dates of service while determining when the member would be eligible for unreduced benefit and at what amount
62	Ability to calculate salary and service through member's projected date of retirement based on the member's employment status (using projection method selected by user such as % increase) and calculate benefit estimates accordingly
63	Ability to calculate multiple estimates for a member with the estimator, user having to enter only those fields that are changed on each iteration and possibly display the results side-by-side for comparison purposes
64	Ability to determine thresholds such as the member's earliest retirement date, 20-year service, etc., based on the retirement eligibility rules
65	Ability to estimate benefits payable to beneficiaries under various plan options
66	Ability to estimate the cost of converting non-contributory to contributory service
68	Ability to identify special conditions within a member's account (outstanding purchase of service, active account, inactive account, vested, previously retired, law enforcement, etc.) as it relates to performing the benefit estimate. The special conditions will be communicated to the user via validation messages within the V3 pension application.
69	Ability to perform all Final Average Compensation computations for all SamCERA supported retirement plans, retirement types and retirement options
70	Ability to pre-populate the estimate calculation with real-time data and store as the basis for subsequent benefits estimates
71	Ability to provide a standardized online form for a member to initiate an estimate request via the Web

72	Ability to provide a user interface to accommodate benefit estimate parameter entry, viewing of calculation results, overriding of system-supplied information, and conducting estimate “what-if” analysis
73	Ability to reflect Court Ordered-reductions, estimated taxes and other deductions in benefit estimates, yielding a “net” benefit estimate
74	Ability to review current data in member’s account (both in summary and in detail) prior to performing an estimate
75	Ability to support IRS 415 limitations in generating benefit estimates (and inclusion of appropriate text if applicable)
76	Ability to uniquely identify each benefit estimate that is generated by automatically assigning a benefit estimate number, user ID, date, and time produced
77	Ability to use member’s beneficiary information on file to calculate optional payment forms when performing an estimate and to over-ride / change for calculation purposes if needed
78	Ability to integrate SCP estimates, or eligible service for service credit purchase, into the benefit estimate calculations in the V3 LOB and member self service applications using a flag that when checked, assumes completion of purchase for estimate.
80	Ability to estimate distribution to mandated payee(s) (70%, tax liens, etc.) and include in estimate calculation
81	Ability to estimate a benefit based on a projected QDRO percentage
82	Provide estimate for member with split plans without having to run them separately
83	Ability to create and maintain member, retiree, beneficiary, employer, TPA, alternate payee, other organization and any other type of customer record; along with the ability to initiate and capture all related communications and the ability to perform related benefit processing tasks
85	Ability to provide agents with a complete history of customer contact points, a record of all in-bound and out-bound documents, a history of all completed and in-flight workflows related to the customer and easy access to all other customer data including benefits, employment, work history, and payments
86	Ability to fully integrate CRM with all other PASS modules to give a SamCERA user a complete view of a customer, and allow them to take action on the customer’s behalf, for example, sending a letter, processing a benefit, or launching a workflow; so that a user is fully empowered to meet a customer’s needs.
87	Ability to capture agent productivity and work processing statistics. This can entail WF and Reports.
91	Ability to consolidate a variety of key customer service information using the Call Center tab. Additionally this tab provides agents with access to member, employer, and third party details regardless of the entity retrieved . Ability to create a call record and populate it with agent-changeable default values for subject, category, caller, and other pertinent fields (remove automatically).
92	Ability to create and manage member correspondence and track member proof documents using the Call Center. Ability to unify outgoing PASS Document templates with PASS Proof Documents and link these documents to the relevant business processes. Proof docs will be on another tab.
93	Ability to enable members to update their demographic data (such as contact information) using the Member Self-Service portal.
94	Ability to limit member access to tabs, or individual fields using integrated PASS controls, which provide writable, read-only, or hidden permission levels for users or role groups.
98	Ability to use the Query tool to locate customer service information available in PASS, including the status of prior requests. Ability to use the Query tool to compile this information and create a suite of comprehensive reports measuring a wide array of metrics. (e.g. types of calls, CRM activities)
99	Ability for members to access these documents in Self-Service, or be delivered by email, mail.
101	Ability to define and control which PASS users can modify or delete existing appointments
103	Ability to provide automatic alerts in case of unfulfilled member requests (Email or routing of step of certain users)
104	Ability to audit (or even prohibit) changes made to customer data that are not made as part of an automated workflow process, e.g., a verbally requested change of address
107	Ability to capture a form request (form requested, date requested, date mailed, the requestor, the recipient)
108	Ability to capture in the activity tracking log all information that was historically provided / sent to the member and when
109	Ability for a member via self service to fulfill a request for income verification.
110	Ability to capture, at the individual member level, the preferred means of communication (e.g., mail, telephone, Email, fax).
111	Ability for call center user to retrieve member record, including PASS data, notes of previous calls, imaged documents, etc., quickly

112	Ability to capture user-entered, free form notes on contacts (email, phone call, counseling session, etc.) with SamCERA customers (automatically applying user-id, user name, date, time stamp, etc.); records must be limited in length by SamCERA, able to be sorted based on various criteria such as date/time, SamCERA contact, type of contact, disposition, etc., and viewable by any other authorized user. Use of defaults and standard (drop-down) codes to minimize need for comments is encouraged.
113	Ability to update the contact information to reflect the most recent transaction or information provided to the customer via the system (e.g., change in beneficiary, retirement estimate) or as a result of a communication between SamCERA and the customer – typically by phone, email, self service, fax, or in person.
114	Ability to support the authentication of callers according to SamCERA procedures using a script or single customer service screen
115	Ability for call center agent to retrieve appropriate information from a Knowledge Management repository while caller is on the phone. Frequently Asked Questions.
116	Ability for members to contact SamCERA using live Web chat and for those live chat transcripts to be noted in PASS and captured in ECM
117	Ability to automatically create an appointment in Outlook for every counseling appointment created in PASS. Provide one generic calendar interface file using an agreed to format.
119	Ability to count and categorize calls, emails and all other incoming requests for information, action, assistance, etc., by topic (e.g., 1099s, estimates, service credit, etc.), by type of caller, and produce appropriate reports showing disposition, success rate, forecasting, etc. Assumption: Call logs to be reported from are entered manually.
122	Ability to search on and retrieve all system-captured interactions with members, showing (where appropriate) conversation threads.
123	Ability to sort the activity log by date, and other columns in order and be able to print the result.
124	Ability to sort all activity tracking entries for a person.
125	Ability to automatically capture text of all in-bound and out-bound Emails, tweets, Facebook posts, Microsoft Exchange instant message transcripts into member record. SamCERA will permit PASS to captures all inbound and outbound emails scanning for those that relate to individuals in PASS. Capturing IM transcripts may require a user to cc a PASS account. Capturing Twitter and Facebook posts will require SamCERA to create Twitter and Facebook accounts to which PASS will be granted access. SamCERA will maintain email addresses, Twitter ID's and Facebook ID's for members for whom it wishes to invoke these capture capabilities. Outbound emails, tweets and Facebook posts to be captured will be initiated via PASS, and PASS will pass the communication to Microsoft Exchange, Twitter or Facebook. For Twitter and Facebook, only direct messages to SamCERA or those that mention SamCERA hashtags will be captured. For outbound communication, the member will be given SamCERA and PASS permissions to post to their walls (Facebook) or send direct messages to Twitter (which would, in turn, require the member to be following SamCERA's Twitter handle).
129	Ability to find answers and respond to typical service questions from members to support: - What's my balance?
130	Ability to find answers and respond to typical service questions from members to support: - What will my refund be?
131	Ability to find answers and respond to typical service questions from members to support: - Can I have a balance letter?
132	Ability to find answers and respond to typical service questions from members to support: - What's the status of my benefit estimate request / retirement application?
133	Ability to find answers and respond to typical service questions from members to support: - What's the status of my refund check?
134	Ability to find answers and respond to typical service questions from members to support: - When will I get my pension check?
135	Ability to find answers and respond to typical service questions from members to support: - Where is my pension check / direct deposit?
136	Ability to find answers and respond to typical service questions from members to support: - Can I change my address?

137	Ability to find answers and respond to typical service questions from members to support: - Can I change my beneficiary?
138	Ability to find answers and respond to typical service questions from members to support: - Explain my deductions.
139	Ability to find answers and respond to typical service questions from members to support: - I didn't get a Member Annual Statement.
140	Ability to find answers and respond to typical service questions from members to support: - Verify pensioner's amount.
141	Ability to find answers and respond to typical service questions from members to support: - Requesting forms
142	Ability to find answers and respond to typical service questions from members to support: - Benefit Estimate request
144	Ability to initiate the generation of standard/high volume correspondence Letters from call center tab.
145	Ability to provide access to all customer correspondence with the ability to provide resends/reprints as needed through various media (hardcopy, email, self service , etc.)
147	Ability to integrate call center communication that does not require duplicate input of data or separate action and / or access modes.
149	Ability for users to tie ECM documents, to any call center interaction.
150	Ability to access any call center log entry by SSN, name, or other lookup fields that are not birth date or phone number.
151	Ability to access the customer account update screen directly from any customer service screen. The account update screen is to include key information such as preferred address, email address, phone number, etc.
156	Ability to display the status (not-started, in-process, pending more information, completed, etc.) of all workflow processes
158	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, Email, etc.
160	Ability to provide the same call center features applicable to organizations (employers, banks, 3rd parties, etc.) as those that are applicable to people (members, beneficiaries, etc.)
161	Ability to provide one densely packed customer service screens (inquiry only) that contain as much summary information as possible for given functional areas (death, refund, pension payroll, disability, beneficiary, etc.) and the ability to drill-down for detailed information if so desired by the user
162	Ability to capture, track, and report on at the member level when a mass mailing was sent, to whom and how it was sent to each member (e.g., USPS, email, email link)
167	Ability for call center user to retrieve: -All previous calls to the system
168	Ability for call center user to retrieve: -All recent correspondence between caller and the system
169	Ability for call center user to retrieve: -Most recent member statement
170	Ability for call center user to retrieve: -Current refund or "transfer-out" value
171	Ability for call center user to retrieve: -Current pensionable salary
172	Ability for call center user to retrieve: -Complete salary history
173	Ability for call center user to retrieve: -Total service credit
174	Ability for call center user to retrieve: -Service credit history (and how it was earner or purchased)
175	Ability for call center user to retrieve: -Beneficiary information
176	Ability for call center user to retrieve: -Caller demographic information (e.g., current address, phone number)

177	Ability for call center user to retrieve: -Non-pension benefit and option elections
178	Ability to provide conversion of customer notes from PensionGold into PASS to ensure continued access to notes in new system
179	Ability to sort and/or "filter" user comments so that a user can see all comments, just comments related to a business area, just comments for a business process, just comments for a window of time or subject, scroll through comments chronologically, etc.
180	Ability to maintain an indicator stating how the member/employer wants correspondence distributed (e.g., Email, USPS, fax, etc.)
181	Ability to automatically link all correspondence sent to the customer (the act of creating and transmitting the correspondence should automatically index and store an index thereof - including the address to which it was sent and the means of transmission) – including documents relating to life cycle events such as benefit estimates, Member Annual Statements, COLA adjustments, and the like - to the call center tab and be viewable by the user by a single click of the mouse
182	Ability to automatically link Emails – both in-bound and out-bound
182.1	Ability to automatically link Emails – in-bound out-bound
184	Ability to automatically create encounter notes for Self Service eForms
187	Ability to integrate the customer service screens with workflow to initiate a process for a member and track the status of requests
189	Ability to maintain day, week, and month calendars in the customer service screens to permit users to schedule future activities, such as a callback to a member who requested information that is typically provided by phone (rather than by a letter or form). Calendar activities must be automatically linked to contacts. Instant access to contacts from the calendar must be supported.
190	Ability to create and manage automated ticklers to remind SamCERA staff of Action Items.
193	Ability to include in customer service screens links to supporting objects – for example, a refund date in the journal must provide a link to a refund record or letter, so the user can view information not otherwise part of the electronic customer record.
194	Ability to display customer service screens within a 2 second response time. Ability to enter in SSN and get to the Entity Record Quickly
197	Ability to respond to customer requests received and sent via mail, fax, or Email with appropriate correspondence.
198	Ability to search through all notes, emails, and correspondence sent to and from customers for specific words or phrases. Such a search must be accomplished with a single query. SamCERA intends to use such a query in order to find, for example, the number of users who have complained about the quality of telephone support. Similarly such a search would also be used by authorized users against all the information in a single customer's record
201	Ability to provide users ready access to single comprehensive list of forms, handbooks, etc., to provide immediate fulfillment based on requested means of communication of member requests (including pre-population of fields, etc.)
203	Ability to notify customers via a letter of any SamCERA-selected changes that have been made to their account
204	Ability to assign multiple roles to a person, such as Member/Beneficiary.
206	Ability for call center user to quickly retrieve (and capture for optional transmission to the caller) all portions of an employer record. At a minimum, such "immediate" access must include: -All recent interactions, including correspondence, between caller and the system
207	Ability for call center user to quickly retrieve (and capture for optional transmission to the caller) all portions of an employer record. At a minimum, such "immediate" access must include: -Member information when an employer is calling on behalf of a member — and to automatically log that call for both employer and member
210	Ability to track customer requests for information so this can be used as a resource for how to provide answers, to determine the most common requests for information, and to measure how long it takes to satisfy customer information requests. (CRM)
211	Ability to personalize the customer service screen for each user by allowing each user to hide information and to arrange information in a sequence best suited for them

212	Ability for the workflow-enabled termination of benefits to a deceased annuitant, the initiation of payments to any beneficiaries and any recoupments for related overpayments. Note: The source of the termination will be determined during detailed design.
213	Ability using PASS Workflow, case management and document management, to design a workflow to follow SamCERA's death processing rules
215	Ability to suspend the benefit if a survivor or dependent becomes ineligible to receive a benefit. If applicable, the benefit is redistributed among other survivors or dependents.
217	Ability to recover an overpayment using different methods of benefit overpayment recovery including reclamation of benefits paid using Electronic Funds Transfer (EFT).
218	Ability to receive death notifications in a variety of manners, including returned check, form, or by phone. Notice receipt can trigger Workflow processing to begin.
220	Ability to expedite the processing, delivery and tracking of all required documents using incoming and outgoing document management tools that integrate with Workflow. Suspend survivor benefits automatically if required documentation is not submitted in a timely manner or if the death benefit is contested.
221	Ability to calculate and approve survivor benefits. Recalculate benefits for updates to records. Generate estimates. Calculate overpayments and underpayments. Create audit trails using business checklists.
222	Ability to display payments in a detailed or summary view, authorize payments to multiple payees, and pay benefits in a variety of ways including check or EFT.
223	Ability to generate statistical reports and meet required reporting needs including a list of deceased retired members in a Death Report and all 1099R related requirements.
224	Ability to setup and configure eligibility and calculation rules and factors for retiree death benefit types, both pre- and post-retirement, and options specific by SamCERA.
225	Ability to maximize benefits functionality by generating multiple estimates, calculating benefits, overriding or making adjustments and approving or canceling payments.
226	Ability to suspend or prevent payment for a benefit in the event of a contested death benefit
227	Ability to automatically determine and update the last benefit payment date based on the payee date of death
228	Ability to identify if there are any active workflows or pension retirement applications (including disability, etc..) for the deceased member and notify the responsible staff person
229	Ability to manage benefit checks returned due to payee death
230	Ability to terminate the benefit of a spouse receiving a QDRO benefit upon the death of the member
231	Ability to manage the required documents and status of death cases. Ability for interested parties to upload documents to SamCERA using a unique case ID.
232	Ability to capture information from contested death benefit correspondence (e.g., name of person contesting death benefit, reason contesting, SamCERA response, etc.) and notify the applicable beneficiaries
233	Ability to capture information related to a death notification (e.g., date received, date of death, contact person(s) name, address, and phone number, relationship to deceased member, death certificate received indicator, etc.) and trigger a death workflow
234	Ability to update beneficiary information after the member's death
235	Ability to process electronic death notice files from various entities (e.g., Small World Solutions) for any person in the system (e.g., member, survivor, beneficiary) and automatically update the member record and trigger a death workflow for persons that meet SamCERA specified criteria
236	Ability to apply SamCERA procedures for cases in which no beneficiary has been named or remains alive. This process is removing the benefit from the member account and moving it back to the Fund (GL transaction).
238	Ability to permit entry of all death information at time of notification without affecting future eligible payments
239	Ability to process electronic death notices from the SMC Clerk.
240	Ability to provide statistical and demographic data for various reporting purposes, such as number of death benefits generated in total, by plan and tier
241	Ability to determine if required benefit payments after death were not returned and generate death benefit overpayment correspondence
242	Ability to generate an Acknowledgement correspondence when a death notification (and other documents) is received

243	Ability to generate an Estimated Death Benefit correspondence to include the estimated death benefit amount, beneficiary/survivor annuitant information, and what is needed to process the benefit payment; include appropriate forms based on situation (e.g., rollover form, election form, etc.)
244	Ability to recognize if contact person information was entered at the time of notification, and if not, automatically generate correspondence to the beneficiary and/or the estate of the deceased requesting contact person information
245	Ability to automatically notify SMC regarding retiree death notices in change file provided to them.
246	Ability to add a beneficiary or other payee to monthly benefit payroll using a specific dollar amount or percentage derived from, for example, an active death benefit, an equitable distribution, etc.
247	Ability to calculate (or override the calculated amount of) the death benefit (estimated and finalized) for all payment types (continuing and lump sum) and store not only the estimated benefit payment calculation information but also the final calculation results, preserving the detailed calculation for future reference. If an override is performed, the transaction must be accompanied by an audit trail including the reason for the override
248	Ability to create a survivor annuitant payroll record immediately upon notification of a member's death where appropriate (must have reqd documentation, etc.)
249	Ability to cross-reference a survivor annuitant added to payroll and the associated deceased member
250	Ability to determine direct rollover eligibility and calculate the minimum distribution amount
252	Ability to display appropriate beneficiary information for all beneficiaries (e.g., last named beneficiaries/survivor annuitant on file, associated percentages, identification of multiple beneficiaries, beneficiary's/survivor annuitant's relationship to member, etc.)
254	Ability to identify where there are multiple payees (e.g., beneficiary, next-of-kin, survivor annuitant, etc.) and process separately, tracking the information SamCERA is waiting for from each beneficiary, and authorizing payment to those who have returned all necessary information while holding payment to payees whose information remains incomplete
255	Ability to validate that beneficiary SSNs are not the same as the deceased member SSN
256	Ability to process death benefits according to specific plan provisions for active and retired members
257	Ability to process death information provided by employers in the daily change file as a death notice
258	Ability to re-calculate the death benefit and perform appropriate communication when new information is received
259	Ability to update the beneficiary percentage allocation of the death continuance benefit in the event a beneficiary pre-deceases the member or a beneficiary waives the benefit
260	Ability to reverse a death entered in error; reinstate a payroll record removed in error without interrupting monthly payments or pay the benefit payments that were missed prior to the reversal (i.e., "catch up")
261	Ability to have standardized required content, information on a notification of death whether received through a standard SamCERA form, phone call, or file
262	Ability to support Joint and Survivor Annuity payments and provide detailed tracking of this annuity, with the ability to transfer the annuity to the survivor after eligibility validation and certification of death of the retiree
263	Ability to provide automated processes to ensure that the total paid to all beneficiaries is equivalent to the total calculated death benefit, less any member overpayments or amounts due.
264	Ability to capture and display the accounts receivable and payable balances of the deceased as of the date of death
267	Ability to automatically create member self-service accounts for new recipients of a monthly death benefit; to send correspondence to new recipients with instructions to self-register for member self-service; and to set email as the default communications method.
268	Ability to use the Q value provided by Small World Solutions in their death notice file to determine whether individual records should be processed as deceased (or not)
269	Ability for V3 to trigger an ECM workflow (HP Autonomy) to capture additional death information from SMC (e.g., cause of death, last payroll date)
270	Ability to automatically calculate and process any refunds of remaining contributions for deceased members (where applicable)
271	Ability to scan a new disability form, initiate a workflow, and create a new disability application
272	Ability to create a disability workflow that guides agents through the steps of entering and validating application parameters; reviewing scanned medical records, mailing forms and other documents (also accessible from the member self-service profile), and running eligibility calculations

273	Ability to use the workflow and/or Disability datasheet to capture medical advisor reviews or disability hearing dates, track appeals, and record the decision to approve or deny benefits
274	Ability to generate appropriate correspondence (automatically where applicable) at every stage of the Disability process
275	Ability to approve a disability application and create the appropriate payment schedule
276	Ability to identify potential suspensions via reporting and adjust or suspend payments upon re-employment, loss of eligibility, death, or failure to return required forms by a specified due date (or other triggers)
277	Ability to configure alerts to notify agents of any approaching deadlines and past-due requirements
278	Ability to log the action performed on the disability application along with the date, name of the processing agent, and application status (Pending, Withdrawn, Approved, Denied, etc.)
279	Ability to generate reports to track disability applications by type, case status, payment amount, etc.
280	Ability to create and save "what if" disability benefit estimates on a member's behalf, using consistent benefit calculation parameters in a SamCERA approved format
281	Ability to set up and configure eligibility and calculation rules and factors for a variety of disability options at the plan level.
283	Ability to expedite processing, delivery, and tracking of required proofs and forms with incoming and outgoing document management tools that are integrated with workflow processing.
284	Ability to use a benefit function checklist to execute calculations, validate data entry, and upgrade application status in the proper order.
287	Ability to create reports to monitor disability-processing trends with statistics.
288	Ability to preserve audit histories of all disability applications.
291	Ability to determine if a member has applied for a disability hearing, the status of that application, and the result(s) of the hearing(s)
292	Ability to use case management to identify required documents, track their status, and maintain a chronological record of their receipt
294	Ability to capture a denial, disapproval, deferral, or approval from the Board decision
295	Ability to capture and track disability benefit adjustment amounts and dates and justifications associated with the adjustment
296	Ability to capture and track status, change in status, date of change in status for each step in the disability case review
297	Ability for SamCERA analyst to capture information from application for disability retirement
298	Ability to automatically record receipt of application for disability retirement, physician's medical report, appeals, and other disability related documents, etc.
299	Ability for SamCERA analyst to capture from external entities (e.g., Workers' Compensation and SSA) data that affects the process, the determination, and the benefit calculation and use it appropriately in the processing of the disability application and in the calculation formula (e.g., accident report, SSA award and offset)
300	Ability to permit members to complete all or part of the disability retirement application using self-service prior to meeting with a retirement counselor to expedite the process, identify issues for the counseling session, and reduce SamCERA data entry
301	The ability to capture the employer disability questionnaire (or Web survey) and distribute using ECM workflow (or similar notification)
302	Ability for Medical Advisor to enter portions of their report into PASS, which permits PASS to generate all or some of the Staff Report
303	Ability to enable members to upload required documents using self-service
305	Ability to store the cost (including independent medical examination, cost of medical records, and medical Boards) of each application.
306	Ability, for all application types, to count and report on the various decision types, application types, etc., etc.
307	Ability to capture the data to subsequently, quickly respond to FOIA requests about characteristics of disability applications, disability applicants, doctors, etc.
308	Ability to automatically generate a report identifying disability applications/cases to be presented to the disability review committee
309	Ability to automatically generate correspondence to disability annuitants explaining reason for payroll adjustments
311	Ability to generate a report identifying all appeals that were not requested within 30 or 60 days from Board decision (see Clarif. Notes)

312	Ability to generate a report listing history of appeals: type, date received, date presented to review committee, decision (grant, deny, tabled-need flag, etc.), date presented to Board, etc.
313	Ability to generate an application for disability retirement form
314	Ability to generate correspondence explaining retroactive payments
315	Ability to generate correspondence to member and employer either denying, disapproving or approving disability, including effective date retirement (and any other information) as applicable
316	Ability to generate correspondence to member either denying or granting request for appeal
317	Ability to generate correspondence to retiree regarding choice of disability or service retirement showing calculation figures and other information to assist with the decision
319	Ability, if disability claim is denied and member is eligible for regular retirement or refund, or becomes eligible during application process, to generate appropriate correspondence to member and employer with follow-ups to both automatically
320	Ability to search the database of decisions on previous cases using "free form text" and other filters, e.g., time frame. The V3 Query module is an acceptable solution.
322	Ability to provide as much required content for the Staff Report or Medical Advisor report for the Board disability agenda
323	Ability to automatically notify employers when employees start disability retirement process
325	Ability for user to "manually" (i.e., outside of workflow) adjust disability benefit amount and generate standardized correspondence of explanation to retiree
326	Ability for user to "manually" (i.e., outside of workflow) suspend disability benefit check and generate standardized correspondence of explanation to retiree
327	Ability for member to use self-service to view the detail, status, and any required actions pertaining to any disability case
328	Ability to automatically record the result (approved, denied, tabled, pending, withdrawn, etc.) of the appeal and close the appeal such that the case can never be reviewed again
329	Ability to automatically generate correspondence upon disability applicant attaining service retirement eligibility age
330	Ability to forward a work request item to the disability processing activity if an appeal is approved
331	Ability to generate disability-related payroll adjustments
332	Ability to handle all 1099 tax related implications with respect to disability payments, overpayments and reimbursements
333	Ability to identify all payments made to disability retirees, sorted or categorized by different codes such as type of disability.
334	Ability to establish a future date for a disability re-examination for selected retired members and automatically create a workflow item when that date arrives
335	Ability to identify members, other applicants or employers who have not responded to SamCERA requests for additional information
336	Ability to mass (and singularly) produce / print all pertinent imaged documents (and an appropriate cover letter) and forward to County Counsel to review and edit into the appeals package
337	Ability to provide a single disability summary screen, possibly with multiple tabs, containing all disability information desired by SamCERA users
338	Ability to restrict access to various sensitive information from certain user groups (e.g., HIPAA)
340	Ability to validate automatically that member meets the disability eligibility requirements (service, age, etc.)
341	Ability to process a change in retirement from service to disability and from non-service to service-connected disability
342	Ability to maintain a list of specialty-oriented directory of approved physicians for examination and to track which physician(s) and exam date the member has seen for the Disability processing.
343	Ability to produce a history of exams by physician and exam date (report or datasheet with an embedded procedure, based on member level exam history). Ability for SamCERA analyst to upload electronic contracts to the provider in V3.
344	Ability to capture the scheduled exam date in V3 with the interaction of the member and the medical providers
345	Ability to respond to results of a hearing and take appropriate further actions, e.g., reopening application, calculating benefit. Alternatively, the ability to create a single workflow that encompasses all of the life cycle of the application(s)
346	Ability to apply electronic signatures of SamCERA staff to decision memos and Board decisions (instead of actually printing and physically signing the documents)
347	Ability to create a process that manages the disability-related records (e.g., medical, employer) acquisition subpoena process
348	Ability to automate management of the process used in "return to work" (from a disability retirement)

349	Ability to, as part of a single disability retirement calculation, to generate benefits due as a result of multiple types of retirement plans, e.g., ordinary disability, service.
351	Ability to automatically alert user processing an administrative review request of all prior cases associated with that member (or family members)
352	Ability to determine case correspondence via storage of the link to FedEx or USPS certified mail or the tracking number of the correspondence. SamCERA will manually update the FedEx or USPS certified mail tracking numbers on any outbound correspondence.
353	Ability to automatically calculate and show a detailed report detail of the initial calculation of benefits, the month-by-month retroactive payments and the ongoing monthly benefit, with all appropriate offsets and salary indexing applied with appropriate correspondence automatically generated and sent to the member
354	Ability to notify staff when a retiree in modified work status has a change in salary
355	Ability to adjust disability benefits by an estimated earnings amount in cases where an individual is medically released to return to work, but does not, and generate appropriate correspondence showing results
357	Ability to manage benefits for disability retirees in modified work status
358	Ability to standardize and automate medical record requests and receipts. Outbound correspondence will be bar coded so that upon receipt of the correspondence the image can be indexed to the appropriate member in V3.
359	Ability to assign cases to hearing officers according to SamCERA business rules (e.g., rotating, random, etc.)
362	Ability to provide employer self-service that allows employers to enter their own work reports, and to manage and view their own account data
364	Ability to control functions available to the employers through security profiles established by the system administrator
366	Ability to import member and employer contribution details in accordance with SamCERA varying pay cycles, payment types, member statuses and any specific reporting requirements.
367	Ability to validate the integrity of imported files flagging both hard and soft errors based on configured business rules.
368	Ability to update member attributes (such as full/ time part time) manually via the employer roster or automatically via INT045 import.
369	Ability to maintain member accounts and work history. As employers submit contribution reports, transaction records are maintained which track work periods, job classifications, hours, payroll deductions etc. These details, combined with other critical elements, are captured to build a complete view of each member's work history.
370	Ability to create and reconcile reports regarding changes to member information/ status such as new members, name changes, LOA, return to work, etc.
371	Ability to match payments received to existing invoices by employer. Payments can be applied manually. Payments can be applied partially, in full or left in suspense.
372	Ability to account for all of the detailed transactions generated through payroll reports, payments and other financial transactions. These serve as the basis for the general ledger interface.
374	Ability to update contribution rates applied in the calculation formulas by unique effective dates, job categories, or other various work statuses and conditions. (Barg Units)
378	Ability identify instances where the information submitted violates SamCERA business rules.
379	Ability to provide an audit trail of any adjustments in salary, contributions, or service made to a member account
383	Ability to notify staff when a member returns to active status from leave status and an employee contribution deficiency exists (Activity and inactivity of contrib file compared with daily change file should be consistent.)
385	Ability to capture a member's hire date or termination date from employer reports
386	Ability to capture staff comments or notes regarding specific employer reports (e.g., delinquencies)
387	Ability to manage employer demographic information, including the SamCERA-assigned employer number, employer name, multiple contacts, multiple addresses, multiple Email addresses, and other pertinent information
388	Ability to capture historical contribution rates and parameters with effective dates so that retroactive calculations use the appropriate figures
389	Ability to capture user-defined rules to validate employer wage and contribution reports, including those in RFP Attachment D-04
391	Ability to capture, track, and report member status (Hire Date, Re-Hire, Leave Without Pay, Terminate, Suspension, etc.) from employer reports (Daily File INT045); must include capture and tracking of status code start / end dates

393	Ability to assign and capture multiple user-defined pay types and amounts per employee per pay period from the employer wage and contribution reports
394	Ability to communicate with employers using self-service by posting publications.
395	Ability for authorized user to input and maintain plan-specific data, such as contribution rates, cost share rates, COLA share rates, etc. Ability to export contribution rate tables.
396	Ability for employers to upload an employee change file using self-service (or for PASS to monitor a network file share for new files, or an XML Web Service). The change file can be uploaded daily, weekly, or monthly (current process is daily). The change file contains employee demographic and status changes. Ability to process a complete employee file snapshot (PASS would identify the changes) or a file containing only changes. Ability to update member automatically or trigger workflows based on the type of change. Files are validated and exceptions are presented to the self-service user for resolution.
399	Ability to generate a report identifying the employer reports received, employer reports not received, dates when employer reports were received, amounts received and any \$ differences due
401	Ability to generate a report of the status of receivables for employee and employer contributions on demand, available to both SamCERA staff and to employers
402	Ability to generate a report presenting summaries of exceptions (unprocessed entries) for each employer that will need to be corrected, including the ability to re-generate the report after corrections have been made
403	Ability to for an employer to prepare a statement using self-service showing unpaid monthly charges identified by both prior and current periods, as well as any cash receipt not applied
404	Ability to produce Discrepancy Report comparing a member's current monthly salary with preceding month and identify, by employer, members whose salary is >10 percent higher than, or less than 50% of, previous month salary or salary is reported as zero
405	Ability to accept positive or negative adjustment transactions received on an employer's wage and contribution report and to apply them to the appropriate time period.
409	Ability for employers to view all employer contribution prepayments, reductions, and balances via the employer self-service site
410	Ability to notify member in cases where employee contributions withheld are less than the employee contributions due
411	Pay Cycle on the WR must be within the Employment Date ranges for the particular employer in the Employment Details (Import Validation)
412	Ability to post (when there are individual records with errors) all the imported member records and identify those member records containing errors and generate a report and save for later repair.
412	Ability to maintain contribution deficiency balance for member career.
413	Ability to accommodate multiple employment status codes (full-time salary, full-time hourly, part-time salary, part-time hourly, part-time per diem, etc.)
416	Ability to automatically scan uploaded employer report files for viruses prior to processing the report using the Symantec End Point protection product
421	Ability to create appropriate debit and credit memos for differences and corrections in employer reports
423	Ability to provide a real-time processing, validation, and error reporting of employer wage and contribution reports including real-time summary, reconciliation, and exception/error notifications of any report received from an employer
425	Ability to provide validations on SSNs, employer name, blank fields, dates, etc.
428	Ability to reconcile the total amount of member contributions and employer portions plus any adjustments to the total remittance made by the employer
429	Ability to re-execute data validations and re-calculate data file totals after a correction is made or records have been created or deleted, subject to SamCERA internal audit controls
430	Ability to retrieve and review prior wage and contribution reports as reported by the employer including the means by which it was reported
431	Ability to reverse the processing of wage and contribution reports that were submitted by an employer in error
432	Ability to support and track all pertinent dates relating to employer wage and contribution reports: Processed date (inserted date), date Certified by Employer, date released and date paid
434	Ability to support the processing of multiple employer reporting earn codes for a given person in a given time period to handle standard pay, overtime, extra-curricular, etc.

435	Ability to tie contributions posted to the system to a payroll period ending date and update employee salary history for the appropriate month and year
436	Ability to track processed and unprocessed employer wage and contribution reports
437	Ability to validate reported data against tables of employer and employee contribution rates based on matching the payroll start date with the effective date of the contribution rate
438	Ability to recognize that an employee is enrolled with SamCERA before accepting member wage and/or contribution data from that employer.
440	The ability to provide test and training environments for employer self-service
441	The ability to provide employer self-service wage and contribution reporting to support both large and small employers based on their preference (respectively, data file upload or online entry from a user interface based on the last report)
442	Ability to process a single new wage and contribution file format consistent with SamCERA needs and specifications
444	Ability to delete an erroneous payment that has not been applied.
445	Ability to add new employers to existing plans.
446	Ability to calculate the required employer contribution pre-payment for the upcoming fiscal year and to create a prepayment schedule
447	Ability to automatically calculate the employer contributions due for each wage and contribution report, reduce the employer prepaid balance (actual prepayment amount from employers) upon the submission of employer reports each pay period, and notify employers of prepayment balance reductions. Ability for staff to make adjustments to employer contributions. (and notify employers of prepayment balance reductions. Ability for staff to make adjustments to employer contributions.)
448	Ability to calculate and post interest for pre-paid employer contributions
449	Ability for employers to submit trial wage and contribution report submissions prior to running their employee payroll
450	Ability to identify when employees go on leave and to maintain leave records to facilitate benefit calculations and potential future buybacks
452	Ability to enroll members manually, via employer self-service for the selected employer(s)
453	Ability for file-based and/or self-service enrollment to result in the creation of a new member record with corresponding demographic information and a link to the related employer
456	Ability to incorporate SamCERA specific enrollment rules and validations into both automated and manual enrollment processes. (Daily change file, Manual, and Self-service)
457	Ability to execute a complete enrollment business process for any new member including the generation of welcome materials and other correspondence using PASS Workflow.
459	Ability to identify duplicate names with the same SSN and date of birth for staff intervention/validation .
460	Ability to track the documents needed and received from new members
461	Ability to record whether the date of birth has been verified to eliminate the need for staff to review those documents more than once
462	Ability to automatically provide eligibility validations employees as a result of having been reported on either the employer daily change file or biweekly wage and contribution report. The ability to distinguish member's eligible, ineligible, returning to work after retirement, and returning from leave.
463	Ability for the employee to securely upload a document image using member self-service for SamCERA's review (for example, birth certificate for proof of age)
464	Ability to process employee changes (including new hires) that will be provided in a new single file produced ("Daily Change File") from the new SMC HR system.. Ability to automatically provide eligibility validations
465	Ability to track whether required enrollment documents have been received within the required sixty days and to send any required reminder correspondence prior to that deadline
468	Ability to automatically send a welcome email to new members that invites them to learn about their plan benefits and complete the enrollment process using member self-service.
470	Ability to flag (and take corrective action) an enrollment record if enrollment information is received for an individual currently receiving a monthly pension benefit
471	Ability to assign a unique PASS ID number for new members and to use that number as the unique identifier within PASS and on all correspondence
473	Ability to manually enroll a member outside of the control of workflow and of automatic enrollment through daily change file and wage and contribution reporting process

474	Ability to provide eligibility validations in order to prompt users to determine the proper plan of enrollment
474	Ability to generate a GL Mapping Report, i.e., a report / matrix listing the line-of-business transactions and their corresponding GL transaction (Great Plains and IFAS)
477	Ability to identify potential new hires from the employer contribution reporting process as a failsafe to the daily change file process
479	Ability for member to complete a PEPRA verification form as a required enrollment document (preferably using self-service)
481	Ability for individual employer, member, beneficiary and other financial transactions to be processed and reconciled via report/exports from PASS
482	Ability for all transactions to be date sensitive and be maintained at the fund, benefit, payment status, and/or plan level
484	Ability to export summarized data in the form of journal entries for import into the SamCERA general ledger based on a GL code mapping table that associates the appropriate GL codes with each type of transaction
488	Ability to match transactions imported into the GL system to the entity to which they correspond including support for single or multiple payments associated with single or multiple accounts. (From 535) Ability to track transactions exported to the accounting system back to the source transaction(s) through an extract date, a batch number or other relevant identifier.
490	Ability to facilitate data extraction and analysis with the PASS built-in export tool.
491	Ability to integrate with external systems including SamCERA bank to capture transactional information including payments of various statuses (cleared, suspended, open, rejected). (Bank would need to provide an electronic file for reconciliation of checks)
493	Ability to create customer correspondence as required, including insufficient funds correspondence, or the results of a stop payment/check trace.
495	Ability to automatically calculate and apply account interest, including interest that's compounding at set frequencies.
497	Ability to provide various reconciliation controls to ensure that last month's fund balance plus any activity during the month equals this month's fund balance (Will be handled as a report)
498	Ability to integrate with any services provided by SamCERA's bank to permit remote deposit of payments received
499	Ability to capture cash receipt information and remittance type for any method of payment (e.g., check, ACH, wire)
500	Ability for authorized staff to capture and maintain interest rate tables (i.e., purchase of service, member account interest, etc.)
501	Ability to generate correspondence to member acknowledging receipt of payment for any overpayment or other receivable due
502	Ability to produce a "Return Funds" correspondence to a member to return an overpaid rollover / direct deposit amount
503	Ability to generate appropriate collection correspondence for receivables (overpayment of benefits)
504	Ability to generate a Fund Transfer Reconciliation, i.e., a listing of any funds that may have been transferred from one account to another
505	Ability to enroll spouses who have been awarded a split account with an existing active member as the result of a QDRO (ensure that the QDRO process is close to the conventional enrollment process as possible)
506	Ability to generate a cash flow report of projected funding requirements for the next month to ensure that adequate funds are available in the appropriate SamCERA accounts
507	Ability to maintain and generate data and information per SamCERA specifications that can be used to produce the CAFR report
509	Ability to generate report relating to the collection and disbursement of funds for a selected time period
510	Ability to generate report of employer overpayments and underpayments, both daily and on an as-requested basis
511	Ability to provide a report of the total contributions received that have not been posted to pension system accounts by pay periods
514	Ability to generate and send automatically a report to the bank of an "issue file" (a list of the checks generated for payment)
515	Ability to produce a check register report that is exportable to Excel
518	Ability to automatically (at the time a member retires) transfer the member's account balance from active reserve GL account to annuity retiree reserve GL account.
523	Ability to distribute cash receipts to more than one receivable record for the same member if appropriate
524	Ability to identify those customers that are eligible for account interest posting, automatically calculate, and apply interest accordingly (currently semi-annually) according to plan provisions

531	Ability to query on payments based on SSN, payment types, check number, etc.
532	Ability to support a defined date format and ensure the consistent synchronization of various dates (business date, transaction date, effective date, etc.) between the PASS and GL systems
533	Ability to support all SamCERA plans and all of their accounting funds, journals, chart of accounts, general ledger (GL) transactions, accounting events, etc.
534	Ability to prevent the system from unintentionally exporting the same transactions to the accounting system more than once while not precluding the operator from exporting the data again to replace a corrupted export file
537	Ability to know the effective date and posted date of each transaction and generate exportable reports that include both dates
538	Ability to post all PASS accounting events in Great Plains as the official system of record. Ability to post selected accounting events required by SMC for posting to IFAS, at the level of detail specified by SamCERA.
539	Ability to calculate and post interest for a single member, or to re-calculate and post interest adjustments for a single member
540	Ability to allows for the assignment of authorized agents including guardianships, trustees, conservators, executors, special administrators or powers of attorney
541	Ability for authorized agent records to be captured as entities in PASS World, with full record keeping capabilities and be tied to member records for specific periods of time
542	Ability to record any authorized agent relationships.
544	Ability to designate a single authorized agent to manage multiple members without duplicating the agent's demographic information.
545	Ability to categorize agents by type (power of attorney, guardian, trustee), or their status such as Active or Inactive.
546	Ability to ensure all transactions initiated by the agent on the member's behalf meet SamCERA's business rules for eligibility. All authorized agent information fields to be marked as required or optional. PASS will maintain a complete audit history of any changes to the authorized agent record. During design, considerations to how the business process will be built to allow the proper validations for transaction processing with members who have powers of attorney (or other authorized agents), this may mean restricting MSS for members with power of attorney.
548	Ability to generate related correspondence, follow up information forms and other documentation.
549	Ability to process payments or benefits for authorized agents. Disbursement records maintain information pertaining to both the original member and their authorized agent.
551	Ability to ensure that all correspondence will be sent to an appointed guardian or conservator after the legal document has been approved by SamCERA legal staff
552	Ability to restrict transactions against an account which has an approved guardian/conservator (i.e., the member may no longer conduct business on his/her own behalf) and notify SamCERA staff, if applicable, throughout all processes (including the submission of a power of attorney form) that a court appointed guardian/conservator has been approved by SamCERA legal staff (or that one is pending legal review) and that all account transactions must be initiated by the court appointed authorized person.
554	Ability to alert user when a court order is being processed or is in place for the member or mandated payee and "cross-reference" to another member's account (e.g., spouse also within the retirement system), also providing the ability to easily and automatically navigate among the related accounts
556	Ability to indicate in the member view that a Guardianship or Conservator exists as part of the member record and the characteristics.
557	Ability to ensure that all correspondence will be sent to the appropriate individual(s) after the Power of Attorney has been approved by SamCERA legal staff
558	Ability to manage required documents and status for divorce cases
559	Ability to prohibit the agent from naming him/herself as beneficiary or survivor annuitant of the member's account.
560	Ability to capture and act upon a specific time duration (date from and date to) noted in a legal document (i.e., power of attorney, trust certificate, guardianship, tax lien, family support order, or other court order)
561	Ability to capture and track the status of a legal document (e.g., pending, approved, rejected, legal review, revoked, expired, etc.)
562	Ability to capture, update, and view the essential information from each legal document. Ability to link to an image of the actual legal document in ECM.

564	Ability to provide a retired member or non member with an estimate of the amount of their benefit pursuant to a QDRO/Court Order.
565	Ability to notify member of the receipt of a Court Order and the effect that application of the order will have on their account/benefit
567	Ability to enter multiple comments over time for legal documents
568	Ability to create a notification alert when the marital status changes as a result of the daily change file from SMC HR.
569	Ability to generate report(s) of split accounts and benefit payments for auditing purposes
570	Ability to manage multiple active legal documents for one member
571	Ability to view current and historic legal document information
572	Ability to automatically start and/or stop payments to alternate payees when the maximum amount has been paid or other conditions met
573	Ability to support the appropriate allocation of a benefit to multiple alternate payees as defined by multiple court orders
574	Ability to enter and maintain alternate payee demographic and payment instruction information
575	Ability to split and subsequently maintain accounts and/or benefits appropriately in the processing of an accepted DRO
576	Ability to alert any user who is working on a workflow in progress that additional legal document information has arrived and may be applied to the account/benefit
577	Ability to adjust member benefit retroactive to decree date and to recover and appropriately disburse any amounts overpaid to the member and to generate appropriate correspondence
578	Ability to calculate DRO community property and shares
580	Ability to process QDRO for active, deferred, service retired, and disability retired, as described in RFP Appendix D-24
581	Ability for the creation and maintenance of member, retiree, beneficiary, employer, TPA, alternate payee, other organization and any other type of customer record
582	Ability for a unified customer management system that does not have separate member and employer modules
583	Ability to type any Social Security Number, member name, member ID, employer name, etc. into the search box, and PASS retrieves the appropriate record or list of possible matches. PASS then displays an appropriate set of information based on the type of record retrieved.
586	Ability to track member proof documents.
590	Ability to configure on-screen field labels ensuring that SamCERA staff and customers are presented with terminology that makes the most sense in the SamCERA context.
591	Ability to track audit history for every customer record field in the system.
592	Ability to maintain proof documents for each customer to validate requested changes or processes.
593	Ability to identify accounts with non-zero balance after withdrawal of contributions and notify an end-user of a possible "Additional Refund" (or recovery of funds) to be processed
595	Ability to support multiple phone numbers.
597	Ability to unset an audited (verified) account flag if data within the audited period changes
598	Ability require account changes only to be made by authorized personnel, require an approval step where needed, and provide audit trails for changes made directly to member accounts. (Active/Retiree).
601	Ability to capture and maintain marital status information (single, married, widowed, and divorced)
602	Ability to capture comments/attach notes to a member's account
608	Ability to input and maintain multiple contacts (including name, email, phone, mailing address, and affiliation with employer or 3rd party) for both employers and third parties with an indication of their position, e.g., payroll clerk, city/town treasurer, etc.
609	Ability to capture all of the best possible contact information available from the employer in the daily file for active employees
610	Ability to store international addresses properly
611	Ability to maintain an employment history separate from the contribution history. This includes all movements between employers, between departments, and positions (including part-time, full-time), and unpaid leave.
613	Ability to interface/support exchange of information with third party sources engaged by SamCERA to provide death notice information
614	Ability to interface/support exchange of information with third party sources engaged by SMC (e.g., Benesyst) to provide retiree health coverage

615	Ability to generate and display a member's employment history information (e.g., salary, contributions, service, payroll period, employer, system, group, membership class, etc.)
616	Ability, at the time an audit function is invoked for a particular account, to display on the screen, the date range(s) for which audits have already been conducted and by whom – i.e., "Account has been audited for mm/dd/yyyy through mm/dd/yyyy." Multiple audit periods must be so accommodated.
618	Ability to subtotal member contribution and service history by different time frames (e.g., month, quarter, years, rolling time frames, etc.)
619	Ability to (in the case in which a member is both a retiree and a beneficiary), combine information so that users can view all the benefits an individual is receiving
621	Ability to determine if the requested change (name, sex, etc.) requires legal documentation and, if so, automatically send correspondence requesting the documentation
622	Ability to display the member account in both a summary and detailed view (Work/contrib history view)
623	Ability to flag a member with 30 years of service as no longer having to make contributions and notify member and employer of same
624	Ability to provide a member detailed service credit break-down information via member self-service for members
627	Ability to stop adding interest to a member's account once the member has retired, terminated (non-vested) or died
628	Ability to support all of the various service credit (Purchase) types that SamCERA supports based on the retirement system and classifications of membership / job positions
629	Ability to track all tax-deferred payments for the purchase of service (taxable contributions, rollover, etc.)
630	Ability to identify and automatically notify members to take IRS required minimum distribution
631	Ability to automatically calculate, credit and display year to date interest on member account balances
632	Ability for terminated and retired members to change their own personal information using member self-service (where appropriate)
633	Ability to ignore personal information changes provided by the employer for retired extra help employees to avoid overwriting information provided by the retiree
634	Ability to process employee changes that will be provided in a new single file produced ("Daily Change File") from the new SMC HR system. Ability to automatically update the member record based on any new information provided in the file and automatically initiates any required workflows.
636	Ability for Member Statements to be accessible for reprinting as needed, and for members to access them through their Self-Service portal
637	Ability for Member Statements to include, but not be limited to, the following information: member/retiree demographics, beneficiary information, employment history, contributions, interest, benefit history, service purchases, court orders/POA/Guardianship, reciprocal service, and projected retirement date.
638	Ability for a Member Statement to be generated in accordance to their preferred delivery method (such as mail, email, "Do Not Deliver", Member Portal).
639	Ability for Member Statements to be generated for all qualified members based on SamCERA business rules.
640	UT
644	Ability for statements to use conditional text
645	Ability for statements to include "as-of-" date logic.
646	Ability to provide various management reports that provide various statistics about the total number of accounts, number of statements generated, number unable to be generated, number undeliverable, total occurrences of missing information by type, etc.
647	Ability to notify active members by email that a Member Statement is available for viewing using member self-service. Ability to produce paper statements for inactive and deferred members.
650	Ability to provide all appropriate Membership Statement data in the format prescribed by SamCERA with statement content (e.g., plan description, text, benefit estimates, etc.) customized based on membership characteristics (i.e. eligible for a benefit or not)
651	Ability to provide a "real-time" annual statement (available interactively through member self-service) for member
655	Ability to display service that member is eligible to purchase
656	Ability to notify members nearing the required minimum distribution age

657	Ability to export pertinent batch details (details are the same for all member groups) for each member record processed by the Annual Statements batch.
658	Ability to allow the annual Membership Statement to be generated on blank paper in 8.5 by 11 presentation
659	Ability to display whether the member has established reciprocity on the Membership Statement
660	Ability to extract and provide on the member's Membership Statement the appropriate information / paragraphs pertaining to member's benefit customized based on the member's account information
661	Ability to extract and provide retirement estimate information on the Membership Statement for those members that are eligible for a retirement benefit based on various levels of qualifications (e.g., if the member is within 5 years of normal retirement the Membership Statement should provide both an early and normal retirement benefit estimate), and various optional payment forms.
662	Ability to generate Membership Statement automatically during the recipient's birthday month
665	Ability to identify/display on the statement why an estimate amount was not included on the Membership Statement
670	Ability to provide service credit total and a break-out of service credit by type (Military, Accrued, etc.), and employer on Membership Statements
671	Ability to send one consolidated Membership Statement to members who are covered by more than one Plan
672	Ability to indicate within the annual statement the member distribution method
675	Ability to schedule and manage education events with a user-friendly interface and full integration with Self-Service and agents' personal calendars
676	Ability for schedule tracking, an intuitive appointment calendar, automated roster management, and ad-hoc event creation
678	Ability for members to sign up online to attend meetings/seminars/counseling sessions and receive confirmation and educational resources automatically
679	Ability to automatically close the SamCERA workshop when a popular event runs out of space
680	Ability to deploy customized questionnaires to capture attendee feedback when an event is over, giving agent's access to valuable attendance statistics and other relevant metrics
683	Ability to assign staff to meetings and seminars.
684	Ability to sort meetings by subject type, location, participants, staff, and date/time.
685	Ability to capture detailed information about an event, including event type, date/time, seating availability, and meeting location.
686	Ability to maintain a list of meeting participants that includes contact details, status (confirmed, pending, cancelled, etc.), and comments.
688	Ability to communicate with attendees via information packets, reminders, and other personalized correspondence.
689	Ability to keep staff on top of their obligations with a dashboard "Meetings" widget. Currently the assumption is that this will be done using V3 CRM Calendar, but remains to be determined based on design session.
690	Ability to integrate with third party LMS, email and calendaring solutions. SamCERA staff will manually create all LMS events in V3. V3 will use a one time import to populate all attendees.
691	Ability to capture information from counseling sessions, such as questions asked, answers provided, information entered, forms / correspondence generated, etc. This will be captured via notes/comments.
693	Ability to automatically generate an "Appointment Reminder" correspondence informing the member about an upcoming counseling session
694	Ability to push life-event (including change of title), seasonal, occupation-related educational material to customers automatically based on system created trigger lists. "Life event" includes auto determination of change of staff positions in local government, possibly through an automated interface with employer reporting. Discuss Batch Options. Discuss Batch output based on conditions.
696	Ability to confirm all counseling appointments using the member's preferred method of communication
698	Ability to build a roster of those members due benefit estimates as a result of enrolling in a retirement seminar – and subsequently generate the appropriate benefit estimates for each scheduled seminar ("seminar" also includes counseling sessions, occasional one-on-one meetings)
703	Ability for a member to have multiple reciprocal records all clearly identified
706	Ability to include reciprocal service in the calculation of eligibility and estimates for retirement, disability, death in service, credit purchases and QDRO.
708	Ability to store reciprocal data and maintain dates and date ranges.

709	Ability to check information received in order to identify and calculate overlapping dates and gaps in eligible service; send out alerts to members informing them of their options along with acceptance or denial letters; and request more information, or certification letters, from reciprocal agencies.
711	Ability to generate reports detailing all of the transfers in/out of each reciprocal system at a detail and summary level.
712	Ability to automate processing with Workflow for member data in and out of SamCERA. Workflow to accommodate special retirement cases involving reciprocity and handle special correspondence, status alerts, follow-ups, and reporting of these special cases.
715	Ability to enter and store incoming and outgoing Inter-System Membership Advice (ISAF) forms. (a possible new data entry area)
716	Ability to track 30 year Safety members who have reciprocity with another system and a method for notification when a member reaches their 30 years (possibly the export/output file to employer)
717	Ability, when a member applies for reciprocity at time of retirement, to coordinate potential retirement benefit with the reciprocal agency and take appropriate follow-up action (including notification of options to the member)
718	Ability to scan and process an incoming paper ISAF using workflow. Ability to automatically capture a PDF ISAF received by email and route using workflow.
719	Ability to print a completed ISAF form to replicate current paper format. Ability to automatically produce PDF format and email to reciprocal agencies according to their preference.
720	Ability to automatically generate correspondence to members (or reciprocal retirement systems) who indicated prior reciprocal system service as part of member enrollment
721	Ability, when a member applies for reciprocity, to generate correspondence denying or granting request reciprocity to the member and a certification / notification to reciprocal retirement systems
722	Ability to create a record in the daily change file provided to employers when incoming reciprocity is awarded and changes the employee's age of entry
723	Ability to determine reciprocity eligibility
724	Ability to display information related to all prior and current incoming and outgoing reciprocity requests
725	Ability to capture if member previously retired from another reciprocal retirement system
727	Ability to display the status related to a reciprocity application using member self-service.
728	Ability to provide indication of reciprocity awarded within member account, including the ability to adjust for overlapping and concurrent service
730	Ability to calculate the additional contributions due when a member elects to transfer from one plan to another (e.g., Plan 5 to Plan 4), and perform any other needed actions related to a plan transfer
731	Ability to automatically calculate employee contribution refunds for approved incoming reciprocity requests.
732	Ability to produce and process a standard barcode on the ISAF form that contains the document type and member unique identifier
734	Ability for benefit recipient Disbursement Schedules to define the start date, stop date, frequency, and payment amount for each benefit, as well as scheduled adjustments, deductions, and Electronic Fund Transfer (EFT) details. Disbursement schedules to be created automatically in response to activity on the benefit application, and updated automatically whenever a change (such as COLA) affects the gross benefit amount.
735	Ability to reconcile deductions with the total amount of the payment before issuing each disbursement, eliminating the possibility of errors and the need for manual corrections.
736	Ability for banks and other institutions to be linked to deductions and receive payments from a member's disbursement schedule.
739	Ability for members or beneficiaries to track their own payment histories via the user-friendly Member Self-Service websites
740	Ability to create and update one-time and recurring disbursement schedules for members, joint annuitants, beneficiaries, etc. based on benefit eligibility, elections, and plan provisions.
741	Ability to configure deductions at the system, benefit type, member, and disbursement levels for specified effective periods. Ability to use deductions to withhold taxes, make payments to linked third parties, recoup overpayments, etc.
742	Ability to issue payments to various addresses and bank accounts (both domestic and foreign) by check or EFT, with the appropriate deductions and splits.

743	Ability to process payroll at any time of day. Ability to run payroll on an ad-hoc basis or schedule payroll to run at specified times or intervals. Ability to run separate payroll batches for different types of payments or process all payments at once. Ability to process payroll without impacting normal business operations.
745	Ability to view payment history and maintain detailed tax reporting information for members, employers, and third parties.
746	Ability to manually create ad-hoc disbursements and edit benefit and financial details, as permitted by system security settings.
747	Ability to track disbursement status (cash, outstanding, overpaid, etc.). Ability to stop, void, reissue, and create recoups for prior payments as necessary.
748	Ability to maintain system records for financial institutions and interface (e.g. ACH file, deduction files, clear pay, etc...) with external systems.
749	Ability to create and maintain exception types and codes for the trial payroll. The exception types are produced in both the disbursement batch details as well as the previous cycle comparison reports.
751	Ability to re-run trial payroll after corrections are made; new summaries must be displayed for the corresponding payroll process
752	Ability to support a report to compare all payroll transactions against SamCERA accounting system (to be performed after payroll validation)
753	Ability to track and reconcile third party payments against amounts deducted for those payments in payroll run
754	Ability to support a reconciliation process for all payroll transactions at the time of pension payroll execution.
755	Ability to require double entry of bank account numbers
757	Ability to permit benefit changes (gross or net) at any point up to the time SamCERA processes the monthly benefit payroll. This would not preclude making changes to future benefit payrolls while the current payroll is being processed (or even changes to the current payroll with approval).
759	Ability to validate bank routing numbers against a master file provided by the Federal Reserve
760	Ability to track the declining balance of benefit overpayment deductions until satisfied
761	Ability to automatically restore the full pension benefit (having been reduced by RBP) at the beginning of the next calendar/tax year
762	Ability to indicate members that have been convicted of a felony and to forfeit or reduce their benefit accordingly. Ability to restore benefits if conviction is reversed on appeal.
763	Ability to capture "bulk" changes in bank routing numbers (supporting bank mergers) for direct deposit of retiree payments and updates (e.g. update all payee records with new routing number)
764	Ability to capture all types of stop payments (retirements, refunds, direct rollover, vendor payments, etc.) including the date of stop payment and a reason for the stop payment
765	Ability to capture changes in individual and bank routing numbers for direct deposit of retiree payments
766	Ability to capture check / payment statuses, including cancellation status at the check level, the account level and the person level since some individuals receive multiple checks for numerous reasons
768	Ability to capture information for checks that were returned to SamCERA and not deposited
769	Ability to capture information from member relating to outstanding check that has not been cashed
770	Ability to capture and maintain separate disbursement addresses for monthly and lump sum disbursements
771	Ability to capture and update direct deposit information using member self-service
773	Ability to create and modify files for ACH payments in formats which adhere to the NACHA standards.
774	Ability to capture, update, and validate bank routing numbers by lookup and display of financial institution name and address
775	Ability to enter one or more messages (to be determined conditionally) to be printed on a check stub or ACH advice for all or a subset of disbursements
776	Ability to capture and process third party import files e.g., bank check and ACH status, generic payroll deduction information, etc.
777	Ability to maintain the IRS Section 415 limits as system parameters that can be changed by authorized users
778	Ability to automatically generate correspondence to the member explaining that he/she has received two consecutive outstanding checks that have not been cashed or if a check is outstanding for more than 60 days
779	Ability to generate correspondence notifying annuitant of a reissued payment and reason
780	Ability to generate a Benefit Change correspondence when a benefit payroll amount is adjusted/changed (combining multiple adjustments into a single correspondence), including variable paragraphs based on nature of the adjustment

782	Ability to generate an additional information correspondence to the member, beneficiary, survivor annuitant, financial institution, etc. when submission of information from them is incorrect or insufficient
784	Ability to generate Deduction Register Report
786	Ability to generate Monthly Benefit Adjustment Detail Report
787	Ability to generate New Retirees Detail Report
788	Ability to generate Payment Register Report
789	Ability to generate Payment Exception Report
790	Ability to generate Payments Suspended/Terminated Detail Report
791	Ability to generate various Acknowledgement correspondence for name, address, W4P, and direct deposit changes
792	Ability to generate various correspondence to the member (annuitant) regarding attachments, garnishments, IRS payoff amounts for tax levies, end of benefit date, etc.
794	Ability to include MICR encoding on checks
795	Ability to process year end payroll reporting for fiscal and/or calendar year
796	Ability to produce a standard COLA correspondence to all recipients, accommodating both automated or ad hoc generated correspondence
797	Ability to produce correspondence to payees listing specific COLA(s) information and change in gross check, change in net check, Federal Withholding Tax (FWT), etc.
798	Ability to provide a report identifying specified demographic changes made to retirees accounts for a user defined period of time
799	Ability to provide an automated process for entry of information relating to "manual" checks, including the following safeguards: <ul style="list-style-type: none"> • Only users with appropriate roles and permissions are authorized to enter "manual" check information • Every "manual" check is identified as either an original or a replacement check • Checks are appropriately posted and linked to the recipient in PASS, including ensuring that the issue date is the check's true issue date
803	Ability to print a check with SamCERA specified signatures, formatted to SamCERA window envelopes
804	Ability to reprint a check that may have been damaged during printing - or otherwise
806	Ability to make ACH payment advices available using member self-service
807	Ability to automatically FTP or upload files and provide notifications to SMC, banks, and third parties as applicable
808	Ability to provide a detailed voucher/report/file (based on third party preference) for each third party payment for deductions taken
810	Ability to automatically distribute reports (or notify that reports are available for viewing) to SamCERA and SMC staff after benefit payroll is run. Ability to post reports to ECM as needed.
811	Ability to provide alerts during payroll processing which identify net payments over a threshold amount.
812	Ability to produce a report of income taxes withheld and payable for any time period selected by SamCERA
813	Ability to generate a batch Section 415 limit letter at the beginning of the year for all retirees that are likely to meet the limit during the year
814	Ability to identify all RBP payment amounts during the trial payroll so these values can be communicated to the SMC controller for RBP payments
815	Ability to send a reminder letter to payees in the month before their pension benefit will be reduced
816	Ability to produce monthly disbursement report that includes totals for reportable and taxable income
817	Ability to lookup payments by check or direct deposit number
819	Ability to produce and upload a bank reconciliation file for all benefit checks produced and email a notification to SMC
820	Ability to automatically generate payments (ACH or check) to third parties for benefit payroll deductions
821	Ability to automatically produce a Monthly Payroll Summary Report for reconciling a given month's benefit payroll to that of the preceding month prior to printing the actual checks (by reflecting the net effect of all new benefits, benefit adjustments, and benefit deletion transactions that were posted during the payroll period against the prior period payroll; the report should also indicate the expected number of checks to be produced (i.e., number produced in the previous pay period, plus number of new retirements, minus number of retirees suspended / terminated); separate detail reports should be available on demand as backup to the Summary Report – including: New Retiree Detail, Monthly Benefit Adjustment Detail, and Retirees Suspended / Terminated Detail

822	Ability to automatically produce at the conclusion of every check run a report of the number of checks printed, the total amount of all checks printed, and the check number of the first and last checks printed
823	Ability to ensure that the first check printed is numbered with the next available check number and that all remaining checks are numbered sequentially
824	Ability for SamCERA staff to process returned benefit checks and update member account accordingly
825	Ability to accommodate an automatic check reconciliation process (as opposed to a manual paper reconciliation process) for multiple checking accounts
828	Ability to process ACH rejects
831	Ability to tie addresses and bank routing information to each benefit/payment account (not necessarily just the member) for those cases where a person wants his/her checks / payments to go to different places / accounts
832	Ability to track stop payment process by entering comments, including that it was sent to Treasurer / bank for investigation and the results of that investigation
833	Ability to maintain holiday calendars to prohibit payments on those days
835	Ability for SamCERA user to maintain the COLA percentage
836	Ability to accommodate the addition of one-time special payments that the Board may choose to award
837	Ability to add survivors to payroll for either recurring payments or one-time payments
838	Ability to define deductions as pre- or post-tax and categorize on deductions reports
839	Ability to add a beneficiary to the monthly pension payroll
840	Ability to automatically determine and apply COLA increases based on each plan's requirements
841	Ability to automatically determine, process and pay retroactive annuity due to COLA increase, if applicable
842	Ability to automatically notify SamCERA of required pension benefit redistribution to beneficiaries (as result of qualifying event, e.g., remaining dependent children when one of the dependent children reaches age 18 (or 22 if attending college)
843	Ability to automatically terminate benefits to beneficiaries upon a qualifying event, e.g., to a dependent child upon his / her reaching age 18 (or 22 if attending college)
844	Ability to calculate and issue retroactive payments to a member who has been suspended from payroll for a period of time
845	Ability to calculate federal and state withholding tax (based on a fixed dollar amount and current tax tables) and update the taxable amount
846	Ability to apply and pay benefit reductions as the result of an approved legal document (e.g., tax levy, court order, etc.)
848	Ability to create and update selected data including gross benefit amount, federal and state withholding tax, and other types of deductions
849	Ability to create deduction-ending dates that automatically suspend deductions when applicable and generate a notification correspondence
850	Ability to cross reference account information (e.g., member, beneficiary, alternate payee, survivor annuitant, etc.) and display the associated account
851	Ability to display all detailed benefit payment information (current/historical) for each payment made (e.g., check number, payment type, gross payment amount, net payment amount, deduction amounts, check address used, reportable & taxable income, etc.) for users and member self-service
852	Ability to generate multiple payments or consolidate payments per payee in a single payroll run depending on SamCERA business need
853	Ability to include all deductions on check stub – current period and year to date
854	Ability to maintain more than one benefit/payee account for a member (e.g., annuitant, beneficiary, etc.)
855	Ability to maintain yearly gross check amount, taxable amount, deductions, excludable amounts, ratios, taxable and reportable income, and recovered amounts for 1099R reporting
856	Ability to make a payment payable to an alternate payee (e.g., a guardian) on behalf of a payee where required by an approved legal document
857	Ability to perform manual COLA calculations for cases where there are exceptions to the normal COLA process
858	Ability to perform benefit payroll unlimited trial runs and one final run
859	Ability to indicate checks that should not be mailed and identify and group those checks together and at the end of the check run (e.g., out of country payments that require additional postage)
860	Ability for SamCERA benefit payees to calculate/estimate the effects of various federal and state withholding tax amounts using member self-service

861	Ability for SamCERA benefit payees to update/maintain their federal and state withholding tax amount, multiple check addresses, direct deposit, and other pertinent information using member self-service
862	Ability to reissue a direct rollover amount to a different financial institution
863	Ability to retain both the rates used in calculating the COLAs for past years as well as the actual COLA increases applied to individuals' benefit amounts
864	Ability to retain history of check addresses, the member's address, and their survivor's addresses, with effective dates 'attached' to all historical addresses
865	Ability to reuse prior month deductions for third parties in cases where current month deductions have not been received
866	Ability to support both one-time and recurring deductions
867	Ability to support different levels of exceptions/errors, both fatal and non-fatal (i.e., bad address is a critical exception for check payment but is informational for ACH payment)
868	Ability to support multiple check addresses, each in effect for a portion of a year (e.g., "snowbirds")
869	Ability to support negative, zero, and positive account balances but generate only positive payment amounts and create appropriate warnings/error messages when zero or less than zero
870	Ability to support the entry of federal and state tax withholding for a future date and implement the change with the benefit payroll corresponding to the date
871	Ability to support void, forgery, and stop pay situations, and generate replacement checks where applicable
872	Ability to suspend and reactivate a benefit payee account
873	Ability to automatically test a direct deposit disbursement via pre-note capability for new or modified ACH instructions
874	Ability to update related fields (transfer amount, gross, taxable, survivor check, etc.) after recalculating the COLA
876	Ability to calculate distribution to mandated payee(s) (based on approved legal documents) from members receiving periodic payments, to initiate distributions, calculate withholding, and to make retroactive distributions
877	Ability to adjust distribution to mandated payee(s) when pension is adjusted or because of subsequent court action and to recover overpayments or make retroactive distributions
878	Ability to terminate distribution to mandated payee(s) because of pension termination or subsequent court action and to recover overpayments or make retroactive distributions
879	Ability to create International ACH Transactions (IAT) for direct deposit benefit payments to payees in select countries permitted by SamCERA bank
880	Ability to automatically process monthly "Stale Checks" and automatically generate (and follow-up on) notification to intended recipients
882	Ability for payees to view information on the current benefit and deductions and payment history using member self-service
886	Ability to manage the COLA bank with administrator interfaces (not by accessing or exporting tables) and to incorporate the COLA bank into any COLA calculations and adjustments
889	Ability to integrate SCPs with contributions, member accounts, benefits, workflow, and member self-service
891	Ability for SamCERA to initiate contact via form letters explaining which type(s) of credit the member is eligible to purchase.
892	Ability for the SCP workflow to guide agents through the process of creating an SCP, generate estimates, and set up payment schedules for the member
893	The ability to automatically perform all eligibility and cost calculations, generate appropriate correspondence, receive and apply lump sum and/or installment payments, and award credit based on member data and SCP type-specific rules, with minimal user intervention
894	The ability for agents to have permanent access to all service purchase historical data, including cost statements, invoices, estimates, and recorded payments
895	Ability to check member eligibility for a service purchase online and in real-time.
896	Rollover Transfer Certification Form - proof of payment type/details from financial institutions in processing Rollover payments for SCP.
897	Proof of Medical Leave document - Doctors note required with Medical SCP processing.
898	Ability to generate estimates detailing Service credit eligibility, cost, and payment options.
899	Ability to automatically generate service purchase correspondence including invoices, acknowledgements, approvals, denials, etc.
900	Ability to calculate purchase cost based on real-time data from contributions, member accounts, benefits, and other PASS modules.

901	Ability to offer multiple payment options and receive payments via check, EFT, credit card or payroll deductions. (Partial and late payment Processing requires additional discussion)
902	Ability to view the history and current status of all service credit purchase records and payments. (Self-service view as well)
903	Ability to provide SamCERA staff with the capability to generate purchase of service reports (e.g., report listing all satisfied/outstanding purchase of service agreements, etc.)
904	Ability to validate the eligibility of service purchase types based on the receipt of proof document.
905	Ability to capture tax status, a transaction date, effective date, and payments received from member, employer, or financial institution
908	Ability to capture leave without pay information from employer reporting so purchase eligibility and cost can be determined without viewing SMC data systems (Proof doc requirement/validation)
909	Ability to report how many Service Credit Purchase Agreements were requested, processed, paid for in a lump-sum payment or are continuing to be paid, etc.
910	Ability to calculate service purchase cost estimates currently prepared by the SamCERA actuary if possible. Otherwise, the ability to extract and transmit certain purchase of service information to the actuary for their cost estimate. ('New Military')
911	Ability to automatically generate correspondence requesting additional information relating to an incomplete purchase of service record and include the appropriate application highlighting the areas that need to be completed or corrected
912	Ability to automatically generate correspondence to the member for an overpaid or erroneous purchase of service payment
913	Ability to generate a denial correspondence if member is ineligible to purchase service credit
914	Ability to generate a Service Purchase Agreement for the member which provides the cost of the purchase, choice of payment plans, terms and conditions for each payment plan, and the amount of service:
915	01. Formerly refunded service with SamCERA (redeposit)
916	02. Medical leave without pay
917	03. Military service
918	04. Extra help
919	05. Upgrade Plan 3 service
920	06. Upgrade from General to Probation Plans
921	07. Upgrade from Plan 5 to Plan 4
922	Ability to produce correspondence to acknowledge completion of a purchase of service
923	Ability to produce correspondence to acknowledge receipt of purchase agreement
924	Ability to allow member to view purchase contracts, payments made, and current balances
925	Ability for members to make payments via check, rollover, ACH direct payment (lumpsum), or payroll deduction
926	Ability to calculate and post service for partial purchases for terminated members.
927	Ability to allow a member to complete a service purchase up to 120 days after the date of termination
929	Ability to calculate amount of service credit member is eligible to purchase for each type of service credit purchase
930	Ability to automatically detect overdue (or interruption in) payments (possible interest calc on delayed payment)
931	Ability to manage the required documents, and their receipts, for each service purchase case
932	Ability to maintain a scheduled installment payment (of amounts withheld from member's payroll checks) process as part of the employer reporting process
933	Ability to maintain rates, factors, and tables associated with each type of service credit purchase
934	Ability to maintain in member account a detailed history of all refunds such that, when the member elects to purchase service corresponding with a historical refund, the cost of the purchase can be calculated automatically and, when payment is received, the purchased services are posted into the active account.
935	Ability to recalculate a purchase based on receipt of additional information and generate a revised Service Purchase Agreement (Before Activation)
936	Ability to route the account for audit and/or review prior to issuing a Service Purchase Agreement
940	Ability to calculate compounded interest due for service buyback
941	Ability for refunds to be processed like any other type of benefit
942	Ability for a refund application to be initiated either by a member using self-service or via a SamCERA user in response to an inbound document, email or phone call.
943	Ability to determine if the member is eligible for the requested benefit type using SamCERA validations and rules (for example the member has not yet been refunded, is not in the process of retiring, and is not on a leave of absence etc.)

944	Ability to calculate a refund amount (taking into consideration the interest calculation, retroactive interest, pre-tax, post-tax portions etc.) on the benefit application
945	Ability for the refund to go through an estimate, review, finalize and approve process as would a more typical retirement application. Ability to be workflow driven and include requirement document checking, estimate printing, election form receipt and other approval or processing steps.
946	Ability for a disbursement schedule record to be created which will include payment and deduction information as part of the final approval process, which will be picked up and processed the next time the payments batch is run
947	Ability to pay out a full and partial separation benefit for members leaving or for members rolling benefits over to a 401K, IRA or other entities via direct deposit EFT, or via check on a monthly or ad hoc basis. This can be done either in one lump sum or with multiple partial payments.
948	Ability to use business checklists to execute business rules such as calculation, data validation, correspondence generation, workflow creation, and automated application status change.
949	Ability to calculate refund amounts based on a member's service and contributions history according to SamCERA plan rules.
950	Ability to create payments from system calculated refund amounts allowing for user overrides with proper security.
951	Ability to create interim payments while waiting for final information from employers, or suspend a payment until all required information (for example termination date, final earnings and service information) is received. This gives SamCERA the ability to recalculate the final benefit after final data is received, and adjust the benefit accordingly if need be.
952	Ability to send letters with refund, withdrawal, or rollover amounts to members.
953	Ability to maintain comprehensive audit trails with an activity log so the history of the benefit application is available for audit or reporting.
956	Ability to run reports containing information ranging from member transfers whose accounts should have a zero balance (based on account status), to listing all withdrawals and refunds processed with the corresponding net amounts
957	Ability to confirm that there are no holds on member's account before issuing a refund
958	Ability to determine status of refund application while in process
959	Ability to generate a "non-zero balance" report (i.e., negative/positive) after a refund has been processed and trigger additional refund processing if necessary
961	Ability to prevent or make impossible issuing a refund to a member or employer that is in excess of their current account balance.
962	Ability, upon receipt of application for refund, to automatically notify disability staff if there is a disability workflow in process and subsequently generate the appropriate correspondence to member based on disability program rules, suspending the refund process until the transaction has been verified by a disability specialist
963	Ability to capture direct rollover related information (e.g., amount to be rolled, financial institution information, account number, plan types, etc.)
964	Ability to determine if a member who has submitted a refund application is still an active employee or if they have reciprocal employment history and to create validations alerting the user.
966	Ability to provide statistical and demographic data for various reporting purposes, such as number of refunds generated in total, by plan and tier, by employer, by job classification
967	Ability to automatically produce correspondence to a member who is requesting a contribution refund that includes the calculation of the value of the amount to be returned (principal, interest, taxability, reductions for employee contribution deficiencies, etc.). This correspondence would also communicate eligibility for a Retirement Benefit (if applicable) or the status of a current refund in process.
968	Ability to automatically generate an additional information correspondence from an incomplete refund record and include the appropriate application (e.g., refund application, direct rollover application, etc.) highlighting the areas that need to be completed or corrected
969	Ability to create a system generated refund payment correspondence
971	Ability to generate a check stub for refund checks and refund direct deposit advice available only using member self-service
974	Ability to generate an overpayment correspondence where applicable
975	Ability to automatically accommodate retroactive interest posting for those cases in which a refund / withdrawal should not have been taken and is reversed (including tax consequences)
976	Ability to assign to a refund: cancellation status, status date, and reason as a transaction in the member's account
978	Ability to manage the rollover of pre- and post-tax contributions according to SamCERA specifications

979	Ability to display a check summary and/or a check detail pertaining to each refund payment
980	Ability to make refund payments through various methods (i.e., paper checks, direct deposit)
982	Ability to, at the time of refund, update the member's account with a refund transaction that includes the amount of contributions, taxes, and service refunded as appropriate
983	Ability to recalculate a refund based on receipt of additional contributions or "holds" (i.e. DRO, Lien/Levy) and re-verify payment options (direct rollover versus direct payment)
984	Ability to refund both regular contributions and purchase of service contributions, creating appropriate tax records, reducing service credit according to the amount refunded, and voiding any outstanding purchases of service
985	Ability to route the refund application for review and approval prior to issuing refund payment
986	Ability to automatically support mandated payments to third parties based on approved legal documents where there are multiple payments to be issued
987	Ability to suspend the payment of a refund until termination, final salary, and service information is received from the employer; then automatically (re)calculate refund and release for payment
988	Ability to track termination date, last wage and contribution reporting date, refund request date, refund-processed date, check date, etc.
989	Ability to generate multiple refunds of the same type to the same individual (e.g., for different time periods)
990	Ability to process and issue a Military Service purchase refund prior to Disability Retirement if the member is approved for Disability Retirement.
991	Ability to perform write-off of amounts less than \$1.00. This can be accomplished using a batch or manually processed function.
992	Ability to enter refund claims in PASS upon receipt and process them after interest crediting, if so elected by the member.
993	Ability to inform member of the benefit amount they will forfeit by taking a refund, both on correspondence and member self-service
996	Ability to use SamCERA rules to determine eligibility for reemployment and to make any updates to the members status including possibly suspending benefits or triggering a related workflow.
999	Ability for the SamCERA user processing the re-instatement of retirement to be alerted to the fact that the overpayment has to be paid off when the benefit is later resumed
1000	Ability to collect wage information from the wage and contribution file. When members are nearing an earnings limit, SamCERA staff can be notified via a workflow and/or report to take appropriate action, minimizing the risk of overpayment when a benefit must be suspended.
1001	Ability to receive alerts from workflow when user action is required on a retiree account who has returned to work. PASS automates correspondence to members, employers, and third parties to communicate a change in benefit, request more information, or to notify them of the reemployment.
1002	Ability to calculate overpayment or retroactive interest amounts. In the case of an overpayment, when a benefit is terminated, the amount can be recouped via a monthly deduction from the retiree's benefit when the benefit is later resumed, or it can be paid off in one lump sum in the form of a check from the member. A letter requesting recoupment of the overpayment will be sent to the member.
1003	Ability to use PASS benefit functions to guide SamCERA users through the steps required to process a retiree return to work application or re-retirement to ensure the process is standardized, and all appropriate eligibility rules are applied
1004	Ability for the suspension to terminate deductions and third party payments automatically when a retiree benefit is suspended, and the benefit reinstatement to resume deductions or automatic payments if the member retires again
1005	Ability to automatically trigger a return to work notification when a daily change file or wage and contribution report indicates that a retiree has returned to active employment
1008	Design PASS to automatically restart benefits for extra help retirees with suspended benefits, including correspondence to member (e.g. create a future payment schedule to restart payments beginning with the first pay cycle of the next year)
1009	Ability to capture and retain/manage the status and other information of the post-retirement employment. The data will be received on the daily and the wage and contribution files.
1010	Ability to create additional member accounts when a retiree returns to work, to associate the multiple accounts to the individual member, and recalculate benefits at retirement
1011	Ability to capture the choice of a rehired elected official to NOT participate in SamCERA as a covered member (and any consequential benefit decisions) or continue to receive an annuity benefit

1016	Ability to track hours worked and suspend benefit when limit is exceeded, including correspondence to member
1020	Ability for calculations to be configured to SamCERA's specific plan rules and can support all existing SamCERA plans, benefit types, and payment options. The system can also enforce plan eligibility, plan benefit eligibility and eligibility for different payment forms.
1021	Ability for benefit calculations to take into account payroll history, contributions, deductions (from calculated gross benefit), breaks in service, service credit purchases, termination dates, attained ages and other related factors.
1022	Ability to display all inputs to a calculation as well any interim calculations and to display the payroll history used in the calculation.
1023	Ability to define the specific business processes that underlie any type of benefit application, including the sending or receipt of correspondence, escalation steps, maker/checker steps, review and approval steps and more
1024	Ability to calculate and process all retirement benefits administered by SamCERA using information available in the system including the member's age, years of service, final average salary, final average earnings, projected Social Security earnings, and other calculations, data elements and parameters.
1025	Ability to capture and process tax withholdings and other deductions.
1029	Ability to use business functions and workflows to allow multiple users to process benefit applications. Manage override. Access built-in checklists, which can process all required application steps for all benefit types, including exception cases, error or recalculation scenarios following the same steps. Use the built-in reporting capability and documentation to facilitate business processing, and identify errors in processing. Direct corrections can be made by staff using workflow, validating any adjustments against SamCERA's business rules.
1032	Ability for user to create, update and maintain retirement age and factor tables (dollar annuity value, early retirement factor, option factors, joint-and-survivor factor, etc.)
1033	Ability to capture reasons for inaccuracies or incompleteness on the retirement application by allowing user comments on the V3 application processing statuses.
1034	Ability to automatically determine if the difference between the initial and final benefit amounts exceeds the SamCERA defined percentage and if so, notify staff for further investigation
1035	Ability to create and manage an account review checklist at retirement. Ability to identify and highlight conditions in the member account that require review (e.g., break in service).
1036	Ability to release record for payment only after benefit calculation is approved
1037	Design PASS to manage the retirement checklist. This permits SamCERA to track documents required, received, and outstanding.
1039	Ability to capture retirement application information (option selection, tax withholding, beneficiary, survivor annuitant, etc.)
1040	Ability to record, track, and display the receipt of the retirement application
1041	Design PASS to enable entry of retirement applications as early as (but no earlier than) sixty days prior to retirement date
1042	Ability to permit members to complete all or part of the service retirement application using self-service prior to meeting with a retirement counselor to expedite the process, identify issues for the counseling session, and reduce SamCERA data entry.
1043	Ability to permit members to upload documents required for the retirement process using member self-service and to automatically initiate a workflow for document review
1044	Ability to (track information and) generate report identifying number of retirement calculation requests received, dates received, date completed, and by whom
1045	Ability to generate a member "recalculation correspondence" detailing the under or over payment of benefits and the steps that will be taken to either recoup the overpayment or provide a "catch-up" payment to offset the underpayment
1046	Ability to produce system generated correspondence informing new retirees of their initial benefit
1047	Ability to support the generation of retirement application kits containing a cover correspondence and all necessary forms appropriate to the member's situation (retirement application, rollover, beneficiary nomination, etc.)
1049	Ability to automatically generate correspondence requesting additional documentation (death certificate, divorce decree, marriage certificate, proof of date of birth of new survivor annuitant)
1050	Ability to manage retirement case status and required documents and to display this information to member self-service
1051	Ability to automatically notify users when events have occurred that may require benefit recalculation (e.g., receipt of additional service or salary)
1052	Ability to automatically notify employers (on daily changes file to employer) when employees submit retirement applications

1053	Ability to remove (in cases of retiree suspending pension and restoring to membership) retiree from payroll and calculate amount of funds (benefits paid after return to service date) to be returned to SamCERA
1054	Ability for users to override benefit estimate parameters
1055	Ability to configure workflow to age accounts / transactions to automatically generate follow-up correspondence since last activity (e.g.: after a configurable period of time, 30 days, 60 days, etc.)
1056	Ability to automatically calculate gross annuity, disbursements, transfer amount and taxes according to business rules and laws and to update payroll and tax files as indicated by benefit calculations
1057	Ability to automatically pre-fill member demographic information on all required retirement forms that are printed by SamCERA staff and for those printed via member self-service
1058	Ability to calculate and apply the IRS 415 limitations to the benefit calculation. Ability to generate Section 415 limit letters for new retirees that are likely to meet the limit during the year.
1059	Ability to automatically calculate Final Average Compensation in accordance with plan provisions, including all types of allowable service and including breaks in service
1061	Ability to calculate the amount to be transferred from the active to retired general ledger funds
1062	Ability to process contributions, salary, or service reported by employers after retirement, including the ability to recalculate benefits where applicable
1063	Ability to automatically calculate underpayment / overpayment when comparing initial benefit amount to final benefit amount without the user having to re-enter or re-calculate this information
1064	Ability to create a benefit calculation utilizing the FAC from the reciprocal agency for members who have reciprocal membership
1065	Ability to create an estimate for Plan 3 incorporating information provided by the Social Security Administration regarding the member's projected Social Security benefit at "full retirement age" and using level income factors base on individual's age at retirement from covered service
1067	Ability to modify benefit calculation rules where feasible by changing PASS parameters when required by plan changes
1068	Ability to determine eligibility for all types of retirement (early, normal, disability, vested, death in service, etc.)
1069	Ability to determine and display what portion of the member's total benefit is funded by the member's and employer's contribution, respectively
1070	Ability to cancel or suspend benefit calculation and retirement transactions when member rescinds retirement prior to retirement date
1071	Ability to identify and highlight other account changes and workflows in process (e.g., address, service purchase) while processing the retirement application
1072	Ability to handle retroactive payments and disburse them in the same manner as the normal pension payment
1074	Ability to perform benefit calculations for all SamCERA retirement options (e.g.: Unmodified and Options 1-4)
1076	Ability to provide direct access to a member's detailed account information from a benefit calculation screen(s) for viewing and research purposes, with the additional ability to print this information
1077	Ability to provide reason and reason code for any overpayments (drop down box/free form) so that users can explain situations without other users having to review the detailed transactions
1078	Ability to update member demographic data with new information (name change, address, etc.) or launch a new workflow during benefit calculation process
1079	Ability to verify / cross-reference the termination date provided on the retirement application against the termination date transmitted from the employer, and if a discrepancy exists, notify SamCERA end-user
1080	Ability to store, retrieve, and print all parameters used, calculations performed, and corresponding results for all calculations
1083	Ability to determine date of conversion from service to disability retirement and capture both dates of retirement
1084	Ability to determine, calculate and apply exclusion ratio/excludable amount of the benefit due to contributions which are considered post tax.
1085	Ability for SamCERA members to view/print benefit summary information using member self-service
1086	Ability to recalculate a benefit amount based on a change in data
1089	Ability to calculate actual distribution amount to court mandated payee(s) and initiate distributions with initial pension payment
1090	Ability to process split accounts and deferred retirements with multiple benefit and payee accounts due to QDRO
1091	Ability to determine whether and how much COLA to award new retirees

1092	Ability for documents generated through the tax reporting features to be mailed or emailed to payment recipients and mailed/submitted online to taxation authorities. Tax forms can also be made available to members on-line using Self-Service.
1093	Ability to capture key attribute about the payment specifically for use in later tax processing each time a disbursement is generated. That includes both the disbursement of withheld funds to the appropriate tax authorities as well as the generation of 1099R's and other tax filings and documents.
1094	Ability to access or input all key data elements such as recipients indicative data, permanent address, interim address, federal identification number, federal and state tax deduction information, gross distribution, etc. for the required tax forms.
1095	Ability to generate 1099-R, 1099-MISC, 1096 forms for all payments issued.
1097	Ability to control which staff can access the tax reporting modules using PASS security, and set audit tracking to monitor which staff made modifications to tax data.
1098	Ability to query tax data and run a variety of reports to ensure quality assurance of reported year-end summaries and extracts, including precise mapping from individual member's 1099R forms.
1099	Ability to store the tax forms as unique PDF files, which were printed and mailed. Users can view the generated forms in the member's document history.
1100	Ability to create export files with tax information to be submitted to the State or IRS in the appropriate format to meet regulations and specifications.
1101	Ability to void and re-generate files.
1102	Ability to identify issues or discrepancies via validations for specific conditions (for example no address, federal taxable discrepancy, collections, overpayments, negative amounts etc.) including validations that ensure no member was erroneously issued a tax form.
1104	Ability to capture a payee's single or multiple requested tax withholding changes effective on specified future date(s)
1105	Ability to capture alternate address for mailing of Form 1099-R, without changing the recipient's mailing address, and for members (not established w POA) to change this address using self-service
1108	Ability to import at least the last three years of 1099-R records from the existing SamCERA pension system that can be viewed in member self-service
1109	Ability to capture and support member's preferred distribution method (e.g., mail or secure message) for Form 1099-Rs in accordance with IRS regulations
1110	Ability to produce an appropriate 1099 for any disbursement or other transaction that has an applicable tax consequence
1111	Ability to produce a 1099-R balancing report that contains all of the information needed to validate 1099s, organized in the most efficient manner, including reportable income and taxable income, and payment voids and re-issues
1112	Ability for SamCERA user to generate (in the event that a revised or corrected Form 1099-R is issued) a tax information correspondence to the member providing details of the correction
1113	Ability for authorized users to make corrections to Form 1099-R information
1114	Ability to accommodate both the "General Rule" and "Simplified General Rule" taxation methods
1115	Ability to accommodate Safe Harbor calculations and manual override of the calculated values
1116	Ability to accommodate tax levies, garnishments, bankruptcy, etc. for tax reporting purposes
1117	Ability to automatically adjust the tax liability (federal and state withholding tax) when an adjustment is made to a payee's benefit amount
1120	Ability to correctly calculate and accumulate those amounts that are required to be included on Form 1099-R
1121	Ability to create, maintain, monitor, and control tax withholding for IRS and state tax authority reporting, including facilitating and tracking the transfer of Federal Withholding Tax (FWT) payments to the IRS and state withholding tax to applicable state tax authorities
1122	Ability to deduct, store and report taxes by 1099-R distribution code according to IRS regulations
1123	Ability to export (Excel) all information related to 1099-R for any tax year
1124	Ability to generate a completed IRS Form 945 (Annual Return of Withheld Federal Income Tax) and all other Federal and corresponding state tax authority forms, for each required time period, and the ability to report corrections to prior tax years
1125	Ability to generate a detailed breakdown (Benefit Verification Form) of all transactions that were included in any given Form 1099-R when a member questions the information; this breakdown shall be available to both SamCERA staff and to the member via member self-service
1126	Ability to view and print a 1099-R for any available tax year using member self-service

1127	Ability to generate and retain revised Form 1099-Rs issued between the original run and the date the information was sent to the IRS and state tax authority
1128	Ability to generate individual Form 1099-Rs on an "as-needed" basis
1129	Ability to generate multiple Form 1099-Rs to a single payee for each distribution code, but no more than one 1099-R for a single distribution code
1130	Ability to identify and correctly calculate the tax consequences of both tax-deferred and non-tax-deferred transactions
1131	Ability to identify returned and stale-dated payroll checks (subsequently voided) and automatically correct the tax records associated with the payment
1134	Ability to provide sufficient flexibility to accommodate future changes to tax laws (Internal Revenue Code, regulations, private letter rulings, etc.), for example, taxable & nontaxable distributions, eligibility to rollover, minimum rollover amount, withholding rates, electronic notification, etc.
1135	Ability to calculate and track taxable portion of service retirements converted to service-connected disability retirements
1136	Ability to ensure no negative amounts appear in any federal or state tax reporting fields.
1138	Ability to automatically alert the SamCERA staff user when events occur that should require a corrected 1099-R.
1139	Ability for the refund payout process to be initiated after a member submits a bar coded separation benefit or refund request form scanned into ECM, invoking a separation of benefit or refund workflow
1141	Ability to determine if the member is eligible for the requested benefit type (for example the member has not yet been refunded, is not in the process of retiring, and is not on a leave of absence etc.) using SamCERA validation procedures and rules.
1142	Ability to calculate the refund amount on benefit applications.
1143	Ability for each activity performed for a withdrawal, refund or payout to be tracked in a detailed activity log to maintain a complete audit history.
1145	Ability to automatically post the refund to the member account, retaining the transaction details before zeroing-out and closing the account. This closure includes service purchases, and updating the account status to terminated or refunded.
1149	Ability to create interim payments while waiting for final information from employers, or suspend payment until all required information (such as termination date, final earnings and service information) is received. Recalculate the final benefit after final data is received, and adjust benefit accordingly.
1150	Ability to send detailed letters with refund, withdrawal, or rollover amounts to members
1154	Ability to run reports containing varied information, which can range from member transfers (for those who should have accounts with a zero balance) to listing all withdrawals and refunds processed along with their corresponding net amounts.
1155	Ability to implement the Disposition Form as an electronic form in member self-service. Ability to determine and present only the disposition options for which the member is actually eligible.
1156	Ability to generate the Board consent agenda item listing for all required enrollment, termination and refund related PASS events for a specified time period
1158	Ability to identify from the employer Daily Change File or biweekly contribution report when a member is terminated, to update the member record appropriately, and to initiate the appropriate termination workflow
1159	Ability to calculate and display on the disposition correspondence the earliest retirement date for deferred retirements
1160	Ability to track whether members have submitted Disposition Forms upon termination, to generate follow-up correspondence as needed, and to initiate appropriate workflows based on member elections on the Form
1161	Ability to determine whether a terminated member is eligible to retire and to initiate the appropriate letter (possibly part of the disposition doc)
1163	Ability to assign a unique identifier to each third party (for benefit payroll deductions, e.g. health insurance, union dues) and to use that identifier in all interactions with the third party
1164	Ability to capture, maintain, and delete third party demographic information. Note: no similar third party requirement
1165	Ability to import benefit payroll deduction data in a standard format received electronically from third parties. Ability to process that file and produce a view that provides a summary of records updated and rejected.
1166	Ability to permit SamCERA overrides of third party submissions to resolve exceptions
1167	Ability for members to add or modify deductions using member self-service for third party deductions which have been set as editable in MSS.

1168	Ability to extract data in a desired format and then transmit it electronically to third parties for payroll deductions actually withheld
1169	Ability for third parties to apply multiple deduction types and amounts for each payee
1170	Ability for Record Locking: Manages change control by enabling only one user to edit data related to a logical business entity at any given time. Enable locking of records temporarily for cases of stolen identity or QDRO. This functionality also maintains a full audit history, and displays the identity of the user who locked the account, and when it was locked.
1171	Ability for Data Auditing: For flagged fields, maintains an audit history of changes at the table, row, field, and logical record levels. Tracks the modification/deletion date, original value, new value, and user who made the change. The PASS Transactional model supports immutable transactions. This requires that every change to the transaction be made by registering another transaction. This approach ensures that all transactions are tracked and stored in PASS and that no data is lost or overwritten.
1172	Ability for Session Auditing: PASS tracks every login and stores historical record of login for each user, including metrics related to usage load and peak usage times. Similarly, the system tracks user password usage and manages password repeat logic and account locking.
1173	Ability for Activity Tracking: Maintains a complete log of all user activity performed while using the system including: page visits, searched data, loaded data, IP address, and edit attempts. This information coupled with audit trail information and session auditing provides administrators with powerful tools for managing internal controls
1174	Ability for key personnel to run reports or query the database to track and analyze all errors, corrections and adjustments.
1176	Ability to support stamping of all records with the date/time of creation and the date/time of updates and to note which user performed those actions.
1178	Ability for system administrators to give users access to the system through the user interface, creating user accounts, and then assign security access on two levels: user and role. Users can access one portal, or all portal interfaces, and can belong to an unlimited number of roles for set periods of time. Users or role groups can receive writable, read-only, writable when new, or hidden permission codes at the menu, tab, section and field level, fine-tuning staff's experience, and only providing access to the data they need.
1182	Ability to enforce business rules, validate and correct data, and control adjustments with user and role based security and workflows to route transactions to supervisors for review and approval that are designed to streamline business processes. Reverse, update and correct transactions with full traceability.
1184	Ability to perform a field audit, validate, correct and adjust data when it is found to be in error. Facilitate audits of the staff's work using workflow to route transactions to managers or auditors for review. Set alerts to initiate audits automatically at certain points in the processing, and stamp all audit transactions with the date, time, and identify the user completing the audit.
1185	Ability to enable security policies that will determine security questions, and password requirements, to fine-tune user authorization and authentication settings. Security policies are accessible by system administrators, and to bolster security by creating requirements like minimum password lengths. All user names are unique and passwords are stored encrypted using SHA-256 one-way hashing algorithm.
1188	Ability to provide secure user authentication, requiring the creation of user credentials in PASS, which are verified during the login process. Synchronize and integrate with SamCERA's Active Directory., ensuring the same user names and access credentials are used by PASS and network domains.
1189	Ability to choose between a mandatory and discretionary access models when determining user permissions. Mandatory access model assumes a user (or role) has no rights to screens/tabs unless rights are explicitly granted. The Discretionary access model assumes a user (or role) has rights to all screens/tabs unless rights are explicitly revoked.
1190	Ability to encrypt any PASS information. Assume encryption limited to security and role information, EFT and checking account information, and PII.
1191	Ability to prohibit staff members from updating records with their own information (by SSN or Person ID)
1192	Ability to provide adequate audit trails of system updates, including appropriate change controls requiring management approval of any software modifications or changes prior to implementation
1195	Ability to ensure there are sufficient management controls in place to ensure that a user cannot delete a plan that has any data associated with it
1197	Ability to provide role-based access control to data for reports and queries
1198	Ability to monitor and report on all user access rights individually or en masse

1199	Ability to indicate member accounts that require supervisor approval for access
1200	Ability to capture user permissions to determine how far back in time a user can post a transaction; only certain users should be able to post to a closed month
1201	The ability to restrict comment updates to the users or supervisors who created the comment
1203	Ability to create and schedule audit/security reports based on but not limited to user role
1204	Ability to perform ad hoc queries against audit logs and data
1205	Ability for the system to keep track of a user's last access date/time by user-id
1206	Ability for the system to monitor the number of successful and unsuccessful self-service access attempts and to create audit trails showing these events
1208	Ability for Web-based applications to be secured based on industry standards and SamCERA encryption policies / procedures
1210	Ability to assign an expiration date for a user account or role
1211	Ability to prevent all processes (including unattended ones) from terminating abnormally when encountering a "locked" member account and automatically generate a report of all unattended processes that encountered a locked account, that identifies the account against which the update was attempted and the source of the data
1212	Ability to capture the event (and generate a report) when an unattended process attempts to update a locked account, indicating the account was not updated due to the lock, the date the lock was effective, and the user-id of the person who locked the account
1213	Ability to ensure that a locked account will remain locked until the same user-id that locked it unlocks it; the only exception being that the System Administrator will have the authority to unlock any locked account
1214	Ability to ensure that for all transactions in which a user changes the status of a check to "void"/"stop", has appropriate security permissions.
1215	Ability to ensure that no audit trail data can be deleted
1216	Ability to extract audit log information for display and reporting purposes and ability to filter selected data from audit log files to generate meaningful and useful security reports
1218	Ability to lock an account (in the event of stolen identity, divorce, child support, court order, etc.) and record the reason why it is locked, the user id of the user who locked (and later unlocked) it and the date/time on which it was locked
1220	Ability to produce an audit trail report of all program code changes (date, time, version, change that was made, workstations, and author)
1221	Ability to produce certain security reports on a regular basis (e.g., violations, access to sensitive files, etc.)
1222	Ability to provide a single integrated user logon into PASS regardless of the number of sub-systems that are being connected (ECM, workflow, etc.) in accordance with SamCERA standards
1223	Ability to provide an automated means of processing a previously locked account after the lock is removed such that "suspended" data (including document-initiated workflows) will not have to be re-entered; provide a capability for users to remove such data that was locked at any time prior to update
1225	Ability to provide appropriate security associated with electronic signatures, including: * Logging of signature transactions
1226	Ability to provide appropriate security associated with electronic signatures, including: * Printable e-signed document for member
1227	Ability to provide appropriate security associated with electronic signatures, including: * Encrypted communication of the signature
1228	Ability to provide appropriate security associated with electronic signatures, including: * Multi-factor member authentication by e-signature confirmation
1229	Ability to provide appropriate security associated with electronic signatures, including: * Valid site certificate
1230	Ability to provide appropriate security associated with electronic signatures, including: * Confirmation of transaction
1231	Ability to provide formatted audit reports that show (for user-selected userid's, date-range, and/or members [selected by last name, social security number, or other unique identifier]) all changes made to member records, including before and after images; an "all" members option must be included

1233	Ability to provide the same locking capability applicable to images, as well as electronic data, such that it will be possible to add new document images to the folder of a member whose account is locked but prevent deletion of images from the folder of a member whose account is locked
1234	Ability to provide automatic log-off after a specified time period
1236	Ability to run ad hoc reports of audit trail history by transaction type, transaction date, input date, user-id or any of the fields related to the audit trail records
1237	Ability to track all transactions posted to a closed month, including the user-id making the change and the date/ time of the transaction
1239	Ability to track all updates that are made to data validation and edit checks
1240	Ability for the system to adhere to the Health Insurance Portability and Accountability Act (HIPAA), including how it pertains to the management of health information during disability cases
1241	Ability for internal auditors to audit account transactions
1242	Ability to see that a member account is "locked" and why at the time that it is accessed
1243	Ability to provide self-service users with self-service password and user id recovery
1244	Ability to require authentication and support multiple possible means of authentication such as password and multi-factor authentication methods for self-service users.
1245	Ability to keep historical records of user access rights
1247	Ability for reports to be pushed to Dashboards for charting and analytics. Reports to feature drill-down capabilities.
1248	Ability for Query result window to float on top of other modules and work like a readily available checklist
1259	Ability for queries to be defined as private or public. Public queries can be published to a group of users as read-only. Users may modify an existing query and save the new query under a new name for their own use
1261	Ability for queries to be used with parameters
1262	Ability for Query to support actions on top of retrieved data. Based on the type of data retrieved, perform the following actions:
1263	– Generate lists for reuse
1264	– Export data in various formats
1266	– Generate documents for all participants or employers in the result set
1268	– Generate emails to all participants or employers in the result set
1270	Ability for users to run reports interactively or schedule background runs. Once a scheduled report is successfully completed, designated user(s) can be notified via email or Dashboard.
1271	Ability for interactive designer for drag and drop report design, precise formatting and layout (More extensive layout designs requires use of iReports tool)
1272	Ability for standard and complex reporting features including expressions, grouping, aggregation, charts, and cross tab
1281	Ability for the dashboard to utilize and augment Queries to convert them into charts, top-n- lists, alerts and other analytical widgets
1282	Ability to configure the following out-of-the-box reports for SamCERA (to be counted against the report scope limit if configured):
1283	§ User activity monitoring
1284	§ User session tracking
1285	§ Security Settings reports
1286	§ Batch process status
1287	§ Pending documents
1289	§ Disbursements registers
1290	§ Disbursements Tax reporting
1291	§ Employer Billing reports
1292	§ Imaging reports
1293	§ Member Account Balances
1294	§ Deposit reports
1295	§ Contribution reports
1296	§ Member Eligibility reports
1297	§ Pension reports

1298	§ Deduction Reconciliation reports 3/16/15 Clarification - This refers to Pension Payment Deduction Reconciliation Reports.
1299	§ Import/Export reports
1300	§ Tax reports
1301	§ Interest reports
1304	Ability to access entity profile directly via links in the query results. Ability to compare entity data and query results by “pinning” the query window on top.
1305	Ability for enhanced query results: edit labels, headers/footers, design layout, fonts, colors, graphics, etc.; create dynamic charts and graphs from query data.
1306	Ability to Set up Dashboard Alerts, which change color when the number of results for a certain query exceeds thresholds that you can pre-set. Click an alert to access the full list of query results, including links to individual entity records.
1307	Ability to avoid tying up resources unintentionally with over-reaching queries. Receive a warning when query results are likely to be excessive. Reduce the number of results by adding filters or specifying a row number limit. For queries that are purposefully broad, offer automatic pagination and the option to change how many results are displayed per page.
1308	Ability to access a library of popular predefined queries. Specify parameters to limit or expand the scope of each report.
1311	Ability to make reports available outside of PASS by exporting to an Excel, PDF, or CSV document. Print using any of the options available in the normal print dialog.
1312	Ability to secure the Query and Reports modules to limit access by unauthorized agents.
1313	Ability to create database views to simplify the process of creating reports. These views must be created for any business object where the required data is stored in multiple database tables. *Custom activities (DB level dev work)
1317	Ability to query system for data and results for a point in time, e.g., as of 12/31/2003 or during Fiscal Year 2006
1319	Ability to present Performance Metric data in graphical form (showing trends) allowing management to see trends/issues and respond by taking proactive steps to manage agency workload
1322	Ability to use the appropriate user-friendly tools for executing ad hoc queries and reports against both the production and development, test, training, QA, and query system databases described in Section C.5.2 Separate Production, Development, Test, Training, and Query Environments
1323	Ability to compile by plan and sort and compile by fiscal or calendar year: number of retirees, average benefit payment, average service credit at retirement, composition of service credit (e.g., earned, sick leave credit), final average salary at retirement, and average age at retirement. This type of data is useful in preparing presentations and is often requested by legislators and staffers for understanding the effect of specific bills such as an ad hoc retiree COLA
1324	Ability to maintain records of the number and type of retirements that occur in a fiscal year or ad hoc period by employer unit, including date the individual was added to retirement payroll and date of retirement – and produce such reports. Also, the system must track when the member was paid his/her estimated benefit and when the benefit was finalized (time elapsed)
1325	Ability to report the number of employees eligible for retirement on a standard and an ad hoc basis
1326	Ability to query for contact information for various groups of customers (based on one or more customer characteristics) that can be exported for delivery to existing survey tools (i.e. Survey Monkey)
1327	Ability to have a searchable/sortable list of reports and queries created by users. Ability to filter and sort by title, date created, creator, and last time used.
1328	Ability to access a user-friendly report writer for creating custom reports with graphics, headers, footers, totals, subtotals, sorting, and statistics (Simplisitic reports based on Queries. More complex layout will require iReports)
1332	Ability to provide various online support features that will take a user step-by-step through a report “building” process Note - Gladys to confirm security level or access of data.
1333	Ability to query on all system data (business relevant, transaction history, log files, etc.) depending on security profiles
1337	Ability to support the creation of reports using relational criteria and logical operators (e.g., less than, greater than, equal to or less than, wild cards, Boolean operators, and combinations of each), including searches against message text and key indexed fields
1338	Ability to support the development of parameter driven reports, where the report variables and format are programmatically controlled and certain values are selected (or required) by the user at the time the report is generated
1339	Ability to support the use of various font formatting (font type, font style, font size, etc.)

1341	Ability to enable the end-user to use data sets (flat files) as input for functions in the ad-hoc query tool including but not limited to match/merge, sorting and reporting, both on "foreign" data sets by themselves and in conjunction with data from the retirement database.
1343	Ability to use the following selection criteria from within the Ad-hoc query and reporting tool: (Assumption: All data referred to below will be maintained in V3 Database)
1344	* Most dates
1345	* Service records
1346	* Employment records
1347	* Employer and employee contribution and salary information
1348	* Retirement plan
1349	* ZIP codes
1350	* Personal data including name, SSN or SamCERA identifier, age, date of birth, length of service, date of first service in each plan, date of entry into each plan, total or date specific creditable service in each plan
1351	* Beneficiary information
1352	* Court orders (e.g., QDROs, tax levies, garnishments)
1353	* Date of retirement in each plan
1354	* Periods of retirement and re-employment
1355	* All types of financial and monetary data
1356	* System date / time stamps for transactions
1357	* Membership date
1358	* Death date
1359	* Employee number
1360	* Status code
1361	* Employer
1362	* Plan.
1365	Ability to support the creation of reports using industry standard SQL
1366	Ability to define and report on Key Performance Indicators (KPIs) in a management dashboard format
1369	Ability to share documents with members and/or employers on an adhoc and as needed basis, on the SS portal. This shall include documents sent into the fund office, and documents created within pass for member/employer
1370	Ability to generate and manage ad-hoc or digital mass mailings, which can be printed when needed
1373	Ability for workflow to rendezvous with incoming documents and route steps to work queues or take action directly based on the content and configuration of the incoming document.
1374	Ability for the generated document to be made available on Self-Service either as a static PDF file to be downloaded and filled-in or, preferably, as an editable pre-filled e-form that the user can update online and submit. Once submitted, the document is treated as an inbound document and again can rendezvous with Workflow
1375	Ability to at any stage create document reminders ad hoc via To Dos to route to users
1376	Ability for document templates that feature bookmarks of different kinds that are converted into corresponding data, text, document snippets, tables and images dynamically when letters are generated. The users have full control over the document template.
1377	Ability for authorized users to generate the letter on their workstation screen, modify it and trigger the printing of the letter with one click, or send it to the print queue for printing at a later time.
1378	Ability for batch-printing capabilities where bulk mailings, such as annual member statements, are generated.
1379	Ability for all PASS documents to be automatically archived securely in the ECM repository and available via the CRM tab in World or via a comprehensive document register.
1380	Ability to make all documents processing information available in Query. This allows users to build comprehensive queries and charts. These charts can also be pushed to the dashboards of supervisors and managers for quick access to the latest information.
1390	Ability to prevent the document from being recaptured on the output stream when a document is reprinted

1391	Ability for a member to submit their form online, and the submitted form to be received by the PASS Imaging solution. It should behave as if the member had printed, hand-filled and mailed the document for it to be scanned in the mailroom before being inducted into PASS Imaging solution. PASS Imaging solution stores the copy of the form exactly as the member submitted it without changes. The member's submission should now trigger/route workflows and initiate further processing in PASS.
1392	Ability for forms to be available in the SS portals.
1396	Ability to store document metadata in PASS. Maintaining the metadata in PASS permits the system to generate workflows and execute other corresponding downstream processes.
1397	Ability to display a list of all documents associated with a member on the CRM tab in World
1398	Ability to transfer or store documents, letters, reports, images, emails, or forms to PASS imaging solution either near-real time (when these documents are generated) or via a batch processes. This feature is used for correspondence or eForms originating within PASS.
1400	Ability to trigger a Workflow to create a document when specific conditions are satisfied.
1401	Ability to trigger a Workflow based on the receipt of document metadata from an external system
1402	Ability to trigger a Workflow initiating a business process based on the type of incoming document (such as an address change workflow for an address change form).
1410	Ability for employer-related documents to be available through the employer-based functionality
1411	Ability to provide a valid / invalid address checkbox for employer and person addresses and if the address is marked invalid – track all correspondence that should have been sent until a valid address is known and then generate all the past correspondence (pending user approval) to the new valid address
1412	The ability for others to approve letters to be sent
1413	The ability for appropriate security such that access to disability documents (or similar) are limited to a designated set of staff members
1414	Ability to record receipt of all process-specific forms received throughout any process (for example, in the death process, death certificate, next-of-kin affidavit, annuity election form, tax forms, rollover form, etc.) and ability to capture pertinent information from each document/form and to automatically generate correspondence to the sender acknowledging receipt (but not necessarily acceptance). Include reminders of missing documents with acknowledgement. Acknowledgement should be available on the SS portals and also on LOB
1415	Ability to format the data entered from Web Self-Service into a standard template so that it can be stored as an image in ECM for historical reference
1416	Ability to store images of generated correspondence in ECM whether generated by SamCERA users or from PASS batch processes
1417	Ability to trigger one or more PASS workflow processes for each specific document in a batch of scanned documents when that batch is released to PASS.
1419	Ability, upon indexing by ECM, to perform index validation through an automatic look-up in the PASS database. This would include validation (in various combinations) of at least the unique member ID, the member name, the member DOB and the member SSN.
1421	Ability to initiate, based on an incoming document, the account creation or enrollment process for any entity (member, beneficiary, employer, other, etc.) that does not already exist. Also, ensure all documents are automatically indexed/reindexed to the new entity's ID.
1422	Ability to automatically capture, index, and archive an "image" in ECM of every piece of correspondence (letter, email, web-posting, etc.) exchanged with a customer
1424	Ability to permit members to select a preferred method of communication (e.g., mail, email) using member self-service. Ability to deliver correspondence using the member's preferred method of communication.
1425	Ability to report statistics on each type of form / correspondence generated
1426	Ability to print both blank and pre-filled forms, bar-coding information as appropriate
1427	Ability to generate additional information or follow-up correspondence as needed when further documentation is needed and/or additional data is missing, including a form pre-filled with correct information provided on a received but incomplete form and highlighting the areas that need to be completed or corrected
1429	1. End-users generate their own correspondence and print it themselves (locally)
1430	Ability to print document in bulk via a batch process on a centralized printer

1431	Ability for Workflows to automatically generate correspondence, based on end-user actions and defined business rules.
1432	End-users generate their own correspondence then send it , based on customer's preferred method of communication
1433	Ability to generate all forms and correspondence (including appropriate redesign and combining of current forms and correspondence and creation of new ones) in such a way as to support use of pre-populated (with requesting member information) fields and barcode capability, including web-based requests for forms
1434	Move to Workflow RTM
1436	Ability to sign correspondence with staff names (using signature fonts, pasted images, or similar acceptable solutions)
1437	Ability to reprint/resend any correspondence on an as needed individual basis in any available format (e.g., paper, email, fax)
1438	Ability to archive to ECM (at the same time that it is printed or otherwise transmitted to the member) all auto-generated correspondence along with the method of transmission. The purpose of this requirement is to ensure that the solution is not dependent upon separate user actions to archive and to print
1439	Ability to, when auto-archiving correspondence, automatically capture the appropriate information from the correspondence generation utility such that the document indexing is done automatically rather than requiring the staff member to re-input index information
1440	Ability to use a 2-D bar code (such as PDF-417), or similar acceptable solution, in every instance in which the application of a bar code is required
1441	Ability to define and produce packets of information/forms based on business process and typical customer needs to satisfy fulfillment
1442	Ability to support generation of material for and execution of mass mailings to targeted or general audiences
1444	Ability to cancel creation and transmission of correspondence sent in error prior to its completion
1445	Ability to intuitively (e.g., member life events, member status and demographics) "push" information and educational material to customers' portal pages, possibly triggered by pre-defined milestones, current events, special opportunities, etc.
1446	Ability to support SamCERA archiving of copies of all communications sent to members such that the member may be sent an email directing them to log in to member self-service to retrieve, view, and optionally download and/or print the communication. The copy archived for member use would be the same copy that is part of the permanent member ECM record.
1447	Ability to mask the first five digits of the customer SSN with XXX-XX in all correspondence and forms in which the number need not be explicitly printed, e.g., 1099Rs
1448	Ability to create and track responses to Alive and Well letters for aged retirees
1449	Ability to generate forms with pre-filled member information (e.g., name, address, member number, etc.) and bar codes that represent a unique document code. This makes it easier for members to complete forms and for the new ECM solution to automatically route the document to the appropriate staff member upon return. It would also automatically create a notation in PASS that the form had been sent.
1450	Ability to generate all existing member correspondence and forms
1452	Ability for members to view ECM documents submitted using or created by PASS
1453	Ability for members to view 1099R forms
1454	Ability for members to view Pay advices
1456	Ability to accommodate "returned mail" as one of the ECM document types. This Document shall not generate a WF.
1458	Ability to customize system generated correspondence by Auto-populating (tagged) blank fields with data drawn from a member/ retiree/ beneficiary/ employer account (with the ability to override some fields)
1459	Ability to customize system generated correspondence by Auto-population of the appropriate signature
1460	Ability to customize system generated correspondence by Manually selecting different paragraphs based on the input from the user
1461	Ability to customize system generated correspondence by Automatically selecting different paragraphs based on member account information and/or unique situations
1462	Ability to customize system generated correspondence by Permitting the addition of one or more free-form text paragraphs at any location in the correspondence template - given the appropriate authority to make such changes/insertions
1463	Ability for an authorized individual (not necessarily IT) to create new Document Shell, including all of the varieties discussed in Requirement 1458-1462
1465	Ability to track, archive and manage all in- and out-bound Email messages and faxes as electronic correspondence

1466	Ability for integration of the image retrieval and viewing capability with PASS member screens so that any user looking at member data in PASS solution can retrieve and view member-related documents in a seamless, integrated manner (such as the provision of an “Documents” button or tab) without having to provide retrieval keys into ECM a second time
1467	Ability for PASS to support the existing ECM indices, or a sub-set of those for going forward scanning process (Go-Live). These index values shall be defined in the design sprints.
1468	Ability for PASS to query documents based on standard criteria, including (but not limited to) 1. Document Type 2. Member SSN 3. Last Name 4. Document Date
1470	Ability to view the all documents currently stored in ECM.
1472	Ability with any search, that exceeds 5 seconds, to display the first 100 records, notify the user that only the first 100 were displayed, and then prompt the user with Cancel
1473	Ability with any search, that exceeds 5 seconds, to display the first 100 records, notify the user that only the first 100 were displayed, and then prompt the user with Refine search
1474	Ability with any search, that exceeds 5 seconds, to display the first 100 records, notify the user that only the first 100 were displayed, and then prompt the user with Continue for another 100 records.
1475	Ability, at a minimum, to sort document results lists within categories by document name, date range, or index fields for specific entities
1476	Integration of ECM into PASS user interfaces such that retrieval of a member’s documents (when a member’s record is open on the screen) may be initiated with minimal use of keyboard or pointing device. For example, a solution that requires the user to key in or cut and paste the member identifier from one application to another is unacceptable
1477	Ability to, upon performing a document retrieval from within PASS, if the member ID (or other unique identifier) does not uniquely determine a member (this should happen only if there has been an error in indexing), a list of the members matching the ID entered (including names, dates of birth, and Social Security numbers) should be presented so that the user can select the specific member being queried
1478	Ability to, upon performing a document retrieval from within PASS, if the member ID uniquely identifies a member, to present the results as a list of the document types within that member's folder.
1479	Ability to automatically notify member by correspondence at career / retirement milestones (disability, vesting, early, normal retirement, death in service, attaining age 70½, etc.)
1480	Ability to support both mandatory and non-mandatory fields on electronic forms
1482	Ability to retrieve all archived ECM documents for a member in a single view. That is, the user should not have to make one query to retrieve archived member correspondence and a second to retrieve archived scanned images
1485	Ability to apply and conform with postal standards and requirements for address formats
1486	Ability to create and manage required document checklists in PASS for all case oriented processes (e.g., refunds, retirements, etc.)
1487	Ability to have similar electronic web forms on member self service and current forms on SamCERA website, that are applicable.
1488	Ability to permit edits to existing correspondence templates for individual letters when needed
1489	Ability to allow for overrides, corrections and reversals of system-calculated results
1489.1	Ability to allow for overrides, corrections and reversals of system-calculated results
1489.2	Ability to allow for overrides, corrections and reversals of system-calculated results
1489.3	Ability to allow for overrides, corrections and reversals of system-calculated results
1489.4	Ability to allow for overrides, corrections and reversals of system-calculated results
1489.5	Ability to allow for overrides, corrections and reversals of system-calculated results
1492	Ability to save in-progress forms and applications.
1495	Ability to track detailed entity statuses, special statuses (flags), and personal or business relationships.
1498	Ability to require approval by another user before changes to critical data can take effect.
1499	Ability to prohibit saving of data that does not follow SamCERA business or legislative requirements. Provide error messages and “soft” warnings to help users identify and fix data issues.

1499.1	Ability to prohibit saving of data that does not follow SamCERA business or legislative requirements. Provide error messages and “soft” warnings to help users identify and fix data issues.
1499.2	Ability to prohibit saving of data that does not follow SamCERA business or legislative requirements. Provide error messages and “soft” warnings to help users identify and fix data issues.
1499.3	Ability to prohibit saving of data that does not follow SamCERA business or legislative requirements. Provide error messages and “soft” warnings to help users identify and fix data issues.
1499.4	Ability to prohibit saving of data that does not follow SamCERA business or legislative requirements. Provide error messages and “soft” warnings to help users identify and fix data issues.
1499.5	Ability to prohibit saving of data that does not follow SamCERA business or legislative requirements. Provide error messages and “soft” warnings to help users identify and fix data issues.
1499.6	Ability to prohibit saving of data that does not follow SamCERA business or legislative requirements. Provide error messages and “soft” warnings to help users identify and fix data issues.
1500	Ability import new/updated rates into v3 from pre-formatted spreadsheet.
1501	Ability to reference error messages in plain English to fix plan setup errors and oversights.
1502	Ability to store the constants required for business calculations in restricted-access factor tables. Associate factors with a range of effective dates.
1502.1	Ability to store the constants required for business calculations in restricted-access factor tables. Associate factors with a range of effective dates, and allow or limit updates.
1502.2	Ability to store the constants required for business calculations in restricted-access factor tables. Associate factors with a range of effective dates, and allow or limit updates.
1502.3	Ability to store the constants required for business calculations in restricted-access factor tables. Associate factors with a range of effective dates, and allow or limit updates.
1502.4	Ability to store the constants required for business calculations in restricted-access factor tables. Associate factors with a range of effective dates, and allow or limit updates.
1502.5	Ability to store the constants required for business calculations in restricted-access factor tables. Associate factors with a range of effective dates, and allow or limit updates.
1502.6	Ability to store the constants required for business calculations in restricted-access factor tables. Associate factors with a range of effective dates, and allow or limit updates.
1504	Ability to define flags that can be applied to member accounts to dictate different situations.
1504.2	Ability to define flags that can be applied to member accounts to indicate different situations, e.g., existence of a QDRO in this account, VIP whose record is to have restricted handling. Many of these flags will have defined activities that are (or are not) to occur as a result of the applied flag(s). Such activities to be defined at the time of requirements gathering.
1504.4	Ability to define flags that can be applied to member accounts to indicate different situations, e.g., existence of a QDRO in this account, VIP whose record is to have restricted handling. Many of these flags will have defined activities that are (or are not) to occur as a result of the applied flag(s). Such activities to be defined at the time of requirements gathering.
1504.5	Ability to define flags that can be applied to member accounts to indicate different situations, e.g., existence of a QDRO in this account, VIP whose record is to have restricted handling. Many of these flags will have defined activities that are (or are not) to occur as a result of the applied flag(s). Such activities to be defined at the time of requirements gathering.
1505	Ability for users to work from home (with access to PASS and ECM) in case of an emergency or other circumstances
1506	Ability to capture and accept electronic signatures that conform to federal and state statutes
1507	Ability to capture manual notes at a variety of levels within the database structure including (but not limited to) member and workflow work items and to provide adequate security as defined by SamCERA to meet HIPAA requirements for notes on medical records
1507.1	Ability to capture manual notes at a variety of levels within the database structure including (but not limited to) member and workflow work items and to provide adequate security as defined by SamCERA to meet HIPAA requirements for notes on medical records
1507.2	Ability to capture manual notes at a variety of levels within the database structure including (but not limited to) member and workflow work items and to provide adequate security as defined by SamCERA to meet HIPAA requirements for notes on medical records

1507.3	Ability to capture manual notes at a variety of levels within the database structure including (but not limited to) member and workflow work items and to provide adequate security as defined by SamCERA to meet HIPAA requirements for notes on medical records
1508	Ability to support the import of data from comma separated or pipe delimited files
1508.1	Ability to support the import of data from other external Open Database Connectivity (ODBC) compliant sources or comma separated files
1508.2	Ability to support the import of data from other external Open Database Connectivity (ODBC) compliant sources or comma separated files
1508.3	Ability to support the import of data from other external Open Database Connectivity (ODBC) compliant sources or comma separated files
1508.4	Ability to support the import of data from other external Open Database Connectivity (ODBC) compliant sources or comma separated files
1510	Ability to perform and communicate "real-time" validations and the return of entry errors on ALL user and external customer interfaces and the revalidation of "real-time" corrections
1510.1	Ability to perform and communicate "real-time" validations and the return of entry errors on ALL user and external customer interfaces and the revalidation of "real-time" corrections
1510.2	Ability to perform and communicate "real-time" validations and the return of entry errors on ALL user and external customer interfaces and the revalidation of "real-time" corrections
1510.3	Ability to perform and communicate "real-time" validations and the return of entry errors on ALL user and external customer interfaces and the revalidation of "real-time" corrections
1510.4	Ability to perform and communicate "real-time" validations and the return of entry errors on ALL user and external customer interfaces and the revalidation of "real-time" corrections
1517	Ability to generate acknowledgement of receipt of any of several applications along with any necessary follow-up correspondence to member
1520	Ability to provide context-sensitive error and help messages/screens
1521	Ability to navigate from field, element, or control level help with a single click to the broader, screen or process level help.
1522	Ability to provide on-line process help.
1523	Ability to support SamCERA updates, additions and deletions to all forms of online help. Must provide the capability for SamCERA to augment online help with links to the relevant rules and policies in relationship to the context – and to change or update those links as necessary.
1524	The ability to include on-line help on employer and member web self-service screens and processes
1525	Ability to provide ADA compliant user interface to those who are disabled.
1526	Ability for the reviewer to indicate a reason for the return of the step/action. (i.e., error, inquiry, or additional information required)
1530	Ability to provide eligibility validations if new member is attempting to enroll in a closed plan based on effective dates
1531	Ability to comply with all applicable external rules and regulations (e.g., SamCERA, 1937 Act, HIPAA, IRS, USPS, etc.) that are defined for a period of 24 months after contract signing
1531.1	Ability to comply with all applicable external rules and regulations (e.g., SamCERA, 1937 Act, HIPAA, IRS, USPS, etc.) that are defined for a period of 24 months after contract signing
1531.2	Ability to comply with all applicable external rules and regulations (e.g., SamCERA, 1937 Act, HIPAA, IRS, USPS, etc.) that are defined for a period of 24 months after contract signing
1531.3	Ability to comply with all applicable external rules and regulations (e.g., SamCERA, 1937 Act, HIPAA, IRS, USPS, etc.) that are defined for a period of 24 months after contract signing
1531.4	Ability to comply with all applicable external rules and regulations (e.g., SamCERA, 1937 Act, HIPAA, IRS, USPS, etc.) that are defined for a period of 24 months after contract signing
1532.1	Ability to comply with all applicable federal and state tax laws and statutes
1532.2	Ability to comply with all applicable federal and state tax laws and statutes
1532.3	Ability to comply with all applicable federal and state tax laws and statutes
1532.4	Ability to comply with all applicable federal and state tax laws and statutes

1533	Ability to have and maintain (add, edit and delete using a simple, universal, consistent interface) table driven parameter values with date sensitive and versioning capability along with the ability to maintain pre-defined value lists such as cities, employer codes, table-values (i.e. tax tables, service credit factors, interest rates, etc.) that are more complex than simple list-values, etc.; the system should be table driven to the maximum extent possible; therefore, tables which contain lists of valid values are to be maintained by a single common interface
1533.2	Ability to have and maintain (add, edit and delete using a simple, universal, consistent interface) table driven parameter values with date sensitive and versioning capability along with the ability to maintain pre-defined value lists such as cities, employer codes, table-values (i.e. tax tables, service credit factors, interest rates, etc.) that are more complex than simple list-values, etc.; the system should be table driven to the maximum extent possible; therefore, tables which contain lists of valid values are to be maintained by a single common interface
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1533.6	Ability to have and maintain (add, edit and delete using a simple, universal, consistent interface) table driven parameter values with date sensitive and versioning capability along with the ability to maintain pre-defined value lists such as cities, employer codes, table-values (i.e. tax tables, service credit factors, interest rates, etc.) that are more complex than simple list-values, etc.; the system should be table driven to the maximum extent possible; therefore, tables which contain lists of valid values are to be maintained by a single common interface
1534	Ability to search entered data with database values without regard to case – i.e., a system that is NOT case-sensitive except for passwords
1535	Ability to navigate through screens and retain the key identifier (e.g., Person ID) throughout
1536	Ability to prevent the entry of duplicate transactions, when appropriate
1536.1	Ability to prevent the entry of duplicate transactions, when appropriate
1536.2	Ability to prevent the entry of duplicate transactions, when appropriate
1540	Ability to support name in at least five distinct components – title, first, middle, last and suffix
1541	Ability to support various error level severities (warning, hard validation message.)
1541.1	Ability to support various error level severities (warning, hard validation message.)
1541.2	Ability to support various error level severities (warning, hard validation message.)
1541.3	Ability to support various error level severities (warning, hard validation message.)
1541.4	Ability to support various error level severities (warning, hard validation message.)
1543	Ability to use partial field values and/or wild cards for lookups in key fields
1544	Ability to accommodate (store and apply) future changes (e.g., address change, direct deposit information, etc.), all with effective dates, as well as search on historic values.
1549	Ability to indicate through a colored screen or dialog box or some other such attention-getting capability the existence of a flag on a member account
1550	Ability to move data from production into another environment (e.g., test, training, disaster recovery)
1552	Ability to show selective data and functions based on whether an active member or pensioner logs in.

1553	Ability to offer a secure email channel that encourages users to initiate persistent threads from service reps. Ability for a secure message center that allows users to initiate secure, linked communication with SamCERA. These messages show up in the CRM tab under contract history and can also trigger workflows. SamCERA representatives can respond directly from the CRM tab, at which point the message becomes available in the Self-Service secure message center and via email.
1556	Ability for the Employer portal to allow authorized users to manage their own user groups
1557	Ability for portals to match the style, images, font, size and logos as prescribed by SamCERA
1558	Ability to access to documents, letters, and brochures.
1558	Ability to access to eforms and printable forms.
1559	Ability to provide a mechanism within the member and employer portals to report usability issues and other problems with the web interface and to make suggestions for improvements.
1560	Ability to use an electronic form for customer self-service and upon submission of the completed form, to capture an "image" of the form into the correspondence archive as if the form had been submitted on paper (including the ability to retrieve and print same)
1561	Ability to perform appropriate edit checks on all data entered via the Web to ensure validity prior to acceptance by the system
1564	Ability to support the receipt (upload) of member-scanned documents in PDF (or other) format (including scanning for viruses) through member self-service and to manage the received documents in the same way (indexing, workflow routing) that mailed and scanned document would be processed
1566	Ability for members to select a preferred method of communication using member self-service. Ability for email to be set as the default for new members.
1567	The ability to selectively provide a link to an external survey (e.g. Survey Monkey) on user on satisfaction with the portal, and SamCERA programs and services.
1568	Ability to provide an interactive, real-time member statement on the portal supporting customization of presentation, drill-down capability to expand general information into detailed, etc. Ability to indicate on the printed document that it was created by a member.
1570	Ability for members to generate replacement documents such as 1099Rs and income verifications from the portal without SamCERA staff involvement
1574	Ability to provide customers with the ability to print, save, or otherwise store electronic forms submitted so they have a copy of information submitted to SamCERA
1576	Ability to support direct, deep links into the portal to specific eForms and pages.
1577	Ability for members to see the status of documents sent/received in progress using member self-service to reduce requests for information.
1577	Ability for members to see the status of transactions (e.g., checks mailed, service purchases, retirement applications) in progress using member self-service to reduce requests for information.
1578	Ability to report on all portal activity, e.g., pages most visited, requests most frequently made, forms most frequently used
1579	Ability for members to view the status of current or past cases (e.g., disability claim) in member self-service
1580	Ability to support ADA compliance.
1582	Ability to support context-sensitive, real-time video, audio, or online help in filling out electronic forms and requests for information similar to that provided in "TaxCut," etc.
1583	Ability to ensure that electronic- and corresponding paper-based forms follow the same design and development steps so that the approved end result of the design process will be forms that are very similar (if not exactly the same) in layout and exactly the same in terms of data collected
1584	Ability to add links to SamCERA's social media outlets, e.g., Facebook, Twitter, etc.
1585	Ability for members to resolve their own lost passwords using member self-service
1589	Ability for members to view or update (as appropriate) the following types of information in member self-service: Contact Information
1590	Ability for members to view or update (as appropriate) the following types of information in member self-service: Plan, Dates
1591	Ability for members to view or update (as appropriate) the following types of information in member self-service: Service, Salary, and Employment History
1592	Ability for members to view or update (as appropriate) the following types of information in member self-service: Benefit Payment History

1593	Ability for members to view or update (as appropriate) the following types of information in member self-service: Tax Withholding and Deductions
1594	Ability for members to view or update (as appropriate) the following types of information in member self-service: Beneficiaries
1595	Ability for members to view or update (as appropriate) the following types of information in member self-service: Direct Deposit
1597	Ability for actions taken by members using self-service to initiate workflows as appropriate
1598	All report, form, and letter requirements are subject to the following maximums: up to 100 reports, 60 forms, and 80 letters
1599	Ability to run reports on the current production environment without any impact to overall system performance
1600	Ability to capture print streams, then index and archive them in Autonomy ECM
1601	Ability for extensive reporting, aggregation and charting capability available on staff performance data stored in workflow, call log and customer service data. This will support at least the following reports:
1602	- Production metrics including backlog and summary
1603	- Production trends including year to date, month to date, comparison to prior year/month
1604	- Efficiency metrics including queue and individual performance, aging reports and backlog
1605	- Workflow and User metrics including actual vs. target completion times
1607	Ability to support standard reports that will be produced on a periodic basis, scheduled to run unattended via job scheduler. Notification of report completion will be sent to recipient's dashboards or email.
1608	Ability for auditing capabilities to provide reporting for data updates, user activity and security events
1609	Ability for users to bookmark favorite pages, members or reports and provides quick access to them in the future. (Bookmarking favorite reports requires follow up)
1612	Ability to capture and archive any computer output generated by PASS and make immediately available during production hours without having to wait for off-hour batch processing
1621	Ability to provide performance reports information for the entire organization and at the individual user level
1623	Ability to produce a series of standard reports, on a periodic basis and/or on demand, all of which support "drilling down" to various levels of detail in at least the following areas:
1624	Deaths - Number of deceased active and retiree / beneficiaries during the user selected reporting period
1625	Terminations - Number of members receiving refunds and forfeitures of refunded service during the user specified reporting period
1626	Average Pay - Calculation of the average pay increase for employees continuously employed during the user specified period
1627	Reconciliation of Demographics - Reconciliation of the current membership population by employer with the membership population from the prior period
1628	Retirements - The number of retirements by type, that occurred during the user selected reporting period
1629	Employees Eligible for Retirement - Number of active members who are eligible for retirement as of the report date
1630	Ages at Retirement - Distribution of retirees according to age classifications at retirement
1631	New Members - Number of new members added during the user selected reporting period
1632	Retirement Benefit Computations - Number of estimates and/or final computations performed during the user selected reporting period
1633	Disability Retirements - Number and type of disability retirements during the user selected reporting period
1634	Purchase of Service - Number of purchases and their costs by type during the user selected reporting period
1637	Ability to export report information to off-the-shelf spreadsheet programs (CSV and PDF)
1638	Ability to provide a report of counts of active members, inactive members/vestees, and annuitants (including survivor annuitants) for any given date
1639	Ability to send output from a report to: printer, file, screen (email notification can be configured to be sent to notify users upon completion)
1640	Ability to report the number of actively contributing members eligible to retire as of a certain date who meet various age and service credit requirements broken down by plan and, if necessary, by reporting unit
1642	Ability to compile by plan: number of members actively contributing to the system, average service credit, average amount of service credit purchased by type, and average age

1643	Ability to maintain records of deceased active members and retirees/beneficiaries and produce such a report. It must record the age at death and date of death at a minimum. This information will assist in determining if the mortality tables currently being used are realistic
1644	Ability to maintain records of members that receive refunds of their contributions, the amount, as well as applicable dates. It must also produce such a report, including forfeited or refunded service credit
1645	Ability to calculate and report the average pay increase for members continuously employed. It must compare average pay increases against past years' increases.
1646	Ability to reconcile the current membership population by employer. For example, the system must be able to take the prior fiscal year number of members and reconcile it to the current number of members. The reconciliation must show which members terminated, retired, died, or became inactive. This reconciliation must be detailed (i.e., include name and person identifier).
1647	Ability to record the age at which a member retires as well as the member's employer unit at the time of retirement and produce reports of this information
1648	Ability to maintain and report the count of new members enrolled for any designated period by employing entity
1649	Ability to report the number of estimates and finals which were completed for a user-specified period
1650	Ability to report the count of applications filed for the various types of disability retirement and the period when the application was filed
1651	Ability to generate a report of all members whose accounts are flagged with one or more flags
1657	Ability, for any business process, for any specified period, to capture the number performed, the amount of time elapsed in each step in the process (including audit-forced rework), time spent waiting in a queue, time awaiting necessary customer response, etc
1658	Ability to appropriately scale output to standard paper sizes and layouts
1659	Ability to create an unduplicated list of retirees for mailing purposes. For example, it should not produce two records for a person receiving both a participant and beneficiary benefit.
1661	Ability to produce selected content for the SamCERA CAFR/PAFR
1662	Ability to produce the content for the PASS-related Board consent agenda items
1663	Ability to produce the annual file extracts for the SamCERA actuary. The number of files and data fields should be minimized.
1664	Ability to sort addresses for mass mailings by various values including last name, first name, member ID, elements of address, retirement plan, employer, etc.
1665	Ability to access any member-specific ECM documents with a single query and single viewer from within PASS
1666	Ability to retrieve member-specific "documents" (e.g., a check image) or just the member-specific record of a check register from within a complete check register archive report and display as a member-related "document" just as if it were an imaged document (Evaluate necessity during design)
1667	Ability to search for and retrieve portions of archived reports based on at least five different index fields, e.g., member ID, SSN, Last Name, ... (similar to #1666. To be reevaluated)
1668	Ability to direct printing of reports/forms/correspondence to selected local and network printers with an established default setting
1669	Ability to include on all reports detailed header/footer information, including PASS version/release/build number, a unique name for the report, report run date/time, and user id
1670	Ability to support viewing/printing by allowing the user to determine the length of the report prior to viewing/printing (e.g., number of pages)
1671	Ability to support report sorting, filtering, and summary report output
1672	Ability to support the viewing of reports that result in large volumes of data by: (Applicable to Queries)
1673	01. Providing a warning of the number of records found (Applicable to Queries)
1674	02. Prompting the user to continue/refine/alter the query (Applicable to Queries)
1675	03. Displaying a single page of data at a time (Applicable to Queries)
1677	Ability to track work items that failed review due to error, inquiry, or need for additional information

1680	Ability to schedule one or more reports to be run unattended
1681	Ability to specify a series of reports to be run successively and unattended
1682	Ability to select reports that should be produced in nightly batches for convenience
1684	All workflow requirements subject to the following maximum: up to fifteen (15) SamCERA selected workflows
1685	Ability for users to dismiss Workflow at any time (with it staying just 1-click away) and return to heads-down work without any screen refresh, page reload and without any data being lost
1687	Ability for Workflows to be automatically triggered via incoming documents, via CRM (screen), and timer events or by other workflows. Workflows can also be triggered manually
1688	Ability for round-trip document processing capabilities with support for inbound documents, outbound documents, and barcoding.
1690	Ability for user defined queues and configurable automatic queue processing and routing
1691	Ability for configurable user in-box, definable saved views, filtering, sorting, and ad hoc querying
1692	Ability for users, groups, and departments defined dynamically with unlimited inter-relationships (Queue assignment/organization)
1693	Ability for standard workflow and step fields, including priority, due date, start date, completion date, owner, router, and routee
1694	Ability for conditional step routing configuration, based on Workflow and/or other PASS attributes
1695	Ability for step action configuration including closing a step, creating a step, updating the system, validating a condition, or generating a document
1696	Ability for custom fields and descriptors at the workflow level of all common data types (numeric, date, number text, rich text, SQL, and lists)
1697	Ability for file attachments with in-place viewing
1698	Ability for custom workflow and step status (automatically updated as the workflow proceeds)
1699	Ability for real-time ad hoc step capabilities
1700	Ability for complete role-based and field-level system security
1701	Ability for work management tools that allow reporting and balancing actions based on a user's workload
1702	Ability for supervisor to monitor and be notified of staff's assigned work and progress
1704	Ability to prevent a work item (an instance of a Workflow) from being removed from the workflow system without an entry being made in the workflow tracking log
1705	Ability to query on work items that have been assigned/retrieved/reserved by an individual
1706	Ability to report and/or query on how much "elapsed time" a work item spent in every work step of a work process in order to ascertain and report on how long it took to perform various processing on an account (e.g., establish "normal" processing time from start to finish)
1707	Ability to search such that the status (active, suspended awaiting additional information, etc.) of any work-item can be determined through a simple query based on multiple criteria such as member name, date-initiated, member id, etc.
1708	Ability to support measurement capabilities, including but not limited to average/maximum/minimum queue time, queue lengths, performance metrics, and process bottleneck identification. Provide workflow tracking, statistics and process/user throughput reports
1709	The ability to define (graphically) work process maps which, when implemented, automatically "route" work from the mailroom to an individual (or role) and from one individual to another. Such routing may be conditional; for example, the level of approval for signing a refund authorization may vary depending on the size of the refund. Such work process maps should be maintainable by a user administrator level staff member – not requiring advanced IT training and skills (Graphical capability is currently in the proof of concept stage. Short term requirement to provide visio diagram for each workflow being designed/delivered. Additionally, flow can be made available for review on the Workflow instances.)
1710	Ability to assign work using a role-based model, thus easily addressing personnel substitutions and absences, as well as individually (Queue design/definition)
1711	Ability for management to see who has selected a work item and returned it to the work queue without further processing
1712	The ability for a trained administrator to easily add users to the system; create, change workflow processes; and change, modify, or alter maps to rectify bottlenecks and inefficiencies.

1715	Ability to provide a user-friendly application environment that promotes pre-existing concepts already familiar to users, including the concept of file folders, attachments, assignments and the use of colors to show the status of an item at a glance (Confirmation pending on Color feature)
1716	Ability for the system to automatically trigger various workflow processes based upon the initial value or a change in value of a field in the associated member account
1717	Ability to automatically assign and prioritize a work item based on business processing logic such that the processing of that work item takes precedence over other work items within a work process; the default priority of all work items should be the same and work items of the same priority should be processed on a first-in / first-out basis (Automatic nature of this requirement to be determined in the design sessions)
1718	Ability to utilize electronic forms (self-service), scanned paper forms, faxes, etc., to initiate workflow. The same sequencing must be used across scanned, imported, or electronically initiated workflows to allow either FIFO or FILO processing of work items.
1720	Ability for a user to sort and select new work by multiple criteria such as first-in, first out, alphabetically, or priority of work item
1721	Ability for an authorized user to manually override the default system assigned priority as well as the priority of an individual work item within a business process without the involvement of IT
1722	The ability to use information such as work item attributes, previous "case" history, individual processor skills, etc., to make work assignments of newly received work (WF Queue design)
1724	Ability to produce the following workflow reports (at a minimum):
1725	01. All suspended work items
1726	02. All work items in process
1727	03. User-oriented work throughout to include information such as work items processed by each user, the average/maximum/minimum time required for processing, etc.
1728	04. Queue-oriented work throughput to include information such as queue lengths, average/maximum/minimum queue time, and other performance metrics.
1729	05. All work processed through the system during a user-specified period of time, identifying the work items by type, member id, etc.
1730	06. Quality related metrics such as number of work items reworked, by user, etc.
1731	07. All completed work processes (and the metrics and attributes associated therewith)
1732	Ability to query on workload individually by process and/or by all processes (i.e., daily, weekly, monthly, calendar year, fiscal year). Identify how many work items are at each work step
1736	The ability to capture work item-specific information at the completion of a workflow. Such information would include (but not be limited to) all process flow metrics, including times and user names, etc.
1737	Ability to generate both pre-defined and ad hoc reports of all system metrics and to support export of that data, e.g., for graphing
1741	Ability to accommodate cases where a document comes in before the document that should have arrived first to initiate the process (Multiple trigger points of a Workflow)
1742	Ability to "route back" to the original worker a work item that is sent back by a reviewer so that the original worker can make the needed correction/changes; upon completion the item should "route forward" to the same reviewer.
1744	Ability for the system to identify those cases where the processing of a work item has been suspended for a defined period of time and create and/or forward the work item to the appropriate work process/unit for processing
1745	Ability for the system to show the status of all work items in the system by workflow processes and any sub-processes (what activity / step it is in, who's working on it, when was it completed, etc.)
1748	Ability to allow for reassignment of a work item that has been assigned/retrieved/reserved by an individual in cases of sickness, injury, employee terminations, date range, or absence and retain the reason(s) for such reassignment including the identification of the individuals from and to involved in the reassignment
1749	Ability to attach and save notes, a standardized workflow review form, and/or a standalone file (e.g. Word document, Excel spreadsheet, Text file, Voice file, etc.) to a work item and make the attachment visible to authorized users
1751	Ability to create/read/update/delete users assigned to work queues without interrupting the workflow processing

1753	Ability to identify/indicate due dates/completion dates and assign them to a particular work item and/or work step within a workflow process. Exceeding the due date/completion date would cause the associated work item to follow a user-defined "exception route"
1754	Ability to identify/notify/restrict (selectively) all parties when there are multiple workflows activated for a member
1755	Ability to interface ECM to PASS so that indexed documents, cross-referenced to document IDs or types within PASS, will trigger work requests within the appropriate workflow(s) in the PASS
1756	Ability to merge a work item created as the result of an incoming document to an already existing work item
1757	Ability to perform version control of work flows, and the migration of work flow folders from one version to another, including documentation (notes) of changes made to the workflow processes, excluding in-flight workflows.
1758	Ability to recognize if an account/folder needs special processing in another work area and allow the manual, "on-the-fly" definition of an alternative (ad hoc) routing of the work item
1760	Ability to support a checklist of documents that are required to process a work item within a particular work step / work process. The checklist must be updated, without manual intervention, as the notification of the document receipt is sent from ECM or as the result of a SamCERA user screen entry. (Proof doc list updates based on Received images/docs. Specific process such as SCP or Retirement to validate against the proof doc list.)
1762	Ability to support a time-based alarm/reminder capability for follow-up tracking of functions within a workflow (e.g., non-receipt of the bank information within a definable number of business days) both in automatically generated correspondence to members who have not responded to requests for additional information and ticklers to staff who may need to provide personal follow-up on incomplete tasks
1763	Ability to suspend the processing of a work item because SamCERA is awaiting information from an external entity (member, employer, 3rd party, etc.) or from an internal entity (users, audit, reviewer, etc.) and resume, without requiring manual intervention, the processing of that work item once the information has been received
1764	Ability to utilize a Delegation of Authority feature that fully supplies the user environment (with security) of one member of staff to another for completion of work items owned, and maintenance of that member of staff's work items for planned and unplanned absences from work (while ensuring that we capture the ID of the actual worker who completed the work). (*Workflow delegation)
1765	Ability to, within any work step / work process, modify the values of work item attributes associated with the work item
1766	Ability to display unique identifying member information on each screen when focused on a single member
1769	Ability to assign, change values of, and query against the value of any work item attribute
1773	Ability to release to production tested modifications to workflow routes without significant impact to the production system. Existing work items must continue to be processed, not lost for example, because of the deletion of a work step in the modified route.
1774	Ability to initiate multiple work items upon the receipt of a single document (e.g., initiate a change of address process as well as a service retirement upon receipt of a service retirement application)
1775	Ability to "leave" a work process in order to access another process without exiting/stopping the first process (i.e., multi-tasking)
1776	The ability to fully automate rote tasks such as the acknowledgement of receipt of information or other member communication. In this model, the first work step after scanning and indexing of many documents received from the member might be a robot step which would use automated correspondence generation to generate, print, transmit, and archive an acknowledgement letter
1777	Ability to integrate with ECM such that the receipt of a turn-around document (typically a bar-coded request for additional information) can match the received response to a suspended process, restart the process, and reassign it to the staff member who was originally doing the processing
1778	The ability to create re-usable workflow sub-processes. The purpose of this requirement is to ensure consistency of similar processing even when that processing is done as part of different workflow routes
1781	Ability to relate specific encounter notes to a work item in one or more workflow steps (Member correspondence activity is fully visible on CRM at a member level. This may be sufficient in lieu of encounter note)
1782	Ability to place a work item on hold – and to do reporting against items on hold, restart items that are on hold, rollback, etc. – and notify the individual who placed the item on hold so s/he can pick up where they left off (Manually Stop/pause automated logic/counter from proceeding.)

1783	Ability to provide a mobile interface suitable for access by smartphones running at least the last two releases of iOS and Android.
1784	Ability to support security similar to that available through the web-based member access
1785	Ability for users to ask questions through secure messaging
1786	Ability to check the status of one's account
1787	Ability to check the status of any pending requests
1788	Ability to obtain a benefit estimate
1795	Ability to apply for Service Retirement
1796	Ability to change addresses for non-active members
1797	Ability to request a change of beneficiary by uploading form through self-service
1798	Ability to check the status of the latest pension payment (along with any withholding that occurred)
1799	Ability to respond to any requests for information received from SamCERA
1800	Ability to link to mobile mapping app to provide mapping support to get from member's current location to SamCERA office.
1801	<p>Ability to provide support for social media to include at least: Facebook, Twitter, LinkedIn and Yammer</p> <p>Clarification added based on Social Media Functional Checklist Review:</p> <ul style="list-style-type: none"> - Ability to capture social media account info in the contacts section (Facebook, twitter, yammer, linkedin) <ul style="list-style-type: none"> o Possible validations based on account info format - Also available for MSS users to input/update this info - CRM contact type to manually capture any postings by members
1805	<p>Ability to notify members of member communications on Social Media (TBD on design)</p> <p>Clarification added based on Social Media Functional Checklist Review:</p> <ul style="list-style-type: none"> - Ability notify members that a new Secure message is available in MSS via social media - Separate notification option widget to include all possible option/means of communication to user on Secure Message delivery (email, social media, etc.) - Ability for News broadcast to trigger notification via social media
1809	<p>Ability to provide a comprehensive knowledge management (KM) repository of documents, which shall include, but are not limited to:</p> <ul style="list-style-type: none"> • State statutes • Federal law and regulations • SamCERA regulations and policies • SamCERA Member Handbooks • SamCERA procedures • Existing manuals • Court orders • Case law • Various forms and instructions • Frequently asked questions.
1810	Ability to provide PASS users with the ability to update the KM repository
1812	Ability to maintain a help or glossary of terminology used by SamCERA staff
1813	Ability to provide the capability to implement general links to the relevant rules and policies in relationship to the context of the "in process" activity - separate links but accessible to all. Will discuss the automation piece in design sessions.
1814	Ability to provide an online KM repository of information supported by an integrated search engine that is capable of returning possible matches to key words and other searches
1815	Ability to provide an online KM repository to manage all SamCERA KM documents and content
1816	Ability to provide in an online KM repository a context sensitive help capability.
1817	Ability to sample and verify indexed documents prior to the committal / update to the imaging system
1818	Ability to index a single page, a single document, or a set of documents
1819	Ability to represent a multi-page document as a single document within the imaging archive

1820	Ability to trigger a workflow process for each specific document in a batch of scanned documents when that batch is released to the archive.
1821	Ability to verify or lookup index attributes against PASS to avoid having to key attributes that already exist in electronic format and minimize the probability of data-entry error or duplication
1822	Ability to perform document classification with and without the use of barcodes. (Documents that do not have a barcode will be manually classified in terms of the document type.)
1823	Ability, while indexing within the imaging solution, to assist the indexer when the only data available from an imaged document may not uniquely determine the member to whom the document belongs. This means popping up a list after the last 4 digits of SSN are entered. This will display members with first name, last name and full SSN.
1824	Ability to capture paper, Microsoft Office and PDF documents (preferably source document must be in native file formats)
1825	Ability to annotate documents by adding comments for the documents in Comments section
1826	Ability to print documents to any printer accessible by the device viewing the document
1827	Ability to control access to the documents governed by the Health Insurance Portability and Accountability Act (HIPAA) which are currently indicated by the Disability metadata field
1828	Ability to scan an unsorted group of documents, automatically classify documents with barcodes, and present documents without barcodes to the scan operator for classification
1829	Ability to automatically identify and eliminate blank pages during document scanning and indexing, including the blank, back sides of documents
1830	Ability to accept both single-sided and double-sided (duplex) scanned documents
1831	Ability to scan color paper and save as a white document with black text
1832	Ability to store documents for participants for which there may not yet be a person record in PASS
1833	Ability to scan documents in duplex mode and use thresh-holding to determine automatically whether the back side of a document is to be retained or discarded
1834	Ability to do indexing of documents to support later retrieval. Retrieval will be done via SSN, document type and document name.
1835	Ability for authorized users to change document metadata with audit trail
1836	Ability to upload the following document/image formats: BMP, GIF, JPEG, PDF, RTF, TIFF and Microsoft Office documents. Use of proprietary document formats is prohibited.
1837	Ability to implement user authentication and access control to access and change V3 generated documents
1838	Ability to scan and classify that minimizes document preparation for scanning consistent with Exhibit D-25 "Classification and Separation"
1839	Ability to minimize use of separator sheets
1840	Ability to print a range of pages within an imaged document
1841	Ability to print a single page of an imaged document
1842	Ability to print an entire imaged document
1843	Ability to print a plan participants entire set of imaged documents
1844	Ability to allow a document to be viewed by more than one user concurrently
1845	Ability to add any of the following annotations to outgoing documents: 01 Highlighter 02 Sticky notes 03 Black out (redaction) – without changing the underlying document 04 Text box 05 Watermark 06 Date stamping
1846	Ability to browse from page to page
1847	Ability to compare two documents side by side

1848	Ability to jump directly to: 1 The first page of a document 2 The last page of a document 3 The previous page of a document 4 The next page of a document 5 A specific page of a document.
1849	Ability to open multiple windows for multiple documents
1850	Ability to size and zoom images
1142-1	Ability to run interest calculation, retroactive interest, pre-tax, post-tax portions etc. on the account
1142-2	Ability to activate a disbursement schedule record (such as check, EFT, direct, rollover, immediate, or delayed payment). (post interest and refund)
1152-1	Ability to automatically calculate any catch-up payments or overpayments, and dynamically creates the payments as needed.
267-1	Ability to create the member self-service account for a dependent eligible for a death benefit. This is not the procedure to create the self-service account (which is completed in self-service), rather the process of creating the self-service account for beneficiaries.
363-1	Ability for employers to process new member enrollments.
363-2	Ability for employers to undertake other transactions. (Adjustments, corrections, etc.)
468-1	Ability to automatically create a member self-service account and provide self-registration instructions in the welcome email.
468-2	Ability to default method of communication to email.
468-3	Ability to automatically prepare customized (based on member status) paper welcome packets for members without email and for non-responses.
490-1	Ability to control the time and frequency of General Ledger exports using the scheduling capability of the PASS Batch module.
490-2	Ability to configure multi-file exports with entries and full traceability reports.
491-2	Ability to comply with Governmental Accounting Standards Board (GASB) statements and Generally Accepted Accounting Principles (GAAP).
868(i)	Ability to distribute address changes to related parties as necessary
895-1	Cost estimates are calculated based on the formulas and rules for the specific type of purchase.
914-1	Ability to generate a Service Purchase Agreement for the member which provides the cost of the purchase, choice of payment plans, terms and conditions for each payment plan, the amount of service, and a comparison of the member's future retirement benefit with and without the purchase for all required SCP Types.
	Ability to capture, revise, track, and display members' information including but not limited to the following: name, address, Social Security number, and date of birth.
	Ability to capture all data for a person or institution in a single entity profile. Maintain non-member customer service and personal data in "Other Person" profiles.
	Ability to store multiple physical addresses for an individual entity with different effective dates. Also, ability to store multiple phone numbers and email addresses for an individual entity (without the ability to set different effective dates).
	Ability to produce a report(s) that provide the statistics required by the CEM Benchmarking study. Spoke with Gladys and will talk about this later.

EXHIBIT B

SAMPLE AGREEMENT

AGREEMENT BETWEEN THE SAN MATEO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION AND [Contractor name]

This Agreement is entered into this _____ day of _____, 20_____, by and between the San Mateo County Employees' Retirement Association hereinafter called "SamCERA," and [Insert contractor legal name here], hereinafter called "Contractor."

* * *

Whereas, SamCERA was created pursuant to the County Employees' Retirement Law of 1937 and, in accordance with California Government Code Section 31588.2, is authorized to expend funds on the administration of the pension system in order to provide timely and accurate benefits to its members; and

Whereas, it is necessary and desirable that Contractor be retained for the purpose of auditing the internal controls of SamCERA new Pension Administration Software System.

Now, therefore, it is agreed by the parties to this Agreement as follows:

1. Exhibits and Attachments

The following exhibits and attachments are attached to this Agreement and incorporated into this Agreement by this reference:

- Exhibit A—Services
- Exhibit B—Payments and Rates

2. Services to be performed by Contractor

In consideration of the payments set forth in this Agreement and in Exhibit B, Contractor shall perform services for SamCERA in accordance with the terms, conditions, and specifications set forth in this Agreement and in Exhibit A.

3. Payments

In consideration of the services provided by Contractor in accordance with all terms, conditions, and specifications set forth in this Agreement and in Exhibit A, SamCERA shall make payment to Contractor based on the rates and in the manner specified in Exhibit B. SamCERA reserves the right to withhold payment if SamCERA determines that the quantity or quality of the work performed is unacceptable. In no event shall SamCERA's total fiscal obligation under this Agreement exceed [write out amount] (\$Amount). In the event that the SamCERA makes any advance payments, Contractor agrees to refund any amounts in excess of the amount owed by the SamCERA at the time of contract termination or expiration.

4. Term

Subject to compliance with all terms and conditions, the term of this Agreement shall be from [Month and day], 2016, through [Month and day], 2016.

5. Termination

This Agreement may be terminated by Contractor or by SamCERA or his/her designee at any time without a requirement of cause upon thirty (30) days' advance written notice to the other party. Contractor shall be entitled to receive payment for work/services provided prior to termination of the Agreement. Such payment shall be that prorated portion of the full payment determined by comparing the work/services actually completed to the work/services required by the Agreement.

6. Contract Materials

At the end of this Agreement, or in the event of termination, all finished or unfinished documents, data, studies, maps, photographs, reports, and other written materials (collectively referred to as "contract materials") prepared by Contractor under this Agreement shall become the property of SamCERA and shall be promptly delivered to SamCERA. Upon termination, Contractor may make and retain a copy of such contract materials if permitted by law.

7. Relationship of Parties

Contractor agrees and understands that the work/services performed under this Agreement are performed as an independent contractor and not as an employee of SamCERA and that neither Contractor nor its employees acquire any of the rights, privileges, powers, or advantages of SamCERA employees.

8. Hold Harmless

Contractor shall indemnify and save harmless SamCERA and its officers, agents, employees, and servants from all claims, suits, or actions of every name, kind, and description resulting from this Agreement, the performance of any work or services required of Contractor under this Agreement, or payments made pursuant to this Agreement brought for, or on account of, any of the following:

- (A) injuries to or death of any person, including Contractor or its employees/officers/agents;
- (B) damage to any property of any kind whatsoever and to whomsoever belonging;
- (C) any sanctions, penalties, or claims of damages resulting from Contractor's failure to comply, if applicable, with the requirements set forth in the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and all Federal regulations promulgated thereunder, as amended; or
- (D) any other loss or cost, including but not limited to that caused by the concurrent active or passive negligence of SamCERA and/or its officers, agents, employees, or servants. However, Contractor's duty to indemnify and save harmless under this Section shall not apply to injuries or damage for which SamCERA has been found in a court of competent jurisdiction to be solely liable by reason of its own negligence or willful misconduct.

The duty of Contractor to indemnify and save harmless as set forth by this Section shall include the duty to defend as set forth in Section 2778 of the California Civil Code.

9. Assignability and Subcontracting

Contractor shall not assign this Agreement or any portion of it to a third party or subcontract with a third party to provide services required by Contractor under this Agreement without the prior written consent of SamCERA. Any such assignment or subcontract without SamCERA's prior written consent shall give

SamCERA the right to automatically and immediately terminate this Agreement without penalty or advance notice.

10. Payment of Permits/Licenses

Contractor bears responsibility to obtain any license, permit, or approval required from any agency for work/services to be performed under this Agreement at Contractor's own expense prior to commencement of said work/services. Failure to do so will result in forfeit of any right to compensation under this Agreement.

11. Insurance

a. General Requirements

Contractor shall not commence work or be required to commence work under this Agreement unless and until all insurance required under this Section has been obtained and such insurance has been approved by SamCERA, and Contractor shall use diligence to obtain such insurance and to obtain such approval. Contractor shall furnish SamCERA with certificates of insurance evidencing the required coverage, and there shall be a specific contractual liability endorsement extending Contractor's coverage to include the contractual liability assumed by Contractor pursuant to this Agreement. These certificates shall specify or be endorsed to provide that thirty (30) days' notice must be given, in writing, to SamCERA of any pending change in the limits of liability or of any cancellation or modification of the policy.

b. Workers' Compensation and Employer's Liability Insurance

Contractor shall have in effect during the entire term of this Agreement workers' compensation and employer's liability insurance providing full statutory coverage. In signing this Agreement, Contractor certifies, as required by Section 1861 of the California Labor Code, that (a) it is aware of the provisions of Section 3700 of the California Labor Code, which require every employer to be insured against liability for workers' compensation or to undertake self-insurance in accordance with the provisions of the Labor Code, and (b) it will comply with such provisions before commencing the performance of work under this Agreement.

c. Liability Insurance

Contractor shall take out and maintain during the term of this Agreement such bodily injury liability and property damage liability insurance as shall protect Contractor and all of its employees/officers/agents while performing work covered by this Agreement from any and all claims for damages for bodily injury, including accidental death, as well as any and all claims for property damage which may arise from Contractor's operations under this Agreement, whether such operations be by Contractor, any subcontractor, anyone directly or indirectly employed by either of them, or an agent of either of them. Such insurance shall be combined single limit bodily injury and property damage for each occurrence and shall not be less than the amounts specified below:

Comprehensive General Liability... \$1,000,000

(Applies to all agreements)

Motor Vehicle Liability Insurance... \$1,000,000

(To be checked if motor vehicle used in performing services)

Professional Liability..... \$1,000,000

(To be checked if Contractor is a licensed professional)

SamCERA and its officers, agents, employees, and servants shall be named as additional insured on any such policies of insurance, which shall also contain a provision that (a) the insurance afforded thereby to SamCERA and its officers, agents, employees, and servants shall be primary insurance to the full limits of liability of the policy and (b) if the SamCERA or its officers, agents, employees, and servants have other insurance against the loss covered by such a policy, such other insurance shall be excess insurance only.

In the event of the breach of any provision of this Section, or in the event any notice is received which indicates any required insurance coverage will be diminished or canceled, SamCERA, at its option, may, notwithstanding any other provision of this Agreement to the contrary, immediately declare a material breach of this Agreement and suspend all further work and payment pursuant to this Agreement.

12. Compliance With Laws

All services to be performed by Contractor pursuant to this Agreement shall be performed in accordance with all applicable Federal, State, SamCERA, and municipal laws, ordinances, and regulations, including but not limited to the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and the Federal Regulations promulgated thereunder, as amended (if applicable), the Americans with Disabilities Act of 1990, as amended, and Section 504 of the Rehabilitation Act of 1973. Such services shall also be performed in accordance with all applicable ordinances and regulations, including but not limited to appropriate licensure, certification regulations, provisions pertaining to confidentiality of records, and applicable quality assurance regulations. In the event of a conflict between the terms of this Agreement and any applicable State, Federal, law or regulation, the requirements of the applicable law or regulation will take precedence over the requirements set forth in this Agreement.

Contractor will timely and accurately complete, sign, and submit all necessary documentation of compliance.

13. Non-Discrimination and Other Requirements

a. Equal Employment Opportunity

Contractor shall ensure equal employment opportunity based on objective standards of recruitment, classification, selection, promotion, compensation, performance evaluation, and management relations for all employees under this Agreement.

b. Section 504 of the Rehabilitation Act of 1973

Contractor shall comply with Section 504 of the Rehabilitation Act of 1973, as amended, which provides that no otherwise qualified individual with a disability shall, solely by reason of a disability, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination in the performance of any services this Agreement. This Section applies only to contractors who are providing services to members of the public under this Agreement.

c. Discrimination Against Individuals with Disabilities

The nondiscrimination requirements of 41 C.F.R. 60-741.5(a) are incorporated into this Agreement as if fully set forth here, and Contractor and any subcontractor shall abide by the requirements of 41 C.F.R. 60-741.5(a). This regulation prohibits discrimination against qualified individuals on the basis of disability and requires affirmative action by covered prime contractors and subcontractors to employ and advance in employment qualified individuals with disabilities.

14. Retention of Records; Right to Monitor and Audit

(a) Contractor shall maintain all required records relating to services provided under this Agreement for three (3) years after SamCERA makes final payment and all other pending matters are closed, and Contractor shall be subject to the examination and/or audit by SamCERA or the County of San Mateo.

(b) Contractor shall comply with all program and fiscal reporting requirements set forth by applicable Federal, State, and local agencies and as required by SamCERA.

(c) Contractor agrees upon reasonable notice to provide to SamCERA, to any Federal or State department having monitoring or review authority, to SamCERA's authorized representative, and/or to any of their respective audit agencies access to and the right to examine all records and documents necessary to determine compliance with relevant Federal, State, and local statutes, rules, and regulations, to determine compliance with this Agreement, and to evaluate the quality, appropriateness, and timeliness of services performed.

15. Merger Clause; Amendments

This Agreement, including the Exhibits and Attachments attached to this Agreement and incorporated by reference, constitutes the sole Agreement of the parties to this Agreement and correctly states the rights, duties, and obligations of each party as of this document's date. In the event that any term, condition, provision, requirement, or specification set forth in the body of this Agreement conflicts with or is inconsistent with any term, condition, provision, requirement, or specification in any Exhibit and/or Attachment to this Agreement, the provisions of the body of the Agreement shall prevail. Any prior agreement, promises, negotiations, or representations between the parties not expressly stated in this document are not binding. All subsequent modifications or amendments shall be in writing and signed by the parties.

16. Controlling Law; Venue

The validity of this Agreement and of its terms, the rights and duties of the parties under this Agreement, the interpretation of this Agreement, the performance of this Agreement, and any other dispute of any nature arising out of this Agreement shall be governed by the laws of the State of California without regard to its choice of law or conflict of law rules. Any dispute arising out of this Agreement shall be venued either in the San Mateo SamCERA Superior Court or in the United States District Court for the Northern District of California.

17. Notices

Any notice, request, demand, or other communication required or permitted under this Agreement shall be deemed to be properly given when both: (1) transmitted via email to the email address listed below; and (2) sent to the physical address listed below by either being deposited in the United States mail, postage prepaid, or deposited for overnight delivery, charges prepaid, with an established overnight courier that provides a tracking number showing confirmation of receipt.

In the case of SamCERA, to:

Name/Title: [insert]
Address: [insert]
Telephone: [insert]
Facsimile: [insert]
Email: [insert]

In the case of Contractor, to:

Name/Title: [insert]
Address: [insert]
Telephone: [insert]
Facsimile: [insert]
Email: [insert]

18. Electronic Signature

If both SamCERA and Contractor wish to permit this Agreement and future documents relating to this Agreement to be digitally signed in accordance with California law. Any party that agrees to allow digital signature of this Agreement may revoke such agreement at any time in relation to all future documents by providing notice pursuant to this Agreement.

For SamCERA: If this box is checked by SamCERA, SamCERA consents to the use of electronic signatures in relation to this Agreement.

For Contractor: If this box is checked by Contractor, Contractor consents to the use of electronic signatures in relation to this Agreement.

* * *

In witness of and in agreement with this Agreement's terms, the parties, by their duly authorized representatives, affix their respective signatures:

SAN MATEO COUNTY EMPLOYEES' RETIREMENT ASSOCIATION

By:

Scott Hood, Chief Executive Officer

Date:

[Contractor Name Here]

Contractor's Signature

Date:

Exhibit A

In consideration of the payments set forth in Exhibit B, Contractor shall provide the following services:

Exhibit B

In consideration of the services provided by Contractor described in Exhibit A and subject to the terms of the Agreement, SamCERA shall pay Contractor based on the following fee schedule and terms: